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***Our Vision: The NGEC provides national leadership in standardization, acquisition, and management of passenger rail equipment.***

***This report is updated at the end of each month. It is meant to provide a comprehensive ongoing context/history of the Committee from its establishment in January of 2010. To review only the most recent activities – you will find them in bold italics in each section of the report, or you may go to the NGEC Monthly Activities Report which provides a brief summary of the activities of the NGEC Executive Board, and its subcommittees during the most recent month.***

***Steve Hewitt, Program Manager, S305 NGEC***

#### **PRIIA Section 305 Next Generation Corridor Equipment Pool Committee (NGEC)**

##### **Comprehensive Background and Activities Report – Updated: 12-31-24.**

Public law 110-432 required Amtrak to:

*...establish a Next Generation Corridor Equipment Pool Committee, comprised of representatives of Amtrak, the Federal Railroad Administration, host freight railroad companies, passenger railroad equipment manufacturers, interested States and, as appropriate, other passenger railroad operators.*

*“The purpose of the Committee shall be to design, develop specifications for, and procure standardized next-generation corridor equipment.*

*(b) Functions – the Committee may –*

*1) Determine the number of different types of equipment required, taking into account variations in operational needs and corridor infrastructure.*

*2) Establish a pool of equipment to be used on corridor routes funded by participating states; and*

*3) Subject agreements between Amtrak and States, utilize services provided by Amtrak to design, maintain and remanufacture equipment.”*

On January 13<sup>th</sup> and 14<sup>th</sup>, 2010, acting on the requirements of Section 305 of the Passenger Rail Investment and Improvement Act (PRIIA), Amtrak established the next Generation Equipment Pool Committee (NGEC). During this initial meeting, the Committee constituted itself; formed an Executive Board; elected officers, appointed members; developed and approved a Work Plan with an aggressive schedule and timeline; and adopted By-Laws.

##### **The Officers of the Section 305 NGEC Executive Board as of 12-31-24 are:**

**Ray Hessinger, NYSDOT - Chair**

**Dan Ruppert, Amtrak – Vice Chair**

**Tim Ziethen, Amtrak – Treasurer**

**Amanda Martin, Iowa DOT – Secretary**

Voting members of the Executive Board, including the officers, represent ten (10) State Departments of Transportation (DOTs), the Federal Railroad Administration, (FRA) and Amtrak States were elected to new two-year terms on the Executive Board at the 2024 NGEC Annual Meeting held on 2-2-24.

The full Executive Board member and support staff list is included in this package along with a full roster of NGECE members as of 3-31-24.

At the initial meeting, and in accordance with the By-Laws, the Executive Board established two subcommittees: The Technical subcommittee and the Finance subcommittee; and established an Administrative task force. The subcommittees and the task force were tasked with constituting themselves, electing officers, and developing work plans and a first -year budget.

#### **Section 305 Next Generation Equipment Pool Committee – Initial Work Plan 2010-11:**

- A. Committee Work will be a multi-year process
- B. Goals/Deliverables:
  - 1. Develop Single Level Specifications
  - 2. Finalize Bi-Level Coach Specifications
  - 3. Develop Diesel Locomotive specifications – specs to accommodate 125 MPH
  - 4. Develop Ownership and Organizational Structures
  - 5. Develop Procurement Strategies
  - 6. Develop Fleet management (pool) Strategies
  - 7. Prepare Initial Procurement
- C. Elements
  - 1. Overall Committee
    - a.) Determine Strategy on Equipment Specification Development
    - b.) Assess State Needs (amount, timing, type) - AASHTO to work with Amtrak to develop a survey of the states to truly assess/update current needs including; types of cars and timeframe with a 5, 10, 15, year outlook. AASHTO will be responsible for distributing the survey and will work with Amtrak to help define the questions.
    - c.) Develop/refine State corridor specific Operating Plan, Facilities, Fleet Needs – these issues would also be included in the survey of the states.
    - d.) Answering key Questions:
      - i. Does one size fit all?
      - ii. What types of Equipment are appropriate?
        - a.) Single level Tilt/Non-Tilt – this issue will be included in the states survey
        - b.) Bi-Level
        - c.) Tier II high speed equipment
        - d.) Geographical/driven needs
      - iii. Car based procurements or trainsets? – This issue is also to be included in the survey of the states.
      - iv. Provide common vision and direction to manufacturing community
      - v. Safety Standards, ADA and Buy American
    - e. Reporting to Congress/others as appropriate
      - i. Vital for funding and implementation – important for both visibility and to provide information
  - 2) Finance subcommittee – DJ Stadtler, Amtrak, Chair
    - a. Identify Joint Procurement Opportunities with Amtrak Fleet Plan
    - b. Evaluate Funding/procurement Strategies for Fleet Acquisition
    - c. Prepare Initial Fleet Procurement – first year goal/deliverable
    - d. Identify institutional opportunities/structures for successful implementation of procurement strategies

The Finance subcommittee will also serve as liaison to financial institutions, and manufacturers looking for finance opportunities. The issue of establishing a corporation is one which the Finance subcommittee should take up and can propose it to the Executive Board, but it is ultimately the Board's decision.

3) Technical subcommittee – Mario Bergeron, Amtrak, Chair

- a. Salient Features – core features of the Sub-Committee are of a technical nature
- b. Determine appropriate level of involvement from industry – The Technical subcommittee should make the agenda and seek involvement of the larger community.
- c. Establish Interoperability and Safety Standards
- d. Adapt Current Bi-Level Spec for generic Use
- e. Develop Single Level Specification(s) for State Use
- f. Develop Additional Specification(s) for State Use

A direct result of the subcommittee discussions was the realization of the need for an administrative arm of the overall committee to be established. It was agreed that the committee should establish an Administrative task force to handle budget issues and manage the operation of the NGEC. The Administrative task force would be able to determine protocols for various issues that may come up such as; site tours, definition of what the NGEC can present to Congress – ensuring that the Board is not engaging in lobbying activities, but is getting information out and maintaining visibility and, in general, establish administrative policy for the NGEC. The task force would also determine where and how the administrative support is housed and provided to the NGEC.

**Support Services:**

From the inception of the S305 NGEC, it was clear to the Executive Board that support services would be essential in order to fulfill the work of the committee in an organized, efficient manner – providing access to records; coordination among the subcommittees, task force(s) and the Board; ensuring adherence to the work plan, schedules and timelines, as set by the Executive Board; providing meeting support – logistical and material preparation (agendas, member list maintenance, meeting summaries preparation) – for conference calls, webinars and in-person meetings; maintaining lines of communication among all parties; and providing quality assurance support by conforming process and committee business with the adopted By-laws. Such support is being provided to the Board and subcommittees and task force(s) by the American Association of State Highway and Transportation Officials (AASHTO). AASHTO was asked, and agreed, to serve as the support team and provide the services as described.

At the March 10, 2010, meeting of the Executive Board, AASHTO notified the Board that Steve Hewitt, consultant to AASHTO, would serve in the capacity of S305 NGEC Support Services Manager. His responsibilities include managing and coordinating communication within and among the “305” Executive Board, its subcommittees, and task force(s). He also provides Secretariat services; ensures consistency and clarity of message; serves as parliamentarian; serves as the communication hub; manages the business of the Board, the subcommittees and task force(s); ensures that schedules are adhered to; questions and concerns of the public and the industry are responded to; timelines are met; and action items are completed on time. In general, he helps to preserve the integrity of the process established in the NGEC Work Plan(s).

AASHTO also provides the needed interaction with all states (those who are not NGEC members) and has provided information support and open records management through the establishment of the AASHTO Rail Resource Center (ARRC) web site. The web site (as of 12-31-22) has been refreshed and now has its own domain: [www.ngec.org](http://www.ngec.org). It contains links to all Executive Board, subcommittees, and task force(s) activities including, but not limited to; meeting summaries; the approved PRIIA Specifications; requirements documents; NGEC By-laws; the PRIIA statute; Buy America provisions; Amtrak Fleet Plan; Executive Board, subcommittees, and task force(s) member lists, and industry participants lists as well as links to the Locomotive Technology Task Force, Accessibility Working Group, Document Management Process Procedures, Standardization Pilot and more. AASHTO also maintains the NGEC website through the AASHTO Rail Resource Center (ARRC) at [www.highspeed-rail.org](http://www.highspeed-rail.org). The NGEC information maintained on the site includes: PRIIA Adopted Specifications; Requirements documents, presentations; minutes of all Executive Board, subcommittee, and task force conference calls and meetings and much more. The information generated by the NGEC has grown tremendously since January of 2010.

**S 305 NGEC Activities through December 2024:**

Since the initial meeting held January 13-14, 2010, in Washington, DC, the Section 305 NGEAC has aggressively implemented its work plan. The Executive Board has held eight more in-person meetings: March 10, 2010, May 26, 2010, August 31, 2010, February 15, 2011, March 16, 2011, and June 23, 2011, September 15, 2011, and February 23, 2012; as well as conference call and/or webinar meetings on June 2, 2010, July 21, 2010, September 15, 2010, November 18, 2010, January 28, 2011, February 10, 2011, March 29, 2011, April 12, 2011, May 10, 2011, May 24, 2011, June 7, 2011, and July 5, 2011, August 2, 2011, August 16, 2011, August 30, 2011, and September 27, 2011, October 11, 2011, October 25, 2011 November 8, 2011, November 22, 2011, December 6, 2011, December 20, 2011, January 3, 2012, January 24, 2012, February 7, 2012, February 14, 2012, March 6, 2012, March 20, 2012, April 3, 2012, April 17, 2012, May 15, 2012, May 29, 2012, June 12, 2012, June 26, 2012, July 10, 2012, August 21, 2012, September 4, 2012, September 20, 2012, October 2, 2012, October 16, 2012, November 13, 2012, November 30, 2012, December 11, 2012, January 8 and 22, 2013, February 5, February 21, 2013 March 19, 2013, April 2, 16, and 30, 2013, May 14 and 28, 2013, June 25, July 9, July 23, August 6, August 20, 2013, September 4, September 26, 2013, October 15, October 29, 2013, November 12, 2013, December 10, 2013, January 7 and 21, February 4 and 21, March 4 and 18, April 1, 15, and 29, 2014, May 13 and 27, 2014, June 10 and 24, 2014, July 22, August 5 and 19, 2014, September 2, 16, and 30, October 14 and 24 (in –person meeting), 2014, November 18, 2014, December 9 and 23, 2014, January 6 and 20, 2015, February 3 and February 20, 2015 (2015 Annual Meeting), March 17 and 31, 2015, April 14 and 28, 2015, May 12 and 26, 2015, June 9 and 23, 2015, July 7<sup>th</sup> and 21<sup>st</sup>, 2015, August 4, 2015, September 1 and 29, 2015, October 13<sup>th</sup> and 27<sup>th</sup>, 2015, November 10<sup>th</sup>, 2015, December 7, 2015, January 5 and 19, 2016, on February 2 and 19 (Annual Meeting) 2016; on March 1 and March 15, 2016, on April 12<sup>th</sup> and April 26<sup>th</sup>, on May 10<sup>th</sup> and 24<sup>th</sup>, on June 7<sup>th</sup> and 21<sup>st</sup>, 2016, on July 19, 2016, on August 2, and 31, 2016 on September 20<sup>th</sup> and September 27<sup>th</sup>, on October 11<sup>th</sup> and 25<sup>th</sup>, 2016 on November 8<sup>th</sup> and 22<sup>nd</sup>, on December 6<sup>th</sup>, 2016 on January 3<sup>rd</sup>, 17<sup>th</sup>, and 31<sup>st</sup> 2017, on February 24, 2017, in person during the 7<sup>th</sup> NGEAC Annual Meeting, on March 14<sup>th</sup> and March 28<sup>th</sup>, 2017, on April 11<sup>th</sup> and April 25<sup>th</sup> on May 9<sup>th</sup> and May 23<sup>rd</sup> 2017, on June 6<sup>th</sup> and June 20<sup>th</sup>, 2017, on July 18, 2017, on August 15<sup>th</sup> and 29<sup>th</sup> on 9-12 and 9-26-17, on 10-10 and 10-24-17, on 11-7 and 11-21-17, on 12-5 and 12-19-17, on 1-16 and 1-30-18 and on 2-13-18, via conference call, and 2-23-18 in person at the NGEAC's 8<sup>th</sup> Annual meeting held in Washington, DC, on March 13<sup>th</sup> and 27<sup>th</sup>, 2018 on April 10<sup>th</sup> and 24<sup>th</sup>, 2018, on May 8<sup>th</sup> and 22<sup>nd</sup>, 2018, June 5<sup>th</sup> and June 19<sup>th</sup>, July 3 and July 17<sup>th</sup> on August 14<sup>th</sup> and 28<sup>th</sup> on September 25<sup>th</sup>, on October 9<sup>th</sup> and October 23<sup>rd</sup> on November 6<sup>th</sup> and 20<sup>th</sup> 2018, on December 4, 2018, on January 15<sup>th</sup> and 29<sup>th</sup> on February 12<sup>th</sup> and 22<sup>nd</sup> (Annual Meeting), on March 12<sup>th</sup> and 26<sup>th</sup>, 2019, on April 9<sup>th</sup> and 23<sup>rd</sup>, on May 21<sup>st</sup>, 2019 on June 4<sup>th</sup> and 18<sup>th</sup>, 2019, on July 2<sup>nd</sup>, 16<sup>th</sup> and 30<sup>th</sup>, 2019, on August 13<sup>th</sup> and 27<sup>th</sup>, 2019, on September 10<sup>th</sup> and 24<sup>th</sup>, 2019, on October 8<sup>th</sup> and 22<sup>nd</sup>, on November 5<sup>th</sup> and 19<sup>th</sup>, 2019, on December 3<sup>rd</sup> and 17<sup>th</sup>, 2019, on January 14<sup>th</sup> and 28<sup>th</sup>, 2020, on February 11<sup>th</sup> and (in person Annual Meeting) on 2-21-20, on March 10<sup>th</sup> and 24<sup>th</sup>, on April 7<sup>th</sup> and 21<sup>st</sup>, 2020 on May 5<sup>th</sup> and May 19<sup>th</sup>, 2020, on June 16<sup>th</sup> and 30<sup>th</sup>, on 7-14-20, on 8-11-20, on 9-8 and 9-22-2020, on 10-6-20 and 10-20-20, on 11-3 and 11-17-20, on 12-1-20 and 12-15-20, 1-12-21, 1-26-21, 2-9-21 and held the 11<sup>th</sup> Annual Meeting “virtually” on 2-23-21, on 3-23-21, on 4-6 and 4-20-21 on 5-18-21, June 1, 15 and 29, 2021, on 8-10-21, on 9-7 and 9-21-21, on 10-5 and 10-19-21, 11-2-21, 11-16-21, and 11-30-21, and on 12-14-21 and 12-28-21, on 1-11-22 and 1-25-22 and on 2-8-22 with the Annual meeting also taking place in February on the 25<sup>th</sup> – this was the 12<sup>th</sup> Annual NGEAC Meeting. The Executive Board met once in March 2022 - on the 22<sup>nd</sup>. The Executive Board met once in April 2022 on the 5<sup>th</sup>. The Executive Board met twice in May 2022 – on the 3<sup>rd</sup> and the 17<sup>th</sup>. The Executive Board met twice in June 2022, on the 14<sup>th</sup> and 28<sup>th</sup>. The Executive Board met once in July 2022 on the 12<sup>th</sup>. The Executive Board met twice in August 2022, on the 9<sup>th</sup> and the 23<sup>rd</sup>. The Executive Board met once in September 2022 on the 6<sup>th</sup>. The Executive Board met twice in October 2022 – on the 4<sup>th</sup> and the 18<sup>th</sup>. The Executive Board met twice in November - on the 1<sup>st</sup> and the 15<sup>th</sup>. The Executive Board met on December 13<sup>th</sup> and 27<sup>th</sup> 2022. *The Board met on January 10<sup>th</sup>, 24<sup>th</sup> and February 3<sup>rd</sup> (Annual Meeting) and February 21, 2023.* The Board met on March 7<sup>th</sup> and the 21<sup>st</sup> 2023. The Board met, in April 2023 - twice – on the 4<sup>th</sup> and the 18<sup>th</sup>. The Board met three times in May 2023 – on the 2<sup>nd</sup>, the 16<sup>th</sup> and the 30<sup>th</sup>. The Board met twice in June 2023 – on the 13<sup>th</sup> and the 27<sup>th</sup>. The Board met twice in July 2023 – on the 11<sup>th</sup> and the 25<sup>th</sup>. The Board met once in August – on the 8<sup>th</sup>. As of 7-25-23, it was agreed that the Board would begin meeting every 4 weeks rather than bi-weekly. The Executive Board met once in September – on the 5<sup>th</sup>. The Executive Board met twice in October 2023 – on the 3<sup>rd</sup> and 31<sup>st</sup>. The Executive Board met once in November – on the 28<sup>th</sup>. The Executive Board met once in December – on the 19<sup>th</sup>. The Executive Board met twice in January 2024 – on the 4<sup>th</sup> and 18<sup>th</sup>. The Board met as a part of the NGEAC Annual Meeting held on 2-2-24. In March 2024 the Board met on the 19<sup>th</sup>. In April 2024 the Board met on the 16<sup>th</sup>. In May 2024 the Board met on the 14<sup>th</sup>. In June 2024 the Board met on the 11<sup>th</sup>. In July 2024, the Board met on the 9<sup>th</sup>. In August 2024, the Executive Board met on the 6<sup>th</sup>. In September 2024, the Board met twice – on the 3<sup>rd</sup> and the 17<sup>th</sup>. In October 2024, the Board met three times – on the 1<sup>st</sup>, 15<sup>th</sup> and 29<sup>th</sup>. In November 2024, the Board met twice on the 12<sup>th</sup> and the 26<sup>th</sup>. ***In December 2024, the Board met once on the 10<sup>th</sup>.***

In January of 2010, both subcommittees and the Administrative task force constituted themselves, named officers, appointed members, and submitted work plans and proposed first year budgets. All three have been conducting regularly scheduled conference call meetings and have been adhering to the schedules and timelines set by the Board. (Subcommittee and other member lists are included in this package) Additionally, throughout the years the Executive Board has established other task forces and working groups as deemed necessary, such as; the NGEF Future Working Group; the Accessibility Policy Group; the Joint Procurement Task Force; the Structure and Finance Task Force; and the 305-209 Capital Equipment Working Group (now formally established as the 514 Subcommittee) and the Funding Options Task Force.

Ultimately, the 514 subcommittee and its activities were transferred to the States and Amtrak Intercity Passenger Rail Committee (SAIPRC) as its responsibility. The Administrative Task force activities were transferred to the Finance subcommittee which was renamed as the Finance and Administrative subcommittee. Several other task forces and working groups have completed their work and are no longer active, and additional working groups have been established to take on specific issues (Electronics on Trains working group; NGEF Equipment Ownership Best Practices and Lessons Learned working group to name two currently active working groups)

#### **Executive Board:**

The Executive Board met on June 2, 2010, via conference call to review and approve the S305 NGEF first year Budget and narrative to be submitted to Amtrak for finalization and presentation to FRA to execute the S305 Funding Grant Agreement. The Board unanimously approved the budget and provided suggested edits to the narrative which were to be incorporated in the final package submitted to FRA.

On June 17, 2010, the Executive Board held an electronic vote to approve a modification to the budget to increase the budgeted amount from \$1.85 million to the fully funded level of \$2 million. All members of the Executive Board participated in the vote, and the modification was approved with consensus achieved (approval was unanimous).

On July 16, 2010, all members of the Executive Board received a draft Bi-level specification requirements document for review and comment.

On July 21, 2010, the Executive Board approved the requirements document during a webinar meeting of the Board. The document was approved by all voting members of the board present on the call (11 of 14 were present) and consensus was determined to have been achieved. The document will be used as a basis for measuring the specification against. There may be modifications made to the document prior to the July 29-30, 2010 meeting of the Technical subcommittee – if so – it will be entitled Version 2 and will be voted on via conference call of the Executive Board.

On August 31, 2010, the Executive Board held an in-person meeting in Washington, DC with a full business agenda. During this meeting, the Board voted unanimously to approve the PRIIA Bi-level specification developed by the Technical subcommittee. This approval was a **landmark event** and represented the **first** standardized specification developed by the S305 NGEF in accordance with the requirements of PRIIA.

Additionally, at the August 31, 2010 meeting of the Board, it was decided that the priority order established in January for developing the next sets of specifications would be revised to accommodate the immediate needs of states who had acquired federal funding through the High Speed Intercity Passenger Rail (HSIPR) program for procurement of equipment; and whose plans called for that equipment to be single level trainsets. Equipment purchased with federal funding through the HSIPR program requires that the equipment to be procured uses an approved PRIIA specification; and the states looking to purchase trainsets were concerned with meeting the timeline guidance provided by the FRA in announcing the HSIPR grant program. It was understood that the money must be obligated by September 30, 2011 or it would be lost. If that is indeed the case, the development of the PRIIA specification for trainsets, as soon as possible, was considered vital to the states whose service development plans called for trainsets. After a great deal of discussion, a poll of member states was taken regarding their intentions to procure single level standalone cars in the immediate future. After it was determined that none of the member states were ready to procure now; it was generally agreed that the most pressing need was that of the states who were ready to procure trainsets.

By an 11-3 vote, and consensus determined to have been achieved by the Chair, it was agreed that the priorities set in January, 2010, be revised to call for the Technical subcommittee to develop the single level Tier I trainset specifications next (along with the already agreed to development of the diesel-electric

locomotive specifications) with completion targeted for December 31, 2010; and that the single level standalone cars specification would follow thereafter with a target completion date of first or second quarter 2011.

On September 15, 2010, Chairman Bill Bronte, acting on a request from the FRA, convened an emergency conference call of the S305 Executive Board for the purpose of reconsidering the August 31, 2010 decision to change priorities to develop trainsets first and standalone cars next. The FRA request for consideration was based on the fact that the President had subsequently announced a \$50 Billion stimulus plan, which included funding for replacing much of the existing Amtrak Fleet. The fact that the Board (and the FRA voting member) did not have access to this information at the time of the August 31, 2010 vote; led the FRA to formally request a reconsideration of that decision. With the President's proposal targeting replacement of the Amtrak Fleet, it was felt that the impetus to be derived by an order of substantial volume; would go a long way towards rebuilding the rail equipment manufacturing industry in the United States (U.S.) and the creation of sustainable jobs.

The representatives of the FRA attending the emergency meeting, understood the concern of the states looking to procure trainsets; and assured them that the HSIPR grant money, once obligated, (by February 2011) would remain available to the recipient states until 2017. The short-term delay in developing the specifications for trainsets, therefore, would not preclude those states from procurement in accordance with the HSIPR program guidance and their Service Development Plans (SDP). Further, the FRA representatives offered to provide additional resources to the Technical subcommittee to help to expedite the development of the standalone cars to meet the December 31, 2010 timeline; and to expedite the trainset specification development immediately thereafter.

After a long discussion, the Executive Board achieved consensus and agreed to reconsider the August 31, 2010 decision to reprioritize the mandate of the Technical subcommittee to develop trainsets first, with standalone cars to follow. A consensus was determined by the Chair, as the result of a poll, of the voting members, which resulted in; 11 favoring reconsideration 1 opposed, and 2 absent. After additional discussion, the Board acted on a motion to change its priority to have the subcommittee develop the single level standalone cars first, with trainsets to follow. A poll of the voting members present resulted in; 10 favoring the motion to again reprioritize, 1 opposed, and 3 absent.

On November 18, 2010, the Executive Board held a webinar/conference call meeting to review and consider, for approval, the requirements documents for the two sets of specifications currently under development by the Technical subcommittee. (diesel-electric locomotive specification and single level standalone cars specification)

The webinar resulted in the unanimous approval of the requirements documents, as presented and modified, in real-time during the meeting. The requirements documents approved were for the diesel-electric locomotives and for single level standalone cars and trainsets (As a result, the trainsets specification to be developed after the standalone cars, will already have a requirements document against which the specifications will be measured)) The requirements documents, as approved/adopted by the Executive Board, can be found on the NGEN website: [www.ngen.org](http://www.ngen.org)

The Board also appointed two Review Panels, each to review one of the specifications (single level standalone cars and diesel-electric locomotives) against the approved/adopted requirements documents. The Review Panels will be assisted by a consultant provided by the FRA (Larry Salci). The Panels will provide a written report on their findings along with recommendations to the Executive Board for its consideration at the next meeting of the Board to be held in Washington, DC on February 15, 2011.

The Review Panels received a written report with recommendations prepared by Larry Salci on January 25, 2011. The Panels reviewed the respective report and recommendations pertaining to the specification to which they were assigned, and, on February 1, 2011, the Reports with recommendations were distributed to the Executive Board Members for their review. On February 15, 2011, at the Annual Meeting of the NGEN, consultant Larry Salci was to give a presentation summarizing the two reports and providing the Review Panels' recommendations. It was intended that the Board would vote for approval/adoption of each of the specifications at the February 15, 2011 meeting.

The Annual Meeting of the NGEN was scheduled by the Executive Board for February 15, 2011, to be held in Washington, DC at USDOT facilities. The meeting was to serve dual purposes – to hold the S305 NGEN Annual Meeting, as required in the By-laws, and to conduct an Executive Board business meeting.

On January 28, 2011, the Executive Board met via conference call, to review and finalize the agenda items for February 15, 2011, as well as to review draft work plans and budgets requested of the subcommittees and the Administrative task force; and an estimated AASHTO Support Services Budget for the period beginning April 1, 2011 through March 31, 2012.

The Board approved the "final draft" agenda for the February 15, 2011 Annual Meeting with minor modifications.

The subcommittees and the task force submitted budget and work plan proposals, which were reviewed by the Executive Board Members. AASHTO provided a preliminary estimate for support services for the same 12 months period.

Ken Uznanski, Amtrak's 305 NGEK project manager, worked with the subcommittees and task force chairs, and AASHTO, to reconcile the budgets and work plans. He submitted a summary for Board review on Wednesday February 2, 2011. On February 10, 2011, on a conference call of the Board; the revised budget and work plan was finalized in preparation for its consideration at the February 15, 2011 Annual Meeting.

On the January 28, 2011 Executive Board conference call, a general agreement was made to hold more frequent Executive Board calls throughout the coming year. Members were to provide input regarding the frequency of those calls by the February 10, 2011 Executive Board Call.

On January 28, 2011, the Executive Board also approved, with minor modifications, the Procurements Approval Process Matrix as developed and approved by the Finance subcommittee and Administrative task force.

On February 10, 2011, the Executive Board met, once again, via conference call, to finalize the agenda and all plans for the February 15, 2011 NGEK Annual Meeting.

On February 15, 2011, the first Annual Meeting of the NGEK took place in Washington, DC at USDOT facilities. In addition to the members of the Executive Board, (13 of 14 were in attendance – 1 was represented via proxy) approximately 75 members of the rail manufacturing and supply industry, state DOTs, Amtrak, and FRA participated in this historic event.

Administrator Szabo welcomed the Committee to the USDOT facilities and thanked the Board and all Committee members for their hard work to date. Mr. Szabo also noted that, with what is in the President's budget proposal, it is clear the work of this Committee has just begun.

Administrator Szabo described the elements in the President's transportation budget as "a transformative vision for travel in the future. We now have a President who says that passenger rail should be an integral part of the vision." The President has stated that his goal is, within 25 years, to give 80 percent of Americans access to high-speed rail. To implement the President's vision "we are proposing \$53 billion in funding over the next 6 years including over \$8 billion in Fiscal Year 2012, which begins in October."

This is the type of multi-year commitment that made the Interstate Highway program a reality. Through it we will become a reliable and stable market for rail infrastructure and passenger rail equipment."

"What we seek is the development of a domestic rail car manufacturing industry that covers the entire spectrum from design to the manufacture of components and subcomponents, to assembly, and repair."

"We want commonality of design and standardization of components and parts that will permit multiple firms to build essentially the same, interoperable equipment and its components."

Mr. Szabo emphasized "we are presented a once-in-a-lifetime opportunity to literally change our world and realize the benefits that rail offers to our passenger mobility. The Secretary and I are counting on the Section 305 Committee to help lay the foundation for success".

Actions taken by the Board on February 15, 2011:

During the meeting, the Board took a number of actions including;

- the adoption of the second PRIIA specification, the Single Level Standalone Car Specification;

- deferral of adoption of the Diesel-Electric Locomotive Specification until recommendations made by the Locomotive Review Panel are incorporated into a revised specification;
- acceptance of the Standardization working group's process recommendations;
- the approval of the proposed concept for developing a Systems Engineering process;
- a By-law amendment allowing the Executive Board to make changes to the By-laws at regular meetings of the Board (with 30-day prior notice) rather than only at the Annual meeting;
- tasked the Finance subcommittee and the Administrative task force with jointly working on the issue of intellectual property;
- Agreed to begin holding bi-weekly conference calls of the Executive Board – every other Tuesday at 11:30am Eastern time (The first of these calls is scheduled for March 29, 2011);
- The Board also accepted the revised work plans and budgets presented by the subcommittees and the Administrative task force chairs for the period of April 1, 2011 through March 31, 2012;
- the Board directed Amtrak's 305 project manager, Ken Uznanski, to work with Amtrak and FRA to make the necessary grant agreement modifications to extend the agreement and revise the initial work plan in accordingly;
- Scheduled the next in-person meeting of the Board for March 16, 2011 from 8:00 am to 4:00pm Eastern. The meeting will be held at the Phoenix Park Hotel, Washington, DC. At this meeting, among other agenda items, the Board will consider approval of the revised Diesel-electric locomotive specification and will spend time working towards developing an outline for a long range "business plan" for the NGEC.

As agreed on February 15, 2011, the Executive Board met in Washington, DC, on March 16, 2011 to approve the revised diesel-electric locomotive specification. Consensus to approve this specification was achieved. (Support was unanimous)

This marked the third PRIIA specification successfully developed and adopted by the S305 NGEC since its inaugural meeting of January 13-14, 2010. At that time, the Board set an aggressive schedule and has been ever diligent in adhering to it. The next specification to be considered for Board approval will be the Tier I single level trainset specification currently under development by the Technical subcommittee. (The subcommittee completed its development of the trainset specification and held a final review and approval meeting on June 22, 2011)

In addition to the adoption of the diesel-electric locomotive specification, the Board took the following actions:

- Approved the establishment of a Locomotive Technology Task Force within the Technical subcommittee
- Approved a Document Management Control Pilot to begin immediately as a part of the Systems Engineering effort underway within the Technical subcommittee. The Pilot will run until the Board meets at a date yet to be determined in June 2011. At that time, recommendations will be presented to the Board for making the Pilot permanent.
- A timeline was established for the Finance subcommittee to present a work plan and budget for funding and structuring options to the Board on its April 12, 2011 conference call.
- A disclaimer statement, presented by the Administrative task force was approved by the Board and will be added to all current and future PRIIA specifications on the inside cover page and as a link on the website.
- A proposed "Rolling Stock 101" timeline and syllabus is being prepared by a working group comprised of members of the Finance subcommittee and Administrative task force and will be presented to the Board for approval.



- A discussion regarding the possible establishment of the NGECC as a formal entity took place during a “brainstorming” session of the Board. It was agreed to continue the discussion on the Board’s scheduled March 29, 2011 conference call. Jack Basso, AASHTO CFO was to be invited to attend the call to provide input on some suggestions arising out of the discussions including; AASHTO as a repository for specifications and as a potential “vehicle” for an NGECC entity.

On March 29, 2011, the Executive Board held the first of what will be bi-weekly conference calls. The primary discussion topic for this call was a continuation of the “brainstorming” session from March 16, 2011.

Decisions/actions taken on the call included:

- Chairman Bill Bronte will formally request that FRA provide a representative to participate on the Finance subcommittee – preferably a representative from legal or finance.
- The Finance subcommittee working group will finalize its scope of work and budget for securing outside support for developing funding and structure options for the NGECC. The scope of work and budget will be presented to the Board for its consideration on the April 12, 2011 conference call.

On April 12, 2011, the Executive Board held the second of its newly established bi-weekly conference calls.

Decisions/actions taken on the call included:

- The proposed Scope of Work and Budget for the Funding and Structure Options Working Group was approved unanimously
- The Rolling Stock 101 educational webinar series will be discussed further before approval of the proposed work plan. A small working group comprised of FRA, Amtrak, and states representatives, will meet separately to clarify what the scope and purpose of the proposed webinar series is.
- DJ Stadtler reported that the process for modifying the grant agreement as approved by the Board on February 15, 2011, was proceeding and was anticipated to be turned around quickly.
- Bill Bronte agreed to develop an Equipment Procurement Process outline for distribution prior to the next Executive Board Conference call. The outline would be for the purpose of “getting the discussion going and planting the seed.”
- It was agreed that the Board would meet via webinar/conference call on August 2, 2011 at 11:30 am to consider the trainset specification document for approval. It was also agreed that the Board would appoint a Review Panel for the trainset specification on the next Board conference call.
- It was agreed that the next “in-person” meeting of the Executive Board would be held in Charlotte, NC on September 15, 2011 following the AASHTO SCORT meeting.

On May 10, 2011, held its regularly scheduled bi-weekly conference call

Decisions/actions resulting from the call included:

- Steve Hewitt was asked to arrange a states-only conference call to discuss filling the Board vacancy created by the resignation of Caitlin Hughes Rayman, on behalf of Maryland DOT.
- It was agreed that the notes from the conference call held between members of the Rolling Stock 101 (now Railroading 101) working group and the FRA will be provided to Steve Hewitt (from Rob Edgcumbe) for distribution to the Board Members. Rob Edgcumbe will also circulate (through Steve Hewitt) the proposed equipment module for this webinar series, once he has received feedback from working group members.
- Board Members and/or support staff wishing to volunteer to be a member of the procurement/equipment acquisition task force are asked to contact Stan Hunter, Caltrans, before June 21, 2011.

- Comments on the procurement issues document circulated prior to this call are also due to Stan Hunter prior to June 21, 2011.
- It was agreed that the Executive Board would plan to meet in Chicago, in conjunction with the Technical subcommittee – either June 21 (prior to the Technical subcommittee meeting) or June 23, 2011 (the day after the Technical subcommittee meeting). AASHTO and Steve Hewitt will work with the Holiday Inn Chicago Plaza mart to secure a room for a half day meeting of the Board on either June 21 or June 23, 2011. The primary purpose of the Board meeting is to focus on procurement/acquisition issues and process.
- The Executive Board appointed a Trainset Specification Review Panel. The members of the Review Panel are:
  - Bill Bronte, California DOT (Panel Chair)
  - Ron Adams, Wisconsin DOT
  - Allan Paul, North Carolina DOT
  - Scott Witt, Washington State DOT (Andrew Wood to provide support)
  - John Tunna, FRA
- It was agreed that Ken Uznanski, Amtrak, (Amtrak's NGEC Project Manager) will work with Amtrak and FRA Grants people to finalize the current grant agreement modification, in accordance with the scope and budget approved by the Executive Board on February 15, 2011. Further, it was agreed that this grant agreement modification would be completed separately from the \$2 million additional grant money that has (apparently) been appropriated in the FY 2011 Omnibus bill. Mark Yachmetz, FRA, to get clarification on the purported additional funding.
- There was a discussion of possibly developing specifications for DMUs. This item remains open, no decision was reached. A determination of demand is yet to be made, and a suggestion was made that the party or parties interested in asking that DMU specs be developed; prepare a requirements document first. Bill Bronte will "encourage those who have approached me to move in that direction."

On May 24, 2011, the Board held its regularly scheduled bi-weekly conference call

Decisions/actions resulting from the call included:

- Bill Bronte reported that the states had met via conference call on May 17, 2011, and agreed to invite Illinois DOT (IDOT) to become a member of the Executive Board to fill the vacancy created by Maryland DOT's resignation. Bill has reached out to Illinois DOT Rail Division head, George Weber. George has agreed to accept the invitation, contingent upon Illinois DOT upper management's approval. Bill Bronte has drafted a letter to send to Illinois DOT Secretary of Transportation, Gary Hanning, formally extending an invitation to IDOT to join the NGEC Executive Board. Until formal acceptance has occurred, George Weber will be considered as an ad hoc member of the Board.
- Ken Uznanski reported that he has completed the paper work necessary to modify the grant agreement in accordance with the Scope of Work and Budget (from April 1, 2011 through March 31, 2012) approved by the Board on February 15, 2011. The modification was to be submitted to the Amtrak grants people and CFO DJ Stadler "today". (March 24, 2011)
- DJ Stadler notified Board members that the additional \$2 million in funding that had been previously reported as having been appropriated to the NGEC in the FY 2011 Omnibus bill was a misinterpretation, and that there was no additional funding provided for the NGEC in FY 2011.
- It was agreed that DJ Stadler will take the lead in developing a list of questions to be answered in preparing to make a compelling story for moving forward beyond the current grant agreement modification (which utilizes the remaining 2010 funds). DJ will provide a draft (at least list of questions) to the Board on the June 7, 2011 conference call.

- It was agreed that the Board will hold a half day meeting in Chicago at the Holiday Inn Chicago Mart Plaza on June 23, 2011. AASHTO and Steve Hewitt will finalize logistics for the meeting and arrange a call –in line and easel and paper).
- It was agreed that Stan Hunter will provide an update on the procurement strategies to the Board on its June 7, 2011 conference call.
- It was agreed that Rob Edgcumbe, on behalf of the Railroad 101 webinar series working group, will continue to move forward and will provide a status update to the Board on June 7, 2011.
- It was agreed that Kevin Kesler, FRA, will continue to provide updates on the Document Control Management pilot and to provide AASHTO (through Steve Hewitt) with information/change forms, etc. to post the website.
- It was agreed that Rob Edgcumbe will report on the status of the FSWG on the June 7, 2011 Board conference call.
- It was agreed that Rob Edgcumbe will provide an update on the Standardization implementation efforts on the June 7, 2011 Executive Board conference call.

On June 7, 2011, the Board held its bi-weekly call.

Decisions/action items resulting from this call included:

- It was agreed that DJ Stadtler, Chairman of the Finance subcommittee and Treasurer of the S305 Executive Board would draft a letter and proposed template for a letter to be sent to the Senate and House Appropriations Committees, making the case for the need for additional funding to move the NGECC forward as it now enters the procurement phase for equipment acquisition.
- Chairman Bill Bronte was tasked to draft a letter to the editor of Trains magazine in response to an article in the July 2011 issue of Trains which called the NGECC lethargic. Bill's letter will highlight the many accomplishments the Committee has made in a very short time, and will correct factual misstatements found in the article.
- Illinois DOT has been invited to join the S305 NGECC as a member of the Executive Board; and is expected to accept. Bill Bronte will confirm with IDOT's Rail Division Director, George Weber.
- The Board began to finalize agenda items for the upcoming in-person meeting to be held in Chicago June 23, 2011. Agenda Items were to include updates on Standardization implementation; the Railroad 101 webinar series; the Document Control Management Pilot, and the progress of the Finance and Structure Working Group.
- Stan Hunter, Caltrans was asked to prepare a schedule, RFI, and an updated matrix for the focused procurement session scheduled as a part of the June 23, 2011 meeting.

On June 23, 2011, the Board held an in-person meeting in Chicago. The Board had a full business agenda as well as a separate agenda focusing on detailed discussions regarding procurement issues.

Decisions/Action items resulting from this meeting included:

- DJ Stadtler prepared a presentation outlining the need for additional funding for the NGECC moving forward, and describing the basis for the letter to go to the Appropriations Committees for funding requests for FY2012. The Board agreed with the premise of the letter, and agreed to provide DJ with high level goals and funding requirements from each of the two subcommittee chairs and the Administrative Task Force, for inclusion in the letter. These goals and funding requirements are due to DJ by June 30, 2011. The intent is to have a final letter approved for submission to the Appropriators by July 15, 2011. All members of the Board will be asked to sign the letter. (It was also noted that the letter will build on the letter written to Trains magazine)

- Illinois DOT was officially named as a state member of the S305 NGECE Executive Board, with George Weber named as the state's representative. George was present at the June 23, 2011 meeting.
- Chairman Bronte reported that the letter to the editor of Trains magazine, as agreed, has been sent to the magazine.
- The Technical Subcommittee Chairman, Mario Bergeron, reported that the Technical subcommittee (which met on June 22, 2011) had approved the Trainset Specification for submission to the Board and the Board's review panel. (details of that meeting can be found in the Technical subcommittee section of this report)
- The Board established a Joint Procurement Task Force (JPTF) comprised of representatives of states who have received HSIPR grant awards for equipment acquisition, namely; Illinois, Iowa, Missouri, Michigan, Washington State and California, as well as Amtrak and FRA. The PTF will develop an approach to joint procurements; a structure to advance the procurement grant agreement; and will help to develop a model that can be used by future procuring states. The PTF will hold an in-person meeting to begin discussions in early to mid-July, 2011 and will hold weekly conference calls. As a basis for beginning discussions, California will provide PTF and Executive Board Members with a "white paper" describing a "participating agreement". The PTF will be asked to provide a progress report to the Board at each of its meetings. It will be a standing agenda item.
- The Board asked that the Locomotive Technology Task Force of the Technical subcommittee develop a "white paper" on the issue of 110-125 mph.

On July 5, 2011, the Executive Board held its bi-weekly conference call.

Decisions/Action Items resulting from the call included:

- In regards to making a case to Congress for the need for additional funding to move the NGECE forward:
  - o DJ Stadler will draft the letter for Board member consideration
  - o The Administrative Task Force, Finance subcommittee and Technical subcommittee will submit (by July 6, 2011) draft goals and budget requirements for the period from April 1, 2012 through March 31, 2013. AASHTO will also submit its support services budget requirements for that same 12-month period.
  - o The intent is to have the letter approved by the Board by July 10, 2011 and taken "to the Hill" by no later than July 15, 2011. (Later in the month, due to the Appropriations committees deferring mark up action until September – the subcommittees and Board members revised the date for finalizing the letter – but acknowledged that it was still vital that the letter be completed and presented prior to mark up)
  - o The FRA informed the Board that it will not be a signatory on the letter
- The Joint Procurement Task Force (JPTF) formed on June 23, 2011, will begin holding regular (weekly to start) conference calls beginning on July 7, 2011 and will hold a day and a half face to face meeting in Chicago on July 19 and 20, 2011.
- California agreed to provide a description of a 'participating agreement' (white paper) to the Board and JPTF members.
- The FRA is working on the CEM position paper, agreed to on June 22 and 23, 2011, and will have it available for the August 2, 2011 Executive Board webinar/conference call meeting.
- Shayne Gill, AASHTO, will send out an email inviting states to participate in the upcoming webinar course on Equipment as part of the AASHTO Rail Resource Center Railroad 101 webinar series. Steve Hewitt will notify all NGECE states, Amtrak and FRA members. The anticipated timeframe for

the first webinar will be late August-early September, 2011. (Steve did send out the email notice to NGECE members on July 6, 2011 – to date approximately 7 individuals have responded)

- The Board will next meet in-person in Charlotte, NC on September 15, 2011. Steve Hewitt is working with AASHTO on logistics and will provide Board members with Hotel information by July 7, 2011. (This was done and a reminder was sent out on July 22, 2011)
- In deference to the JPTF meeting on July 19 and 20, 2011, the Board's regularly scheduled bi-weekly call of July 19, 2011 was cancelled – the next call will be the August 2, 2011 webinar meeting during which the Trainset specification will be considered for Board approval.

In August, 2011, the Executive Board held three meetings:

On August 2, 2011, the Board held a webinar meeting with the primary purpose being to vote for adoption of the PRIIA 305 Trainset specification. After a presentation given by Larry Salci, on behalf of the Trainset Review Panel, which summarized the panel's findings and recommendation for approval; the Board voted on adoption of the specification.

After a poll of the Board, with all members voting in favor, except the FRA, which abstained due to concerns over current CEM language, it was agreed that the PRIIA Trainset specification was adopted.

This is another landmark accomplishment. The Committee has now approved four PRIIA specifications – Bi-Level Cars; Single Level Standalone Cars; Diesel-Electric Locomotives; and Single Level Trainsets in approximately 18 months!

On August 16, 2011, the Board met via conference call. On this call, Bill Bronte announced that Board members, Rod Massman Missouri DOT and Scott Witt, Washington State DOT, had (or were) leaving state service, and the Board would need to ascertain whether or not their resignations were on behalf of their states and/or themselves as Board members.

Key decisions/action items of the call included:

- Rod Massman, attending his final Board call agreed to check with Missouri DOT officials to see if the state was going to remain an active 305 NGECE participant and member of the Board.
- Jeannie Beckett, a consultant to Washington State DOT reported that it was her understanding that the state intended to remain on the Board and would likely name John Sibold as its representative.
- The issue of CEM language remained open, as the FRA position paper was being revised to include a disclaimer statement which would make it clear that the PRIIA requirements documents and specifications in no way reflected an intent to modify FRA safety regulations.
- DJ Stadtler reported that the 305 Committee letter to appropriators to request additional funding in FY 2012 was being finalized and would be distributed to Board members shortly for their review and approval.
- Bill Bronte reported on the progress being made by the Joint Procurement Task Force. Bill Bronte reported that the cooperative agreement that California is preparing on behalf of California and the mid-west states is being reviewed internally. He expects to get these reviews completed shortly, and will get the document out to other members of the JPTF by next week.

The RFI that is to go to the industry should be ready to go by the end of the month. The RFI is using what APTA has done as a frame work. The intent is to get input from the industry as to whether or not it is biddable and buildable, as well as finding out what issues there are from an industry perspective.

Bill mentioned the Buy America provisions and Intellectual Property as two issues to cover, and said there are "many more." He also noted that the FRA has distributed a Buy America questionnaire to some industry members, and these questions would be part of the RFI.

- The question of a DMU specification was, once again discussed. A survey of interest had been sent to the states and to the industry. Since the states survey response due date was set at August 24, 2011; the Board agreed to keep this as an open agenda item to be considered on the August 30, 2011 conference call.
- Bill Bronte raised the possibility that it may be necessary for the Board to consider modifying its Diesel-Electric Locomotive Requirements Document and ultimately the specification document as well.

The issue is the feasibility of building a locomotive that meets Tier IV and operates at 125 mph. The real concern is “can it even be built?” Should we, instead, move forward with 110 mph and Tier III locomotives? He is concerned that with the 36 locomotives planned for procurement by California and the impending large order from the Class I Railroads; the 36 locomotives will get sent to the end of the line, and “be forced into Tier IV”. It is possible that the result will be that “the order of 36 will get lost”.

After much discussion, It was agreed that Mario Bergeron will ask Dave Warner to prepare a draft revision. Mario did not think it would take too long, and felt that “we should be able to act on the next call.” He will try to get the proposed change sent out next week.

On August 30, 2011, the Executive Board met via conference call.

Key decisions/action items resulting from this call included:

- It was agreed that the 305 appropriations’ request letter would be sent out by DJ Stadtler by August 31, 2011. The letter would contain 9 Executive Board Members signatures: (possibly 10 – awaiting Louisiana)
- The FRA expects to complete the CEM position paper and disclaimer statement over the next several weeks. The intent is to be sure it is resolved before the RFI for the Joint Procurement goes out.
- Mark Yachmetz reported that the end of the year budget discussions/decisions at FRA may include a “plus up” of funding for the S305 NGEC. Mark will know over the next few days and let the Committee know. If the additional funds are allocated to the NGEC, a grant agreement modification between FRA and Amtrak, reflecting the additional funds, would need to be completed.
- The FRA has proposed revisions to the Diesel-electric locomotive requirements document revisions prepared by the Technical subcommittee as requested by the Board on August 16, 2011. The Locomotive Task Force of the Technical subcommittee will review the FRA proposal and it will be an agenda item on the subcommittee’s call on September 8, 2011.
- The Executive Board achieved consensus on a motion to direct the Technical subcommittee to begin developing a 305 DMU specification. The subcommittee will begin with the development of a Requirements document. The Board anticipates reviewing and voting on the requirements in 6 weeks. (Its next call, following the September 15<sup>th</sup> in-person Board meeting)
- Missouri DOT has decided to remain on the NGEC Board and has named Eric Curtit as its representative. Eric will attend the September 15<sup>th</sup> meeting in Charlotte, NC.
- Washington State has also decided to remain on the NGEC Board and has named John Sibold as its representative. John will participate, via phone, at the September 15<sup>th</sup> Board meeting.
- In Charlotte, September 15, 2011, the Board will try to fill the vacancies of Chair of the Administrative Task Force and the officer position of Secretary – both vacant due to Rod Massman’s resignation.
- The FRA-Amtrak 305 NGEC Grant agreement modification covering the period from April 1, 2011 through March 31, 2012 has been signed by both parties.

On September 15, 2011, the Executive Board held a full day in-person meeting in Charlotte, North Carolina.

Key decisions/action items established during this meeting were:

- The FRA continues to finalize its position paper on CEM. The paper will include a proposed disclaimer statement. The intent is to have the paper done before the RFI goes out. This will remain an open agenda item until it has been resolved.
- The FRA reported that it continues to finalize year end funding, and will inform the Board within ten days as to whether or not the NGECC will receive additional funding from the FRA to continue its work through 3-31-2013. If "plus" money is provided, the Board will need to move quickly to revise work plans and a budget for the period covering 4-1-2012 through 3-31-2013.
- Alan Ware, Georgia DOT, was named as Executive Board Secretary and Chairman of the Administrative Task Force. Alan fills the vacancies created by the departure of Rod Massman from Missouri State service. Alan resumes his new duties immediately.
- The Joint Procurement Task Force (JPTF) continues to make progress – and will remain as an open agenda item for future calls/meetings of the Board so as to provide regular updates on progress being made.
- Mario Bergeron will provide a Statement of Work (SOW) for Rob Edgcumbe's services to DJ Stadler by COB September 9, 2011. DJ will arrange for Rob to meet with Amtrak Lawyers for an "ethics debrief" and will then proceed with taking the approved steps to procure Rob's services for the 305 Committee.
- A Review panel was appointed by the Board to review the Bi-level Change Summary Revision A to ensure consistency with the Bi-Level Requirements document. Members named to the Review Panel were: Bill Bronte, Caltrans, Ron Adams, Wisconsin DOT, Eric Curtit, Missouri DOT, Tammy Nicholson, Iowa DOT, and John Tunna, FRA.
- Larry Salci, consultant, has been asked to begin work on reviewing the Bi-Level Car change summary – Revision A provided by the Document Control Board. Larry will prepare a report with recommendations to the Review Panel. The Review Panel will make its recommendations to Board members for their consideration on the September 27, 2011 Board conference call.
- On September 27, 2011, it is anticipated that the Technical subcommittee will provide a draft Requirements document for DMUs to the Board for its consideration.
- The Dual Mode Locomotive Requirements Document remains as an open agenda item to be taken up by the Board once the CEM issue is resolved.
- Chairman Bronte will formally request of Chad Edison, FRA and Dale Engelhardt, Amtrak a set of questions for the RFI.
- The ADA Working Group (ADA WG) continues its work and will survey wheel chair providers to determine real time needs. The ADA WG will also look at comparing regulatory requirements once its report is complete, and work with FRA on how to best move forward.
- The ADA WG will also provide a list of questions for the RFI
- The Board will, at some point in the future, begin to look at developing a process to efficiently monitor and track contracts. It may well be an assignment for the Administrative task force.
- Kevin Kesler will work with Steve Hewitt to distribute or present a briefing on the results of the FRA's survey of industry members in regards to Buy America. Questions will also be forthcoming for the RFI concerning Buy America.
- The Standardization working group (SWG) will look at options to possibly engage the services of an outside consultant to assist in moving this effort forward without bias.
- The Board will take up the issue of the Technical subcommittee's role in design/design review as the Bi-level and Locomotive procurement processes move forward. This will be an agenda item for September 27, 2011.

- In regards to the issue of changing the Diesel-electric Locomotive requirements document to call for a top speed of 110 mph rather than 125 mph as is currently required, the Board, via roll call vote, achieved consensus (unanimous) on a motion that stated:

*The Section 305 Next Generation Equipment Committee (NGEC) will utilize the RFI process to assess the capability of the industry to deliver locomotives in full compliance with spec #\_\_\_ and with sustained operating speeds up to 125 mph."*

The Executive Board met again, via conference call on September 27, 2011. Some of the action items from the meeting of September 15, 2011 were carried over and will be addressed on the next call – October 11, 2011.

Key decisions/action items that were addressed during this meeting were:

- The Executive Board accepted the recommendations of the Review Panel to accept the Bi-Level Changes presented in Revision A. After a roll call vote of the Board was taken, consensus was determined to have been easily achieved with all members present voting in favor.
- The Executive Board approved a proposed by-law change presented by the Administrative Task Force. The change was to number 5.2 which states:

#### 5.2 State Representation on Executive Board

The States shall determine their representation on the Executive Board based on such factors as geographic diversity, technical expertise, procurement and operational experience, including experience with different types of equipment. States will endeavor to obtain a balance of representation on the Executive Board. Each representative [will] may have an alternate person designated to participate in and vote in meetings in the absence of the designated representative.

It is recommended that state representatives be familiar with the day to day and longer term financial challenges of developing and/or operating a corridor route.

The Board unanimously approved the change denoted in bold – changing the word will to may.

- Kevin Kesler will provide Steve Hewitt with the Buy America Survey results presentation for distribution to the Board and Technical subcommittee members, following the call today.
- The FRA position paper on CEM has been finalized and will be distributed once all required signatures have been collected.
- The FRA has provided an additional \$2 million in funding for the NGEC to continue its work. A grant agreement for the additional funding has been signed by DJ Stadtler, Amtrak and sent back to FRA, where it has been or is about to be signed by Administrator Szabo.
- The Board has asked the chairs of the Technical and Finance subcommittees and the chair of the Administrative task force to begin developing their revised work plans for consideration at the Board's October 25, 2011 conference call.
- The Board has also asked that the subcommittees and task force prepare a work plan and budget for any potential consultant needs they may have. These work plans are to be considered by the Board on its October 11, 2011 conference call.
- Consultant Larry Salci and the SWG have been asked to draft a proposed SOW and cost "guesstimate" for bringing in an independent assessor to advance the standardization effort. The draft SOW and budget will be considered by the Board on October 11, 2011.
- The 305 DMU Requirements document is undergoing a revision by the Technical subcommittee based on feedback received on the initial draft presented on September 22, 2011 to the subcommittee. The intent is to consider the revised version for approval on the October 6, 2011 Technical subcommittee call and, if approved, present it to the Board for its consideration on October 11, 2011.



- DJ Stadtler will present the SOW for Rob Edgcumbe, based on Mario Bergeron's submittal, to the Finance subcommittee and ultimately to the Technical subcommittee and the Board for its approval. It is intended that the contract be completed and Rob Edgcumbe be brought on board by the next Board call. (October 11, 2011) Rob's SOW primarily calls for completion of the various tasks he was working on previously.

During the month of October 25, 2011, the Executive Board met twice, via conference call, October 11 and 25, 2011. Some of the key decisions and action items resulting from the two meetings included:

- On October 11, 2011, the Board adopted the S305 DMU requirements document, as approved by the Technical subcommittee on October 6, 2011. After adopting the requirements document, the Board directed the Technical subcommittee to begin developing the S305 DMU specification based on the approved requirements.
- FRA's Buy America Industry Survey has been completed. Kevin Kesler provided a power point summary presentation for distribution to the Executive Board and the Technical subcommittee; and followed up by briefing both bodies on the survey results during their meetings in October. Mr. Kesler has also provided a composite report on the survey to Board and subcommittee members.
- On October 25, 2011, the Board adopted the Document Management Process Procedures as approved by the Technical subcommittee. This effectively marked the end of the Pilot Program and is another milestone accomplishment achieved by the NGEC. The procedures have been distributed to Board members and subcommittee members and posted to the website.
- The Joint Procurement Task Force has continued to make progress in moving forward with the first joint procurement. The RFI (Request for Information) for the Bi-Level cars was released on October 18, 2011. The close date for this RFI is November 4, 2011. An RFI for Diesel-Electric Locomotives is anticipated to follow shortly.
- At the request of the Executive Board, Kevin Kesler, (FRA) Jeff Gordon, (VOLPE), and Dave Warner, (Amtrak) developed a preliminary report on Change Management during the Procurement period. The preliminary report was presented to the Board on October 25, 2011. After some discussion, it was agreed that revisions would be made to the report based on comments from Board members (Final Board comments due on November 15, 2011). Jeff Gordon will draft the revised report and present it to the Executive Board during its November 22, 2011 conference call.
- The ADA WG has completed its survey and expects to provide a compilation of the results along with a consensus recommendation – first to the Technical subcommittee and then, if approved, on to the Executive Board. The working group will present a schedule with milestones to the Technical subcommittee on November 3, 2011.
- The Executive Board agreed that the standardization pilot is in need of an outside assessment, and has approved a Statement of Work and cost estimate (approximately \$15,000) for doing the assessment. It is anticipated that Larry Salci will be the consultant tasked with doing the assessment. The costs will be included as a part of the Technical subcommittee's work plan and budget. On the October 25, 2011 Board call, FRA expressed an urgency to begin the assessment as soon as possible. DJ Stadtler noted that he had a placeholder in his budget for \$15,000 for the activity. It is unclear as to whether or not that is in the current year's budget or the proposed plan for 4-1-12 thru 3-31-13. This will need clarification before implementation.
- With a new grant agreement for an additional \$2 million for the NGEC executed by FRA and Amtrak, to enable the NGEC to continue its work through 2012 and into 2013; the Board asked Chairs of the subcommittees, and the Administrative task force, and AASHTO (for support services) to develop scopes of work and budget estimates for the period beginning April 1, 2012 through March 31, 2013. The Board has also asked for revised/modified plans and budget estimates for work set to begin during the current year (through 3-31-2012).
- The Executive Board agreed, on October 25, 2011, to dedicate its next regularly scheduled bi-weekly conference call (November 8, 2011) to resolving budget and work plan issues for both the 4-1-12 through 3-31-13 and the current plan and budget through 3-31-12.

- The FRA reported on October 25, 2011, that its position paper and proposed disclaimer statement has been approved internally, and once it is signed by Mark Yachmetz, it will be distributed to all Board members for consideration.
- Upon learning of Mark Yachmetz' pending retirement at the end of 2011, the Board expressed its thanks to Mark for his years of excellent service to the Rail industry and, specifically, for his work with the NGEC. Mark will be missed.
- The Board has set the date for the second Annual Meeting of the S305 NGEC. It will take place on February 23, 2012 at the Hyatt Regency, Capitol Hill, Washington, DC. Steve Hewitt has provided all Board members and support staff with room reservation instructions and block rates; and has also provided the industry members with information on special room rates arranged for them by AASHTO staff.

During the month of November, 2011, the Executive Board held two conference calls – November 8, 2011 and November 22, 2011. Some of the key decisions and action items coming out of these calls included:

- The Board expects to receive a budget and work plan presentation from Ken Uznanski, Amtrak, during its December 6, 2011 conference call. The Chairs of the subcommittees, the Administrative task force, and AASHTO are to submit their budgets and work plans to Ken by December 2, 2011
- The FRA CEM issue has been resolved. The Board agreed to include the FRA's proposed disclaimer statement in all future 305 specifications and to use the document change process to include the disclaimer in all previous 305 specifications. FRA will no longer need to abstain from voting for approval of specifications due to concerns about CEM.
- The Board has agreed to move ahead with an outside assessment of the Standardization pilot, and has asked AASHTO to execute a contract (on behalf of the NGEC) with Larry Salci to provide the outside assessment. The budget for this effort was estimated at \$15,000.
- The Board has charged the Administrative task force with developing guidelines for contracting with consultants including establishing a process for monitoring and receiving deliverables.
- The Structure and Finance Working Group (SFWG) is proposed to be elevated to a Structure and Finance Task Force (SFTF) reporting directly to the Board and having a Board member as its Chair. The Board has asked the Administrative task force, working with FRA, to develop a work plan for the SFTF. The proposed scope will be much broader than the original SFWG work plan and will include Section 6 (grant agreement) plans and finance programs such as RRIF.
- A small group comprised of FRA, Amtrak, and states representatives are charged with developing recommendations for change management during procurement. They have provided a preliminary report, and, after receiving additional input, revised the report. It is now being reviewed by Caltrans legal and procurement offices before being presented to the Board.
- The Board has re-formed the Bi-Level Car Review Panel and charged it with reviewing Revision B against the original requirements document and providing a report with recommendations for the Board to consider adopting Revision B on December 6, 2011.
- With the CEM issue resolved, the Board will now consider the Dual Mode Locomotive Requirements Document for adoption on December 6, 2011. It had been previously approved by the Technical subcommittee, but set aside by the Board (at the request of the Technical subcommittee) until a solution for handling CEM had been determined.
- The ADA WG continues to develop recommendations to be presented to the Executive Board when finalized.
- The Board agreed to re-activate the Joint Procurement Task Force (JPTF) and to reorganize it and broaden its membership to include interested states not involved in the initial procurement. The JPTF met on November 18, 2011, named George Weber, IDOT as its Vice Chair (Bill Bronte, Caltrans is the Chairman), and agreed to begin meeting bi-weekly. Interested participants will be

required to sign a confidentiality agreement to protect against potential conflicts of interest as the procurements move forward.

During the month of December 2011 the Executive Board met twice, via conference call, (December 6 and 20, 2011). Some of the key decisions and action items coming out of the December meetings included the following:

- The Executive Board approved the procedures for contracting with consultants as presented by the Administrative task force.
- FRA Counsel has approved the Talgo and Progress Rail response letters with minor edits.
- As requested by the Executive Board, AASHTO is in the process of finalizing a contract, on behalf of the NGECC, with Larry Salci for the purposes of conducting an outside assessment of the Standardization Pilot Program. The contract is expected to be executed prior to the next Board call of January 3, 2012.
- Bi-Level car Revision B was adopted by the Executive Board on December 20, 2011 after the Review Panel had provided a revised report with recommendations.
- On December 6, 2011, the Executive Board adopted the Dual Mode Locomotive Requirements Document. After completing the development of the PRIIA S305 DMU specification, (May or June of 2012) the Technical subcommittee will begin work on developing the PRIIA S305 Dual Mode Locomotive specification.
- Budget items for 2012-2013 and the 2011-12 grant agreement modifications were an agenda item for December 6 and 20<sup>th</sup>. They are still being finalized and will be an agenda item for the January 3, 2012 Board call. The intent is to have the budget and work plans fully developed for approval at the February 23, 2012 NGECC Annual meeting.
- On January 3, 2012, the Administrative task force will present a disclaimer statement it has developed at the request of the Locomotive Technology Task Force (LTTF), to the Board for its consideration. The disclaimer is to be used in reports and/or documents that are prepared in the various task forces or subcommittees as "opinion" pieces, and not voted on as official/approved subcommittee or Executive Board documents.
- The ADA Working Group has changed its name to the Accessibility working group at the suggestion of the Access Board. The group continues to review its recommendation document and will present it to the Technical subcommittee and subsequently to the Board upon completion.
- The Board will keep to its current schedule of bi-weekly conference calls throughout 2012. Steve Hewitt will provide members with the dates of the bi-weekly meetings in early January. The next Board call/meeting will be January 3, 2012.
- The revised preliminary report on change management during procurement is still being reviewed by Caltrans legal and procurement offices. Bill Bronte to check with Stan Hunter on the status and report back to the Board on January 3, 2012.
- Board members and support staff are asked to notify Steve Hewitt of their intentions of attending the NGECC Annual Meeting. Board members and staff are also reminded to reserve a room at the conference hotel by January 9, 2012 in order to receive the block rate. The second Annual Meeting of the S305 NGECC will be held in Washington DC on February 23, 2012. Key items to be addressed include approval of the 2012-2013 work plan and budget and the election of executive Board officers. Members of the states not on the NGECC Executive Board and Industry participants have been invited to attend and participate in the Annual Meeting.
- On December 20, 2011, the Board agreed to table for future consideration, the proposed resolution of the administrative task force to elevate the Structure and Finance Working Group to a task force reporting directly to the Board. The Board, in tabling action, was requesting more time for members to review the proposal. It is anticipated that the Board will act on the proposal during its January 3, 2012 conference call.

During the month of January 2012, the Executive Board met twice, via conference call. Some of the key decisions/action items resulting from those calls include:

- Eric Curtit, Missouri DOT, was appointed Chair of the recently (January 3, 2012) created Finance and Structure Task Force. He will now set forth a plan to organize the task force and set a call schedule. The Structure and Finance Working Group (SFWG) has been replaced by the Structure and Finance Task Force (SFTF). The SFTF will report directly to the Executive Board.
- A modified Bi-Level car specification Revision B with the change (removing the revised Chapter 12 and re-inserting the Rev A Chapter 12 due to proprietary concerns) as recommended by consultant Larry Salci and unanimously approved by the Review Panel, was adopted by the Executive Board on January 24, 2012. Revision B in its final form has been posted to the website in two forms –as a complete document and in individual chapters for easy accessibility by those interested in downloading only certain chapters. All PRIIA specifications will ultimately be available in this two-form fashion.
- Budget items for 2012-2013 and the 2011-12 grant agreement modifications will continue to be an agenda item until resolved. All chairs are to provide Ken Uznanski with further information describing proposed consultant work plans and cost estimates with deliverables included. Ken will provide Bill Bronte and Steve Hewitt with the material he needs to complete the budget. Steve and Bill will "nudge" the chairs. The intent is to have a budget complete and finalized in advance of the February 23, 2012 NGEC Annual Meeting.
- Subcommittee and task force chairs are to provide Ken Uznanski with estimates of expenses anticipated for the remainder of this budget period to help Ken and DJ Stadtler in preparing a financial report for the February 23, 2012 NGEC Annual meeting.
- It was generally agreed that quarterly budget reports tracking expenses will be provided to the Board in 2012.
- The Administrative task force will develop a recommended framework to address industry letters, requests to meet with the Executive Board, etc. Kevin Kesler will provide Alan Ware (and Steve Hewitt) with proposed language for addressing industry approaches to individual states. The Administrative task force expects to provide a proposal to the Board at the February 23, 2012 Annual Meeting
- At the January 24, 2012 conference call, the Executive Board was addressed by members of the Access Board and the USDOT Secretary's Office to provide their perspective on the draft recommendations for Accessibility guidelines developed by the Accessibility Working Group of the Technical subcommittee. The Access Board and Secretary of Transportation believe that the recommendations, as drafted, do not go far enough and do not look to current and future needs. As a result of the perspective provided and a long discussion by the Board, the following motion was approved unanimously:  
  
"The Executive Board asks the Technical subcommittee and the Accessibility Working Group to re-examine lift capacity and dimensions as well as dimensions for access to the car and to provide recommendations to the Executive Board for no action or changes for the bi-level specification. The Technical subcommittee will report back to the Executive Board for action on its (the Executive Board's) February 7, 2012 conference call".
- The FRA will define the accessibility questions to be addressed and share them with the Executive Board. The FRA will capture the questions to be answered.
- It was agreed that the current NGEC Executive Board Officers will be the slate of officers presented for nomination to new two year terms at the February 23, 2012 Annual Meeting.
- Steve Hewitt will send out the preliminary DRAFT agenda for the February 23<sup>rd</sup> NGEC Annual Meeting to all Board members and Industry participants. The agenda will be revised as necessary on the February 7<sup>th</sup> Board call.

During the month of February, 2012, the Executive Board held two conference call meetings (February 7 and 14, 2012) and convened the 2nd Annual S305 NGEC Annual Meeting on February 23, 2012, in Washington DC at the Hyatt Regency on Capitol Hill.

Some of the key decisions/action items resulting from those calls and the Annual Meeting include:

- The full NGEC Committee re-elected all current state representatives on the Executive Board to new 2 year terms. (The FRA appoints its member to the Board –Paul Nissenbaum, and Amtrak automatically has two members on the Board – its CMO and its CFO)
- The Executive Board re-elected its current slate of officers to new two year terms (see list of officers noted earlier in this document)
- The Executive Board has received the Standardization Report from consultant Larry Salci on February 21, 2012 and a summary presentation was given by Mr. Salci at the Annual Meeting. (presentation is available on the website) Mr. Salci will provide a revised version of his report – based on feedback received- in advance of the March 6, 2012 Executive Board conference call. The Board will discuss the revised report and provide additional feedback on the March 6<sup>th</sup> call.
- By March 6, 2012, The Administrative task force will have a draft proposal for handling external requests for meetings with the Executive Board and for handling responses to letters.
- The Budget and work plan for the period beginning April 1, 2012 through March 31, 2013 will be a primary agenda topic on the March 6, 2012 conference call
- The revised requirements document for the bi-level car was adopted as submitted, and will be returned to the Technical subcommittee. The subcommittee will address the changes, as identified, through the DCR process and include them in Revision C.
- The Accessibility Working Group will continue to work on recommendations for other accessibility guidelines including dual mode communications
- The Structure and Finance Task Force (SFTF) will move forward with developing a SOW for outside consultant services for developing a work plan to be presented to the Board by September, 2012.
- The Administrative Task force will develop a proposal for contracting with AASHTO to produce the Railroad 101 webinar series. The proposal will follow NGEC sole source contract procedures, where appropriate
- The Executive Board will hold a face to face meeting of the Board on September 20, 2012 in Portland, Maine in conjunction with the S4PRC and SCORT meetings held earlier in the week.

During the month of March, 2012, the Executive Board met twice – March 6<sup>th</sup> and March 20<sup>th</sup>. Some of the key decisions and action items resulting from those calls included:

- The NGEC Scope and Budget for the period from April 1, 2012 through March 31, 2013 was adopted by the Executive Board, subject to grant approval. The document will be posted on the AASHTO website. Ken Uznanski, Amtrak's NGEC Project Manager, will work with FRA and Amtrak grants people to get final grant approval, and a methodology for transferring funds from the Executive Board contingency budget to subcommittee and/or task force budgets for specific items for which a scope has been approved.
- The SFTF SOW for Section 6 and deployment was approved by the Executive Board and AASHTO was approved as the contracting agent for carrying out this competitive bid contract.
- On March 16, 2012, the Administrative task force approved "Procedures for Handling External Contacts with the Executive Board. The Board received the approved proposal on March 16, 2012. On the March 20, 2012 call, it was decided to table a vote on the proposal until the next Board conference call (April 3, 2012) to give members more time for review.

- On the March 20, 2012 call, the Executive Board formally accepted/approved the Standardization Assessment Report as submitted by Larry Salci. The report has been distributed to all Board Members, Technical subcommittee members and industry participants and has been posted to the website.
- On March 20, 2012, the Executive Board approved a motion to move the memo - "Standardization Language for the NGECE Bi-level Request for Proposals (RFP)" forward to the JPTF core team to use as guidance in developing proposal instructions and evaluation criteria to achieve standardization.
- The Change Management during Procurement report and recommendations was adopted by the Executive Board March 6, 2012 and has been distributed and posted to the website.
- Bi-level car Revision C is progressing – the Review Panel and the Technical subcommittee have the Rev C summary sheet and are reviewing it in parallel. The Technical subcommittee approved Rev C on March 29, 2012; the Review Panel approved Larry Salci's Rev C report and recommendations on March 28, 2012 and the Executive Board expects to approve Rev C on April 3, 2012.

During the month of April, 2012, the Executive Board met twice – April 3rd and April 17th. Some of the key decisions and action items resulting from those calls included:

- On its April 3, 2012 conference call, the Executive Board adopted Bi-Level Car Revision C. It was finalized and posted to the AASHTO website within a day of this action. The Board action cleared the way for the release of the multi-state RFP for the Bi-level car.
- The first multi-state RFP to manufacture approximately 130 new bi-level passenger cars was released on April 20, 2012. This was truly a major milestone for the NGECE and for those states involved in this first ever multi-state effort to jointly procure standardized rail equipment to be used on Amtrak's intercity routes in California, Illinois, Michigan, Indiana, Missouri, and, potentially Iowa.
- Ken Uznanski, Amtrak, is continuing to work with Amtrak and FRA grants people to get the required grant agreement amendment completed in order to spend the funds as approved by the Executive Board (March 20, 2012) in the 2012-13 scope and budget. Ken is also working to resolve the methodology required to transfer money from the Executive Board budget to subcommittee or task force budgets as described. Ken will keep the Board posted on the progress being made. Chad Edison, FRA, has agreed to check with Dharm Guruswamy on the status of the grant amendment and report back to the Board.
- The "Procedures for Handling External Contacts with the Executive Board" was approved on April 3, 2012, by the Board. Steve Hewitt has transmitted the final document to AASHTO and it has been posted. Steve Hewitt will be the point of contact for all external contacts and requests.
- On April 17, 2012, the Executive Board adopted DCRs 100-101 and 100-102 by consensus. (Unanimously) These DCRs were procedural in nature formalizing what the Board had previously approved through the DCR process.
- Recruiting new members, and filling the vacancy left by Pat Simmons' retirement are seen as essential to grow the 305 NGECE states participation. After the April 17, 2012 call, Steve Hewitt corresponded with North Carolina's Deputy Secretary for Transit, Paul F Morris. Paul agreed to be North Carolina's representative on the Board at least until he has brought in a replacement for Pat Simmons to lead the North Carolina Rail Division. Recognizing that NGECE state membership beyond those states on the Board (11) is important, further efforts to add new members are underway. John Sibold, Washington State DOT, will reach out to Oregon to get a sense of their interest in participating in the work of the NGECE. Tim Hoeffner of Michigan DOT has been involved in the NGECE efforts, and has recently agreed to be co vice chair of the Structure and Finance Task Force (SFTF)
- It was agreed that a report from the SFTF will be a standing agenda item for future Executive Board calls.

During the month of May, 2012, the Executive Board met twice – May 15 and May 29. Some of the key decisions and action items resulting from those calls included:

- The FRA continues to finalize the amendment to the grant agreement which, as reported by Ken Uznanski, will run through March 31, 2014. Chad Edison, FRA, reported that the amendment is expected to be submitted to Amtrak for execution within two days (around May 31, 2012). Leo Penne, AASHTO, emphasized the importance of executing the amended grant agreement as soon as possible. Not having an agreement in place prevents new expenditures against the 2012 -13 budget. Paul Nissenbaun, FRA, agreed there is a need to act quickly and noted that he believed it would be sent over to Amtrak in the next few days, and, once at Amtrak, executing it should happen very quickly. NGECC Chairman Bill Bronte also stressed the importance of getting this resolved asap.
- It is anticipated that the SFTF will take action on the selection of a contractor for the Section 6/deployment procurement on either June 4 or June 18, 2012. The selection committee is in the process of finalizing/selecting the proposal they have identified as the preferred submittal. Once finalized, it will be presented to the SFTF full membership for its consideration. If approved by the SFTF, it will be put forward to the Board for its consideration and if approved/accepted a contract will be executed through AASHTO as the contracting agent.
- Bill Bronte continues to keep the Board "generally" apprised of the progress of the bi-level railcar procurement and of the progress of the locomotive procurement. Caltrans has agreed to take the lead for the locomotive procurement and is, internally, beginning to look at what needs to be done. A video conference to be facilitated by FRA will take place soon and will include FRA and the procuring states. The intent is to get an RFI released in early July, 2012.
- All members are to make an effort to identify potential new state members for the NGECC subcommittees and task forces. Names of potential "recruits" are to be sent to Bill Bronte (cc to Steve Hewitt)
- On May 29, 2012, the Administrative task force recommended the Board's approval of the proposed Statement of Work (SOW) for Review Panel Efforts for the DMU specification and the Locomotive Revision A. The Board voted and unanimously approved the SOW, as presented. AASHTO will again act as the contracting agent, and execute a sole source contract with Larry Salci, consultant, to perform the services described in the approved SOW.

During the month of June, 2012, the Executive Board met twice – June 12 and June 16. Some of the key decisions and action items from the month of June included:

- On June 26, 2012, the Executive Board charged the JPTF with developing, issuing, and managing the Locomotive RFI as an NGECC RFI. A draft RFI is out for review by JPTF members now – comments were due to Steve Hewitt by June 29, 2012. Once finalized and ready for release, a broad distribution will be made to industry members by Steve Hewitt and the RFI will also be posted to the website.
- On June 26, 2012, the Board approved a motion to ask Amtrak to transfer to AASHTO the funds needed to execute the contract for Larry Salci, consultant to conduct the review panel efforts for both Locomotive Revision A and the DMU specification. AASHTO had previously been asked to act as the contracting agent.
- The Executive Board re-established, on June 12, 2012, the Locomotive Review Panel and charged it with reviewing Locomotive Revision. The Review panel is comprised of the following members: Bill Bronte, Caltrans; Ron Adams, Wisconsin DOT; Eric Curtit, Missouri DOT; Tammy Nicholson, Iowa DOT; Jason Biggs, Washington State DOT; Ray Hessinger, NYSDOT; John Tunna, FRA and Larry Salci as the consultant. The Review Panel, will complete its report and provide its recommendations on Revision A on the July 10, 2012 Executive Board conference call.
- On June 14, 2012, the Technical subcommittee approved the PRIIA DMU specification and sent it to the Executive Board Chairman, Bill Bronte. In turn, Bill has sent it to the DMU Review Panel. This panel is comprised of the following members: Bill Bronte, Caltrans; Eric Curtit, Missouri DOT; Tammy Nicholson, Iowa DOT; Ron Adams, Wisconsin DOT; John Tunna, FRA and Larry Salci serves as the consultant to the panel. On the July 10, 2012, Executive Board call, Larry will inform the Board of the anticipated schedule for completing the review of the DMU specification against the DMU Requirements document.

- On June 26, 2012, the Executive Board approved the Accessibility Related DCR Procedures.
- On June 26, 2012, the Board stressed the importance of getting the amended grant agreement executed in order for the Committee to advance its work plan for 2012-13 and to provide AASHTO with a Notice To Proceed (effective April 1, 2012) with the many support services activities it has been engaged to provide to the NGEC. On June 27, 2012, DJ Stadler, Amtrak informed the Board that Amtrak had signed the grant agreement and sent it to FRA for final signature and execution. On June 29, 2012, Kevin Kesler, FRA, informed the Board that FRA had signed the grant agreement and it was now a fully executed grant agreement. On that same day, Amtrak procurements sent the fully executed agreement to AASHTO as a Notice to Proceed.
- On June 12, 2012, Jeff Gordon, FRA reported to the Executive Board that he facilitated a conference call among the public affairs offices of the FRA, AASHTO and Amtrak to brief them on the NGEC activities and ask that they develop a strategy for developing joint press releases and announcements of key NGEC activities as appropriate. Jeff will coordinate subsequent calls on a monthly basis and report to the Executive Board with a summary.
- On June 26, 2012, DJ Stadler, announced that due to his new responsibilities as Amtrak's COO, he was stepping down as an NGEC Executive Board member; Chair of the Finance subcommittee, and Treasurer of the NGEC. The Board appointed Gordon Hutchinson, Amtrak's CFO, to take DJ's place as Board member, Treasurer and Chair of the Finance subcommittee.
- On June 30, 2012, Board member, George Weber, Illinois DOT, retired from state service. Bill Bronte will reach out to Illinois to determine the state's interest in remaining on the Board and, if so, naming a replacement for George.
- On June 29, 2012, Board member Joe Kyle, Oklahoma DOT, retired from state service. His position on the Board will also need to be filled. Again, Bill Bronte will reach out to Oklahoma DOT to ascertain their interest in remaining on the Board and naming a replacement for Joe.

The Board wishes to express its sincere appreciation for all that Joe, George and DJ have done to help advance the work of the NGEC since its inception in January, 2010. All three will be greatly missed.

During the month of July, 2012, the Executive Board held one conference call meeting – July 10, 2012. Some of the key decisions and action items from the month of July included:

- The Bi-level rail car procurement continues to progress. Bill Bronte provided an overview summary on July 10, 2012 to the Executive Board: In May, 2012 7 OEMs submitted Notices of Intent to Bid; June 20, 2012 draft proposals were submitted by 6 of the 7. The proposals are currently under review and beginning next week (week of July 16, 2012) Caltrans and IDOT will meet with the submitters "2 a day" to "identify technical issues and concerns that may preclude them from submitting a bid." He emphasized that these "will be strictly technical discussions." Bill finished his summary report by noting that the schedule calls for final proposals to be submitted by August 17, 2012; cost proposals by September 7, 2012, and award by September 10, 2012.
- Jeff Gordon, FRA, continues to coordinate monthly conference calls among AASHTO. Amtrak and FRA public affairs and, through AASHTO, keep the state public affairs offices involved and inform the Board if any action in regards to the Locomotive RFI will take place.
- The DMU Review effort began (June 28, 2012) following the completion of the Revision A report. In late July, due to very serious family medical issues and a death in the family, consultant Larry Salci asked for the schedule to be pushed back a week or two. Steve Hewitt will work with Bill Bronte to schedule a DMU Review Panel call for some time during the week of August 13, 2012 with Executive Board consideration on August 21, 2012.
- During the week of July 17, 2012, Gordon Hutchinson, Amtrak, submitted a request to FRA, for shifting funds to the AASHTO Support Services Budget and urged that it be expedited. (The funds to be shifted are described in the minutes). In late July, 2012, Darrell Smith, Amtrak Finance, was named as the Amtrak Project manager for the NGEC and will provide the Committee with financial



support. Darrell is in the process of finalizing and formalizing all aspects of the support services contract between AASHTO and Amtrak including the shift of funds for the two pending consultant contracts. (PB-Section 6/deployment and Larry Salci – Review of the Locomotive Rev A and the DMU spec)

- On July 10, 2012, the Executive board adopted the Diesel Electric Locomotive Revision A. The Revision A report and summary sheet has been finalized, as approved, and posted to the website (superseding the initial Locomotive spec).
- Eric Curtit and Chad Edison held a “kick off” meeting with PB in DC on July 17, 2012.
- Al Ware and Steve Hewitt will draft a states recruiting letter for Bill Bronte’s review, and will contact AASHTO for contact names as well as ask them to put this as an agenda item for SCORT. The S4PRC will also receive a letter to distribute to their membership.
- The ATF RR 101 Review team has finalized a draft work plan for RR101 and it has been distributed to all ATF members for consideration on August 3, 2012. If approved, it will be sent to the Board for its consideration.
- The Executive Board approved the release of an NGECE Diesel-electric Locomotive Request for Information (RFI) through the Joint Procurement Task Force (JPTF). The RFI was released on July 6, 2012, and notice posted to the website on July 9, 2012. Responses were due to Steve Hewitt by close of business on July 20, 2012. Steve compiled the responses, ensuring unanimity, and sent them to the JPTF RFI review team on July 24, 2012. The Review team will meet in Chicago in early August to complete its review.
- On July 10, 2012, following the retirement of its Board member Joe Kyle, Oklahoma DOT appointed Jason Biggs as its representative on the NGECE Executive Board.

During the month of August, 2012, the Executive Board held one conference call meeting – August 21, 2012. Some of the key decisions and action items from the month of August included:

- On August 21, 2012, the Board received an oral report from the Joint Procurement Task Force (JPTF) on the findings of the Diesel-electric Locomotive RFI Review Team. The JPTF, based on the industry responses to the RFI, recommended no changes to the specification or requirements document were needed; and that the RFI responses validated the NGECE Diesel-electric locomotive specification. Subsequently, the Executive Board came to consensus (with no objections) to accept the recommendations of the JPTF.

Mario Bergeron, Amtrak, however, did note the following:

“Amtrak continues to support the PRIIA diesel-locomotive specification (#305-005, Revision A) and the recommendation from the JPTF to proceed with issuing the RFP which includes a Locomotive capable of 125 mph based on the industry comments received as part of the RFI.

Amtrak understands that the intent of the procurement and RFP process is to develop next generation diesel locomotives. This process will include an option for long distance locomotives derived from the PRIIA Diesel-Locomotive specification. We believe this approach will support the S305 mandate by meeting alternate service needs, and providing a platform that includes R&D and engineering design flexibility meeting Amtrak’s operational needs, including EPA, Tier 4, greater HEP and greater fuel tank capacity.”

- In regards to the development of the Railroad 101 webinar series, the Administrative Task Force, on August 31, 2012, unanimously approved the work plan for RR101 and will present it to the Executive Board for its consideration on September 4, 2012.
- It was agreed that the DMU Review Panel will meet on August 23, 2012 to consider consultant Larry Salci’s Report and Recommendation. The intent is to present the report and recommendations to the Board for its consideration on the September 4, 2012 conference call. Once approved, the DMU specification developed by the Technical subcommittee will be the fifth PRIIA specification adopted by the S305 NGECE in a little over two years.

- In regards to the approval of the AASHTO/Amtrak Support Services agreement, and subsequently give the green light to AASHTO to execute the PB contract for consulting services for the Section 6/deployment project and the contract with Larry Salci for Review Panel consultant services; it is anticipated that a fully executed agreement will be in place around the time of the September 4<sup>th</sup> Executive Board meeting.
- On August 21, 2012, the, John Oimoen, Illinois DOT, was appointed to fill the IDOT Board members position –filling the vacancy that occurred with the retirement of George Weber. The Board, once again, has its seats filled.
- The Board began review of a draft agenda for a September 20, 2012 face to face meeting, scheduled in conjunction with AASHTO's Standing Committee on Rail Transportation (SCORT) meeting in Portland. Maine.
- An invitation has gone out (through Steve Hewitt) to industry members, and a letter is being prepared to be sent to SCORT and States for Passenger Rail Coalition (S4PRC) members encouraging additional state DOTs to get involved and participate in the work of the NGEC.

During the month of September, 2012, the Executive Board held one conference call meeting – September 4, 2012 and one face to face meeting – September 20, 2012 – held in Portland, Maine. Some of the key decisions and action items from the month of September included:

- On September 4, 2012, the Executive Board accepted the report and recommendation of the DMU Review Panel, and formally adopted the PRIIA DMU Specification. This marks the fifth PRIIA Specification that has been developed and adopted by The NGEC in less than 3 years.
- On September 4, 2012, the RR101 work plan was approved and the Administrative task force and AASHTO were directed to begin implementation of the webinar series.
- On September 4, 2012, Board chair, Bill Bronte re-convened the Bi-level Review Panel (Bill Bronte, Ron Adams, Eric Curtit, John Tunna and Tammy Nicholson) to begin a review of Bi-Level Revision C.1.
- On September 20, 2012, the Executive Board approved (unanimously) Bi-Level car Revision C.1, as presented by the Review Panel in its report and recommendations. C.1 will be used as the base document for the Bi-Level Car procurement.
- On September 20, 2012, the decision was made to re-convene the Single Level Car Review Panel to produce a report and recommendation to the Board on Revision A. The Board also agreed to bring Larry Salci back as the consultant to the panel.
- On September 20, 2012, it was agreed that there will be a transfer of funds from the Executive Board professional services item to: AASHTO Support Services: \$30,000 for continued specification review efforts over the next 6 months; the Technical subcommittee: \$40,000 for professional services for Camren Cordell as described in the Treasurer's report; the Administrative Task Force: \$55,000 for labor for the Amtrak project manager item.
- On September 20, 2012, the Executive Board tasked the Technical subcommittee with reviewing the DCR process as it relates to Accessibility feature especially regarding issues of policy vs. technical. The Accessibility Working Group (AWG) will look initially and report to the Technical subcommittee, which will in turn report to the Executive Board. The Board will either consider proposed changes, or if there are no changes, will re-affirm the current process.
- On September 20, 2012, it was agreed that Kevin Kesler, FRA, would continue to follow the Accessibility issue regarding the use of architectural standards. He will inform the Board and the technical subcommittee once a final decision has been made. Kevin will also bring Gary Talbot's recommended language forward to the AWG and, once approved there, on to the subcommittee.

- On September 20, 2012, it was agreed that the Structure and Finance Task Force (SFTF) will look at the initial charge of the Board in creating the SFTF, and see if it is still applicable, or is enhancement needed. The SFTF will bring a recommendation back to the Board.
- It was also agreed that the SFTF will begin immediately to develop a scope of work for an outside consultant for after the PB work on Section 6/deployment. This is the so-called "Son of Section 6" effort.
- On September 20, 2012, the Board asked Steve Hewitt (with assistance from AASHTO) to assemble all documents pertaining to earlier discussions about the future of the NGEC and get them all in one place. Steve expects to complete this task by October 5, 2012.
- Also on September 20, 2012 it was agreed that the Administrative task force (ATF) with assistance from AASHTO, David Ewing and Steve Hewitt, will first develop an outline, and then a 2-5 page "position" paper on the NGEC activities to be used as a marketing exercise for Congress and others. The timeline for this will be 8-9 weeks for approval by the ATF and then on to the Board for its consideration.
- It was agreed, also, that each Executive Board member will prepare a one paragraph "vision" statement for what the NGEC should be and send it to Bill Bronte, cc to Steve Hewitt, by COB October 4, 2012. Bill Bronte will then compile the input received (not attributable) and bring it back to the Executive Board.
- On September 20, 2012, it was agreed that the 3<sup>rd</sup> NGEC Annual Meeting will be held on February 21, 2013 in Washington, DC at the Washington Court Hotel. Additional information will follow. There will also be meeting rooms available at the Hyatt (as well as sleeping rooms there) if the NGEC Board wishes to conduct additional meetings such as a review of the PB draft report in advance of the Annual Meeting.
- Steve Hewitt will inform the members of the Technical subcommittee and its industry participants about the Annual Meeting and encourage participation.

During the month of October, 2012, the Executive Board met twice, via conference call; October 2 and 16<sup>th</sup>. (Note: the October 30<sup>th</sup> conference call was canceled due to the aftermath of Hurricane Sandy) Some of the key decisions and action items from the month of October, 2012 included:

- On September 20, 2012, It was agreed that there will be a transfer of funds from the Executive Board professional services item to:
    - AASHTO Support Services: \$30,000 for continued specification review efforts over the next 6 months.
    - The Technical subcommittee: \$40,000 for professional services for Camren Cordell as described in the Treasurer's report.
    - The Administrative Task Force: \$55,000 for labor for the Amtrak project manager item.
- On September 28, 2012, as required by the grant agreement, Amtrak formally requested FRA's approval of the transfer of funds as described. On October 22, 2012, the FRA provided a letter to Amtrak Grants approving the budget adjustments.
- On October 5, 2012, as requested by the Executive Board, Steve Hewitt completed the process of assembling all documents pertaining to discussions about the future of the NGEC and compiled them all in one place. All members of the ATF and SFT were provided copies of the documents and AASHTO was asked to create a separate section of the website dedicated to this material.
  - In October, the Executive Board tasked the SFTF to review its initial charge to see if it is still applicable, or if enhancements/revisions are needed. As of October 30, 2012, the SFTF is finalizing suggested revisions and will bring a recommendation back to the Board most likely by its November 13, 2012 call.

- As called for during the September 20, 2012 Executive Board Meeting, 12 of 14 voting members developed individual vision statements for what they wanted the “NGEC to be when it grows up”. The vision statements were compiled into one document by Steve Hewitt, without attribution and distributed to all Executive Board members. On October 26, 2012, FRA provided a summary review of the compilation of statements for Board review. The Board will have further discussions and look for consensus on its November 13, 2012 conference call.
- As requested by the Board on September 20, 2012, the ATF is developing a marketing/educational document: The timeline for ATF approval of a draft document is November 23, 2012. Once approved by the ATF, it will be submitted to the Executive Board for its consideration.
- The RR101 webinar session on the topic of developing a state rail office and workforce development took place on October 24, 2012. A summary report on the success of the webinar will be provided to the Executive Board on the November 13, 2012 conference call.
- As requested by the Executive Board on September 20, 2012, the Technical subcommittee has begun a review of the Accessibility DCR process policy vs. technical: a proposal drafted by Revision Control Coordinator, Dave Warner has been approved by the AWG, and will be considered for Technical subcommittee approval on its next call – November 8, 2012. The next step will be to take it to the Executive Board for its consideration.
- On October 16, 2012, the Executive Board approved a timeline for Revision A (Single level) Review as suggested by consultant Larry Salci. The Review Panel is scheduled to meet, via conference call, on November 6, 2012 to review and consider a draft report with recommendations being prepared by Larry Salci. The next step, once Review Panel approval is given, will be for the Executive Board to consider the final report and recommendations. This is expected to occur on the November 13, 2012 Executive Board conference call.
- On October 16, 2012, the Executive Board agreed to a recommendation by Kevin Kesler and Jeff Gordon, FRA, to invite a member of APTA and the FTA to attend Executive Board calls. Jeff Gordon will provide the contact information to Steve Hewitt who will, in turn, invite APTA and FTA representative(s) to listen in to NGEC Executive Board calls and provide them with calendar appointments for all upcoming Board meetings.

During the month of November, 2012, the Executive Board met twice, via conference call; November 13 and 27, 2012). Some of the key decisions and action items from the month of November, 2012 included:

- On November 13, 2012, the Executive Board adopted by the Structure and Finance task force’s ((SFTF) revised charge as presented.
- Also on November 13, 2012, the Executive Board adopted Revision A, based on approval of the Review Panel report and recommendations on the Single Level Revision A. The Report has been posted on the NGEC website, and the revised Single level specification Rev A will be posted as soon as it is finalized.
- As requested by the Board on September 20, 2012, the ATF continues to develop a marketing/educational document: The timeline for ATF approval of a draft document is December 21, 2012 (The November 23, 2012 ATF call was cancelled due to the Thanksgiving holiday) Once approved by the ATF, it will be submitted to the Executive Board for its consideration. Steve Hewitt, acting on a request from the States for Passenger Rail (S4PRC), drafted NGEC material for Washington State DOT’s CEO, Paula Hammond to use as part of her testimony before the T&I committee. Steve has provided this draft to Leo Penne, AASHTO, as a basis from which to develop the marketing/educational piece.
- On November 13, 2012 Tammy Nicholson, Iowa DOT, reported to the Board that a RR101 webinar was held on October 24, 2012 with around 45 participants. The topic of this session was “Establishing a Rail Office, Best Practices from State Perspectives and Work Force Development”. The session was very well received. The next webinar will be on the topic of Rail Planning.

- Technical subcommittee review of AWG DCR process policy vs. technical is complete, and a revised process for Accessibility DCRs has been developed and will be considered by the Technical subcommittee on its next call – December 6, 2012.
- On October 16, 2012, the Executive Board agreed to a recommendation by Kevin Kesler and Jeff Gordon, FRA, to invite a member of APTA and the FTA to attend Executive Board calls. Martin Schroeder, APTA, has been contacted and added to the Executive Board email list. Martin attended the Executive Board call held on November 27, 2012.
- On November 13, 2012, the Executive Board agreed with the Finance subcommittee's recommendation that the continuing activities budget for 4-1-13 thru 3-31-14 be handled separately, with new items being programmed from the remaining balance after the continuing activities budget has been approved. The Board is expected to consider the continuing activities budget on December 11, 2012. A call for new item budget requests has gone out to all task force and subcommittee chairs for submittal to the Finance subcommittee as it begins to develop a budget on the remaining contingency fund balance.
- Bill Bronte developed a "strawman" vision statement from the compilation of 12 statements received from Executive Board members. Steve Hewitt provided the "strawman" vision statement to all Board members on November 27, 2012 for review and comment. Comments are due to Bill Bronte and Steve Hewitt by COB on December 5, 2012.
- On November 27, 2012, the Executive Board agreed to hold a facilitated workshop on February 20, 2013 at the Hyatt Regency Hotel. The meeting will be for Board members and support staff only and will continue. This will be a pivotal meeting, during which the Board will go into further discussions about where and how the NGEC will move forward in the future. The meeting will begin at 1:00pm Eastern.
- Steve Hewitt will send out notification to all Board members about the February 20<sup>th</sup> Board workshop (1:00pm Eastern at the Hyatt Hotel on February 20, 2012) and the February 21<sup>st</sup> NGEC Annual meeting to be held at the 20<sup>th</sup> F Street Conference Center, Washington, DC (around the corner from the Washington Court Hotel and a block from the Hyatt Hotel). Steve will also provide last year's agenda as a basis for travel approvals for the states.
- In preparation for the facilitated workshop, Steve Hewitt will provide all Board members with the names of proposed facilitators, and their resumes as he receives them. It was agreed that Chairman Bill Bronte will select the facilitator and ask the Board's concurrence on the next call (December 11, 2012)
- On November 27, 2012, Paul Nissenbaum, FRA, reported that the FRA has been in discussions with all key lead entities on the locomotive procurement to identify the "best path forward". He noted that they still have some work to do, but that he hoped that by the next Executive Board call (December 11, 2012) there will be a resolution.
- On November 27, 2012 Bill Bronte reported that Caltrans and IDOT were meeting that afternoon, and anticipated that a Notice to Proceed will be issued later today to Sumitomo Corporation for the Bi-Level Car procurement.

During the month of December, 2012 the Executive Board met, via conference call on December 11<sup>th</sup>. Some of the key decisions and action items from the month of December, 2012 included:

- On December 11, 2012, the Executive Board approved the Finance subcommittee's recommended continuing activities budget for the period from April 1, 2013 thru March 31, 2014. Darrell Smith, Amtrak, will provide the budget, as approved, to the Amtrak grants office, and they will request FRA to modify the SOW in the current grant agreement accordingly.
- Also on December 11, 2012, the Executive Board approved the SFTF's recommended SOW for developing an implementation plan for the future of the NGEC. The SFTF will begin work on this effort and Eric Curtit, Missouri DOT, will report back to the Board on the next call on how it will be done and what the timeline will be.

- Technical subcommittee review of AWG DCR process policy vs. technical is complete and a revised process for Accessibility DCRs has been developed and will be considered by the Technical subcommittee – once approved there, it will come to the Board for its consideration – likely on the next Board call – January 8, 2013.
- Developing the NGECE Executive Board vision statement and action plan agreed to on December 11, 2012 was:
  - o Steve Hewitt will send out the current compilation of comments to the Bronte “strawman” statement by COB December 11, 2012.
  - o Additional comments are submitted to Steve Hewitt and Bill Bronte by COB on December 21, 2012.
  - o Steve and Bill will get together and develop a revised “strawman” vision with track changes based on comments received. The revised “strawman” becomes the proposed vision statement and is distributed shortly after Christmas to all Board members for their review.
  - o On January 8, 2013, the vision, as revised, will be considered for approval by the Executive Board.
- Leo Penne has agreed to provide the Administrative task force (ATF) with a draft marketing piece in advance of the December 21, 2012 ATF call, and once the ATF has approved it, the Executive Board will be provided with it for its consideration – hopefully – on its January 8, 2013 call.
- Steve Hewitt will re-send hotel reservation information to Board members for the February 20-21, 2013 Board workshop and NGECE Annual meeting.
- Leo Penne, AASHTO will develop a solicitation for a quote for providing facilitator services for the February 20, 2013 workshop.
- Jeff Gordon, FRA, will provide contact information to Steve Hewitt to an FTA representative(s) to listen in to NGECE Executive Board calls. (carryover)

During the month of January 2013, the Executive Board met, via conference call on the 8<sup>th</sup> and 22<sup>nd</sup>. Some of the key decisions and action items from the month of January, 2013 included:

- The locomotive procurement status remains as an open agenda item. On the January 22, 2013 call, Paul Nissenbaum, FRA, reported that they are close to agreement on who will take on the role of lead state. It is hoped that an announcement will be forthcoming shortly.
- Jeff Gordon will continue to provide the AASHTO, Amtrak and FRA public affairs officers with email notifications of NGECE activities. (ongoing)
- Jeff Gordon, FRA, will provide contact information to Steve Hewitt to an FTA representative(s) to listen in to NGECE Executive Board calls. (carryover)
- On January 8, 2013, the Executive Board adopted the “Twin Loop” DCR process for handling proposed changes to accessibility related issues. Part of this new process includes the naming of an Accessibility Policy Group (APG) which will handle policy related accessibility issues and make recommendations to the Board.
- On January 22, 2013, the Executive Board discussed the makeup of the Accessibility Policy Group (APG), and determined that it would be comprised of representatives from at least three states, Amtrak and FRA. The states who volunteered to be a part of the APG were: California, Missouri, and Washington. Both FRA and Amtrak also agreed to name a representative to the APG. Bill Bronte will represent California and Eric Curtit will represent Missouri. The names of representatives of the other members are to be submitted to Steve Hewitt by COB on January 31, 2013. (Note: On January 28, 2013 the FRA named Calvin Gibson as its APG representative)

- In regard to the Modification of the Grant Agreement SOW reflecting the Board approvals of December 11, 2012 and January 8, 2013, Amtrak grants is expected submit the formal request to FRA by the end of the week of. January 25, 2013.
- In regard to selecting a facilitator for the February 20, 2013 Executive Board workshop, Paul Cooper, Face to Face Strategies was selected on January 22, 2013. A revised work plan and cost proposal (under \$5,000) has been verbally agreed to and will be submitted to AASHTO by January 23, 2013. Once received, AASHTO will act as contracting agent and execute a contract. Once the contract is executed a list of NGEC participants to be interviewed by the facilitator in advance of the workshop will be finalized and notification will be sent by Steve Hewitt.
- On January 22, 2013, the Board members agreed that a decision on an NGEC vision statement will be a part of the Workshop discussion on February 20, 2013.
- The "backgrounder" document and additional educational/information items derived from it are being finalized by AASHTO designers. A first cut of a polished/refined "backgrounder" will be sent to Leo Penne on January 23, 2013. Additional pieces will follow, and all will be available in advance of the NGEC Annual Meeting. Leo Penne will send a note to NGEC members describing the types of graphics that would be useful for the various educational pieces under development.
- On January 22, 2013, it was agreed that a draft NGEC Audit report (being prepared by Amtrak's OIG) will be provided to the Finance subcommittee to review in advance of its February 13, 2013 call, and on that call, a recommendation will be determined and sent to the Executive Board for its consideration during the annual meeting.
- In regard to Attendance at the NGEC Annual Meeting, all Board members who expect to attend the Annual meeting and/or the Workshop were asked to notify Steve Hewitt ASAP for an appropriate head count and to ensure the presence of a quorum.
- Regarding the agenda for the Annual meeting, some revisions to the first draft were addressed on the January 22, 2013 call. A revised draft was sent out to all Board members on January 23, 2013. Several changes have been requested since then, and a final draft will be provided to the Board members prior to its February 5, 2013 conference call. Names of some of the speakers are yet to be identified, but will be provided to Steve Hewitt as soon as possible. One especially significant change that has been made is the inclusion of FRA Administrator Joseph Szabo. The Administrator will give some remarks in the early afternoon and participate in the meeting for most of the afternoon, schedule permitting.
- It was agreed on January 22, 2013 that a new agenda item for the Board's February 5<sup>th</sup> call will be a discussion/review of the current task forces and subcommittees to determine if they remain relevant and/or how they may need to be modified.

During the month of February, 2013 the Executive Board met, via conference call on the 5<sup>th</sup>, and in person on the 20<sup>th</sup> (a facilitated workshop) and on the 21<sup>st</sup> for the 3<sup>rd</sup> Annual NGEC meeting. Some of the key decisions and action items from the month of February, 2013 included:

- On February 5, 2013, all members of the newly established Accessibility Policy Group (APG) were announced. They are: Bill Bronte, Caltrans, Ron Pate, Washington State DOT, Eric Curtit, Missouri DOT, Calvin Gibson, FRA, and Gary Talbot, Amtrak.
- On February 5, 2013 Darrell Smith reported that the Modification of the Grant Agreement SOW reflecting the Board approvals of December 11, 2012 and January 8, 2013 had been formally submitted by the Amtrak grants office as a formal request to FRA (on February 4, 2013). Darrell will report back to the Board back once FRA has formally responded.
- At the NGEC Annual Meeting held on February 21, 2013, the Executive Board approved the SOW and budget (\$100,000) for the Finance subcommittee to procure professional services for exploring funding options. This item will be added as a budget adjustment for the period beginning 4-1-2013 through 3-31-2013.

- On February 21, 2013, the Executive Board also approved additional funding requests to be included in the 4-1-13 thru 3-31-14 budget for: The Technical subcommittee for professional services (Camren Cordell) in the amount of \$15,000; the SFTF for procuring professional services for developing an implementation plan for the future of the NGEC in the amount of \$100,000; and for the Finance subcommittee for the purpose of having an NGEC Audit conducted for the period from 4-1-12 thru 3-31-13 in the amount of \$50,000.
- The Board noted, in its approval, that AASHTO will serve as contracting agent for all but the audit.
- On February 19, 2013, the NGEC Audit and the Amtrak draft response to it were endorsed through an electronic vote by the Finance subcommittee. The Finance subcommittee, in turn, submitted (on February 20, 2013) a recommendation to the Executive Board to accept the report and draft Amtrak response.
- On February 21, 2013, the Executive Board agreed that it would need more time to review the Audit report and Amtrak's draft response to it, before formal action is taken.
- On February 21, 2013, the NGEC formally accepted the Treasurer's Annual Report as submitted.
- The Backgrounder has been finalized and distributed widely in PDF form to all NGEC industry participants and Technical subcommittee members, and Executive Board members and support team. Twenty (20) hard copies of the Backgrounder were distributed to all Executive Board members and NGEC consultants Steve Hewitt and David Ewing. On February 21, 2013, all Annual Meeting attendees also received a hard copy of the Backgrounder. A supply of additional copies were made available at the meeting as well. Additional copies of the Backgrounder can be requested by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) informing him of the number of copies requested, and a mailing address.
- On February 5, 2013, the Executive Board agreed to set aside time on the March 5, 2013 conference call (rescheduled to March 19<sup>th</sup>) for a discussion/review of all current task forces and subcommittees to determine their relevance at this point in time.
- On February 5, 2013, the FRA agreed to assist in organizing a Hill staff briefing on the NGEC – what it is, what it has accomplished, and what it hopes to accomplish going forward.
- On February 20, 2013, the Executive Board held a facilitated workshop and came to consensus on a vision statement. The statement, it was agreed, will still need to be “tweaked” slightly, but, in general will read:

“The NGEC will provide national leadership in standardization, acquisition, financing, and management of passenger rail equipment.”

Also on February 20, 2013, the Executive Board appointed an ad hoc working group to take a distilled list of recommended activities discussed during the workshop and refine them into strategic goals. The purpose of the working group is to build a good consensus document that can serve as a skeleton for the NGEC “entity”.

The ad hoc working group members are:

Bill Bronte, Caltrans  
 Eric Curtit, Missouri DOT  
 Ray Hessinger, NYSDOT  
 Paul Nissenbaum, FRA  
 Dave Warner, Amtrak  
 Darrell Smith, Amtrak

**Support Staff:**

Steve Hewitt, Manager S305 NGEC Support Services  
 Nico Lindenau, FRA consultant  
 Ashok Sundararajan, FRA consultant



- Also on February 21, 2013 at the Annual meeting, Chairman Bronte gave a brief update on the status of the Diesel-electric locomotive procurement informing the attendees that Illinois DOT has agreed to be the lead state for this procurement, and the process has already begun moving forward.

During the month of March, 2013 the Executive Board met once, via conference call, on the 19<sup>th</sup>. Some of the key decisions and action items from the month of March, 2013 included:

- On March 19, 2013, Darrell Smith, Amtrak Finance, reported that a revised modification of the grant agreement SOW reflecting the Board approvals of December 11, 2012 and January 8, 2013 and those of February 21, 2013 was submitted by the Amtrak grants office to FRA on March 11<sup>th</sup>.
- In regards to the revised modification of the SOW, Paul Nissenbaum, FRA reported that the FRA letter "is coming out of the grants office today (March 19, 2013), and within a day or two it should be sent back to Amtrak." An update of the status will be provided by the next Executive Board call.
- The NGEC Audit was approved by the Finance subcommittee on February 19, 2013. On March 19, 2013, the Executive Board formally voted to accept the Audit and Draft Amtrak Response to it. The Board recognized an abstention by FRA due to what is believed to be a conflict between its roles as a grantor, and as one of the NGEC members representing the grantee. Paul Nissenbaum, FRA, made it clear that the FRA abstention was not to be interpreted as either a no or yes vote.
- On March 19<sup>th</sup> it was reported that the Backgrounder educational document is now in its third printing. Requests for additional copies should be submitted to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) along with the number requested and an address to send them to.
- It was agreed, on March 19<sup>th</sup>, to have, on April 2, 2013, a Board discussion and review of the current task forces and subcommittees to determine if any of them are no longer relevant or if a change in the frequency of calls held should be considered. Members were asked to review all task force and subcommittee charges and be ready to give input on their thoughts on the subject on April 2, 2013.
- All NGEC members are asked to be on the alert for opportunities to educate congress or other key audiences on what the NGEC is, what it has accomplished, and what it hopes to accomplish in the future. If there are suggestions of new strategies or opportunities members should submit them to Steve Hewitt and Bill Bronte.
- On March 19, 2013, it was agreed that, for now, the Joint Procurement Task Force (JPTF) will not be resurrected as a formal task force; rather, regular Illinois DOT (IDOT) updates to the Board will be the primary method of communicating progress being made.
- It was agreed, on March 19, 2013, that Eric Curtit, chair of the SFTF, will continue to stress to the Section 6/Deployment project contractor, the need to produce product and begin to show significant progress on the effort over the next several weeks. Due to the slow pace exhibited thus far, as well as the contractor changing its project management team, Eric Curtit will need to develop a potential contract extension with actions and deliverables clearly identified. This document will be provided to Bill Bronte for review before going forward to the contractor.
- All members of the Board (and support staff) are asked to thoroughly review the facilitator's report on the NGEC workshop held on February 20, 2013. Comments, thoughts, suggestions should be submitted to Steve Hewitt and Bill Bronte prior to the April 2, 2013 call.
- The 6 person task force (Darrell Smith, Amtrak Finance was added to the task force on March 19<sup>th</sup>) established during the workshop to develop proposed strategic goals, will meet following the April 2, 2013 conference call. Ray Hessinger, NYSDOT, agreed to complete his review and re-organization of the tasks in advance of the task force discussion, and will provide it to the members as a starting point.
- On March 26, 2013 Ray Hessinger distributed the proposed re-organization of the tasks, as described above, to all members.

- Leo Penne, AASHTO, agreed, on March 19<sup>th</sup>, to reach out to Paul Cooper (facilitator) to get his input as to whether a facilitated Skype or web conference would be helpful in advancing the work of the task force assigned to develop proposed strategic goals.
- The Vision statement will be a topic for consideration on the April 2, 2013 Executive Board call. In order to assist the Board in coming to closure on its Vision statement, Steve Hewitt distributed 4 draft variations of the Vision statement, with each incorporating the proposed tweaks recommended at the Workshop.
- Chairman Bronte has asked that Board members review the 4 proposed statements and be prepared to vote (on April 2, 2013) for a version to become the NGEC Vision statement.

During the month of April, 2013 the Executive Board met three times, via conference call, on the 2<sup>nd</sup>, 16<sup>th</sup> and 30<sup>th</sup>. Some of the key decisions and action items from the month of April, 2013 included:

- The locomotive procurement status will remain as an agenda item to keep the Board updated as to its progress. IDOT will be responsible for providing these bi-weekly updates. Prior to the next Executive Board call, talking points will be distributed in regards to the schedule and will be discussed as part of the status update.
- On April 30, 2013, Eric Curtit reported to the Executive Board that the SFTF has reduced the frequency of its call schedule from bi-weekly to once every 4 weeks (Monday's at 2:30 Eastern). Steve Hewitt has sent the new schedule to the calendars of all SFTF members. The next SFTF conference call meeting is May 20, 2013.
- The contractor for the SFTF section 6/deployment project has provided a draft of 50% of Task 1 and it is currently under review by Eric Curtit and FRA consultant's Nico Lindenau and Ashok Sundararajan. Eric Curtit will continue to keep the Board apprised of progress being made.
- AASHTO will add an extension (as being worked out between the contractor and SFTF) to the Section 6/ Deployment contract to ensure that there is time to complete the work as described in the current SOW.
- The 6-person task force established during the workshop to develop proposed strategic goals met following the April 2 and April 16, 2013 Executive Board calls. The task force will meet in Washington, DC May 7<sup>th</sup> and 8<sup>th</sup> and hold facilitated discussions. (Paul Cooper has been retained as the facilitator) The Board will be kept apprised as this group moves forward with its task. On April 16, 2013, Steve Hewitt agreed to become involved in the efforts of the task force and to attend the meetings in Washington May 7<sup>th</sup> and 8<sup>th</sup>.
- Strategic discussions regarding future funding for the NGEC and educational opportunities will remain a standing agenda item for Board calls. All members are asked to be on the alert for opportunities to educate congress or other key audiences on what the NGEC is, what it has accomplished and what it hopes to accomplish in the future. If there are suggestions of new strategies or opportunities members should submit them to Steve Hewitt and Bill Bronte.

On April 30, 2013 Steve Hewitt reported that number of regional and national organizations, including: CSG-ERC, MIPRC, S4PRC, and CONEG have sent letters or written testimony to the House Transportation, HUD and Related Agencies subcommittee each requesting continued funding for the NGEC. On April 29, 2013, Steve distributed copies of the letters and testimony to Board members and staff.

- State members are asked to provide Leo Penne with state specific information, quotes, graphics, and pictures to assist AASHTO in the production of the next educational piece. On April 16, 2013, Steve Hewitt sent a third reminder to states to provide AASHTO with information for the follow up brochure.
- Requests for additional copies of the Backgrounder should be submitted to Steve Hewitt along with the number requested and an address to send them to. As of late April, 2013 AASHTO added the vision statement to the front page of the Backgrounder and went to a fourth printing.

- In April, 2013, AASHTO designed a new logo for the NGEC with the vision included. On April 29, 2013, Steve Hewitt shared the logo with all Board members and began using it on all reports and general correspondence.
- On April 26, 2013, Steve Hewitt reminded all Board members who plan to attend the September 26<sup>th</sup> face to face Board meeting in Columbus, Ohio to make their room reservations by May 1<sup>st</sup>. AASHTO has arranged for this period to give Board members first shot at rooms before opening the reservations up to SCORT.
- The next RR101 webinar will take place sometime in May, 2013. Shayne Gill, AASHTO, will keep Board members apprised as the date is firmed up
- On the April 2, 2013, Executive Board call, NGEC Treasurer and Finance Subcommittee Chair, Gordon Hutchinson, Amtrak, informed the Board that he has taken a position as CFO for MARTA, Atlanta, GA. He noted that Bill Auve has been named as the interim CFO for Amtrak. Effective immediately, Bill will take over Gordon's NGEC responsibilities serving as the Treasurer and Chair of the Finance subcommittee. On April 16, 2013, Bill participated in the Executive Board call for the first time.
- On April 30, 2013, representatives of the Technical subcommittee (Chairman Mario Bergeron and Kevin Kesler, FRA) provided a status update to the Executive Board on the effort to review Part 38 and ADAAG in regards to its potential applicability to passenger rail.

During the month of May, 2013 the Executive Board met twice, via conference call, on the 14<sup>th</sup> and 28<sup>th</sup>. Some of the key decisions and action items from the month of May, 2013 included:

- The locomotive procurement status remains as an agenda item to keep the Board updated as to its progress. IDOT will be responsible for providing these bi-weekly updates. On May 28, 2013, John Oimoen, IDOT, provided a brief update. He reported that "it is going well" with a draft RFP currently under review, internally, at IDOT and with the other procuring states, and FRA. "It is pretty much on schedule" right now.
- John also reported that a press release is about to go out, but IDOT first has to "identify a person for questions to go to" once the release is out.
- The 6-person task force established during the workshop to develop proposed strategic goals met following the April 2 and April 16, 2013 Executive Board calls. The subgroup met in Washington, DC May 7<sup>th</sup> and 8<sup>th</sup>. The meetings were facilitated by Paul Cooper (the facilitator for the February 20, 2013 workshop). The task force is discussing/reviewing concepts developed during the meetings. Once a concept paper is prepared and approved by the task force it will be vetted among key stakeholders and brought to the Board. The next conference call will take place following the June 11, 2013 Executive Board call.
- Strategic discussions regarding future funding for the NGEC and educational opportunities will remain a standing agenda item for Board calls. All members are asked to be on the alert for opportunities to educate congress or other key audiences on what the NGEC is, what it has accomplished and what it hopes to accomplish in the future. If there are suggestions of new strategies or opportunities members should submit them to Steve Hewitt and Bill Bronte. Members should continue to think about ways to capitalize on the strong support received by regional and national organizations.
- Requests for additional copies of the Backgrounder should be submitted to Steve Hewitt along with the number requested and an address to send them to. AASHTO is going to another printing of the Backgrounder – about 250 more copies will be printed.
- The APG will be notified that it will convene its first meeting on June 10, 2013 at noon EDT in a webinar. The purpose will be to begin a review of the draft guidelines for potential ADAAG applicability to passenger rail with the intent to have a document ready to present to the Access Board by September 15, 2013 when it will begin its update.

- Kevin Kesler and Calvin Gibson will prepare a draft agenda for the APG kick off webinar; a timeline for the effort; and will arrange for the webinar. Melissa Shurland will be prepared to provide a briefing to the APG on June 10, 2013.
- Leo Penne, AASHTO, anticipates having drafts of a four-fold educational piece and a one page "fast facts" document ready for review shortly. The drafts will be initially reviewed by the Administrative task force and subsequently advanced to the Executive Board.
- On May 28, 2013, as requested by the Board during its last call, Darrell Smith, Amtrak Finance, provided a brief update as to the financial standing of the NGEC and its ability to continue beyond March 31, 2014, if no new funding is provided. Darrell reported that the budget through March, 2013 was in the amount of \$1.3 million. There is \$290,850 in budgeted contingency. The run rate is in line with the budget – averaging about \$67,875 per month. Taking the contingency and averaging it out "we could go on for about four months into August, 2014." Darrell noted that there are 2 contracts in the budget – one for \$100,000 for the Finance subcommittee to explore finance options, and one for \$100,000 "as a plug in for the SFTF to develop an implementation plan." If one of those contracts does not get executed, the NGEC could sustain itself into September, 2013, and if both contracts are not executed it could go on into October, 2014.

Discussions took place, without a decision being made, in regards to possibly delaying the Finance subcommittee's RFP for exploring Financing options until after the Executive Board strategic task force has advanced its concept for the future of the NGEC.

- On May 14, 2013, Dan Black, Amtrak Acting CFO, was introduced as the new NGEC Treasurer and chair of the Finance subcommittee.

During the month of June, 2013 the Executive Board met once, via conference call, on the 25<sup>th</sup>. Some of the key decisions and action items from the month of June, 2013 included:

- On June 25, John Oimoen, IDOT reported that the locomotive procurement effort is making great progress. The RFP is anticipated to be released to the industry in mid-July, 2013 with a workshop slated for August 8, 2013 in downtown Chicago, Illinois. The procurement status update will remain as a standing agenda item on all Executive Board calls to keep the Board apprised of progress being made.
- Jeff Gordon, FRA, continues to provide the AASHTO. Amtrak and FRA public affairs officers with email notifications of NGEC activities. (ongoing)
- As reported previously, a special task force was established during the February 20, 2013 Executive Board workshop to develop proposed strategic goals building on the approved NGEC Vision. The task force has been meeting on a regular basis via conference call, and met on May 7-8 in DC for a facilitated workshop. Out of the workshop came some fairly significant ideas and a draft concept or white paper has been developed and is under review by task force members. Once the concept paper is approved by the task force, it will be vetted among key stakeholders and brought to the Board. The draft concept paper was discussed on a call of the task force on June 25, 2013 and will be revised to incorporate comments received. The next conference call will take place following the July 9, 2013 Executive Board call. A task force progress report remains a standing agenda item on all Board calls.
- Strategic discussions regarding future funding for the NGEC and educational opportunities will remain a standing agenda item for Board calls. All members are asked to be on the alert for opportunities to educate congress or other key audiences on what the NGEC is, what it has accomplished and what it hopes to accomplish in the future. If there are suggestions of new strategies or opportunities members should submit them to Steve Hewitt and Bill Bronte. Members should continue to think about ways to capitalize on the strong support received by a number of regional and national organizations.
- Requests for additional copies of the NGEC Backgrounder educational document should be submitted to Steve Hewitt, along with the number requested, and an address to send them to. On June 25, 2013, it was reported that AASHTO has gone to a sixth printing of the Backgrounder – printing another 500 copies.

- On June 25, 2013, it was reported that the Accessibility Policy Group (APG) met on June 10<sup>th</sup> 2013 to “kickoff” a review of the draft guidelines for potential ADAAG applicability to passenger rail. The intent is to have a document ready to present to the Access Board by September 15, 2013 when it will begin its update. It was also reported on June 25, 2013 that a draft requirements document will be developed and submitted to the Technical subcommittee and its technical working groups to assess feasibility. Kevin Kesler, FRA, will keep the Board apprised of progress being made.
- Bill Bronte will check with Leo Penne and Shayne Gill (AASHTO) regarding AASHTO holding the intellectual property in the interim as the NGEC determines its future organizational structure.
- Leo Penne, AASHTO, continues to work with AASHTO design staff to develop a four-fold educational piece and a one page “fast facts” document. Both will first be reviewed by the Administrative task force (ATF) and, once finalized by the ATF, it will be submitted for Executive Board review.
- On the next Executive Board call – July 9, 2013 - Darrell Smith, Amtrak Finance, and vice chair of the ATF, will report on the efforts of the task force to review, and possibly update, NGEC contract approval procedures.
- On June 25, 2013, it was reported that the Structure and Finance Task Force (SFTF) core team is currently reviewing task 1 of the Section 6/Fleet deployment project, with the next step being review by the full SFTF on July 15, 2013. It is anticipated that task 1, as revised by the contractor through feedback from the SFT, will be sent to the full Executive Board for review by early August, 2013.

During the month of July, 2013 the Executive Board met twice, via conference call, on the 9<sup>th</sup> and the 23<sup>rd</sup>. Some of the key decisions and action items from the month of July, 2013 included:

- A status update of the progress of the diesel-electric locomotive procurement remains as a standing Executive Board agenda item. IDOT is responsible for providing bi-weekly updates. As of July 23, 2013, the RFP was still anticipated to be released to the industry in accordance with the established schedule.
- The working group established during the February 20, 2013 Executive Board workshop to develop proposed strategic goals building on the approved NGEC Vision has developed a draft concept paper and, once finalized by the group will bring it forward to the Executive Board. The intent is to possibly have a draft out to Board members prior to the August 6<sup>th</sup> conference call for purposes of discussion.
- Strategic discussions regarding future funding for the NGEC and educational opportunities has remained a standing agenda item for Board calls. All members are asked to be on the alert for opportunities to educate congress or other key audiences on what the NGEC is, what it has accomplished and what it hopes to accomplish in the future. If there are suggestions of new strategies or opportunities members should submit them to Steve Hewitt and Bill Bronte. Members should continue to think about ways to capitalize on the strong support received by regional and national organizations.

On July 9<sup>th</sup>, it was agreed that the Board would begin moving towards austerity because it is very possible that there will be no new funding through the appropriations process for FY 2014:

Three key issues/questions should be the focus:

1. How does the NGEC continue to stretch out current funds to continue beyond March 31, 2014?
2. The NGEC Board needs to give serious thought on next steps in the absence of new funding.
3. The NGEC Board while needing to be frugal also needs to recognize that state members must have funds, at the minimum, for travel reimbursement to remain actively involved.

On July 23, 2013 it was agreed that Leo Penne, Steve Hewitt, Shayne Gill, and Darrell Smith will meet in DC on August 6<sup>th</sup> and review the status of current expenditures to get a sense of what

funding may be available beyond March 31, 2014. They will report on their findings on the August 20<sup>th</sup> conference call of the Executive Board.

- On July 9<sup>th</sup> the FRA (Paul Nissenbaum) agreed to look for potential areas of flexibility in regard to providing funds to keep the NGEC going beyond March 31, 2014. On July 23, 2013, it was reported that the legal and grants offices are looking for such potential sources and Paul Nissenbaum will keep the Board apprised of the status of this effort.
- The Technical subcommittee has been provided with a draft document, requested by the APG, which categorizes ADAAG items with regard to feasibility. The subcommittee will report back to the Executive Board on its feasibility assessment after its August 15<sup>th</sup> conference call. The Board anticipates providing a letter to the Access Board with its recommendations by the time the Access Board begins its update process (September 15, 2013)
- Bill Bronte agreed to check with Leo Penne and Shayne Gill (AASHTO) in regard to the possibility of AASHTO holding intellectual property on behalf of the NGEC in the interim as it determines its future organizational structure.
- As of July 23, 2013, the SFTF core team was finalizing its review of task 1 of the Section 6/Fleet deployment project. The next step was identified as a review by the full SFTF by July 26, 2013 and it was anticipated that task 1, as revised by the contractor, through feedback from the SFTF, will be sent to the full Executive Board for its review in advance of either its August 6<sup>th</sup> or August 20<sup>th</sup> call.
- On July 23, the ATF reported to the Board that it has approved revised NGEC contract procedures. Steve Hewitt distributed those procedures to the Executive Board following the July 23 Board call. Consideration of approval of the revised procedures will be an agenda item for the Board on August 6, 2013.
- The educational document known as the "Backgrounder" is in its 6<sup>th</sup> printing by AASHTO. Requests for additional copies should be submitted to Steve Hewitt along with the number requested, and an address to send them to.
- On July 23, 2013, the Technical subcommittee, having previously approved Revision A of the Single Level Trainset Specification, requested that the Trainset Specification Review panel be reconvened by Board chair Bill Bronte, and tasked with reviewing / Revision A and providing a report with recommendations to the Executive Board. With some of the original members of the Review Panel having left state service, the chair appointed a new Review Panel consisting of members of the initial panel and two new members.

The Trainset Specification Review Panel appointed on July 23, 2013 consists of:

Bill Bronte, Caltrans – Chair of the Panel  
LeAnna Wall, Wisconsin DOT  
Allan Paul, NCDOT  
Jason Biggs, Washington State DOT  
John Tunna, FRA

Larry Salci will be retained (through an amendment to his existing contract) to be the consultant to the review panel and to prepare the report with recommendations, and Dave Warner, Amtrak, will assist the Panel in answering any questions the Panel may have with regard to the changes submitted.

Steve Hewitt will work with Leo Penne to provide tasks language to be included in the contract. Once those tasks are approved by the Executive Board (hopefully August 6<sup>th</sup>) the Review Panel can begin its work.

- Note: On July 29, 2013, Al Ware, Georgia State DOT, a member of the NGEC Executive Board from the beginning (January 2010), as well as an officer of the Board (Secretary) and chair of the Administrative Task Force informed the Board that he has resigned from Georgia State DOT and, consequently from the NGEC. The Board wishes Al all the best and thanks him for his dedication and hard work in contributing to the success of the NGEC over these past 43 months.

During the month of August, 2013 the Executive Board met twice, via conference call, on the 6<sup>th</sup> and the 20<sup>th</sup>. Some of the key decisions and action items from the month of August, 2013 included:

- The locomotive procurement remains as a standing agenda item to keep the Board updated as to its progress. IDOT is responsible for providing bi-weekly updates. In August (8-8-13) the RFP was released to the industry and Steve Hewitt provided all RFP related information to the NGEC Executive Board, the Technical subcommittee and the industry participants group.
- In late July, 2013, the Future of the NGEC Working Group released to all Board members its DRAFT concept paper. On August 6, 2013, the comment period on the concept document was extended until COB on August 23, 2013. Steve Hewitt re-sent the concept document to be sure everyone had received it. The NGEC future working group met to discuss the comments received on August 28, 2013 and agreed that a context discussion should take place on the Board call scheduled for September 4<sup>th</sup> with further discussion planned for the September 26, 2013 face to face Board meeting.
- Dan Black and Darrell Smith will present a full Treasurer's report at the September 26, 2013 Executive Board meeting.
- FRA will continue to "look under rocks" to see if there is some flexibility in other programs which may provide additional funds for the NGEC, but will need to have a clear picture of expenses, burn rate and anticipated funds remaining before they can make the case.
- The Technical subcommittee has been provided with a draft document requested by the APG that categorizes ADAAG items with regard to feasibility. The subcommittee will report back to the Executive Board on its feasibility assessment after its August 15<sup>th</sup> conference call. On August 29, 2013, the Technical subcommittee sent its recommendations to the APG and asked that Chairman Bronte schedule a call in advance of the September 17, Executive Board call. The Board anticipates providing a letter to the Access Board with its recommendations by the time the Access Board begins its update process (October, 2013).
- In August, a task force to discuss Intellectual Property issues was formed by the executive Board. Steve Hewitt sent out an Intellectual Property discussion summary, prepared by Vincent Brotski to all Board members; and the task force that will take these topics up will meet after the September 26, 2013 meeting. This topic will also be an agenda item for September 26, 2013.
- Regarding the Section 6/deployment project, the SFTF has submitted its comments on task 1 to the contractor and asked that they improve task 1 based on the extensive comments received. The Board will be given a status update on September 4, 2013
- A final draft of the new one-page Backgrounder and will updated original Backgrounder will be submitted to AASHTO publications by the end of August, 2013.
- A sole source contract for a review of Trainset Revision A by consultant Larry Salci has been approved by the ATF in accordance with the revised NGEC procedures. Steve Hewitt notifies Board Chairman Bill Bronte of the action taken by the ATF on August 30, 2013. AASHTO will notify Mr. Salci that work can proceed.
- Filling the vacancy on the Board and recruiting additional states to the NGEC effort:

Eric Curtit reached out to Tim Hoeffner, Michigan DOT, to see if he would be interested in filling the Board vacancy. Tim has agreed to serve on the Board and will participate in his first call on September 4, 2013.

Ray Hessinger, NYSDOT, will reach out to Pennsylvania and Connecticut to see of their interest.

Ron Pate, Washington State DOT, will reach out to Oregon.

Shayne Gill, AASHTO, will talk to all of the states during SCORT and will ask Secretary Schneider, IDOT new chair of SCORT to make a personal pitch during SCORT, for membership in the NGEC.

A volunteer from among Board members is requested to take over the Secretary duties as a Board officer which includes serving as the ATF chair.

- On August 6, 2103, the Board agreed that NGEC documents will have Copyright 2013 NGEC printed on them.

During the month of September, 2013, the Executive Board met twice – on September 4<sup>th</sup>, via conference call, and on September 26<sup>th</sup> in Columbus, Ohio for an all-day face to face meeting. Some of the key decisions and action items from the month of September included:

- As of September 26, 2013, the locomotive procurement remains as a standing agenda item for all Executive Board meetings. The intent is to keep the Board updated as to its progress. IDOT is responsible for providing all updates. The RFP has been released (August 8, 2013), a pre-proposal conference call was held on August 22, 2013. September 12, 2013 was the last day for questions to be submitted. Offers are due on October 3<sup>rd</sup>, 2013; November 27, 2013 – Final proposals are due and on December 16, 2013 - Evaluation and winner will be announced. During the period from December 16, 2013 through January, 2014 Buy America pre-award review will be conducted. A Notice to Proceed (NTP) is anticipated for February, 2014.
- Darrell Smith presented a full Treasurer's report at the September 26, 2013 Executive Board meeting. At the conclusion, it was agreed that Darrell will present the Board with a timeline of what needs to happen, and when, to advance a revised SOW and a request for a grant agreement extension.
- It was also agreed, that, based on the anticipated funds that will remain at the end of the current agreement, the Board will request that Amtrak ask FRA to extend the grant agreement through June 30, 2015.
- Darrell Smith will meet with Amtrak staff and with AASHTO staff to get a clearer picture of what their actual expenses and pending obligate expenses will be over the rest of the current agreement and what, if any, anticipated savings will be. Once this information is gathered, Darrell will present the Board with a clear picture of what will be available for the extended agreement and develop a budget and SOW for Board consideration.
- It is anticipated that the Executive Board will need to approve the new SOW in December, 2013 at a regular conference call meeting of the Board. This should allow time for a grant extension agreement to be officially requested by Amtrak and approved by the FRA.
- Budget and the revised SOW status updates will be a standing agenda item on all Board calls until the final approval.
- The first budget and SOW update will be provided by Darrell Smith to the Board on October 15, 2013.
- On September 26, 2013, it was agreed that the Future of the NGEC working group will be re-constituted and re-convened after the first of the year (January, 2014). At that time, it will resume its work by re-thinking the needs and the best structure to move the NGEC forward. The proposed concept for having the NGEC become a subsidiary of Amtrak raised concerns from all sides and will cause the working group to take another look at this and other potential corporate and/or governance structures. Until the first of the year, it will lag behind the 209-capital access plan working group's efforts, as it is expected that those efforts will serve as an early litmus test/example of a potential entity.
- On September 26, 2013, it was agreed that the revised SOW for the grant agreement would include tasks related to the development of a plan for creating an entity moving forward. Bill Bronte agreed to "pull out a list of tasks and add budget to it" and will send it to Darrell Smith to help facilitate the SOW. The list of tasks will include an initial cut of short term vs. long term NGEC activities. The list will be provided to Darrell in advance of the October 29, 2013 Board call. Bill will copy Steve Hewitt on what he sends to Darrell.



- The status of the Section 6/deployment project is: Task 1 was submitted by the contractor and has been reviewed thoroughly by a core team and by the full SFTF membership. Many comments have been submitted and a task force comprised of Eric Curtit, Chad Edison, Ron Pate and Darrell Smith compiled the comments, sent them to the contractor and is holding weekly conference calls with them. Eric Curtit, SFTF chair, will continue to update the Board as progress is made.
- On September 4, 2013, Chairman Bill Bronte officially welcomed Tim Hoeffner, Michigan DOT, to the NGECE Executive Board. Tim will fill the vacancy created by the resignation of Al Ware from Georgia state service.
- On September 26, 2013, Chairman Bill Bronte appointed Eric Curtit, Missouri DOT, to serve as Secretary of the NGECE. Eric will assume the primary duty of the secretary which is to serve as chair the Administrative task force. Eric will serve in this capacity through the Annual Meeting and office elections scheduled for February, 2015. Eric will also remain as the chair of the SFTF during this time.
- An update on efforts to recruit additional state members for the NGECE was provided on September 26, 2013:
  1. Ray Hessinger, NYSDOT, will reach out to Pennsylvania and Connecticut to see of their interest.
  2. Ron Pate, Washington State DOT, has reached out to Oregon DOT and Mike Jenkins has been named as ODOT's representative to the NGECE. Mike will also serve on the newly established 305 - 209 working group.
  3. Secretary Schneider, IDOT, and chair of SCORT made a personal pitch during SCORT, for membership in the NGECE.
- Review of Trainset Specification Rev A: Status: On September 26<sup>th</sup>, Larry Salci reported that he has just about completed his review and a draft report, and will contact Steve Hewitt to arrange for a review panel conference call. It is likely that this call will take place the week of October 7, 2013.
- Requests for copies of the updated Backgrounder or the new one pager should be submitted to Steve Hewitt along with the number requested and an address to send them to. There is a new, condensed, educational document that is currently under review by Board members. Once comments are received (if there are any) the document will be finalized and sent to print.
- On September 26<sup>th</sup>, Vincent Brotski, Amtrak Legal, provided an overview of issues related to Intellectual property to the Executive Board. This presentation will be posted on line along with other presentations from today's meeting. Questions or comments on this topic should be sent to Vincent.
- During the September 26<sup>th</sup> meeting, the Board established a 305-209 Capital Access Plan working Group and appointed Ron Pate, Washington State DOT, as its chair.
- Members appointed to the 209-working group are:
 

Ron Pate, Washington State DOT, Chair

Eric Curtit, Missouri DOT

Mike Jenkins, Oregon DOT

Allan Paul, North Carolina DOT

Curtis McDowell, (alternate for NCDOT)

Le Anna Wall, Wisconsin DOT

Brian Beeler II, NNEPRA

- Ron Pate will develop the charge for the group and a work plan. The charge will be sent to members of the working group in advance of the first call. The group will make several on-site visits to Amtrak facilities and work closely with Amtrak CMO Mario Bergeron, and Dale Engelhardt and the Amtrak Rolling Stock team.
- The 209-working group will hold regularly scheduled conference calls, and provide bi-weekly updates to the Executive Board as a standing agenda item on Board conference calls.
- All members of the 209-working group will be required to sign non-disclosure agreements. Vincent Brotski will develop the nondisclosure agreement and send it to Steve Hewitt for distribution to Ron Pate and the working group.
- The Accessibility Policy Group (APG) will hold an electronic vote the week of September 30, 2013 to approve the Accessibility Accommodations and Recommendations presentation, as revised during their September 17<sup>th</sup> conference call. Following the APG vote (if approved) Steve Hewitt will send the presentation to the Executive Board voting members with a request that they vote on approval to send the presentation to the Access Board as it begins its update.
- On September 12, 2013, The Digital Train Line (DTL) Requirements Document with changes, was approved by the Technical subcommittee. The document, as approved, was sent to Bill Bronte by Steve Hewitt, on behalf of Mario Bergeron, along with a request that Bill call for an Executive Board electronic vote to be completed by COB September 17, 2013, and a request that the Board, if it approved the requirements, direct the Technical subcommittee to begin the development of the DTL specification. On September 17, 2013, the Board held the electronic vote and adopted the DTL Requirements. The Board then directed the Technical subcommittee to begin its development of a DTL specification.
- The October 1, 2013 conference call of the Executive Board is canceled. The next call will take place on October 15, 2013. (Note: Chairman Bronte will be absent for the October 15 call and Vice Chair Mario Bergeron has agreed to chair the call).

During the month of October, 2013, the Executive Board met twice via conference call, on the 15<sup>th</sup> and the 29<sup>th</sup>. Some of the key decisions and action items from the month of October, 2013 included:

- The locomotive procurement remains as a standing agenda item to keep the Board updated as to its progress. IDOT is responsible for providing bi-weekly updates. As of the last Executive Board call – 10-15-13 - the RFP was moving along actively with confidential discussions with vendors taking place the following. After these were concluded, there was to be an addendum – likely in early November, 2013, with final proposals due November 27, 2013. The goal continues to be to have a contract executed by the end of February, 2014.
- The Future of the NGEC working group efforts: It was agreed on September 26, 2013 that the NGEC Future working group will be re-constituted and re-convened after the first of the year (January, 2014) and will then resume its work. Until then it will lag behind the 305/209 capital plan working group's efforts, as it is expected that those efforts will serve as an early example of the need for the "new" entity.
- On October 29, 2013, Dan Black, Amtrak, reminded all subcommittee, task force and working group chairs to get their budget requests and SOW in to Darrell Smith as soon as possible. (due date is November 7<sup>th</sup>) Dan noted that an overview of what was needed was sent out by Steve Hewitt last week and was right on point. He also recommended that the chairs use as an example the current SOW, also sent by Steve Hewitt, which has each task force or subcommittee's SOW in it from the current grant agreement. The chairs should replicate that effort and update it as needed.

Darrell Smith expects to have an SOW ready by the next Executive Board (November 12, 2013) and, once the Board approves the SOW and budget, he will take the "re-draft" of the SOW to the Amtrak grants people, and they will finalize it and submit it to FRA for approval.

- Review of Trainset Specification Rev A: Status: Larry Salci has completed his review of Revision A and has prepared a draft report to present to the Review Panel. With the end of the FRA furlough, Steve Hewitt and Larry will discuss scheduling a call of the Review Panel in the coming weeks.

- Regarding the status of the Section 6/deployment project: A revised Task 1 was submitted by the contractor reflecting the comments provided by the SFTF and its working group. A few additional comments will be sent to the contractor and, once the "new" task 1 document is complete the full SFTF will review it and consider it for approval. It will then be sent to the Board for its consideration.
- The 305/209 working group Charge statement has been approved by the Executive Board. The working group will continue to develop its SOW and budget for submittal to Darrell Smith for inclusion in the NGEC revised SOW.

A copy of the NEC NDA will be provided to Vincent Brotski for review in potentially revising the proposed 305-209 NDA.

Amtrak will ask legal to review the approved Charge statement to see if it can be posted publicly or determine if it presents potential problems with confidentiality.

The 305-209 working group will review and work through the proposed governance document and keep the Board apprised of its progress.

- Recruiting additional state members for the NGEC: Ray Hessinger, NYSDOT, will reach out to Pennsylvania and Connecticut to encourage their participation in the activities of the NGEC. Ray reported that Connecticut, which is already participating on the Technical subcommittee, has now also joined the 305-209 working group.

The point should continue to be made that a state does not need to be a member of the Executive Board to be a part of the NGEC and to participate as a voting member on any of the subcommittees or task forces. It is noted that the ATF is in need of additional state members as it has three at the moment and would like to have at least five state members

- Mario Bergeron will provide Melissa Shurland with additional clarification language for the FRA's presentation to the Access Board. Once finalized it will be sent to the access Board and also distributed to the Executive Board and the Technical subcommittee as an FYI.
- Bill Bronte, Eric Curtit, and Steve Hewitt will hold a conference call to discuss upcoming activities that will be required in preparation for the NGEC 2014 Annual Meeting. The ATF will ultimately make recommendations to the Board regarding By-law changes and what other steps are required, and Chairman Bronte will need to appoint a nominating committee in preparation for the election of state members of the NGEC Board.
- Steve Hewitt will re-send the new one page/condensed "backgrounder" for comments by Board members and support staff. Comments are due by COB on November 1st to Steve Hewitt.

During the month of November, 2013, the Executive Board met once via conference call, on the 12<sup>th</sup>. Some of the key decisions and action items from the month of November, 2013 included:

- On November 12, 2013, Executive Board chair Bill Bronte charged the ATF with reviewing and advising the Board on potential "necessary" changes or clarifications in the by-laws especially in regards to state member term limits and a way to encourage states to get involved with the NGEC and stay involved. The ATF should plan provide an update to the Board on December 10, 2013.
- On December 10, 2013, Bill Bronte will appoint a 3-person nominating committee as required by the by-laws. The nominating committee will be charged with recommending state representation to the Executive Board to be voted on at the February 21, 2014 Annual Meeting.
- The new single page two-sided NGEC Backgrounders are ready to go. All Board members will receive a distribution of five copies for their use to start. Additional copies can be requested by contacting Steve Hewitt.
- Recruiting additional state members for the NGEC: Ray Hessinger, NYSDOT, had been tasked with reaching out to Pennsylvania and Connecticut to encourage their participation in the activities of the NGEC. Ray reported that Connecticut, which is already participating on the Technical subcommittee, has now also joined the 305-209 working group.

The point should continue to be made that a state does not need to be a member of the Executive Board to be a part of the NGEC and to participate as a voting member on any of the subcommittees or task forces. It is noted that the ATF needs additional state members as it has three at the moment and would like to have at least five state members.

- The 305/209 working group: The group is progressing well. Revised NDAs are under consideration, the work plan is being developed and the group is reviewing responses to questions submitted to Amtrak.
- In regard to the status of the Section 6/deployment project: A revised Task 1 was submitted by the contractor reflecting the comments provided by the SFTF and its working group. A few additional comments will be sent to the contractor and, once the "new" task 1 document is complete the full SFTF will review it and consider it for approval. It will then be sent to the Board for its consideration.
- Review of Trainset Specification Rev A: The Trainset Revision A Review Panel has received the DRAFT Report and will meet to discuss it and possibly approve it on November 14, 2013. Once approved the report, with recommendations, will be submitted to the Executive Board for its consideration.

Note: On November 14<sup>th</sup> the Review Panel approved with minor corrections, the report and recommendations prepared by consultant Larry Salci. On November 26, 2013, the final report was transmitted to all Executive Board members by Steve Hewitt – on behalf of Chairman Bronte – in preparation for Board consideration of approval on its December 10, 2013 conference call.

- Darrell Smith will draft a revised Budget and SOW for a grant extension revision request. The Executive Board will consider the proposed budget and SOW on its December 10, 2013 conference call. Darrell will have it ready in advance of that call-in presentation form.
- The locomotive procurement remains as a standing agenda item to keep the Board updated as to its progress. IDOT is responsible for providing bi-weekly updates. Confidential discussions were held during the week of October 20, 2013. He noted that addenda had been issued into last week, and there may be one more. John noted that November 27, 2013 is the due date for proposals. The proposals will be opened on December 2, 2013 and subject matter experts will go through them that week, with the evaluation team beginning its work on 12-9-13 and selection the following week. John emphasized that the "goal is to have a contract in place by the end of February, 2014."

During the month of December, 2013, the Executive Board met once via conference call, on the 10<sup>th</sup>. Some of the key decisions and action items from the month of December, 2013 included:

- Chairman Bill Bronte announced that he will retire from California DOT State service effective, December 31, 2013. Effective on that same date, Mr. Bronte will resign as Chairman of the Section 305 NGEC Executive Board and as California's State Representative to the NGEC. Mr. Bronte announced that Stan Hunter, Caltrans, will become California's representative to the Board effective January 1, 2014.
- In accordance with the NGEC By-Laws, Vice Chairman Mario Bergeron will ascend to the Chairman's position and serve through the end of the current term (February 21, 2014) which expires at the time of the 2014 NGEC Annual Meeting.
- In accordance with the By-Laws, Mr. Bergeron will appoint a vice chair to fill out the remainder of the current term. Mr. Bergeron will announce the appointment on January 1, 2014.
- Gerald Sokol was named Amtrak CFO, and, as such, became Treasurer of the NGEC Executive Board and vice chairman of the Finance subcommittee. Special thanks go out to Dan Black who had taken on those NGEC responsibilities while serving as Amtrak's acting CFO.
- On December 10, 2013, the Executive Board approved the SOW as submitted and presented on the conference call. The Board also approved the budget accompanying the revised SOW, pending FRA review of supporting details. The FRA anticipates completing the review by the January 7, 2014 Executive Board conference call.

- On December 10, 2013, the Trainset Revision A Review Panel Report and Recommendations was approved by the Executive Board. By consensus vote the Board accepted the report and recommendations, and has adopted Revision A of the PRIIA Trainset specification.
- It was reported that a revised Task 1 of the Section 6/fleet deployment project is under review by the full SFTF with all comments due by COB December 16, 2013. The target for consideration by the Executive Board is January 7, 2014.
- The 305/209 working group is progressing well and states that have signed NDA's are working with Amtrak gathering information and asking questions. Progress towards completing the working group's charge is being made.
- In regard to potential By-law revisions, the ATF submitted proposed changes to the Board on November 25, 2013. ATF chair Eric Curtit and 305 support manager Steve Hewitt reviewed those changes on the December 10, 2013 Board call. The general "sense of the room" was that the by-law changes are acceptable, and a formal vote will take place on the January 7<sup>th</sup>, 2014 Board conference call.
- On the December 10, 2013 conference call, per the NGECE By-Laws, Chairman Bronte appointed Eric Curtit, Missouri DOT; Ron Pate, Washington State DOT; and Ray Hessinger, NYSDOT to the nominating committee. All three accepted the appointment. The committee is charged with bringing forward a slate of state representatives to be considered for election to the Executive Board at the Annual Meeting on February 21, 2014. The other Board positions (Amtrak CMO, Amtrak CFO, and FRA) are automatic.
- The new single page two-sided NGECE Backgrounders are ready to go. All Board members will receive a distribution of five copies for their use to start. Additional copies can be requested by contacting Steve Hewitt.
- Also on December 10<sup>th</sup> it was agreed that the December 24, 2013 Executive Board call will be canceled. Steve Hewitt will send cancellation notices to all Board member calendars.
- It was also agreed that the next meeting of the NGECE Executive Board will take place, via conference call on January 7, 2014. Calls will continue to be held every two weeks as currently scheduled from that point until the Annual Meeting, and then the new Board chair will make a decision as to the frequency of the calls.

During the month of January, 2014, the Executive Board met twice, via conference call, on the January 7 and 21. Some of the key decisions and action items from the month of January, 2014 included:

- Effective January 1, 2014, Vice Chairman Mario Bergeron ascended to the Chairman's position (in accordance with the NGECE by-laws) to fill out the remainder of retired Chairman Bill Bronte's term of office - through February 21, 2014.
- Effective January 1, 2014, Stan Hunter, Caltrans, became California DOT's representative to the Executive Board filling out the remainder of Mr. Bronte's term – through February 21, 2014.
- Also in accordance with the NGECE By-Laws, on January 1, 2014, incoming Chairman Mario Bergeron appointed Eric Curtit, Missouri DOT, as Vice Chair to fill the seat vacated by Mr. Bergeron's move to the Chairman's position. Mr. Curtit will also fill out the remainder of the current term of office in this role - through February 21, 2014.
- A formal Grant agreement extension request and Budget and Statement of Work (SOW) through June 30, 2015 was submitted by Amtrak (as approved by the Executive Board) on January 7, 2014. The FRA has acknowledged receipt of the grant agreement extension request and has reported that it is going through the review process. Paul Nissenbaum, FRA, reported on January 21, 2014, that he does not foresee any problems at this point, and anticipates having approval by the February 4, 2014 Executive Board call.

- On January 7, 2014, the Executive Board unanimously approved by-law changes as submitted by the Administrative Task Force (ATF) on November 25, 2013. On January 7<sup>th</sup>, Steve Hewitt incorporated the changes into an updated version of the by-laws and asked AASHTO to post them to the website. Steve also distributed the updated by-laws to all Board members for their files.
- On January 7, 2014, as requested and approved previously by the Finance subcommittee and the Administrative Task Force, the Executive Board unanimously approved the following motion: "As was intended in past NGECE budget approvals and to ensure compliance with the Audit of Grant Agreement of March 27, 2013, and the NGECE's updated Procedure of Establishing Contract Support adopted August 6, 2013, the NGECE authorizes Amtrak to contract with AASHTO for administrative support services as well as subsequent sub-contracts with the Ewing-Hewitt Alliance for Manager of Support Services and Policy Analysis Consultant and with SalciConsult for Specification Consultant services. In addition, contingent on the Federal Railroad Administration's approval of the NGECE's Supplemental Statement of Work and related budget extension through June 30, 2015, Amtrak is authorized to extend its agreement with AASHTO and AASHTO's sub-consultants in accordance with the Statement of Work."
- On January 21, 2014, John Oimoen, IDOT, reported that the diesel-electric locomotive procurement is progressing well. The pre-award Buy America audit should be completed by the end of the week, and then it will go to FRA for its review. The anticipated timeline is mid-February, 2014 for contract award, with a Notice to Proceed anticipated for early March, 2014. Preliminary design review could come as early as September, 2014.
- On January 21, 2014, Stan Hunter, Caltrans, provided a status update on the bi-level cars procurement. He reported that the anticipated schedule is: preliminary design review by the end of February, 2014; with a mock up review by early March, 2014. Final design review is targeted for the end of April, 2014. In early to mid-April the team will meet with FRA and Volpe, after the car shell final review, which is scheduled for March 20-21, 2014 in Japan.
- On January 21, 2014, Eric Curtit, chair of the Structure and Finance Task Force, (SFTF) reported that a Task 1 of the Section 6/fleet deployment project was under consideration via an electronic vote by the SFTF members. If approved, it will be sent to the Executive Board for its consideration possibly as soon as its next call – February 4, 2014.
- The 305/209 working group is progressing well and states that have signed NDA's are working with Amtrak gathering information and asking questions. Progress towards completing the working group's charge is being made.
- On January 21, 2014, the following action items were assigned in preparation for the February 21, 2014 NGECE Annual Meeting:
  - o Paul Nissenbaum, FRA, will check with FRA Administrator Szabo about his availability participate and address the attendees. It was agreed that the agenda will be made flexible to accommodate Administrator Szabo's schedule.
  - o Stan Hunter, Caltrans, will ask Nippon Sharyo/Sumitomo Corporation if they would like to present a status update on the bi-level car.
  - o John Oimoen, IDOT, will check with Siemens industry to see if they would like to give a presentation on the diesel electric locomotive effort.
  - o Chairman Bergeron will invite Matt Kelly, Amtrak Government Affairs, to provide an Amtrak update as he has done in the past.
  - o Steve Hewitt will distribute the preliminary agenda following today's conference call.
  - o On the Executive Board call on February 4, 2014, the intent is to finalize the agenda as best as possible with confirmation of the invited speakers.

During the month of February, 2014, the Executive Board met once via conference call, on the 4<sup>th</sup>, and once at the 4<sup>th</sup> Annual NGEC Meeting held on the 21<sup>st</sup> in Washington, DC at the Hyatt Regency on Capitol Hill. The meeting was attended by approximately 70 members of the NGEC including representatives from Amtrak, FRA, the states, and the rail manufacturing and supply industry.

Overall, the meeting was very successful and productive. The participation was excellent with about 70 in attendance – including industry members, states, Amtrak, FRA, FTA, APTA and, of course AASHTO. Members of the full Committee heard updates from all of the NGEC subcommittees, task forces, and working groups and made some key decisions moving forward. All of the presentations are (or will be) posted to the NGEC website at [www.ngec.org](http://www.ngec.org) and I also distributed them to the entire email list earlier this week.

Some of the key decisions and/or action items resulting from the meeting included:

Most notably, the Committee elected a new Board to a two year term beginning at the close of the Annual Meeting and running through the close of the 2016 Annual Meeting. The election was to name the states representatives to the Executive Board, as the Amtrak and FRA seats on the Board are permanent. Amtrak has two seats - Mario Bergeron, as Amtrak CMO and Gerald Sokol, as Amtrak CFO; and the FRA has one seat – Paul Nissenbaum representing Joe Szabo.

The states elected to serve on the Board are:

Michigan DOT – Tim Hoeffner  
Missouri DOT – Eric Curtit  
New York DOT – Ray Hessinger  
California DOT – Stan Hunter  
Illinois DOT – John Oimoen  
North Carolina DOT – Paul Worley  
Wisconsin DOT – Le Anna Wall  
Iowa DOT – Tammy Nicholson  
Oklahoma DOT – Craig Moody  
Washington State DOT – Ron Pate  
Oregon DOT – Michael Jenkins  
Maine DOT – NNEPRA representative - Brian Beeler II

This new Board then elected its officers, and they are:

Eric Curtit – Chair  
Mario Bergeron – Vice Chair  
Gerald Sokol – Treasurer  
Ray Hessinger – Secretary

In other key business, the Executive Board accepted the Section 6/Fleet Deployment project Task 1 report as recommended by the Structure and Finance Task Force (SFTF).

The Board then assigned Tasks 2 and 3 to the mid-west states to develop the Section 6 and Fleet deployment plans as grant recipients. This is a change in what was originally proposed. The intent was to have Tasks 2 and 3 done by consultants through the SFTF. The thought now is this effort is better served by the recipient states themselves. The NGEC will remain involved in more of an oversight role with the mid-west states providing updates on a regular basis to the Executive Board – this will be a standing agenda item on Board calls.

The Board also agreed to shift the other functions of the SFTF to the Finance subcommittee. The key item will be the effort to explore financing options for the NGEC and for passenger rail equipment procurement.

There was a report on the activities of the 305-209 (514) working group and it was agreed that this effort is progressing, but has a lot more work to do. It will continue to move forward and will remain as an ongoing standing agenda item on Executive Board calls.

It was also reported during the Annual Meeting that the amended SOW and Budget for a grant agreement extension that will take it through June 30, 2015 was in the signature phase. On February 26, 2014 Steve

Hewitt received confirmation that the agreement had been signed. I then distributed that message along with the signed agreement and SOW and Budget to all members of the NGECC.

This was great news and a compliment to all involved as it clearly sends a message that the work of the NGECC is recognized as important and necessary. It is also a credit to the NGECC leadership for efficient management of a very small amount of money – relatively speaking - \$4 million in total.

The incoming chair – Eric Curtit – provided an overview of what his plans are for continuing the work of the NGECC.

In part, here is what Eric had to say:

“The NGECC is about results. It is mostly voluntary and includes representatives from Amtrak, FRA, states, the rail equipment industry – it is a huge collaborative voluntary effort! We have developed great specs – five so far – and they are top notch. None of this would have been possible without the help of everyone in this room.”

Eric continued by noting the specification revision/document management process and how efficient it is. He also emphasized that, because of the specifications that have been developed and the standardization efforts “costs have been lowered for ICPR – the bi-level car procurement resulted in a 36% savings from what the anticipated costs were. Our results overall have been great so far.”

“Moving forward we have the resources to go for another 1½ to 2 years as far as funding goes. I will do all I can to manage those resources well and efficiently. We will continue to work on specification review and to help the states with the Section 6 requirements.”

“We will also look at what is the NGECC to become in the future – it all folds in with the 209 effort.”

“We will consolidate the SFTF functions – probably to be housed in the Finance subcommittee.” In general, Eric sees the Committee moving forward, running efficiently, and accomplishing a tremendous amount.

In closing his remarks, Eric emphasized “this is the most rewarding thing I’ve done in my career”, and it seems this is a sentiment expressed by many of those involved with the NGECC these past four years.

During the month of March 2014, the Executive Board met twice, via conference call – on the 4th and 18<sup>th</sup>.

Some of the key decisions and/or action items resulting from these calls included:

- At the Annual Meeting, the Executive Board accepted the Task 1 report and determined that Tasks 2 and 3 will move to the mid-west states to develop their Section 6 plans. On March 4, 2014, Chairman Curtit requested that a progress report from the Mid-west states on this activity be inserted as a standing agenda item on bi-weekly Executive Board calls. On March 18, 2014, Mr. Curtit reported, on behalf of the Mid-west states, and informed the Board that the effort is underway with the mid-west states meeting face to face on a monthly basis.
- Ron Pate, Washington State DOT, and chair of the 305-209 (514) Capital Access Plan Working Group has agreed to provide an updated list of the members of the working group to Steve Hewitt to update the NGECC record.
- On March 18, 2014, Mr. Pate reported that a DRAFT SOW for a consultant for the 514-working group is under review by core members with the intent to bring it to the Board for its consideration on the April 1, 2014 call.
- The 2 NGECC multi-state procurements – bi-level cars and the diesel-electric locomotives- continue to be standing agenda items on the Executive Board calls. As of March 18, 2014, it was reported that the bi-level car procurement is currently in the process of “mock up” review. It was also reported that the locomotive procurement is progressing well with a master agreement having been signed and a notice to proceed having been given to Siemens Industries. An official kick off meeting is scheduled for April 14-15, 2014 in Sacramento, Ca.



- On March 18, 2014, Chairman Curtit asked Board members to begin thinking about how to resume with the effort to determine the NGEC future – what it will do and what its structure will be. Steve Hewitt was asked to send out relevant material from the previous NGEC Future Working Group to remind board members of “where we left off.” Board members were asked to review the material and think about how best to proceed moving forward. The material was sent to all Board members on March 18, 2014 – following the conference call. This topic will be an agenda item on the April 1, 2014 conference call.
- Brian Beeler II will provide the Executive Board with a letter from Maine DOT designating Brian Beeler/ NNEPRA as its NGEC representative. This task is complete, with a letter having been received from Maine DOT Commissioner appointing NNEPRA (Brian Beeler II) as its NGEC Executive Board representative. The letter has been filed by Steve Hewitt for the record. Task Complete.

During the month of April, 2014, the Executive Board met three times via conference calls – on the 1<sup>st</sup>, the 15<sup>th</sup> and the 29<sup>th</sup>.

Some of the key decisions and/or action items resulting from these calls included:

- Regarding Fleet management and Section 6 requirements. The Mid-West states have been meeting monthly. FRA's Wynne Davis has been the driving force in getting the group together. Some of the key topics under discussion include: Fleet management – communication and coordination; and Ownership – options.
- Progress has been made in regard to Bi-Level Car change requests (DCRs). The DCRs have been submitted to the Revision Control Coordinator Dave Warner (also - Eric Curtit and Jeff Gordon, FRA) by and are currently under review. The next steps are; once reviewed and finalized; the DCRs will be submitted to NGEC Executive Board Chairman Curtit who will, in turn, convene the Bi-Level Review Panel to begin its review of the change requests against the requirements document. Larry Salci will be the consultant to the Review Panel and will develop the report with recommendations for its consideration, and ultimate approval for submittal to the Executive Board.
- The 2 NGEC multi-state procurements – bi-level cars and the diesel-electric locomotives- continue to be standing agenda items on the Executive Board calls.

As of April 29, 2014, it was reported that the bi-level car procurement is in the second week of a two-week Final Design Review (FDR) in Chicago, Illinois. The next step will be to begin holding monthly progress review meetings either in Chicago or Rochelle, Illinois. The effort will shift from the engineering side to the manufacturing side.

As of April 30, 2014, the Diesel –Electric Locomotive procurement has been progressing well. A kick-off meeting took place in Sacramento, CA at the Siemens plant April 14-15, 2014. Preliminary Design Review (PDR) is scheduled to begin the week of May 19<sup>th</sup>, 2014.

- On April 30, 2014, Chairman Curtit reported on his intentions to re-constitute the NGEC Future Working Group, and asked for interested participants willing to serve on the working group to contact him.
- On April 30, 2014, Eric Curtit announced that the next face to face meeting of the NGEC Executive Board will NOT take place in conjunction with the AASHTO SCORT conference September 7-10 in Denver, Colorado. Instead, Eric is looking for suggestions for a location and potential dates for a separate fall meeting of the Executive Board with a focus on advancing the NGEC future effort.
- Ron Pate, Washington State DOT, reported on the progress of the 514-working group. Some of the key items still to be addressed include: The Amtrak audit process; the reconciliation process; how to incorporate spreadsheet information into a form that can become a public document; and a Draft Capital Investment plan.

During the month of May, 2014, the Executive Board met twice via conference call – on the 13<sup>th</sup> and the 27<sup>th</sup>.

Some of the key decisions and/or action items resulting from these calls included:

- Mid-west States – Section 6 progress report: This remains as an ongoing agenda item. RFIs for a fleet manager and a fleet maintainer are expected to be released in late June or early July, 2014.
- 514 Working Group updates: Ron Pate continues to provide updates to the Board on the progress of the working group. During the month of May, Ron participated in a meeting with FRA, Amtrak, STB and other 209 working group chairs arranged by FRA and held in Washington, DC.
- Bi-Level Review Panel Membership: Eric Curtit will continue to follow up with NCDOT about possibly becoming a member of the Bi-Level Review Panel. Wisconsin has named Arun Rao as its member to the bi-level car and the d-e locomotive Review Panels.
- NGEN Procurement updates: The 2 procurements – bi-level cars and the diesel-electric locomotives- will continue to be standing agenda items on the Executive Board calls.
- NGEN Future discussion: Eric Curtit has reached out to some Board members and support staff asking for their participation on a re-constituted NGEN Future Working Group. Eric will follow up with additional scope and scale and anticipates announcing the members of the group and its next steps on the June 10, 2014 call of the Executive Board. Eric will also reach out to Mario Bergeron to discuss the scope.
- Three potential locations have been submitted for consideration for the next Board face to face meeting. The proposed locations are: Detroit, Michigan; Wilmington, DE; and Washington, DC. Discussion about the location and a date will take place on the June 10<sup>th</sup> call.
- The ATF is developing straw man proposal to guide it in evaluating topics for the webinar series and to decide if it has enough of a connection for the NGEN to sponsor it or if it should be referred to AASHTO's Rail Resource Center. The ATF will be considering the proposal on its June 6<sup>th</sup> call and will keep the Board informed.
- It was agreed that the NGEN should be involved on a national level in working with the host Railroads in regard to new equipment. Tim Hoeffner and Steve Hewitt will have a call to discuss potential next steps for the NGEN's involvement in working with the host Railroads on implementation of the next generation equipment.

During the month of June, 2014, the Executive Board met twice via conference call – on the 10<sup>th</sup> and the 24<sup>th</sup>.

Some of the key decisions and/or action items resulting from these calls included:

- Mid-west States – Section 6 progress report: This remains as an ongoing agenda item. RFIs for a fleet manager and a fleet maintainer are expected to be released in late June or early July, 2014. One of the challenges is the ownership of both types of vehicles they will have moving forward.
- 514 Working Group updates: Ron Pate continues to provide updates to the Board on the progress of the working group. On June 24<sup>th</sup> Ron Pate reported that Amtrak has proposed a credit for State of Good Repair. And has provided a lot of information to the group in regard to reconciling the rate of spending. Ray Hessinger, NYSDOT, has supplied information that reconciles and justifies costs associated with Amtrak fleet in states. The group is getting to a point where it believes it will have a document that will help serve as a guide for states into the future with Capital Equipment.
- NGEN Procurement updates: The 2 procurements – bi-level cars and the diesel-electric locomotives- will continue to be standing agenda items on the Executive Board calls.

Diesel-electric locomotive: This efforts is moving forward and a more detailed progress report will be forthcoming in July.

Bi-Level cars: The Bi- Level Specification Change requests summary sheet has been sent to Review Panel consultant Larry Salci. Upon completion of his review and preparation of a draft report, the Bi-

Level Review Panel will convene in a conference call to provide input to the report and ultimately make a recommendation to the Executive Board in regard to the proposed change requests.

- NGEF Future discussion: Chairman Curtit has reached out to some Board members and support staff asking for their participation on a re-constituted NGEF Future Working Group.

As of June 24<sup>th</sup> the working group membership was announced as: Eric Curtit, Missouri DOT, Chair; Ray Hessinger, NYSDOT; Tim Hoeffner, Michigan DOT; Michael Lestingi, FRA; Mario Bergeron, Amtrak; Shayne Gill, AASHTO; Steve Hewitt; NGEF Manager; Nico Lindenau (FRA support)

- Three potential locations had been submitted for consideration for the next Board face to face meeting. The proposed locations were: Detroit, Michigan; Wilmington, DE; and Washington, DC.

In June it was agreed that the meeting will be held in Wilmington, Delaware. AASHTO will begin looking at dates and logistics for two days in October, 2014.

- The ATF is developing a straw man proposal to guide it in evaluating topics for the webinar series and to decide if it has enough of a connection for the NGEF to sponsor it or if it should be referred to AASHTO's Rail Resource Center. The ATF will be considering the proposal on its August 1st call and will keep the Board informed.
- It was previously agreed that the NGEF should be involved on a national level in working with the host Railroads in regard to new equipment. A draft outline of proposed next steps prepared by Tim Hoeffner, Michigan DOT, has been circulated to all Board members. This item will be discussed further on the July 22<sup>nd</sup> Executive Board call.
- In June, Eric Curtit announced that Amtrak CFO Gerald Sokol has named Darrell Smith as his designated representative on the NGEF Executive Board. Darrell will also assume Jerry's former responsibilities as NGEF Treasurer and Chairman of the Finance subcommittee.

During the month of July, 2014, the Executive Board met once via conference call – on the 22nd.

Some of the key decisions and/or action items resulting from these calls included:

- Mid-west States – Section 6 progress report: This remains as an ongoing agenda item. One of the more significant issues under discussion is that of governance. John expects that the group will have a resolution to this issue in the near future.
- 514 Working Group updates: Ron Pate continues to provide updates to the Board on the progress of the working group. As of July 22, the 514 group is working on completing the capital plan. Darrell Smith, Amtrak, is going to go to Washington State to finalize the draft plan. The intent is to have the working group approve the plan and bring it to the NGEF Executive Board for its input/approval by mid-September, 2014.
- NGEF Procurement updates: The 2 procurements – bi-level cars and the diesel-electric locomotives- will continue to be standing agenda items on the Executive Board calls.
- Diesel-electric locomotive: Good progress is being made. The team is doing follow ups on the Preliminary Design Review (PDR) action items. A Quality Assurance alignment meeting was held at the Siemens factory.

There will be a mock-up of cabs and trucks at Siemens from August 19-21<sup>st</sup>, 2014.

Intermediate Design Review (IDR) items will be addressed beginning in late September in Chicago.

- Bi-Level cars: As of July 22, there had been a meeting in mid- July in Rochelle, Illinois to fine tune the production schedule. Getting to a primavera schedule is a key to determining option assignments for additional orders.

They are working on open items for the IDR and moving on to completing the Final Design Review (FDR) open items.

A major issue still being resolved has to do with weight reduction. There have been a number of re-engineering proposals put forth to reduce weight. Stan will have more to report on this on the next call.

Larry Salci (consultant to the FRA) confirmed Stan's summary and added that Nippon Sharyo is completing Phase 3 at the plant to make the car shells in the U S – they should be fully operational by September, 2014. Larry also noted that he "is confident that they will meet their schedule and the options will be favorable".

- NGEN Future discussion: Chairman Curtit has developed a "draft" scope of work for the NGEN Future Group. It was distributed on July 31, 2014 to WG members for review and comment by August 8<sup>th</sup>.
- Fall Face to Face Meeting of the NGEN Board: The Board will meet in Wilmington, DE in October, 2014. Steve Hewitt is working with Andrea Ryan, AASHTO on logistics.
- The ATF is developing a straw man proposal to guide it in evaluating topics for the webinar series and to decide if it has enough of a connection for the NGEN to sponsor it or if it should be referred to AASHTO's Rail Resource Center. The ATF will be considering the proposal on its August 1st call and will keep the Board informed.
- It was previously agreed that the NGEN should be involved on a national level in working with the host Railroads regarding new equipment. A draft outline of proposed next steps prepared by Tim Hoeffner, Michigan DOT, has been circulated to all Board members. On July 22, 2014 Jeff Gordon, FRA, reported to the Board, that he is working with Jim Grady, AAR, to identify a list of what issues the freight railroads have and what they would like to learn. Once the list has been developed Jeff will report back to the Board.
- Review of Bi-Level Car and D-E Locomotive Change Requests:

Bi-Level Review timeline:

Eric Curtit has submitted the change requests for the bi-level cars to Larry Salci. On July 22<sup>nd</sup>, Larry confirmed that he has received the changes (there are 106 DCRs in total – 22 minor and 84 major changes) and has spoken about them with Dave Warner. Larry anticipates mid-August for completion. Larry will inform Eric Curtit and Steve Hewitt of his timeframe for getting the draft report out to the bi-level review panel. Steve will then schedule a review panel conference call accordingly.

- D-E Locomotive Change requests:

On July 22<sup>nd</sup> John Oimoen, IDOT, reported that the procurement team is pulling together the list of changes for the D-E locomotive and they hope to have it ready to be sent to Dave Warner for his review by the end of July, 2014.

During the month of August, 2014, the Executive Board met on the 5<sup>th</sup> and 19<sup>th</sup>. Key decisions and actions from the month of August, 2014 included:

- Mid-west States – Section 6 progress report: This remains as an ongoing agenda item. Progress is being made – governance is a key issue yet to be resolved – a meeting between FRA and the states is taking place today – 8-19-14.
- 514 Working Group updates: The Capital Equipment 5 Year Plan is currently under review by members of the Working Group. A final draft should be ready by August 25<sup>th</sup> for consideration of Working Group approval on August 27<sup>th</sup>. From there it will go to the NGEN Board for its consideration
- Diesel Electric Locomotive procurement: On August 19<sup>th</sup> the following update was submitted by IDOT:

"Follow-up action items for Preliminary Design Review (PDR) are closed.

Milestone A CDRLs are nearly all closed, with only a few action items remaining for Siemens to re-submit.

We anticipate first invoice for PDR in August (Milestone B – for PDR). Caltrans has expressed concern that FRA may need more back-up to close and approve milestone payments.

Mock-up reviews for locomotive cab and trucks are scheduled for Week of September 8th at Siemens factory.

Intermediate design review (IDR) is scheduled for weeks of September 29 – October 3, October 20 and November 10 in Chicago at PB's large meeting room at 30 LaSalle St.

The list of proposed specification revisions (DCRs - 15 items at this time) has been submitted to Dave Warner at NGECC on 8/6.

The EMD law suit was dismissed earlier this month."

- Bi-Level Car procurement: On August 19, 2014, Caltrans reported that:

The Bi-Level Car procurement is progressing very well.

They are currently undergoing a routine project management audit by FRA.

The FRA and the states continue discussions to get grant agreement amendments in place to allow for options for additional orders.

Once approved, the additional orders will increase the number of cars from 130 – 175. This would mean that California would go from 42 -53 cars and the Mid-West states order would increase from 88-122 cars.

There are weekly calls going on with the FRA on the amendments.

Nippon Sharyo is transitioning into the first article inspection phase.

March 15, 2015 is the anticipated date for the first car shell to be produced.

Truck assembly is scheduled for May of 2015 and on into production.

A three-party agreement (Caltrans, Mid-West states, Amtrak) is being worked on for OBIS – Amtrak is awaiting the award of its contract with NOMAD on OBIS first and then the 3 party agreement will, hopefully be settled.

- 514 Working Group: On August 19, 2014, Ron Pate reported that:

The working group is currently reviewing the DRAFT CIP. Jeremy Jewkes is WSDOT's lead on the CIP.

The anticipated schedule is to have a final DRAFT by August 25, 2014; obtain working group approval on August 27, 2015 and then submit it for NGECC Executive Board approval. The Board approval timeline will be established by Eric Curtit and Steve Hewitt.

The CIP will be a living document which should help the states and Amtrak keep the program moving forward for maintaining the equipment.

- The NGECC Future Working Group will hold a brief kick-off meeting today following the Board call. The Working Group expects to meet following the regular Board bi-weekly calls from today through to the October meetings in Wilmington, DE.

- Steve Hewitt will continue to work with Andrea Ryan on logistics for the Wilmington, DE meeting of the NGECE Executive Board. Currently it is anticipated that the meeting will take place over two days – October 23 and 24. The intent is to have a meeting of the NGECE Future Working Group in the morning of October 23<sup>rd</sup>, with a facility tour in the afternoon for the full Board and a face to face full day meeting of the Board on October 24. Final meeting room and hotel logistics are being negotiated by AASHTO. It is anticipated that this should be finalized by the end of this week. (8-22-14)
- Host Railroad Blessing of NGECE equipment: Jeff Gordon is working with Jim Grady, AAR on a list of issues the freight railroads have and on what they need to learn about from their perspective. A meeting between Jeff and Jim is expected to take place this week. Jeff will keep the Board apprised.
- Bi-Level Car Review: Stan Hunter, Caltrans, reported that he is working on an additional 15 DCRs for consideration. Dave Warner suggested that rather than approve the current DCRs under consideration by the Review Panel now, and then take up the additional 15, it would make sense to wait and do them all together as a part of Revision C.2. Dave Warner's suggestion was accepted. Steve Hewitt will send a cancellation notice to calendars for tomorrow's Review Panel call; and Dave Warner will contact Larry Salci to let him know that additional DCRs are being prepared and will be forthcoming (by the end of the week is the goal). Larry will be asked to include these additional DCRs in his report with recommendations for Rev C.2. Once Larry has received the new items he will inform Steve Hewitt and the Board of his anticipated timeline for completion.
- D-E Locomotive DCRs: Eric Curtit reported that he had received the list of D/E Locomotive DCRs from Dave Warner and will now transmit them to consultant Larry Salci who will prepare a report with recommendations for the D/E Locomotive Review Panel to consider and ultimately submit to the Executive Board.

During the month of September, 2014, the Executive Board met on the 2<sup>nd</sup>, 16<sup>th</sup> and 30<sup>th</sup>. Key decisions and actions from the month of September, 2014 included:

- Mid-west States – Section 6 progress report: This remains as an ongoing agenda item. Progress is being made – they are finalizing the RFP for a Fleet Manager and the RFI for a Fleet Maintainer. They are continuing to finalize the schedule to ensure that they get all ARRA funds committed. A subgroup has been established to address the issue of ownership and will report back to the full group in October. There was no update report today.
- 514 Working Group updates: The Capital Equipment 5 Year Plan (CIP) memorandum and the CIP itself have been approved by the 514 Working Group and sent to Eric Curtit for Executive Board consideration. On September 30<sup>th</sup>, it was agreed that Ron Pate and John Tunna would each draft a specific motion regarding approval or acknowledgment of the CIP and identifying/clarifying what it means.  
  
On the next call (10-14-14) the Board will discuss and hopefully come to a decision on which motion (or what combination of both) should be taken up by the Board. Eric has asked that the proposed motions be provided to Steve Hewitt and Eric Curtit by COB Monday, October 6<sup>th</sup> for distribution to Board members for their review in advance of the next call.
- The NGECE Future Working Group: The group continues to meet bi-weekly following the Executive Board calls. The Working Group will meet face to face in Wilmington, DE on October 23<sup>rd</sup> to finalize its recommendations for presentation to the Executive Board on October 24<sup>th</sup>.
- Face to face meetings in Wilmington, DE: The Executive Board will meet on 10-24-14 and the NGECE Future Working Group will meet on 10-23-14 at the DoubleTree Hotel Downtown – Wilmington, DE.
- D-E Locomotive DCRs: The list of proposed DCRs for the D/E locomotive has been sent to Larry Salci (from Eric Curtit) Larry Salci expects to complete the draft report by the end of this week – and, at that time it will be sent to Locomotive Review Panel members for their review with a conference call to be scheduled.
- Bi-Level Car Review: The DRAFT Review Panel Report has been prepared by Larry Salci and distributed to the Review Panel members. The panel is scheduled to meet, via conference call, on October 16<sup>th</sup> to consider approval of the report and submittal to the Board for its consideration.

- DTL Hardware Specification: The specification, as approved by the Technical subcommittee on 9-11-14, was adopted on 9-30-14 by the Executive Board.

Dave Warner will notify spec writer Camren Cordell to prepare the signature page for all appropriate signatures and, once signed and completed it will be submitted to AASHTO for posting and to Steve Hewitt for distribution to NGEC members.

- The Finance subcommittee requested that the Executive Board accept its recommendation to use the remaining available funds (approximately \$51,000) from the Ewing contract for the continued operation of the NGEC. On its call on 9-30-14 the Executive Board accepted the Finance subcommittee recommendation and the money will be used as noted.

During the month of October, 2014, the Executive Board met once via conference call – October 14 – and once at a face to face meeting held in Wilmington, DE on October 24, 2014. Key decisions and action items for the month of October, 2014 included:

- Mid-west States Section 6 progress report: This remains as an ongoing agenda item. The RFP for a Fleet Manager continues to be developed, and an RFI for a Fleet Maintainer is being prepared by Michigan DOT.
- 514 Working Group updates: The Capital Equipment 5 Year Plan (CIP) memorandum and the CIP itself have been accepted by the Executive Board consideration (10-14-14)

At the meeting in Wilmington (10-24-14) the Executive Board formally approved the establishment of a 514 subcommittee to begin to address the next steps as identified in the CIP.

- NGEC Procurement updates: The 2 procurements – bi-level cars and the diesel-electric locomotives- will continue to be standing agenda items on the Executive Board calls.
- The NGEC Future Working Group recommendations: On 10-24-14, the Executive Board accepted and adopted the recommendations of the NGEC Future Working Group by approving three separate motions as described below:

First motion:

To adopt the Committee Mode as described above (to establish a budget with a burn rate of \$460,000 per year; to create a Finance and Administrative Subcommittee to replace/consolidate the Finance subcommittee and Administrative task force – Darrell Smith as Chair and Ray Hessinger and Brent Thompson as vice chairs; to formally establish the "514" subcommittee - Ron Pate as Chair; and to absorb the NGEC working group functions as an integral part of the NGEC Executive Board's responsibilities and create a standing agenda item dedicated to these activities).

Motion #2:

To direct the Finance and Administrative subcommittee to develop a Statement of work and budget for a no-cost Extension of the current grant agreement with FRA through September 30, 2017; and to recommend NGEC by-law changes, as appropriate, reflective of the changes resulting from adoption of the Committee Mode recommendation.

Motion #3:

To direct the Finance and Administration subcommittee (FASC) to propose/recommend funding options for the NGEC in time for the Executive Board to act on the recommendation by October, 2015.

- The NGEC Future Working Group activities: The work of this group will be absorbed as a full Executive Board activity and will become a standing agenda item on all Executive Board conference calls beginning on November 18, 2014.

- Bi-Level Car Revision C.2: Today, the Executive Board adopted Rev C.2 – Larry Salci will finalize the review panel report to include the details provided by Stan Hunter.
- D-E Locomotive DCRs: Larry Salci has completed a draft report on the revisions with recommendations. Mr. Salci will send it to Steve Hewitt for distribution to Locomotive Review Panel members for their review, with a conference call to be scheduled over the next few weeks.
- Letter to the FRA: On 10-24-14, the Executive Board agreed to formally ask the FRA for a FY2016 budget request for funding for the development and maintenance of specification standards. Eric Curtit and Steve Hewitt will draft a proposed letter, for Board review, to be submitted to the FRA. This is not meant to be the funding options solution for sustaining the NGEC in the long term, but is seen as one potential future resource which would mirror funding provided to some of the other transportation modal administrations.
- The Finance and Administrative subcommittee (FASC), as established by the Board on 10-24-14 will:  
  
Organize itself and set its agenda. The first call is currently scheduled for November 19, 2014.  
  
Will begin its review of the by-laws to revise, where necessary, to reflect the changes approved on 10-24-14. (Chairman Smith will contact Ray Hessinger to discuss beginning a by-law review with the assistance of Steve Hewitt)  
  
Will begin to develop a revised Statement of Work and budget for a no-cost extension of the current grant agreement through September 30, 2017, as agreed on 10-24-14 and as so directed by the Executive Board.  
  
Will begin developing a proposal for potential funding options to present to the Board for its consideration by October, 2015.

During the month of November, 2014, the Executive Board met once via conference call – on the 18<sup>th</sup>. Key decisions and activities reported for the month of November, 2014 included:

- Mid-West States - Section 6 progress report: An RFP for a Fleet Manager is being finalized, and an RFI for a Fleet Maintainer has recently been released.
- 514 Subcommittee update: The subcommittee is working on the FMCS implementation comments. States who still wish to submit comments should send them to Jeremy Jewkes at [jewkesJ@wsdot.wa.gov](mailto:jewkesJ@wsdot.wa.gov).
- Host Railroad Blessing of NGEC equipment: Criteria for new equipment has been developed by the locomotive committee. The committee will brief Jim Grady, AAR on the criteria. Following this – a subgroup will be formed to work with the NGEC after the beginning of the new year – 2015.
- D-E Locomotive Specification Revision A.1: The Locomotive Review Panel will met on November 21, 2014, via conference call, to review the DRAFT report and recommendations in anticipation of considering its approval and subsequent submittal to the Executive Board. The Panel approved the report as submitted, and it will be sent to the Executive Board for consideration on its next call – 12-9-14.
- Scheduling the 2015 NGEC Annual Meeting: The meeting will take place in Washington, DC on February 20, 2015. Logistical information was sent to all Board members on November 26, 2014. The location of the meeting will be the Hyatt Regency Hotel on the Hill, Washington, DC.
- NGEC Future: The Finance and Administrative subcommittee (FASC) has several assignments which are to be the first steps taken towards establishing the NGEC future – short term and long term.

The Finance and Administrative subcommittee will organize itself and set its agenda. The first call was held on November 19, 2014.



The FASC has begun its review of the NGEC by-laws to revise, where necessary, to reflect the changes approved by the Board on October 24, 2014.

The FASC will begin to develop a revised Statement of Work and budget for a no-cost extension of the current grant agreement through September 30, 2017.

The FASC will begin developing a proposal for potential funding options to present to the Board for its consideration by October, 2015.

- Determining the NGEC Future: will remain as a standing agenda item on all future Executive Board calls.
- Status Update: Bi-Level Car procurement

The week before last First Article Inspections (FAI) took place in Willets, Ca. and went well.

Thursday (11-20-14) the FAI of wheelchair lifts was to take place.

Caltrans is working with IDOT and the FRA on the revised schedule, and grant and contract amendments.

On 11-17-14, there was a call with FRA's Office of Safety in regard to CEM alternate analysis. Requests made by the Office of Safety were discussed and clarified and all participants came to an accord on what the requests were and what was to be provided.

Negotiations on an agreement between Amtrak and Caltrans in regard to the On Board Information System (OBIS) have stalled and Stan noted some concern.

In January and February, 2015, FAIs will continue on a variety of systems.

- Status update: Diesel Electric Locomotive procurement:

Final intermediate design review (IDR) took place last week.

In three weeks, members of the team will be in Munich, Germany at the Reality Lab to view the engine mock up.

The engineering plan and schedule is progressing – overall the effort is about a month or month and a half ahead of schedule.

During the month of December, 2014, the Executive Board met twice - via conference call – on the 9<sup>th</sup> and the 23<sup>rd</sup>. Key decisions and activities reported for the month of December, 2014 included:

- Mid-west States – Section 6 progress report: An RFP for a Fleet Manager is being finalized, and an RFI for a Fleet Maintainer has recently been released.
- 514 Subcommittee update: The subcommittee is working on the FMCS implementation comments.
- On December, 9, 2014, the Executive Board accepted the recommendation of the D-E Locomotive Review Panel and Specification Revision A.1.
- NGEC Annual Meeting – 2015: The meeting will take place in Washington, DC on February 20, 2015. Logistical information has been provided as has a DRAFT agenda. Comments/changes to the agenda are requested to be submitted to Eric Curtit and Steve Hewitt. A revised draft will be reviewed on the January 6<sup>th</sup>, 2015 Board call.
- NGEC Future: The Finance and Administrative Subcommittee (FASC) has several assignments which are to be the first steps taken towards establishing the NGEC future – short term and long term. On December 23, 2014, Darrell Smith provided an update on the activities of the FASC:

On behalf of the Finance and Administrative subcommittee, Darrell Smith has begun to develop a revised Statement of Work and budget for a no-cost extension of the current grant agreement through September 30, 2017. The intent is to present a draft to the subcommittee on the next call 12-17-14 and have a final version to the Board for its consideration by the Annual Meeting.

The Finance and Administrative subcommittee will begin developing a proposal for potential funding options to present to the Board for its consideration by October, 2015.

- Determining the NGEC Future: This topic will remain as a standing agenda item on all future Executive Board calls – currently as a focus of the FASC. On December 23, 2014, the FRA asked that discussions with regard to developing funding options be a priority and emphasized the need to have time for implementation of whatever options are selected before the anticipated grant agreement extension ends (9-30-17).
- Letter to the FRA: the NGEC will formally ask the FRA for a FY2016 budget request for funding for the development and maintenance of specification standards. Eric Curtit and Steve Hewitt will draft a proposed letter, for Board review, to be submitted to the FRA. This is not meant to be the funding options solution for sustaining the NGEC in the long term, but is seen as one potential future resource which would mirror funding provided to some of the other transportation modal administrations. Eric and Steve have drafted a proposed letter and have sent it to Shayne Gill for his input. Following his comments/edits it will be sent to all Board members for review.
- On December 23, 2014, a revised Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) requirements document and supporting material, as approved by the Technical subcommittee on December 18<sup>th</sup>, was introduced by Ray Hessinger and Jack Madden. Comments from Board members are requested by COB on January 2, 2015. (Comments were to go to Ray Hessinger, Jack Madden and Steve Hewitt by CC) This will be an agenda item for January 6, 2015 for discussion and possible Board consideration.

During the month of January, 2015, the Executive Board met twice - via conference call – on the 6<sup>th</sup> and the 20<sup>th</sup>. Key decisions and activities reported for the month of January, 2015 included:

- Mid-west States – Section 6 progress report: This remains as an ongoing agenda item. An RFP for a Fleet Manager is being finalized by IDOT, and an RFI for a Fleet Maintainer has recently been released.
- Letter to the FRA: the NGEC will formally ask the FRA for a FY2016 budget request for funding for the development and maintenance of specification standards. Eric Curtit and Steve Hewitt will draft a proposed letter, for Board review, to be submitted to the FRA. This is not meant to be the funding options solution for sustaining the NGEC in the long term, but is seen as one potential future resource which would mirror funding provided to some of the other transportation modal administrations. A draft letter was circulated to the Board on January 22, 2015 for discussion on its February 3<sup>rd</sup> call.
- Revising/updating the NGEC bylaws:  
  
The FASC approved revisions to the Bylaws on its January 14, 2015 conference call. The revised (redline) version was sent to all Board members on January 16<sup>th</sup> along with a clean version as well. The Board was asked to be prepared to come to consensus on the next call (February 3, 2015) for formal adoption at the NGEC Annual Meeting.
- Development of a Statement of Work and budget for a no-cost extension of the current grant agreement through September 30, 2017:  
  
The FASC approved the proposed SOW on January 14, 2015, with the agreement to include additional language to be provided by the FRA. The Board was to review and discuss on February 3, 2015 with the intent of adopting the new SOW at the February 20, 2015 Annual Meeting.
- The Finance and Administrative subcommittee will begin developing a proposal for potential funding options to present to the Board for its consideration by October, 2015:

The FASC began discussions on this activity on January 14<sup>th</sup>. Members of the FASC have been asked to bring ideas to the table for discussion.

Exploring options for long term future funding of the NGEF is now the primary focus of the FASC with a due date of submitting recommendations to the Executive Board by October of 2015.

Darrell and Steve Hewitt are compiling a list of concepts/ideas presented to date and other relevant material to help the FASC as it begins to progress this effort forward.

- Outreach to All Aboard Florida:
- It was agreed that a "simple outreach" to AAF would be made by Chairman Curtit with regard to use of the NGEF specs. Tim Hoeffner will provide Eric Curtit with contacts for the outreach.
- Approval of the revised Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Requirements Document: On January 6, 2015, the Executive Board adopted Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Requirements Document Revision A and directed the Technical subcommittee to begin developing the specification.

During the month of February, 2015, the Executive Board met twice – once via conference call on February 3<sup>rd</sup> and once in-person at the 5<sup>th</sup> Annual NGEF Meeting held on February 20, 2015. Key decisions and action items from the month of February, 2015 include:

- On February 20, 2015, the NGEF Treasurer's Report was accepted as presented by Treasurer Darrell Smith.
- The revised Statement of Work and Budget for a no-cost grant agreement extension through 9-30-17 was approved.
- Resulting action: Darrell Smith will submit it to the Amtrak Grants office. They will work with FRA grants people to get it finalized and executed. Darrell will keep the Board apprised as this effort progresses.
- It was agreed that members of the Board will submit suggestions for naming the bi-level cars and including the name on the safety seat card. Suggestions are to be sent to Steve Hewitt by COB on March 11, 2015 for Board discussion on March 17, 2015. Steve Hewitt will also reach out to Stan Hunter to better clarify/frame the request.
- A letter from the states to FRA, and the House and Senate, requesting funding for the NGEF similar to that provided to other USDOT modes for establishing equipment standards, was approved by the NGEF state members and signed by Chairman Curtit. It will now be sent by the Chair on behalf of the state members of the NGEF.
- The Finance and Administrative Subcommittee was tasked with looking into the question of the NGEF's ability to accept money and participate in the receipt of costs.
- The March 3<sup>rd</sup> bi-weekly conference call was canceled – the next call will be March 17<sup>th</sup>.
- On February 3, 2015 – the Executive Board adopted the NGEF Bylaws as updated by the Finance and Administrative subcommittee.
- An updated "backgrounder" educational document was prepared by Steve Hewitt, finalized and printed by AASHTO, and distributed to all those present at the NGEF Annual Meeting. Copies remain available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.

During the month of March, 2015, the Executive Board met twice –via conference call - on the 17<sup>th</sup> and 31<sup>st</sup>. Key decisions and action items from the month of March, 2015 included:

- Mid-west States – Section 6 progress report: This remains as an ongoing agenda item for the Executive Board calls. On March 31<sup>st</sup> it was reported that the RFP for a Fleet Manager is close to being approved. It is currently being reviewed by the Illinois Governor's office.

The Mid-West group continues to work on developing a governance and ownership model. They have a concept document and are in the process of developing a draft MOU.

The RFI for a Fleet Maintainer was successful with a number of responses. Michigan is now in the process of drafting an RFP.

- On March 31<sup>st</sup>, Treasurer Darrell Smith reported that the revised Statement of Work and Budget for a no-cost grant agreement extension through 9-30-17 was submitted to the Amtrak Grants Office and will be sent to FRA Grants within a few days.
- Design of safety cards for insertion in seatbacks of the new bi-level cars: On March 17<sup>th</sup>, the Board approved a designation for inclusion on the safety seat card: the NGEC logo along with: multi-state passenger cars will be added to all seat safety cards. AASHTO will be sending the artwork for the NGEC logo to Caltrans.
- Host Railroad Blessing of NGEC equipment: Criteria for new equipment has been developed by the locomotive committee. The committee will brief Jim Grady, AAR on the criteria. Following this – a subgroup will be formed to work with the NGEC after the beginning of the New Year.

On March 31<sup>st</sup>, Jeff Gordon reported that he has coordinated with TPCI's David Cackovic and it has been determined that for AAR, its Standards Development Committee is the vehicle for this effort. Jeff will coordinate with David as to who the NGEC will participate. Jeff is looking to identify NGEC members.

- NGEC States Letter to the FRA, House and Senate Appropriations: On March 31, Chairman Curtit reported that he has submitted the FRA version of the letter, but not that of the House and Senate as of yet. The House Majority policy has changed and they are not accepting outside testimony but will accept letters from organizations with a specific request. Steve Hewitt will provide Eric with the contact info for the House letter.
- The Finance and Administrative subcommittee has begun developing a proposal for potential funding options to present to the Board for its consideration by October, 2015:

The FASC began discussions on this activity on January 14<sup>th</sup>. Members of the FASC have been asked to bring ideas to the table for discussion.

Exploring options for long term future funding of the NGEC is now the primary focus of the FASC with a due date of submitting recommendations to the Executive Board by October of 2015.

Darrell Smith compiled a list of concepts/ideas for discussion at the Annual meeting. While no conclusions were reached, the Finance and Administrative Subcommittee was directed to look into the question of the NGEC's ability to accept money and participate in the receipt of costs.

The list of potential funding concepts has been sent to the FASC as well, and will be a part of the next FASC conference call agenda on April 8<sup>th</sup>.

- Outreach to All Aboard Florida: On March 31<sup>st</sup>, Eric Curtit reported that he had contacted All Aboard Florida (Dave Ward, Siemens) as requested previously. Dave and Eric discussed the use of the NGEC specification. Dave confirmed that Siemens has been awarded the contract, and that bidders had been asked to meet the NGEC specifications as much as was practically possible. Dave will provide "high level" information only, on changes are made to the specs.
- An updated "backgrounder" educational document was prepared by Steve Hewitt, finalized and printed by AASHTO, and distributed to all those present at the NGEC Annual Meeting. Copies remain available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.
- Developing a policy for public access to NGEC Specs and/or reference documents and drawings: This is a new issue, which was raised by Support Services Manager, Steve Hewitt, on the March 31<sup>st</sup> Board call. Vincent Brotski, Amtrak Legal, will do some research and come back to the Board with

his findings as to whether or not there is a reason that the NGEC cannot restrict public access to these documents. At that point the Board may wish to take action on developing a policy and revising the statement that goes out with the automatic email response to limit distribution to only those with legitimate use for the specs.

During the month of April, 2015, the Executive Board met twice –via conference call - on the 14<sup>th</sup> and 28<sup>th</sup>. Key decisions and action items from the month of March, 2015 included:

- Mid-west States – Section 6 progress report: This remains as an ongoing agenda item for the Executive Board calls. On March 31<sup>st</sup> it was reported that the RFP for a Fleet Manager is close to being approved. It is currently being reviewed by the Illinois Governor's office.

The Mid-West group continues to work on developing a governance and ownership model. They have a concept document and are in the process of developing a draft MOU.

The RFI for a Fleet Maintainer was successful with a number of responses. Michigan is now in the process of drafting an RFP.

- As of April 28<sup>th</sup>, the revised Statement of Work and Budget for a no-cost grant agreement extension through 9-30-17 was still with the FRA Grants Office. Amtrak is awaiting a response from FRA to execute the agreement.
- Host Railroad Blessing of NGEC equipment: AAR has created a committee to address potential issues related to the introduction into service of NGEC equipment from the AAR side, and Jeff will augment the member list with state representatives from Caltrans, IDOT, WSDOT and any other states that are interested in participating. FRA Office of Safety representatives, and Jeff Gordon will also participate.

A meeting has been set for June 4<sup>th</sup> in Washington, DC. Jeff Gordon has asked for interested states representatives from the Technical subcommittee to contact him at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) if they would like to participate. This announcement was made on the 4-23-15 Technical subcommittee call and subsequently sent via email.

- The Finance and Administrative subcommittee has begun developing a proposal for potential funding options to present to the Board for its consideration by October, 2015:

The FASC has established a Funding Options Task Force and charged it with looking at the possibility and viability of assessing specification use fees, and the mechanisms and potential organizational structure required for accepting such fees.

FASC Chair Darrell Smith will continue to keep the Board apprised of the progress being made.

- The updated “backgrounder” educational document remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.
- Developing a policy for public access to NGEC Specs and/or reference documents and drawings: Vincent has completed his research on whether or not there is a legislative history that would indicate that the NGEC would be prohibited from restricting access to reference specifications and drawings. He has concluded that there does not appear to be a legislative history prohibiting such restrictions and has provided the Board with proposed language revisions for the website.

Proposed revised language:

The documents and drawings below are available upon request to contracted vehicle builders and associated suppliers only. To request one of the following documents, click on the document name. A pre-addressed email-box will open. Then please provide your name, phone number, email address, company affiliation and reason for requesting the document. The Chairman of the NGEC 305 Next Generation Equipment Committee reserves the right to reject a request.

The Board supports the language change, but wants documentation of the concerns and rationale for restricting access. Eric Curtit will draft a proposed "memo to file" for consideration on the next call – 5-12-15. No action will be taken to revise the website until the memo is approved.

- Industry requests for the CIP: Several requests have come in from members of the industry for copies of the CIP. Before considering releasing this document Steve Hewitt has asked the Board to determine if this is an internal document or if it is something that can be released and posted to the web site. The general view of the Board members is that Amtrak needs to make this determination.

The Board will wait until Amtrak has weighed in before making a determination (hopefully) by the next call – 5-12-15.

During the month of May, 2015, the Executive Board met twice –via conference call - on the 12<sup>th</sup> and 26<sup>th</sup>. Key decisions and action items from the month of May, 2015 included:

- Mid-West States – Section 6 Progress Report: This remains as an ongoing agenda item. The RFP for a Fleet Manager is close to being approved. The Mid-West group continues to work on developing the RFP for a Fleet Maintainer. The manufacturers have refined commitments relevant to the manufacture of the equipment; and that the "first car body was married to the roof last week or the week before...and we are moving into the 3-dimensional stage".
- As of May 26<sup>th</sup>, the amended grant agreement for a no-cost extension through 9-30-17 was in the signature phase at FRA, with expectations that it would be completed by the end of the week (5-29-15).
- Host Railroad Blessing of NGEN equipment: AAR has created a committee to address potential issues related to the introduction into service of NGEN equipment from the AAR side, and Jeff has augmented the member list with state representatives confirmed from Caltrans, IDOT and WSDOT. The FRA Office of Safety and Jeff Gordon will also participate. A meeting has been set for June 4<sup>th</sup>, 2015, in Washington, DC.
- The Finance and Administrative subcommittee continues to look at potential funding options and organizational structures to carry out those options. The subcommittee will make its recommendations to the Executive Board for its consideration in October, 2015:

The previously established Funding Options Task Force, has been meeting on a bi-weekly basis and is preparing recommendations for the full subcommittee to consider on June 10, 2015.

FASC Chair Darrell Smith will continue to keep the Board apprised of the progress being made.

- The updated "backgrounder" educational document remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.
- Developing a policy for public access to NGEN Specs and/or reference documents and drawings: The Executive Board approved the following revised language for the website, and agreed to include vehicle specifications along with reference specifications and drawings as NGEN restricted access items, and to move them to that section of the website:

The documents and drawings below are available upon request to contracted vehicle builders and associated suppliers only. To request one of the following documents, click on the document name. A pre-addressed email-box will open. Then please provide your name, phone number, email address, company affiliation and reason for requesting the document. The Chairman of the NGEN 305 Next Generation Equipment Committee reserves the right to reject a request.

A "memo to file" documenting the reasons for the decision to protect/restrict access to these documents was prepared by Chairman Curtit, and accepted by the Board on May 26, 2015. It will be posted on the website on the Executive Board page.

- Industry requests for the Amtrak CIP: Several requests have come in from members of the industry for copies of the CIP. Before considering releasing this document Steve Hewitt has asked the Board

to determine if this is an internal document or if it is something that can be released and posted to the web site. The general view of Board members is that Amtrak needs to make this determination.

Darrell Smith was asked to check with Mario Bergeron and then let Steve Hewitt know. If Mario agrees, then Steve will send the CIP to AASHTO for posting to the website and distribute it to the industry members who have requested it.

During the month of June, 2015, the Executive Board met twice –via conference call - on the 9<sup>th</sup> and 23<sup>rd</sup>. Key decisions and action items from the month of June, 2015 included:

- Mid-west States – Section 6 progress report: The RFP for a fleet manager is now under IDOT legal review. This is the last step in the approval process. The RFP for a fleet maintainer is under development by Michigan DOT. The states are meeting on a monthly basis with task forces working on specific issues as well.
- On June 8, 2015, the PRIIA NGEC no-cost Grant Agreement extension through 9-30-2017 (Amendment #5) was formally executed, and on June 11, 2015, via electronic vote, the Executive Board approved the following motion with regard to extending existing contracts through the life of the grant agreement amendment #5 (9-30-17):

“As was intended in past NGEC budget approvals and to ensure compliance with the Audit of Grant Agreement of March 27, 2013, and the NGEC’s updated Procedure of Establishing Contract Support adopted August 6, 2013, the NGEC authorizes Amtrak to contract with AASHTO for administrative support services as well as subsequent sub-contracts per the statement of work for entities such as; with Hewitt Consulting for Manager of Support Services, and with SalciConsult for Specification Consultant services. In addition, the Federal Railroad Administration’s June 8<sup>th</sup>, 2015, approval of the NGEC’s Supplemental Statement of Work and related budget extension through September 30, 2017, Amtrak is authorized to extend its agreement with AASHTO and AASHTO’s sub-consultants in accordance with the Statement of Work.”

- Host Railroad Blessing of NGEC equipment: AAR has created a committee to address potential issues related to the introduction into service of NGEC equipment from the AAR side. Jeff Gordo, FRA, has coordinated the effort on behalf of the NGEC, and representatives from Amtrak, FRA and Washington State, Illinois and Caltrans will participate. Jeff will provide updates on the progress through the Technical subcommittee on its calls on a monthly basis.
- The Finance and Administrative subcommittee continues to look at potential funding options and organizational structures to carry out those options. The subcommittee will make its recommendations to the Executive Board for its consideration in October, 2015.

On June 10, 2015, the FASC accepted the recommendations of the Funding Options task force and will proceed to develop recommendations to take forward to the Executive Board. With acceptance of its recommendations - the task force’s work was considered complete.

- The updated “backgrounder” educational document remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.
- Industry requests for the Amtrak CIP: It was agreed that the CIP was intended to be a public document and it has been posted to the website and distributed to those who specifically requested it.
- On June 23, 2015, Chairman Curtit formally re-convened the Bi-Level Car Specification Review Panel for the purpose of reviewing and providing a recommendation to the Executive Board with regard to the Bi-Level Car Weight Changes Urgent DCR as approved by the Technical subcommittee. It is expected that the Panel will meet and make its recommendations to the Board in July, 2015.

During the month of July, 2015, the Executive Board met twice –via conference call - on the 7<sup>th</sup> and 21<sup>st</sup>. Key decisions and action items from the month of July, 2015 included:



- Mid-west States – Section 6 progress report: Progress is being made on the issue of governance and ownership – a draft ownership document is under review by the states' general counsels. The RFP for a Fleet manager should be released shortly – final steps are being taken by IDOT to make that happen.
- Host Railroad Blessing of NGEC equipment: AAR has created a committee to address potential issues related to the introduction into service of NGEC equipment from the AAR side. Jeff Gordo, FRA, has coordinated the effort on behalf of the NGEC, and representatives from Amtrak, FRA and Washington State, Illinois and Caltrans will participate. Jeff will provide updates on the progress through the Technical subcommittee on its calls on a monthly basis.
- The Finance and Administrative subcommittee continues to look at potential funding options and organizational structures to carry out those options. The subcommittee will make its recommendations to the Executive Board for its consideration in October, 2015.

In July, the Finance and Administrative Subcommittee established a Legislative Outreach Task Force to assist in developing the message and a strategy for educating the "Hill" on the NGEC. The Task Force will be chaired by Eric Curtit with members coming from the legislative/governmental affairs offices of a variety of states and Amtrak.

The stated objectives of the Task Force are:

Identify what materials the NGEC should have to make its case for future Federal funding  
 Identify the process required to obtain new Federal grant funds  
 Develop a timeline to obtain funding before October 1, 2017, and identify roles/responsibilities to get it

- The updated "backgrounder" educational document remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.
- In July, 2015, the Bi-Level Car Specification Review Panel presented its report with recommendations to the Executive Board on weight changes to the Bi-Level Car specification.
- On July 21<sup>st</sup>, the Executive Board accepted the Review Panel Report and recommendations and formally adopted Bi-Level Car Technical Specification Revision C.3.

During the month of August, 2015, the Executive Board met once –via conference call - on the 4<sup>th</sup>. Key decisions and action items from the month of August, 2015 included:

- Mid-west States – Section 6 progress report: Progress is being made on the issue of governance and ownership – a draft ownership document is under review by the states' general counsels. The RFP for a Fleet manager should be released shortly – final steps are being taken by IDOT to make that happen.
- Host Railroad Blessing of NGEC equipment: AAR has created a committee to address potential issues related to the introduction into service of NGEC equipment from the AAR side. Jeff Gordo, FRA, has coordinated the effort on behalf of the NGEC, and representatives from Amtrak, FRA and Washington State, Illinois and Caltrans will participate. Jeff will provide updates on the progress through the Technical subcommittee on its calls on a monthly basis. (ongoing)
- The Finance and Administrative subcommittee continues to look at potential funding options and organizational structures to carry out those options. The subcommittee will make its recommendations to the Executive Board for its consideration in October, 2015.

In August, the Finance and Administrative Subcommittee' newly formed Legislative Outreach Task Force met (August 13<sup>th</sup>) to begin developing the message and a strategy for educating the "Hill" on the NGEC. The Task Force is chaired by Eric Curtit with members coming from the legislative/governmental affairs offices from Vermont, Maryland, Washington, California and Missouri and Amtrak.



- The updated “backgrounder” educational document remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.
- 514 Subcommittee update: The end of the fiscal year is approaching. Revised Minor update, based on comments/input provided by the states, was issued on August 7th. (Ongoing)
- Diesel-Electric Locomotive Procurement update as of August 4<sup>th</sup>:

Final Design Review (FDR) follow-up action items are being processed for closure. Less than 20 items remain open and are expected to be closed out within the next two weeks.

Three First Article Inspections (FAI) took place last week (Last week in July) – with only a few minor open items to close out.

Manufacturing for the first locomotive carbody has begun.

Fourteen draft Document Revision Changes (DCRs) are being prepared and Rich Stegner has contacted Tammy Krause (Amtrak) to coordinate processing and will send a list in the next two weeks.

Follow up teams are working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance.

The last meeting of the Diesel Exhaust Fluid (DEF) review and application team was held on 7-13-15 and the team is working with Amtrak to identify storage locations and storage needs. The next meeting was tentatively scheduled for August 31<sup>st</sup>.

The locomotive weight is 271,000 lbs (+/-) and the calculated P2 force is still within specified limits. Weight is being closely monitored.”

- Bi-level car procurement update as of August 4<sup>th</sup>:

During the last week of July, 2 First Article Inspections (FAI's) took place – 2 were successful with only a few minor open items yet to be closed out.

Design Review: there are 13 open hot item issues remaining.

Schedule information (additional detail) has been provided by the manufacturer and will be discussed in a meeting in Rochelle, Illinois on August 19, 2015. Caltrans, IDOT, FRA and Nippon Sharyo will attend.

9 RFCs remain open.

On August 20-12-2015 there will be a compression test of the car shell.

A meeting including Nippon Sharyo and FRA's Office of Safety on safety issues was held and it was reported to be successful.

During the month of September, 2015, the Executive Board met twice –via conference call - on the 1<sup>st</sup> and the 29<sup>th</sup>. Key decisions and action items from the month of September, 2015 included:

- Mid-west States – Section 6 progress report: Progress is being made on the issue of governance and ownership – a draft ownership document is under review by the states' general counsels. The RFP for a Fleet manager should be released shortly – final steps are being taken by IDOT to make that happen.
- The Finance and Administrative subcommittee continues to look at potential funding options and organizational structures to carry out those options. The subcommittee will make its recommendations to the Executive Board for its consideration by the end of October, 2015.

In September, the Finance and Administrative Subcommittee's Legislative Outreach Task Force met began developing the message and a strategy for educating the "Hill" on the NGEC. The Task Force is chaired by Eric Curtit with members coming from the legislative/governmental affairs offices from the states of Vermont, Maryland, Washington, California, and Missouri as well as Amtrak. MODOT has prepared a DRAFT two page "message" document which will be reviewed and commented on by task force members and ultimately included in the FASC submittal to the Executive Board.

- The "backgrounder" educational document remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.
- 514 Subcommittee update: The subcommittee is finalizing the CIP document. It is expected to go out from the subcommittee to the Executive Board (NGEC) for its review in early October. The expectation is to have the Executive Board consider its approval later in the month.

209/305 coordination: Now that 209 has more formally been established as the State Amtrak Intercity Passenger Rail Committee (SAIPRC), 514 and the SAIPRC are working to determine their roles in the process.

- Diesel-Electric Locomotive Procurement update as of September 29th:

Final Design Review is done.

Car shell manufacture was delayed slightly but is moving along again.

The project schedule is being reworked and revised.

Other locomotives interspersed with this project have been moved, by Siemens, "to the end of our order".

FAIs had been slightly delayed but nothing critical. The FAI of the car shell is planned for 10-20-15.

Overall, the procurement is "rolling along fairly well."

- Bi-level car procurement update as of August 29th:

The procurement team is in a kind of "holding pattern" after the compression test failure and is awaiting a full analysis by the manufacturer (Nippon Sharyo) with regard to what happened, why it happened, and how it can be corrected. Nippon Sharyo has provided a base assessment, but not an approach and strategy, or a full explanation of why it happened or how they can make sure it does not happen again.

FAIs on the car shell are going to be starting up again at "ground zero". The process is active with full engagement by Caltrans, IDOT, and the FRA.

Nippon Sharyo has announced additional furloughs at the plant. For FRA, getting them back to work is of primary importance.

Nippon Sharyo has brought on board an individual to lead the collective actions to remedy the situation. Feedback is expected soon.

- GAO Study: Members of a GAO project team were on the Executive Board's September 1<sup>st</sup> conference call to provide an overview of the Rail Grant Oversight Engagement with regard to the NGEC and the two ongoing procurements.

The GAO is non conducts periodic reviews of federal funding – this particular review was requested by members of the House T&I committee.

They have asked the GAO to look at what legal responsibility the FRA has and to what extent it has been involved in the NGEC activities especially with regard to the two procurements.

Some of the questions being asked include: Will the new equipment achieve speeds up to 125mph? What have been the limitations of the procurement process?

The GAO team has interviewed AASHTO staff, FRA, Steve Hewitt, and, on September 24th participated on the Technical subcommittee's bi-weekly conference call.

NGEC Support Manager, Steve Hewitt has provided documents to the GAO to assist with background and context as it develops the study. Some items provided by Mr. Hewitt include: the NGEC By-Laws and Operating Procedures; the Bi-Level Car Specification document and the C.3 Review Panel Report; the Diesel-Electric Locomotive Specification Revision A document; the Bi-level Requirements Document; the Caltrans Bi-level Car RFP as well as some other material such as the NGEC Backgrounder and its Document Management Procedures.

The GAO team is in the initial phase of the effort and is currently determining its scope of work and its schedule and timeframe for completion. It is anticipated that a final report will be released within the next year.

The GAO will be meeting with the FRA with regard to grants management (broadly) and within this grant itself as well as in the design review process.

The GAO team also expects to interview state and industry participants of the NGEC, and, with Technical subcommittee working group team leaders.

The team will participate on future Technical subcommittee calls (likely on a monthly basis) to listen and to provide periodic updates on as the project progresses.

During the month of October, 2015, the Executive Board met twice –via conference call - on the 13th and the 27th. Key decisions and action items from the month of October, 2015 included:

- Mid-west States – Section 6 progress report: In October, the Mid-West State DOTs met (10-21-15) with their legal representatives in attendance as well, to go over agreements for the distribution of equipment (cars and locomotives) throughout the Mid-West. At the meeting they began to lay out the terms and conditions that will ultimately lead to a fleet maintainer and fleet manager.
- In October, the Finance and Administrative subcommittee continued to look at potential funding options and organizational structures to carry out those options. The subcommittee met on October 28<sup>th</sup> to discuss and prepare a final draft report with recommendations to go to the NGEC Executive Board. It was agreed that the report will be finalized and considered for FASC approval on November 18<sup>th</sup>, and submitted for Board consideration on its November 24<sup>th</sup> call.
- The “backgrounder” educational document remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.
- 514 Subcommittee update: The subcommittee approved the 2016 Amtrak Capital Improvement Plan (CIP), and submitted it to the NGEC Executive Board for its consideration of acceptance. On October 27, 2015, the Board formally accepted the 2016 CIP and it was sent to AASHTO for posting on the NGEC website.

209/305 coordination: It has been agreed that Policy issues will be handled by the newly formed States Amtrak Intercity Passenger Rail Committee (SAIPRC).

- Diesel-Electric Locomotive Procurement update as of October 27, 2015: The Diesel-Electric multi-state procurement is progressing well and is on time and on schedule.
- Bi-level car procurement update as of October 27: The key issue being focused on is the failed compression test. Nippon Sharyo is meeting with FRA next week (week of 11-2-15) to provide input on the schedule and on efforts to move forward.

Re-testing the car shell itself is a key priority. A final design review will take place in Japan to look at a complete analysis of the failure and at counter measures will take place in early December, 2015, so that the design and approach can be presented and accepted.

- GAO Study: Members of a GAO project team have begun to conduct interviews with members of the Technical subcommittee working group team leaders and others key NGECE participants.

The team will participate on future Technical subcommittee calls (on a monthly basis) to listen and to provide periodic updates on as the project progresses. The next call on which they are scheduled to participate is November 5, 2015.

- Document Control Update: On October 27, 2015, Revision Control coordinator, Tammy Krause, reported that:

Bi-level specification Revision C.2, previously approved, has been finalized and is available through the website request process.

Bi-Level specification Revision C.3 is going through the review process with changes being evaluated.

The Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive Specification, approved in August by the Technical subcommittee, is moving through the Executive Board review process. Larry Salci, consultant to the Review Panels has begun to review the specification against the Requirements document and has provided a timeline for completion of the review and anticipated presentation of the Review Panel report with recommendations to the Executive Board. The date for Board consideration is expected to be November 24, 2015.

- Executive Board Approval of PRIIA 305-912 Revision B: The Executive Board, on October 27, 2015, formally adopted 305-912 Revision B, and will be finalized with a signature page and release/approval date and will be available through the specification request process.
- 2016 NGECE Annual Meeting: On October 27, 2015, Steve Hewitt announced that the 2016 NGECE Annual Meeting is scheduled for February 19<sup>th</sup> in Washington, DC at the Hyatt Regency, Capitol Hill. It is being held, as usual, in conjunction with the AASHTO SCORT DC meeting (February 17-18.) Details to follow. Steve Hewitt has sent a notice to all NGECE members' calendars to lock in the date.

During the month of November, 2015, the Executive Board met once –via conference call - on the 10<sup>th</sup>. Key decisions and action items from the month of November, 2015 included:

- Mid-West States – Section 6 progress report as of November 10, 2015: The states are in the final stages of finalizing a multi-state ownership agreement. Attorneys for the states were meeting and it was anticipated that a final draft will go to the states in the coming weeks. The next major issue to be resolved is that of insurance.
- The Finance and Administrative subcommittee (FASC) activities as on November, 2015: The FASC finalized its report and recommendations on future funding options, met on 11-18-15, and approved its submittal to the NGECE Executive Board. Board consideration is anticipated to take place on its next call – 12-7-15.
- The “backgrounder” educational document remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number of copies requested and a mailing address.
- 514 Subcommittee update: As of November 10, 2015, the subcommittee had begun work on minor updates; and was continuing to work through policy issues with the States Amtrak Intercity Passenger Rail Committee (SAIPRC). The next call was scheduled for 11-16-15.
- Diesel-Electric Locomotive Procurement update as of November 27, 2015: The Diesel-Electric multi-state procurement is progressing well and is on time and on schedule.
- Bi-Level Car Procurement status as of November, 2015:

The car shell re-design continues to be the biggest issue yet to be resolved. They continue to work through issues related to the model, analysis and criteria for car shell re-design. As of November 10,

2015, there was no firm timeline for the re-design and a revised production schedule was not yet finalized.

- Diesel-electric Locomotive Procurement status as of November, 2015: The multi-state locomotive procurement is progressing well and on time.
- GAO Study: Members of a GAO project team have begun to conduct interviews with members of the Technical subcommittee working group team leaders and industry participants.

The team will participate on future Technical subcommittee calls (on a monthly basis) to listen and to provide periodic updates on as the project progresses. The next call on which they are scheduled to participate is December 3, 2015.

- Adoption of the Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) specification – status as of 11-30-15: Larry Salci has begun his review of the Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive specification. Due to schedule conflicts, the report will not be before the Review Panel until early December, with Board approval to follow by mid to late December.
- 2016 NGEAC Annual Meeting: the 2016 NGEAC Annual Meeting is scheduled for February 19<sup>th</sup> in Washington, DC at the Hyatt Regency, Capitol Hill. It is being held, as usual, in conjunction with the AASHTO SCORT DC meeting (February 17-18.) Hotel room block information has been provided to all NGEAC members.

During the month of December, 2015, the Executive Board met once –via conference call - on the 7<sup>th</sup>. Key decisions and action items from the month of December, 2015 included:

- Mid-West States – Section 6 progress report: the group continues to work on cost and ownership sharing. They are close to having a final draft. Expectations were that the final draft would be ready during the week of 12-14-15, and the agreement could be executed by all participating states by mid to late January (2016).
- The Finance and Administrative subcommittee (FASC) activities as of the end of December, 2015: On 12-7-15 the NGEAC Executive Board accepted the FASC report and recommendations and directed the FASC to initiate the next steps as described in those recommendations. Subsequently, the FASC met on 12-14-15 and began executing the next steps.
- The “backgrounder” educational document remains available upon request. Please contact Steve Hewitt at [shwitt109@aol.com](mailto:shwitt109@aol.com) with the number of copies requested and a mailing address.
- 514 Subcommittee update: As of December 7, 2015, the 514 subcommittee had begun work on its By-Laws and procedures for inclusion in the NGEAC By-Laws document. The subcommittee also continued to work with the SAIPRC to clarify roles.
- Bi-Level Car Procurement status as of December 7, 2015:

Nippon Sharyo is finalizing a model car shell to demonstrate and address the compression test failures. It is anticipated that the model will be finalized in mid-January 2016 with counter measures completed by April.

The company continues to look at the work force and is likely to reduce it by 50 more, along with a 4-week holiday shutdown during the redesign and correction of the product. They are trying to retain the core of skilled employees and keep them engaged at all times.

- Diesel-electric Locomotive Procurement status as of December, 2015: The multi-state locomotive procurement continues to progress well and on time.
- GAO Study: Members of a GAO project team have begun to conduct interviews with members of the Technical subcommittee working group team leaders and industry participants.

The team has continued to participate on Technical subcommittee calls (on a monthly basis) to listen and to provide periodic updates on as the project progresses. On 12-17-15, the team provided its most recent update and is scheduled to give its next update on 1-14-16.

- Adoption of the Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) specification – status as of 12-31-15: Larry Salci reported on 12-7-15 that he was about 50% complete in his review of the Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive specification. Due to schedule conflicts, the report will not be before the Review Panel until sometime in January, 2016, with Board approval to follow shortly thereafter.
- 2016 NGEAC Annual Meeting: The NGEAC's 2016 Annual Meeting will take place on 2-19-16 at the Hyatt Regency Washington Capitol Hill. Steve Hewitt sent an appointment notice to all NGEAC members to hold the date. The meeting will be held in conjunction with the AASHTO SCORT Washington DC meeting taking place on 2-17-18-2016.

All members have received the room block information and were advised to reserve a room at the Hyatt asap. (cut-off date is mid-January, 2016)

In December, Steve Hewitt also sent out the "formal" invite letter to all NGEAC states and participating members to assist in obtaining travel approval.

Eric Curtit and Steve Hewitt developed and distributed (to all NGEAC members) a draft agenda for the meeting and on the next Board call, scheduled for 1-6-16, the agenda will be reviewed and discussed.

During the month of January, 2016, the Executive Board met twice –via conference call - on the 5<sup>th</sup> and on the 19<sup>th</sup>. Key decisions and action items from the month of January, 2016 included:

- Mid-West States – Section 6 progress report: the group anticipates having the ownership agreements executed by the participating states by late January or early February, 2016.
- Finance and Administrative subcommittee activities:

Revising/updating the NGEAC Bylaws and Operating Procedures: Proposed Revisions have been approved out of the subcommittee and submitted to the NGEAC Executive Board. The changes were primarily in three categories: typo/punctuation corrections; incorporating FAST Act language into the document; and formally incorporating the 514 Subcommittee into the Bylaws.

Steve Hewitt confirmed that the revised DRAFT, as approved by the FASC, was transmitted to the NGEAC Board members on 1-16-16, in compliance with the Bylaws requirements that changes to the Bylaws be submitted in writing to all Board members at least 30 days prior to the meeting during which a vote is to be taken. The intent is to consider approval of the changes at the NGEAC Annual Meeting – 2-19-16

Legislative Outreach Task Force Activities: The Legislative Outreach task force met on 1-15-16. The task force reviewed a draft two page "message" document prepared by MoDOT. The document is under review with recommended changes being incorporated.

Website Review: A meeting was held among Darrell Smith, Amtrak, Steve Hewitt, NGEAC, Bryan Hong, AASHTO, Shayne Gill, AASHTO, to discuss updates to the NGEAC website to refresh its look and make it more user friendly. Bryan Hong had reformatted the 514 subcommittee page, and is now in the process of using that same format to update and format the Executive Board and all other subcommittee pages for consistency and ease of use. Other changes such as adding a link to the opening page that will provide information on how to join the NGEAC have been or are in the process of being implemented. These updates are next steps towards improving the site in the near term. Long term changes include the possibility of making the NGEAC website a standalone site as opposed to being a part of the AAASHTO High Speed Rail website. The NGEAC does have its own URL so the transition can be accomplished relatively easily.

Specification User Fee task force: The task force met on 1-20-16 and will report its findings to the Board in February.

Outreach to SAIPRC re: proposed 209 like membership fee: Darrell Smith and Eric Curtit have not been able to connect on a call with David Kutrosky, SAIPRC Chair, and need to “circle” back to get it scheduled. Darrell asked Steve Hewitt to assist in getting a call scheduled.

- The “backgrounder” educational document remains available upon request. Please contact Steve Hewitt at [shwitt109@aol.com](mailto:shwitt109@aol.com) with the number of copies requested and a mailing address.
- 514 Subcommittee update: The Policy Memo from the NGEC to SAIPRC was approved out of the 514 subcommittee and submitted to NGEC Chair Eric Curtit and NGEC Support Manager Steve Hewitt this morning (1-19-16). A clean (no track changes) version of the memo will be sent to Steve Hewitt following today’s call, and he will transmit it to Chairman Curtit, and the Executive Board members for their review. The memo will be considered for approval on the 2-2-16 Executive Board conference call.
- Bi-Level Car Procurement status as of January 19-16: Nippon Sharyo continues the process of revising the schedule; a QA update is under review; the car shell re-design effort continues, and two days of meetings were to take place in Chicago among the states, FRA and the manufacturers on 1-20-21-2016
- Diesel-electric Locomotive Procurement status as of December, 2015: The multi-state locomotive procurement continues to progress well and on time.
- GAO Study: Members of a GAO project team have begun to conduct interviews with members of the Technical subcommittee working group team leaders and industry participants.

The team has continued to participate on Technical subcommittee calls (on a monthly basis) to listen and to provide periodic updates on as the project progresses. On 1-14-16, the team provided its most recent update, and is scheduled to give its next update on 2-11-16. Steve Hewitt provides a status update to the NGEC Executive Board each month.

- Adoption of the Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) specification – status as of -31-16: Larry Salci completed is review of the specification against the requirements document, and of 1-28-16, the Review Panel met to consider the report with recommendations. On 2-2-16, the Executive Board is anticipating consideration of approval of the report with recommendations and subsequent adoption of the Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive Specification.
- 2016 NGEC Annual Meeting: The NGEC’s 2016 Annual Meeting will take place on 2-19-16 at the Hyatt Regency Washington Capitol Hill. Steve Hewitt sent an appointment notice to all NGEC members to hold the date. The meeting will be held in conjunction with the AASHTO SCORT Washington DC meeting taking place on 2-17-18-2016. As of 1-31-16 there were 57 registered attendees for the Annual Meeting.

During the month of February, 2016, the Executive Board met twice –via conference call - on the 2<sup>nd</sup>, and on February 19, the Executive Board convened the 6<sup>th</sup> Annual Meeting of the NGEC in Washington, DC.

Key decisions and action items from the month of February, 2016 included:

- 514 Subcommittee update: The Policy Memo from the NGEC to SAIPRC (previously approved by the 514 subcommittee) was approved for Chairman Curtit’s signature and its transmittal to the SAIPRC on 2-2-16.
- Bi-Level Car Procurement status as of February 19: Nippon Sharyo continues the process of revising the schedule; the car shell re-design continues.
- Diesel-electric Locomotive Procurement status as of February 19, 2016: The multi-state locomotive procurement continues to progress well and, although the timeline has showed some slippage, it currently remains on schedule.
- GAO Study: Members of the GAO project team have begun to write the DRAFT report. It is anticipated that it will be submitted to the agencies for review sometime in April, 2016.

- Adoption of the Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) specification – On 2-2-16, the Executive Board accepted the Locomotive Review Panel Report and its recommendations, and formally adopted the Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive specification. It is the 6<sup>th</sup> PRIIA Technical specification developed, and adopted by the NGEC.
- 2016 NGEC Annual Meeting: The NGEC's 2016 Annual Meeting took place on 2-19-16 at the Hyatt Regency Washington Capitol Hill with over 70 members in attendance.

Highlights of decisions and actions taken at the Annual Meeting include:

- The Treasurer's report, presented by Darrell Smith, which showed that the NGEC continues to manage its limited funding resources efficiently, and effectively, and remains under budget. The Treasurer's Report was formally accepted by the Board, by acclamation at the Annual Meeting.
- The Board formally adopted revisions to the NGEC By-laws and Operating Procedures as proposed and presented to the Board on January 18, 2016, by the Finance and Administrative Subcommittee. The By-law revisions included the following:

The incorporation of changes to PRIIA Section 305 included in the FAST ACT by; adding labor as a member, and removing the sections in the By-laws that related to the NGEC's ability to incorporate or form another type of business structure.

The formal inclusion of the 514 subcommittee, and its responsibilities and procedures, in the By-laws as a third standing subcommittee (along with the Technical subcommittee and the Finance and Administrative Subcommittee).

Correction of typos and general spelling and/or punctuation found within the document.

- Shortly after the Annual meeting, Steve Hewitt will finalize the document, and insert the date of adoption on the cover page of the By-laws and Operating Procedures, as approved on 2-19-16. The document will then be distributed to the NGEC Executive Board members, and to AASHTO for posting to the website.
- The Executive Board State members re-elected all current State members to new two year terms on the Board. The two-year terms are effective immediately and run through the Annual Meeting to be held in February, 2018.

With the re-election of the State members, and the continued service of the Amtrak and FRA members, as of 2-19-16 the NGEC Executive Board members are:

Eric Curtit, Missouri DOT  
 Tim Hoeffner, Michigan DOT  
 John Oimoen, IDOT  
 Michael Jenkins, Oregon DOT  
 Arun Rao, Wisconsin DOT  
 Brian Beeler II, NNEPRA, for Maine DOT  
 Ray Hessinger, NYSDOT  
 Tammy Nicholson, Iowa DOT  
 Ron Pate, WSDOT  
 Bruce Roberts, Caltrans  
 Paul Worley, NCDOT  
 John Jay Rosacker, Oklahoma DOT  
 Mario Bergeron, Amtrak  
 Darrell Smith, Amtrak  
 Michael Lestingi, FRA

- The newly elected Executive Board, subsequently, re-elected the current slate of officers to serve new two year terms of office effective immediately and to run through the Annual Meeting to be held in February, 2018.
- The NGEC Executive Board officers are:



Chair: Eric Curtit, Missouri DOT  
Vice Chair: Mario Bergeron, Amtrak  
Treasurer: Darrell Smith, Amtrak  
Secretary: Ray Hessinger, NYSDOT

During the month of March 2016, the Executive Board met twice –via conference call - on the 1st, and on the 15<sup>th</sup>. DC.

Key decisions and action items from the month of March 2016 included:

- 514 Subcommittee update: As of 3-15-16 progress was moving along well on update tables for the CIP from 2017-2021. Amtrak had agreed to revise the tables to include additional information that will increase visibility. The DRAFT report, once complete, was to be distributed to subcommittee members with a comment period of about one-month. The final report anticipated to be published in July.
- Bi-Level Car Procurement status as of March 15: The technical review team met to go through the elements of “Car Shell Model 2”. The official Design Review is anticipated for the end of May 2016, for consideration of acceptance. The production schedule is being updated. Overall, progress is being made. Caltrans is working closely with IDOT and the FRA on the funding issues.
- Diesel-electric Locomotive Procurement status as of March 15, 2016: The multi-state locomotive procurement continues to progress well and, although the timeline has showed some slippage, the overall schedule for delivery of the last locomotive is still within the ARRA funding window. IDOT is monitoring the situation closely with weekly meetings with Siemens focused on schedule.
- GAO Study: Members of the GAO project team have begun to write the DRAFT report. It is anticipated that it will be submitted to the agencies for review sometime in April 2016. GAO continues to provide monthly progress reports to the Technical subcommittee. Next update: 4-7-16.
- Adoption of the Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) specification – The Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive specification PRIIA 305-011 is in final form with the initial release date and signature page having been completed. The spec can be accessed via the website following the NGEC procedures described therein.
- Finance and Administrative subcommittee update: The Finance & Administrative Sub-committee is continuing to work through the next steps for future funding options, and is doing a bit of a re-evaluation based on the NGEC’s actual spend rate as provided for this past year at the Annual Meeting (about half of what was planned). The subcommittee is working to have a full report by the end of May, 2016 (delayed from end of March).
- Mid-West States – Section 6 progress report: The states are still working to finalize their agreements – the Mid-West Intercity Passenger Rail Commission (MWIPRC) has approved the ownership agreements to allow the states to own the vehicle jointly. The group is working on taking the necessary steps to own and operate the vehicles in the Mid-West. The Fleet Management Plan is being updated and the Fleet Manager procurement is still being worked on.
- Two page educational/outreach document: The Board has reviewed the DRAFT two pager developed by MO DOT, and is in general agreement with the concept. Changes were agreed to on March 15, and will be made to the document. A revised version will be circulated for Executive Board Review prior to going to print.

During the month of April, 2016, the Executive Board met twice –via conference call - on the 12th, and on the 26<sup>th</sup>.

Key decisions and action item updates from the month of April, 2016 included:

- 514 Subcommittee update: Member states have received the DRAFT 2017-2021 CIP document. Comments on the tables are due by 5-15-16 and should be submitted to Darrell Smith, Jeremy Jewkes, and Jason Biggs. July, 2016 is the timeframe for publishing the final document.

The subcommittee is in the process of nominating a new chair and vice chair to fill vacancies created by changes to WSDOT staffing assignments. The intent is to wrap this up by the next 514 meeting, and then submit a motion for formal Board action to fill the vacancies.

- Bi-Level Car Procurement status as of April 26, 2016: The work on the re-design of the car shell (carshell 2) continues. The re-design will incorporate Crash Energy Management CEM). Overall progress continues towards developing a working model of Carshell version 2.
- Diesel-electric Locomotive Procurement status as of April 26, 2016: The multi-state locomotive procurement continues to progress well and, although the timeline has showed some slippage, the overall schedule for delivery of the last locomotive is still within the ARRA funding window. IDOT is monitoring the situation closely with weekly meetings with Siemens focused on schedule. (for more detailed status update – see Technical subcommittee section of this report)
- GAO Study: The DRAFT report has been completed and has been sent to the agencies (FRA and Amtrak) for review and comment.
- Executive Board approval of 305-912 Revision B: As of April 26, 2016: The subcommittee approved Revision B on 9-24-15. The next step is to incorporate the changes, and submit to Steve Hewitt in final form for distribution upon request. (per NGECEC procedures) Tammy Krause will follow up on getting the revisions to Camren Cordell to finalize the document.
- Finance and Administrative subcommittee update: The Finance & Administrative Sub-committee is continuing to work through the next steps for future funding options, and is doing a bit of a re-evaluation based on the NGECEC's actual spend rate as provided for this past year at the Annual Meeting (about half of what was planned). The subcommittee is working to have a full report by the end of May, 2016 (delayed from end of March).
- Mid-West States – Section 6 progress report: As of April 26, 2016, it was reported that the letter of intent with Amtrak as the maintainer of the equipment has been signed.
- Two page educational/outreach document: As of April 26, 2016, the two pager is being finalized by the MODOT communications staff and graphic artist, to include the agreed upon revisions – noted above. Once complete, the final draft will be distributed to the Board members for final review. If no comments are noted, Steve Hewitt will contact AASHTO and ask that the document be printed. Steve will provide AASHTO with the number of copies to be made and where they should be sent.

During the month of May 2016, the Executive Board met twice –via conference call - on the 10th, and on the 24<sup>th</sup>.

Key decisions and action item updates from the month of April, 2016 included:

- 514 Subcommittee update: As of 5-24-16, the CIP approval process is underway. The subcommittee put forth recommendations to the NGECEC Executive Board for its consideration in appointing a Chair and Vice Chair. Brian Beeler II, NNEPRA for Maine DOT, was nominated by the subcommittee for Chair, and Jonathan Dees, NCDOT, was nominated for the position of Vice Chair.

On 5-24-16, the Executive Board, unanimously approved the recommendations and formally appointed Brian Beeler II (Chair) and Jonathan Dees (Vice Chair).

- Bi-Level Car Procurement status as of May 24, 2016: The Carshell redesign is in the works with the manufacturer having developed a side wall mock up for the new carshell design. In early June the expectation is that there will be an analysis and testing for the carshell with integrated CEM and forces from the push back coupler - a very comprehensive modeling. Currently the endurance test

for door cycles is underway with no issues so far, and sub-component reviews are ongoing as well. IDOT and Caltrans continue to work with the vendor on funding options.

- Diesel-electric Locomotive Procurement status as of May 24, 2016: The multi-state locomotive procurement continues to progress well and, while there is some delay for the first 11 locomotives and a 6-day delay for the balance of the production, the overall schedule for delivery of the last locomotive is still within the ARRA funding window.
- GAO Study: On May 26, 2016, the GAO released its report to: Rail Grant Oversight: Greater Adherence to Leading Practices Needed to Improve Grants Management. On that day, Steve Hewitt distributed the link to members of the Executive Board and followed up with a distribution on May 27<sup>th</sup> to the members of the Technical subcommittee.

The following link should be used to obtain the product.

<http://www.gao.gov/products/GAO-16-544> on the FRA's Grant Oversight.

- Executive Board approval of 305-912 Revision B: As of May 24, 2016: Revisions have been incorporated into the final document and it is now available from Steve Hewitt through the NGEC website process.
- Finance and Administrative subcommittee update: The Finance & Administrative Sub-committee (FASC) provided the Executive Board with a memo with recommendations after having explored future funding options for the NGEC. On May 24, 2016, the Executive Board accepted the memo and approved the recommendations (see below):

#### FINAL RECOMMENDATIONS TO THE NGEC EXECUTIVE BOARD

Having completed its further examination of potential funding sources, and having come to the conclusion that it would be most effective and efficient for the NGEC to conduct its activities as currently organized the FASC recommends the following actions for the NGEC Executive Board's consideration:

- Re-evaluate actual NGEC spending at the conclusion of FY2016, being September 30, 2016, and consider filing a no-cost extension of the existing Federal Railroad Administration Section 305 Equipment Pool Committee Grant Agreement, currently estimated for three additional years through September 30, 2020, at the NGEC's 2017 Annual Meeting.
  - Recognize the national interest in maintaining a set of standard intercity passenger rail equipment specifications through the NGEC, therefore re-doubling the NGECs education efforts with federal policymakers and Congress. In so doing, expand the membership of the FASC's Legislative Outreach Task Force, which in turn will provide, through the FASC, a quarterly progress report to the NGEC beginning June 30, 2016.
- Mid-West States – Section 6 progress report: As of May 24, 2016, The letter of intent with Amtrak as the maintainer of the equipment has been signed. The RFP for a Fleet Manager is out and under review.
  - Two page educational/outreach document: As of May 24, 2016, the two pager is being finalized by the MODOT communications staff and graphic artist, to include the agreed upon revisions. Once complete, the final draft will be distributed to the Board members for final review. If no comments are noted, Steve Hewitt will contact AASHTO and ask that the document be printed. Steve will provide AASHTO with the number of copies to be made and where they should be sent.
  - Review of the Bi-Level Car Specification C.4 proposed changes: On May 24, 2016, the Board approved a motion to reconvene the Bi-Level Car Specification Review Panel and to ask that Larry Salci begin a technical review of the Summary of Changes.

- Preparing a response to VIA Rail's request to use PRIIA Specifications: The FASC will take up the discussion of this request on its next call (6-1-16) and prepare a response for Board consideration.

During the month of June 2016, the Executive Board met twice –via conference call - on the 7th, and on the 21st.

Key decisions and action item updates from the month of June, 2016 included:

- Mid-West States – Section 6 progress report as of 6-21-16: Proposals for Fleet Manager are under review. Lease and operating agreements between the states and Amtrak Mechanical are being finalized. The states have executed an agreement to share equipment.
- 514 Subcommittee update as of 6-21-16: Updated forecasts for FY17 and the outlying years (5 years) have been presented by Amtrak, and are under review by the states. Feedback is due to Amtrak by July 6<sup>th</sup> with publication of the first full DRAFT of the CIP scheduled for July 15, 2016.
- Responding to VIA Rail's request to use PRIIA Specifications: VIA Rail had approached Vice Chair Mario Bergeron in May asking for authorization to reference the PRIIA Single Level Specification in a performance specification I is creating. The Finance and Administrative subcommittee approved a draft letter prepared by Steve Hewitt and sent it to the NGECE Executive Board for its review and consideration. In June, the Executive Board approved the letter as drafted, and it was sent under the signature of Chairman Eric Curtit to VIA Rail (Robert Becker). The letter encouraged VIA Rail to reference the PRIIA Specifications as it creates a performance spec with a goal of improving interoperability. VIA Rail, through the letter, was asked to keep the NGECE informed of changes made to the specification, and to provide feedback as they worked through the process of developing their specification. VIA Rail was also invited to join the NGECE's Technical subcommittee as industry participants. VIA Rail responded with a thank you to the Chair for authorizing its use of the specification and agreed to provide feedback. No decision has been made by VIA Rail as to whether or not they will join the Technical subcommittee.

Once the Bi-Level Car Revision C.4 has been adopted and the Technical subcommittee working groups begin a review and update to the Single Level specifications – Steve Hewitt will follow up with VIA Rail on the invitation to join the NGECE industry participants group.

- GAO Study: As reported in the May activities report, On May 26, 2016, the GAO released its report to: Rail Grant Oversight: Greater Adherence to Leading Practices Needed to Improve Grants Management. On that day, Steve Hewitt distributed the link to members of the Executive Board and followed up with a distribution on May 27<sup>th</sup> to the members of the Technical subcommittee.

The following link should be used to obtain the product.

<http://www.gao.gov/products/GAO-16-544> on the FRA's Grant Oversight.

This task is completed – no further NGECE action is required.

- Timeline: Review of the Bi-Level Car Specification C.4 proposed changes: Larry Salci had hoped to have completed his review and the report for Review Panel consideration by mid-June, however, his workload on other assignments, such as the multi-state procurements, has delayed this action. As soon as he has completed the report he will send it to Steve Hewitt for distribution to the Review Panel members, and Steve will schedule a conference call with the Panel to discuss and consider approval of the Report.
- Two page educational/outreach document: As of June 21, 2016, the two pager continues to be finalized by the MODOT communications staff and graphic artist. Once completed, the final draft will be distributed to the Board members for a last review. Following that review, Steve will provide AASHTO with the number of copies to be made and where they should be sent.
- Status Update: Bi-Level Car Procurement: The following report was submitted by Momoko Tamaoki, Caltrans, on June 21st:

- FAIs –The next upcoming FAI is the follow up FAI for Truck Assembly on July 12. We reviewed truck drawings and they have been approved.
- Carshell –The Carshell update meeting was held on June 6 via web conference. The following points are the highlights of what happened during the conference:
  - Ø A number of action items have been closed.
  - Ø Design of the fuse and energy absorber are due to be complete within the next week or so.
  - Ø Weight reductions are being identified as part of the rework.
  - Ø Further mockup samples will be produced.
- Testing –Seat Burn Test is scheduled for June 22, this Wednesday, and the seat dynamic test is scheduled for June 27, next Monday. Side Door Endurance Test is still going well with no issues. Cycling Count is now at 316,862.
  - Misc. – Program Management Plan Audit is scheduled for July 13, and QA and Manufacturing Readiness Meetings are scheduled for July 14 in Rochelle, IL.
- Status Update: Diesel-Electric Locomotive Procurement – On June 21<sup>st</sup> the following detailed update was provided by IDOT:
  - JPEs received Siemens' revised schedule and conduct weekly conference calls. Although some delay for the first 11 locomotives and a 6-day delay for the balance of the production, the overall schedule for delivery of the last locomotive is still within the ARRA funding window.
  - All of the supplier's factory FAIs are complete. The remaining FAIs were conducted June 7-9 at Siemens' factory. The FAI for the first complete locomotive is complete with follow-up action items. The FRA sample car inspection was also conducted, with a few labeling items for correction and one step rung to adjust.
  - The first two pilot locomotives have been shipped to TTCI (6-16-16) by Amtrak.
  - The next QA meeting will be resumed in July.
  - The Tier-4 Certificate has been received by Siemens/Cummins for the diesel engine. Load testing for the engine continues this week at Siemens factory.
  - IDOT has added a third in-plant QA inspector to cover inspections for our option locomotives.
  - All fifteen (15 ea.) DCRs have been sent to Tammy Krause, for processing by NGEN.
  - The test plan for 125 mph testing on the North East Corridor was submitted to FRA by (Maryland MARC Train Service) MARC. (approved by FRA 6-16-16)
  - Each JPE are working out details for pre-revenue test plans.
  - Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.
  - The Diesel Exhaust Fluid (DEF) planning team last met June 13th.
  - The locomotive weight was reported in May 2016, at 271,500 lbs (+/-). Based on actual component weights, the locomotive weight has varied little in the last six months. The calculated P2 force is within specified limits. We are advised that the first scale-weight for a completed locomotive is trending less than the calculated weight. We will likely have the actual weight in the next few weeks, however things still look good.

During the month of July 2016, the Executive Board met once –via conference call - on the 19<sup>th</sup>.

Key decisions and action item updates from the month of July, 2016 included:

- Mid-West States – Section 6 progress report: Lease and operating agreements between the states and Amtrak Mechanical are being finalized. The states have a fully executed ownership agreement in place. Fleet management procurement is progressing well.
- 514 Subcommittee update as of 6-21-16: Updated forecasts for FY17 and the outlying years (5 years) have been presented by Amtrak, and are under review by the states. Feedback is due to Amtrak by July 6<sup>th</sup> with publication of the first full DRAFT of the CIP scheduled for July 15, 2016. No report was provided during the July 19, 2016 Executive Board conference call.

- Responding to VIA Rail's request to use PRIIA Specifications: The Executive Board approved the DRAFT letter prepared by Steve Hewitt, through the FASC and it was finalized for Eric Curtit's signature, and sent on to VIA Rail (Robert Becker). The letter encourages VIA Rail to reference the PRIIA Specifications as it creates a performance spec with a goal of improving interoperability. VIA Rail, through the letter, will be invited to join the Technical subcommittee as industry participants. Mr. Becker responded immediately, thanking the NGECEC for authorizing the use of NGECEC specs and for the invitation to join the NGECEC industry member group. Mr. Becker agreed to provide the NGECEC with feedback on its use of the spec and any possible changes that are made to it. He will inquire internally as to VIA Rail's interest in participating in the work of the NGECEC as an industry member.

Once the Bi-Level Car Revision C.4 has been adopted and the Technical subcommittee working groups begin their updates to the Single Level specifications – Steve Hewitt will follow up with VIA Rail on the invitation to join the NGECEC industry participants group.

- Review of the Bi-Level Car Specification C.4 proposed changes: The Review Panel met on 7-21-16 and approved the DRAFT report with recommendations as prepared by Larry Salci. The report has been submitted to the NGECEC Executive Board and will be considered for adoption on 8-2-16.
- Two page educational/outreach document: As of July 31, 2016, the two pager has been accepted with the requested changes included, with the exception that the Board has asked for two actual photos of the new Charger Locomotive, rather than artist's renderings. Siemens has agreed to take photos on 8-10 and 11 – 2016 and provide them to Chairman Curtit for his review and consideration of inclusion in the document.
- Status Update: Bi-Level Car Procurement: The following report was submitted by Momoko Tamaoki, Caltrans, on July 19th:
  - FAIs –Truck Assembly FAI took place on July 12 in Rochelle. Our Subject Matter Expert reported that it was an excellent FAI with no open issues. The upcoming FAIs are for food service cars and ATR/UTR in fall, 2016.
  - Carshell –We continue to have regular updates from NS to review the progress of the design issues and the schedule for the design activities and component tests leading up to the supplemental design review and to production and testing of the carshell. Carshell design activities are now proceeding in accordance with the schedule requirements of the supplemental design review in 2017. The revisions to the design to meet the full range of design cases have been identified and the analysis task is underway. Currently, the focus is on the methodology being used for the revised analysis exercises and the requirements that Caltrans/IDOT have for ensuring that the analysis is completed to a level of satisfaction for our subject matter experts.
  - Testing –The seat/table dynamic tests took place on June 30 & July 1. While some tests were successfully completed, there are still a few open items that need to be discussed and worked out between Caltrans, NS, and Kustom Seating. We are hoping to resolve all issues by fall. As for the Side door endurance test, as of July 11, the current cycle count is 462,262. The Side door system rig is still cycling well. We received preliminary information that the 500,000th cycle will most likely be accomplished during the day this Friday. The cycling will then be stopped for another major inspection and replacement of the drive nut.
  - Misc. – Program Management Plan Audit took place on July 13. NS was well prepared. We spent a lot of time on risk management. We were able to close about half the audit items based on the evidence that NS presented during the audit. NS agreed to revise the plan by the end of August to close the rest of the open items. The QA meeting, which took place on July 14, went well. NS was the most prepared that they have ever been. Overall, they have made good progress since our last meeting, and were able to present quite a bit of quality data from the pilot car build. The next QA date was set for October 6. At that time, we will do another CDRL Element Audit. Our Quality system records audit went well with a minimal number of minor findings.
- Status Update: Diesel-Electric Locomotive Procurement – On July 19th the following detailed update was provided by IDOT:

- JPEs received Siemens' revised schedule and conduct weekly conference calls. Siemens has been requested to provide a recovery plan for slips in the delivery schedule of the WSDOT and IDOT locomotives. The overall schedule for delivery of the last locomotive is still within the ARRA funding window.
- All of the supplier's factory FAIs are complete. The remaining FAIs were conducted June 7-9 at Siemens' factory. The FAI for the first complete locomotive is complete with follow-up action items. The FRA sample car inspection was also conducted, with a few labeling items for correction and one step rung to adjust.
- The first two pilot locomotives are being tested at TTCI for vehicle/track dynamic interaction. All tests so far, have gone well.
- The four MARC cars have arrived at TTCI for locomotive propulsion tests.
- The monthly QA meeting was held July 6 at Siemens factory.
- All fifteen (15 ea.) DCRs will be processed by the re-established locomotive working group.
- The test plan for 125 mph testing on the North East Corridor was approved by FRA, as submitted by (Maryland MARC Train Service) MARC. MARC/Amtrak are reported processing the test agreement.
- Each JPE are working out details for pre-revenue test plans, with Amtrak.
- Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.
- The locomotive weight was reported in June 2016, at 270,725 lbs (+/-). Based on actual component weights, the locomotive weight has varied little in the last six months. The calculated P2 force is within specified limits.

During the month of August 2016, the Executive Board met twice –via conference call - on the 2<sup>nd</sup> and the 30<sup>th</sup>.

Key decisions and action item updates from the month of August, 2016 included:

- Closing out the current Grant and applying for a new grant for the NGEC:  
In late August, the FRA informed the Amtrak and the NGEC that informed that, although we have a grant agreement extension in place through 9-30-17, as a result of an error, the funds expire on 9-30-16. As a result, the FRA is moving from one grant to another and Amtrak must now apply for a new grant for the NGEC. The NGEC must develop a new scope of work, schedule and budget for the new grant which is to be effective for a 3-year period beginning October 1, 2016.

Per NGEC process, the Finance and Administrative subcommittee was to meet on 8-31-16 to discuss the new SOW for the new grant for a 3-year period effective October 1, 2016. The subcommittee will develop the scope, schedule and budget for Executive Board approval and submittal to Amtrak grants and then on to FRA grants for its approval and execution.

The close out process for the current grant is underway with Amtrak requesting a final invoice from AASHTO by 8-31-16. Amtrak's deadline to submit to FRA is 9-22-16. Open questions concern the ability to include in the final invoice those expenses that will be incurred in September – primarily those of the Support Services Manager (a fixed monthly fee) and AASHTO. FRA will provide the answer to this question in time for AASHTO to meet the Amtrak August 31 deadline. (As of August 31, 2016, FRA informed Amtrak and the NGEC that the decision to accept an invoice that would include fixed monthly fees for the month of September as a part of the final invoice was "98%" approved. The final "2%" was expected to also be approved, and FRA would inform Amtrak in writing that it was ok to proceed with the inclusion of the September fixed fees. Assuming final approval, the NGEC will continue conducting meetings and the day to day operation of the committee and its subcommittees.

- Mid-West States – Section 6 progress report: The Mid-West states are working on a review of the By-Laws, insurance and allocation of the locomotives.

Continuing to meet on the Fleet Management Procurement process moving forward.

The group will talk next month around the SCORT meeting in Chicago in October.

- Collaboration among the states continues to proceed well.

- 514 Subcommittee update as of 8-30-16: The DRAFT CIP was finalized and distributed. Subcommittee Chair Brian Beeler II has the action to provide Amtrak with an updated list of members who worked on the document for inclusion in it. Mr. Beeler is also working on the memo to go to the NGECE Executive Board from the 514 subcommittee per the NGECE process.
- Responding to VIA Rail's request to use PRIMA Specifications: The Executive Board previously approved the DRAFT letter prepared by Steve Hewitt, through the FASC and it was finalized for Eric Curtit's signature, and sent on to VIA Rail (Robert Becker). The letter encouraged VIA Rail to reference the PRIMA Specifications as it creates a performance spec with a goal of improving interoperability. VIA Rail, through the letter, was also invited to join the Technical subcommittee as industry participants.

With the adoption of the Bi-Level Car Revision C.4, on August 2<sup>nd</sup>, the Technical subcommittee working groups will soon begin updating the Single Level specifications – Steve Hewitt will follow up with VIA Rail on the invitation to join the NGECE industry participants group. (ongoing)

- Two page educational/outreach document: Siemens has provided new pictures of the Charger which were taken in August. MO DOT has included them in a revised draft. Today, Eric asked that Steve Hewitt transmit the latest version to all Board members in hopes of getting approval on the next call – 9-13-16.
- Status Update: Bi-Level Car Procurement: The following report was submitted by Bruce Roberts, Caltrans, on August 30:

Overall, progress on the bi-level car procurement is moving forward. They are working their way through the FAI's.

Testing is progressing well with there being a few open items yet to be resolved.

Work on the carshell design 2 is moving along well also with the schedule for design review holding.

The Mid-West states and Caltrans are working with Nippon Sharyo to extend the contract through 2022 for delivery. The delivery period for the cars would be from 2018-2022, "keeping us under contract for delivery of the base order through 2022."

- FAIs –We are now gearing up for the remaining FAIs – Passenger Seat/Table, Food Service, and ATR/UTR. The FAI package for the seat/table was submitted for the customer team's review on July 25, and drawings for food service and ATR/UTR are being submitted continuously for the SME's review. All FAIs are anticipated to take place in fall and winter of 2016. The vendor submitted an FAI plan to break up the Food Service FAI for more efficient review and approval. Amtrak Public Health group is also assisting Caltrans in reviewing these system FAI prior to the FDA inspection.
- Carshell –We continue to have regular updates from NS to review the progress of the design issues and the schedule for the design activities. The last update meeting was July 25, Monday. Carshell design activities are now proceeding in accordance with the schedule requirements of the supplemental design review in 2017. NS presented an approach to fatigue that our SMEs stated seemed to be in the right direction, but example calculations are still required. The next update meeting will be held on September 8.
- Testing –The seat/table dynamic tests took place on June 30 & July 1. While some tests were successfully completed, there are still a few open items that need to be discussed and worked out. We are hoping to resolve all issues by fall. The follow up seat dynamic test will take on 9/15 & 16. All other seat and table follow up tests will take place after all the remaining open items are closed. The next big tests are the Primary Energy Absorber and Fuse Testing in Japan on September 17 through 23.
- Misc. –The next face to face Project Management meeting between Caltrans, IDOT and NS/SCOA will take place in the week of October 5. Also the FAI Plan audit will take place on 10/5. The Manufacturing and QA meeting is scheduled in Rochelle on 10/6.



- Status Update: Diesel-Electric Locomotive Procurement – On August 30 the following detailed update was provided by John Oimoen, IDOT:
  - JPEs continue to receive Siemens' weekly revised schedule and conduct weekly conference calls. The main basis for revised weekly schedules reflects on-going testing up-dates.
  - The first two pilot locomotives were tested at TTCI, with instrumented wheel sets, for vehicle/track dynamic interaction. The tests are concluded with successful results.
  - The locomotives were also tested for AAR Chapter XI track interaction protocol, also using the instrumented wheel sets. The tests are concluded with successful results.
  - The four MARC cars have arrived at TTCI for locomotive propulsion tests. Initial tests up to 130 mph have been successfully completed.
  - Road Braking tests have been successfully completed at TTCI.
  - The EMC/EMI tests are now being conducted and are going well.
  - Locomotive propulsion tests are now also underway at TTCI with good results. Track speeds of 127 MPH have been routinely achieved, while acceleration, trip times, and fuel consumption performance have been found to be a bit better than estimated.
  - The test plan for 125 mph testing on the North East Corridor was approved by FRA, as submitted by (Maryland MARC Train Service) MARC. MARC/Amtrak are reported processing the test agreement.
  - Siemens shipped locomotive #4 to Baltimore on Friday 8/5. The locomotive and the instrumented wheel sets are now in Baltimore and testing is set to begin on 9/9.
  - Each JPE are working out details for pre-revenue test plans, with Amtrak.
  - All fifteen (15 ea.) DCRs have been distributed to the locomotive sub-team leaders for review.
  - The locomotive weight was reported for locomotive # 4604, at a bit less than 267, 000 lbs (+/-). This is a little bit better than previously estimated. The calculated P2 force is within specified limits.

John added that the testing has been going very well and they are looking forward to achieving the goal of getting the "Charger" locomotive into revenue service in early 2017.

During the month of September 2016, the Executive Board met two times via conference call - on the 20th and the 27<sup>th</sup>.

Key decisions and action item updates from the month of September, 2016 included:

- Closing out the current Grant and applying for a new grant for the NGEC:  
The final invoice has been submitted to FRA for processing. All items have been processed and the check to AASHTO "is either on its way or already there."
- The next step in the process is the final close out report which is due in December, 2016. The Finance and Administrative subcommittee (FASC) will prepare this report. The template and instructions have been sent to all FASC members through Steve Hewitt.
- Applying for a new grant for the NGEC: On 9-27-16 Darrell Smith, Amtrak, provided a status update on the statement of work (SOW) and budget for the new 3-year NGEC grant to begin 10-1-16 through 9-30-19.
- The DRAFT SOW was approved by the NGEC Executive Board on 9-20-1, and has been re-formatted with no change to scope or budget. It was sent to FRA (9-23-16) and receipt was acknowledged by FRA grants on 9-26-16. The next step is legal review in FRA. The intent is to have it signed by October 14<sup>th</sup>, with the grant start date still set for October 1<sup>st</sup> and the system (new budget year) expected to come on line during the week of 10-3-16.
- Mid-West States – Section 6 progress report: As of 9-27-16 the states continue to work on the Fleet Management procurement and are hopeful of wrapping it up soon. Work continues on the lease agreement with Amtrak for the locomotives.
  - 514 Subcommittee update: On 9-27-16 the NGEC Executive Board approved the Amtrak-States CIP for 2017-2021 as presented. The final version was distributed to all Board members after the call, and to AASHTO for posting to the website.

- Two page educational/outreach document: On 9-20-16 the Executive Board approved the two-page education and outreach document with the changes previously agreed to and the inclusion of the new pictures of the Charger locomotive submitted by Siemens. Chairman Curtit will have the MODOT graphics arts staff finalize the document and get it out to Steve Hewitt as soon as it is ready. On 9-27-16, Bruce Roberts, Caltrans, agreed to provide new renderings of the Bi-Level coach cars for inclusion in the two pager.
- Responding to VIA Rail's request to use PRIIA Specifications: The Executive Board previously approved the DRAFT letter prepared by Steve Hewitt, through the FASC and it was finalized for Eric Curtit's signature, and sent on to VIA Rail (Robert Becker). The letter encouraged VIA Rail to reference the PRIIA Specifications as it creates a performance spec with a goal of improving interoperability. VIA Rail, through the letter, was also invited to join the Technical subcommittee as industry participants.

With the adoption of the Bi-Level Car Revision C.4, on August 2<sup>nd</sup>, the Technical subcommittee working groups will soon begin updating the Single Level specifications – Steve Hewitt will follow up with VIA Rail on the invitation to join the NGECC industry participants group. (ongoing)

In September, VIA Rail named Joe DiLiello as its representative to the NGECC Technical Subcommittee's Industry group. Steve Hewitt has provided Mr. DiLiello with background/context information and has added him to the calendar invites to all Technical subcommittee calls. Mario Bergeron and Eric Curtit have both contacted Mr. DiLiello and welcomed his participation.

- Status Update: Bi-Level Car Procurement: The following report was submitted by Bruce Roberts, Caltrans, on September 20th:
  - FAIs –We are now gearing up for the Passenger Seat/Table, Food Service FAIs. The Pre-FAI for the Passenger Seat and Table took place on 9/1. The KSU is in the process of correcting all the workmanship issues they found at the Pre- FAI to prepare for the official customer witness FAI. The drawings for food service are being submitted continuously for the SME's review. NS also submitted an FAI plan to break up the Food Service FAI for more efficient review and approval. Amtrak Public Health group is actively assisting Caltrans in reviewing these system FAIs prior to the official FDA inspection. The sub-supplier for the ATR/UTR will be re-locating to Tennessee from New York. This will cause some delay in scheduling the ATR/UTR FAI, but will still be completed well in advance of the production.
  - Carshell –We continue to have regular updates from NS to review the progress of the carshell re-design issues, and the schedule for the design activities. Carshell design activities are proceeding in accordance with the schedule requirements of the supplemental design review scheduled in 2017. The last update meeting took place on September 8. The face to face pre-supplemental design review is scheduled on October 4<sup>th</sup> through 6<sup>th</sup>.
  - Testing –The follow up seat dynamic test took place on 9/15 & 16, but have not received official results yet. We are now in the middle of Primary Energy Absorber and Fuse Testing in Japan (going on September 17 through 23.) Our SME reported that it is going well so far.
  - Misc. –The next face to face Project Management meeting between Caltrans, IDOT and NS/SCOA will take place on October 4. Also the FAI Plan audit will take place at the end of October. The Manufacturing and QA meeting is scheduled at the same time. NS will be providing one rendering each of the Caltrans and IDOT cab cars. So as soon as we receive it, we'll be sharing it with NGECC.
- Status Update: Diesel-Electric Locomotive Procurement – On September 20<sup>th</sup> the following detailed update was provided by John Oimoen, IDOT:
  - JPEs continue to receive Siemens' weekly revised schedule and conduct weekly conference calls. The main basis for revised weekly schedules reflects on-going testing up-dates.
  - Testing of the first two pilot locomotives continues at TTCL. All tests have been successful so far for: Vehicle stability, high speed performance (125 mph +5), AAR Chapter XI, Road Braking, Thermal Capacity, EMI/EMC.

- The four MARC cars continue to be used at TTCI for locomotive propulsion tests for the revenue simulation Test. Track speeds of 127 MPH have been routinely achieved, while acceleration, trip times and fuel consumption performance have been found to be a bit better than estimated.
- The last tests to be conducted at TTCI are scheduled for the next two weeks: Battery Charger/Aux Power/HEP, Exterior lighting performance, Sanding, Adhesion and Wheel Slide.
- Vehicle Qualification Testing on the North East Corridor, as approved by FRA is scheduled to start this weekend. Amtrak has confirmed the tests to commence this Saturday night.
- Each JPE are working out details for pre-revenue test plans, with Amtrak.
- All fifteen (15 ea.) DCRs have been distributed to the locomotive sub-team leaders for review.
- The locomotive weight was reported for locomotive # 4604, at a bit less than 267, 000 lbs (+/-). This is a little bit better than previously estimated. The calculated P2 force is within specified limits.

During the month of October 2016, the Executive Board met two times via conference call - on the 11th and the 25<sup>th</sup>.

Key decisions and action item updates from the month of October, 2016 included:

- Applying for a new grant for the NGEC – On 10-25-16, Michael Lestingi, FRA, reported that the new Grant Agreement has left FRA and is with Amtrak for its counter signature. He anticipates that it will be signed soon and sent back to FRA. The agreement will be effective October 1, 2016 through September 30, 2019.

(Note: On 10-31-16 FRA informed the NGEC that the Grant Agreement had been signed and fully executed on 10-25-16 effective 10-1-16 through 9-30-19. Steve Hewitt forwarded a copy of the signed agreement to NGEC Executive Board and Finance and Administrative subcommittee members on 10-31-16).

- Project Close Out Report: Now that the final invoice for has been processed and submitted to the FRA Darrell Smith, Amtrak, will prepare a first Draft of the report for review by the Finance and Administrative subcommittee (FASC) on its next call – 11-16-16. The intent is to get the FASC approval on that call, and to send it to the Executive Board for its consideration on 11-22-16, and to send the approved report to FRA by 12-1-16.
- New Grant Quarterly Report Requirements – Milestones: The new Grant agreement calls for a change in reporting requirements in that it includes milestones. In the initial Grant quarterly report, the NGEC activities reports were used as a basis for the quarterly grant report. That will remain the case, with the additional element of including milestones in the report. On 10-25-16 Board members were asked to send suggested milestones for inclusion in the new Grant Quarterly reports, to Darrell Smith and Steve Hewitt. The first report will be due in January, 2017 and will cover the months of October, November and December, 2016.

On 10-25-16 the Board requested IDOT and/or Caltrans to work with the manufacturers (Nippon Sharyo and Siemens) to provide jobs numbers from the two ongoing NGEC procurements to be included as a milestone in the quarterly report. John Oimoen, IDOT, agreed to work on getting jobs numbers from the manufacturers for inclusion as a milestone in the reports.

- 514 Subcommittee update: The 514 subcommittee is getting ready to begin the next CIP update which will be a “major” update which will include policy updates. Executive Board members are asked to review the last three CIP updates and the accompanying transmittal memos. If any Board members have comments or suggestions on how to improve the CIP document, please forward those comments to Brian Beeler or another member of the subcommittee.

Mario Bergeron, Brian Beeler, and Eric Curtit will have a call to further discuss the possibility of having a face to face meeting either in Wilmington or at Beech Grove for either the NGEC or 514 subcommittee.

- Two page educational/outreach document: The new educational/outreach document describing the NGEC’s accomplishments to date was approved, as final, and ready for printing on 10-25-16. Steve Hewitt has distributed the electronic version to all NGEC members and has advised AASHTO as to how many copies to print.

Executive Board members were asked to provide mailing addresses to Steve Hewitt so that two hard copies of the document can be sent to each Board member.

- Status Update – Diesel-Electric Locomotive Procurement:

On 10-25-16, John Oimoen, IDOT, provided the following update:

- JPEs continue to receive Siemens' weekly revised schedule and conduct weekly conference calls. The main basis for revised weekly schedules reflects on-going testing up-dates.
- Testing of the first two pilot locomotives is complete at TTCI. All tests have been successful and the locomotives are en-route back to Siemens' Sacramento factory.
- The four MARC cars were used at TTCI for locomotive propulsion tests for the revenue simulation Test and should also be en-route back to Maryland.
- Vehicle Qualification Testing on the North-East Corridor, is also complete. All testing went well with no issues noted. During the testing, nearly 1,000 failure-free miles were accumulated on locomotive 4604.
- 2 IDOT locomotives ready to ship from Siemens and will be released as soon as IDOT and Amtrak are ready.
- IDOT has submitted final draft for 238.111(b) test plan to Amtrak for comments, then submittal to FRA. Other JPEs are working with Amtrak for 238.111(a) test plans.
- JPEs are working with Siemens for Wi-Tronix application, now required by Amtrak.
- All Document Change Requests (DCR) have been distributed to the locomotive sub-team leaders for review.
- As-Built weights have been reported at a bit less than 267, 000 lbs. (+/-). This is a little bit better than previously estimated. The calculated P2 force is within specified limits. As other locomotives are weighed, we will report.

- Status Update Bi-Level Car Procurement:

On 10-25-16, Bruce Roberts, Caltrans, reported that progress continues FAIs and the car shell re-design. The goal is to have the model refinement ready for review in Japan in late January, 2017.

There is a team in Rochelle, Illinois now doing a QAQC FAI review to bring staff on board to ramp up for pre-production for the R&D car.

Reprinted below is the more formal update on other aspects of the procurement as provided to the Technical subcommittee on October 6<sup>th</sup>:

FAIs –We are now gearing up for the Passenger Seat/Table, Food Service FAIs. The Pre-FAI for the Passenger Seat and Table took place on 9/1. The KSU is in the process of correcting all the workmanship issues they found at the Pre- FAI to prepare for the official customer witness FAI. The drawings for food service are being submitted continuously for the SME's review. NS also submitted an FAI plan to break up the Food Service FAI for more efficient review and approval. The Food Service FAI schedule was submitted by the vendor for customer team's review. Amtrak Public Health group is actively assisting Caltrans in reviewing these system FAIs prior to the official FDA inspection. The sub-supplier for the ATR/UTR will be re-locating to Tennessee from New York. This will cause some delay in scheduling the ATR/UTR FAI, but will still be completed well in advance of the production.

Carshell –We continue to have regular updates from NS to review the progress of the carshell re-design issues, and the schedule for the design activities. Carshell design activities are proceeding in accordance with the schedule requirements of the supplemental design review scheduled in January 2017. We met last week (week of 10-3-16) for a face to face pre-supplemental design review meeting with NS. We will report the progress on the design at the next technical subcommittee conference call.

Testing –The follow up seat dynamic test took place on 9/15 & 16, but has not received official results yet. We have heard that it went well. We completed the Primary Energy Absorber and Fuse Testing in Japan (September 17 through 23.) Our SME reported that these tests also went very well. The coupler test is scheduled for the end of the year in Germany.

Misc. –The face to face Project Management meeting between Caltrans, IDOT and NS/SCOA took place on October 4 in Sacramento, and it was productive. The FAI Plan audit will take place at the end of October. The Manufacturing and QA meeting is scheduled at the same time, at the end of October. NS provided the official copy of the rendering of each of the Caltrans and IDOT cab cars, and Caltrans shared that with the NGECC.

- Mid-West States – Section 6 progress report: the states continue to work on lease and ownership agreements. In October, the states conducted a webinar for MPOs in the Mid-West on intercity passenger rail implementation.
- On 10-25-16, preparations were begun for the 2017 NGECC Annual Meeting:
  - a. Setting the Date: The date of the meeting is: 2-24-17 and location will be: Hyatt Regency, Capitol Hill, Washington, DC.  
AASHTO has provided a Save the Date notice for the upcoming SCORT, SPRC, SAIPRC and NGECC meetings to be held in Washington, DC the week of 2-20-17 at the Hyatt Regency, Capitol Hill. Steve Hewitt has sent the notice to the full NGECC membership and will also send calendar appointments for the NGECC Annual Meeting.
  - b. Developing a DRAFT agenda  
Steve and Eric are beginning to develop the DRAFT agenda for the Annual Meeting and ask that members send any suggestions they may have for items beyond those which are the standard items.
    - 1. Proposed agenda items to date:
      - A. Chairman's Report
      - B. Subcommittee Progress Reports: Technical SC, FASC, 514 SC
      - C. Treasurer's Report
      - D. Procurement Updates
      - E. Mid-West States – Section 6 Progress report

During the month of November 2016, the Executive Board met twice - via conference call - on the 8th and the 22<sup>nd</sup>.

Key decisions and action item updates from the month of November, 2016 included:

- Project Close Out Report: On 11-22-16 the NGECC Executive Board approved the Project Close Out Report, as presented by the Finance and Administrative subcommittee on 11-16-16. Following the Board call (11-22-16) Amtrak was to finalize the Report with the required signature and transmit to FRA. This closes action on the original NGECC Grant.
- New Grant Quarterly Report Requirements – Milestones: The new Grant agreement calls for a change in reporting requirements in that it includes milestones. In the initial Grant quarterly report, the NGECC activities reports were used as a basis for the quarterly grant report. That will remain the case, with the additional element of including milestones in the report. On 10-25-16 Board members were asked to send suggested milestones for inclusion in the new Grant Quarterly reports, to Darrell Smith and Steve Hewitt. A list of proposed milestones was submitted by NGECC Chairman Eric Curtit and presented on the 11-8 and 11-22-16 Executive Board calls. Additional suggestions are welcome. The first report will be due in January, 2017 and will cover the months of October, November and December, 2016.

On 10-25-16 the Board requested IDOT and/or Caltrans to work with the manufacturers (Nippon Sharyo and Siemens) to provide jobs numbers from the two ongoing NGECC procurements to be included as a milestone in the quarterly report. John Oimoen, IDOT, agreed to work on getting jobs numbers from the manufacturers for inclusion as a milestone in the reports. This remains an open item.

- Review of NGEN By-Laws: As of 11-22-16, Ray Hessinger, Co-Vice Chair of the FASC, and Steve Hewitt are in the process of doing the annual review of the NGEN By-Laws. The review last year was very comprehensive and it is not anticipated that there will be many (if any) changes recommended following this review. Ray and Steve will review the new Grant Agreement SOW against the By-Laws to ensure consistency. Any changes that may be needed will be recommended to the Board for its consideration consistent with NGEN procedures.
- Syncing contracts with the new grant: Darrell Smith reported on 11-22-16 that because the current Amtrak/AASHTO contract (and AASHTO's contract with its sub-contractors) is in effect through 9-30-17, there is no need for action now. Once the 9-30-17 date draws near there will be an extension consistent with the new grant period and grant amount between Amtrak and AASHTO and AASHTO and its subcontractors as called for in the SOW and budget.
- 514 Subcommittee update: As of 11-8-16, the 514 subcommittee was continuing to gear up for the next CIP update which will be a "major" update and will include policy updates. A 4<sup>th</sup> quarter reconciliation call was scheduled for 11-15-16 with Amtrak.
- Two page educational/outreach document: The new educational/outreach document is being printed by AASHTO Publications. The initial printing request (submitted by Steve Hewitt) is for 300 copies. A distribution of two copies will be made to each Board Member. Additional copies can be requested through Steve Hewitt. Members of the industry and all NGEN members have received electronic versions and hard copies will be available by request through Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).
- Mid-West States – Section 6 Update:
 

The states continue working on lease and testing agreements.

The Fleet Manager position has been filled and that person should be on board "any day now."

The Mid-West states are forming a Fleet Oversight Board to oversee the Fleet Manager.
- Status Update – Diesel-Electric Locomotive Procurement:
- Arun Rao, WSDOT, provided the following update prepared by IDOT for inclusion in the 11-8-16 minutes:
  - JPEs continue to receive Siemens' weekly revised schedule and conduct weekly conference calls. The main basis for revised weekly schedules reflects on-going testing up-dates.
  - Testing of the first two pilot locomotives is complete at TTCL and they are back at Siemens factory. All tests have been successful.
  - The four MARC cars were used at TTCL for locomotive propulsion tests and are now returned to Maryland.
  - Locomotive 4604 is stored at MARC after the successful completion for Vehicle Qualification Testing on the North-East Corridor.
  - IDOT 4608 & 4609 have been shipped to TTCL at Pueblo, CO for 500-mile burn-in testing. The locomotives will next ship to Chicago, when IDOT and Amtrak are ready.
  - IDOT will now send a locomotive to WSDOT for 238.111(b) testing on the Cascades route. WSDOT will conduct the 238.111(b) test. Other JPEs are working with Amtrak for 238.111(a) test plans.
  - JPEs are working with Siemens for Wi-Tronix application, now required by Amtrak.
  - All Document Change Requests (DCR) have been distributed to the locomotive sub-team leaders for review.
  - As-Built weights have been reported at a bit less than 267, 000 lbs (+/-). This is a little bit better than previously estimated. The calculated P2 force is within specified limits. As other locomotives are weighed, we will report.
- Status Update Bi-Level Car Procurement:

On 11-8-16, Bruce Roberts, Caltrans provided a brief update on the status of the Bi-Level procurement:

Two key items:

Caltrans, IDOT and Sumitomo are working on a contract extension to go beyond the ARRA funding deadline.

The Carshell redesign Final Design Review (FDR) is being planned for the early part of 2017 (Late January or early February, 2017) in Rochelle, Illinois.

- Preparing for the 2017 NGEC Annual Meeting: On 11-22-16, a draft agenda was presented to Board members for review and input. Additional agenda item suggestions are welcome. A DRAFT agenda for use in obtaining travel approval is to be distributed after a further review by the Board on 12-6-16.
- NCDOT Use of NGEC Bi-Level Car Specification: NCDOT will use the NGEC Bi-level spec as a basis for developing a specification for its purchase of 5 Bi-level cars for its fleet. Modifications will be made to fit the NCDOT's fleet requirements. NCDOT will keep the NGEC apprised of the changes it makes to the spec. Tammy Krause, NGEC Revision Control Coordinator (RCC) has provided an unsecured version of the specification for NCDOT use.

During the month of December 2016, the Executive Board met once - via conference call - on the 6<sup>th</sup>.

Key decisions and action item updates from the month of December, 2016 included:

- 514 Subcommittee update: The subcommittee continued its work with Amtrak on the quarterly reconciliation. In mid -December the subcommittee met to begin work on the next CIP document.
- Educational/outreach document: The order for 300 printed copies was filled by AASHTO and an initial distribution was made to Executive Board members and Steve Hewitt and is now available upon request through Steve Hewitt. An electronic version was sent to all NEC members.
- New Grant Quarterly Report Requirements – Milestones: The new Grant agreement calls for a change in reporting requirements in that it includes milestones. In the initial Grant quarterly report, the NGEC activities reports were used as a basis for the quarterly grant report. That will remain the case, with the additional element of including milestones in the report. In December, proposed milestones were approved for use beginning with the first Quarterly report to be done for the October 1, 2016 through December 31, 2016 period.

On 10-25-16 the Board requested IDOT and/or Caltrans to work with the manufacturers (Nippon Sharyo and Siemens) to provide jobs numbers from the two ongoing NGEC procurements to be included as a milestone in the quarterly report. John Oimoen, IDOT, agreed to work on getting jobs numbers from the manufacturers for inclusion as a milestone in the reports. This remains an open item.

- Review of NGEC By-Laws: As of 12-6-16, Ray Hessinger, Co-Vice Chair of the FASC, and Steve Hewitt are in the process of doing the annual review of the NGEC By-Laws. It is not anticipated that there will be many (if any) changes recommended following this review. Ray and Steve will review the new Grant Agreement SOW against the By-Laws to ensure consistency. Any changes that may be needed will be recommended to the Board for its consideration consistent with NGEC procedures.
- Syncing contracts with the new grant: Darrell Smith reported on 11-22-16 that because the current Amtrak/AASHTO contract (and AASHTO's contract with its sub-contractors) is in effect through 9-30-17, there is no need for action now. Once the 9-30-17 date draws near there will be an extension consistent with the new grant period and grant amount between Amtrak and AASHTO and AASHTO and its subcontractors as called for in the SOW and budget.
- Mid-West States – Section 6 Update:

The states are in the process of “setting up” a Mid-West Equipment Board.

The Fleet Manager is on board.

They continue to work on a lease of the equipment to Amtrak.

- Status Update – Diesel-Electric Locomotive Procurement:

On December 15, 2016, the following update was provided to the Technical subcommittee by IDOT:

JPEs continue to receive Siemens' weekly revised schedule and conduct weekly conference calls. The main basis for revised weekly schedules reflects on-going locomotive delivery and testing updates.

- Locomotive 4604 is stored at MARC after the successful completion for Vehicle Qualification Testing on the North East Corridor. Plans to ship to Chicago are now in motion.
- As of now, successful 500-mile conditional acceptance tests have been completed on: 4601, 4602, 4604, 4605, 4606, 4608, 4609 & 4610. Locomotives 4603 & 4607 will ship next to TTCL.
- After 500-mile testing is complete, all locomotives will next ship to Chicago, when IDOT and Amtrak are ready.
- IDOT will now send locomotive 4611 to WSDOT for 238.111(b) testing on the Cascades route. WSDOT will conduct the 238.111(b) test. Other JPEs are working with Amtrak for 238.111(a) test plans.
- JPEs are working with Siemens for Wi-Tronix application, as required by Amtrak.
- All Document Change Requests (DCR) have been distributed to the locomotive sub-team leaders for review, and reviews are nearing completion with no apparent issues.
- As-Built weights have been reported at a bit less than 267, 000 lbs (+/-). This is a little bit better than previously estimated. The calculated P2 force is within specified limits. As other locomotives are weighed, we will report.

Status Update Bi-Level Car Procurement:

- On December 6, 2016, Bruce Roberts, Caltrans, reported that there have been some changes to the Caltrans Rail Division. Bruce is moving on to CALSTA and this will be his last NGECC meeting. As the interim Chief and the Assistant Chief of the Division transition into their new roles, John Pagano will be the point of contact at Caltrans for the NGECC, and will keep the Board informed as the transition moves forward.

As of December 6, 2016, the following was reported to the Board:

- Sumitomo has informed Caltrans that the Final Design Review (FDR) will not take place in January, 2017, as initially anticipated, and has been postponed to a later date – possibly sometime in the Spring of 2017.
- Other activities continue to move ahead: (described below as submitted by Caltrans staff)
  - FAIs – Caltrans, IDOT and FRA are still evaluating the test results from the dynamic test and quasi static test of the seat/table. Once the evaluation is completed, the FAI will be scheduled. The other remaining FAIs (Food Service and ATR/UTR) will take place next year. Amtrak Public Health team will visit NS facility in Rochelle on December 14 to review the 3D models of the food service system prior to the official FDA inspection.
  - Testing –Caltrans and Amtrak OBIS team will visit NS Rochelle Facility on December 14 through 16. The main purpose of the visit is to create and refine a design for the installation of the OBIS equipment on-board the various train cars. The coupler test is scheduled for 12/15 in Germany.
- Preparing for the NGECC Annual Meeting 2017 - February 24, 2017, Washington, DC – Hyatt Regency, Capitol Hill:



a. Review of DRAFT Agenda:

On December 6<sup>th</sup>, Steve Hewitt briefly reviewed the DRAFT Annual Meeting agenda, finalizing speakers and setting a timeline for getting out the DRAFT agenda for states to use for travel approval requests.

Steve asked all Board members to let him know if they are unable to attend the meeting, and, if that is the case, to please be sure to provide a proxy so that a quorum can be established.

A DRAFT agenda was distributed to all Board members and subsequently, to all NGECE members by mid-December. It was also posted to the NGECE website.

b. Bringing the Charger to DC:

As of December 6<sup>th</sup>, after some discussion over timing, costs, complexity, it was agreed that the DRAFT agenda will not include the Charger Locomotive viewing at this point. If it is deemed to be economically feasible and can be brought to DC for the meeting, the agenda can be revised accordingly.

- NCDOT Use of NGECE Bi-Level Car Specification: NCDOT will use the NGECE Bi-level spec as a basis for developing a specification for its purchase of 5 Bi-level cars for its fleet. Modifications will be made to fit the NCDOT's fleet requirements. NCDOT will keep the NGECE apprised of the changes it makes to the spec. Tammy Krause, NGECE Revision Control Coordinator (RCC) has provided an unsecured version of the specification for NCDOT use.

- Scheduling Subcommittee updates to the Executive Board:

In December, Chairman Curtit asked subcommittee Chairs to plan on providing brief, but regular, updates to the Executive Board on its calls in 2017. Each subcommittee will be asked to report monthly. Steve Hewitt will set up a schedule for the reports.

During the month of January 2017, the Executive Board met three times - via conference call - on the 3<sup>rd</sup>, the 17<sup>th</sup> and the 31<sup>st</sup>.

Key decisions and action item updates from the month of January, 2017 included:

- Educational/outreach document: The order for 300 printed copies was filled by AASHTO and an initial distribution was made to Executive Board members. Over the past month approximately 230 of the initial 300 have been distributed. AASHTO has ordered another printing of the document and it will be available for further distribution at the Annual meeting.
- New Grant Quarterly Report Requirements – Milestones: The new Grant agreement calls for a change in reporting requirements in that it includes milestones. In the initial Grant, quarterly report, the NGECE activities reports were used as a basis for the quarterly grant report. That will remain the case, with the additional element of including milestones in the report. In December, proposed milestones were approved for use beginning with the first Quarterly report to be done for the October 1, 2016 through December 31, 2016 period. In the last activities report for the NGECE – Steve Hewitt included a new section for reporting on milestone achievements during the quarter. This section of the report was used as the bulk of the Quarterly Grant report submitted by Amtrak to FRA.
- Review of NGECE By-Laws: On 1-17-17, the NGECE Executive Board accepted the Finance and Administrative subcommittee's recommendation that there would be no revisions made to the By-Laws at this time.
- Syncing contracts with the new grant: Darrell Smith reported on 11-22-16 that because the current Amtrak/AASHTO contract (and AASHTO's contract with its sub-contractors) is in effect through 9-30-17, there is no need for action now. Once the 9-30-17 date draws near there will be an extension consistent with the new grant period and grant amount between Amtrak and AASHTO and AASHTO and its subcontractors as called for in the SOW and budget.

No action is needed now – but action will be required as 9-30-17 approaches

- Mid-West States – Section 6 Update:

The group continues to work on contract related needs for Receival of the new equipment.

Work on associated agreements with Amtrak is ongoing.

The Charger (4604) has arrived in Chicago.

Next Update: 2-24-17

- Status Update – Diesel-Electric Locomotive Procurement:

On January 31, 2017, the following update was provided to the Executive Board by IDOT:

- JPEs continue to work with Siemens on schedule and conduct weekly conference calls.
- As of now, successful 500-mile conditional acceptance tests have been completed on IDOT units: 4601, 4602, 4604, 4605, 4606, 4608, 4609 & 4610. Locomotives 4603 & 4607 are at TTCL and were tested last week. The first WSDOT locomotives are being prepared to ship to Pueblo.
- After 500-mile testing is complete, all locomotives will next ship to Chicago, when IDOT and Amtrak agreements are in place.
- Maintenance demonstrations are going well at Siemens and are about 50% complete, this week.
- IDOT and Amtrak agreed and signed agreements this past week for storage, testing and commissioning the locomotives.
- IDOT locomotive 4611 has been sent to WSDOT for 238.111(b) and WSDOT required 213.345 testing on the Cascades route. WSDOT will conduct the 238.111(b) test. Other JPEs are working with Amtrak for 238.111(a) test plans.
- JPEs are working with Siemens for Wi-Tronix application, as required by Amtrak. The first unit is currently being installed. Siemens progress looks good so far.
- All Document Change Requests (DCR) have been reviewed and approved by the working group with no issues. Rich Stegner will contact Tammy Krause for next steps for revising the specification.
- As-Built weights have been reported at a bit less than 267, 000 lbs (+/-). This is a little bit better than previously estimated. The calculated P2 force is within specified limits. As other locomotives are weighed, we will report.
- IDOT and its Fleet Manager Contractor are close to having a signed agreement in place for on-going support.

- Preparing for the NGEC Annual Meeting 2017 - February 24, 2017, Washington, DC – Hyatt Regency, Capitol Hill:

Steve Hewitt provide an overview of the current DRAFT agenda for the 2017 NGEC Annual Meeting.

Attendance: As of 1-31-17 there are 65 registered to attend the meeting.

12 of 14 Board members have confirmed their attendance. 13 of 14 Board members (highlighted below) are expected to attend – but 1 is tentative – pending travel approval.

A quorum should be established without issue.

Steve also reviewed the speakers to confirm their attendance. All speakers are confirmed – Mariah Morales will be providing the Amtrak Government Affairs update rather than Joe McHugh. Steve Hewitt will revise the agenda and attendee list accordingly.

Speakers are asked to provide their presentations to Steve Hewitt by February 21<sup>st</sup>. Where appropriate, the NGEC Template should be used for the PowerPoints.

With a few modifications as discussed and agreed to on today's call, Chairman Curtit has directed Steve Hewitt to consider this the Final Agenda and distribute it as such. (Always subject to change as necessary).

- Scheduling Subcommittee updates to the Executive Board:

In December, Chairman Curtit asked subcommittee Chairs to plan on providing brief, but regular, updates to the Executive Board on its calls in 2017. Each subcommittee will be asked to report monthly. Steve Hewitt will set up a schedule for the reports.

On January 17, 2017, the Finance and Administrative subcommittee and the 514 subcommittee provided updates to the Board.

On January 31, 2017, the Technical subcommittee provided its monthly update.

- 514 Subcommittee update:

A survey was conducted with results showing that the biggest topics identified by the Reconciliation and transparency.

Discussion took place about whether there is a need for a major update to the CIP, or if there should simply be minor tweaks made to it. The subcommittee will review its original charge statement to ascertain "how are we meeting it?" States are asked to revisit the CIP and how it is utilized. "What is it doing? How is it best used? Where can it be improved?"

The Subcommittee needs to address the provision in the NGEC By-Laws that calls for Amtrak to have a leadership role within each Standing Subcommittee.

Next 514 update: Annual Meeting 2-24-17

- Finance and Administrative Subcommittee and New Grant Activities:

Milestones:

The first quarterly grant report is due from Amtrak to FRA at the end of January. In the December, monthly NGEC activities report produced by Steve Hewitt, he added a section that addressed milestone achievements or progress during the first quarter of the new grant. This section of the report will make up the bulk of the Quarterly report to FRA to be submitted by Amtrak.

Review of NGEC By-Laws:

Ray Hessinger, NYSDOT, and NGEC Manager Steve Hewitt had completed their review of the By-Laws, and other than minor spelling/typo kinds of corrections there were no revisions recommended for the By-Laws now. The FASC agreed to hold the minor corrections as a starting point at a time when more significant revisions are needed.

Syncing contracts with the new grant:

Darrell reported that because the current Amtrak/AASHTO contract (and AASHTO's contract with its sub-contractors) is in effect through 9-30-17, there is no need for action now. Once the 9-30-17 date draws near there will be an extension consistent with the new grant period and grant amount between Amtrak and AASHTO and AASHTO and its subcontractors as called for in the SOW and budget. No immediate action needed now.

John Oimoen, IDOT, will work on getting jobs numbers from the manufacturers for inclusion as a milestone in the reports. (ongoing)

Treasurer's Report – Will be drafted by Darrell Smith for review by the FASC on its next call 2-8-17.

Next Finance and Administrative subcommittee update – 2-24-17 NGEC Annual Meeting.

- Technical Subcommittee monthly update – Mario Bergeron:

Mario Bergeron provided a brief update of the activities of the Technical subcommittee:

Along with standing items such as following/monitoring the equipment procurements; the AAR committee and issues related to Accessibility; the subcommittee is advancing several document control items.

These include:

A review of the Bi-Level Specification changes and possible configuration into the single level specification. Revision Control Coordinator Tammy Krause has prepared a milestone timeline for this effort.

Similarly, changes submitted for the Brightline specification are also being reviewed to see where they may be applicable to NGEC specifications.

A spreadsheet of the locomotive DCRS that have been approved and submitted to Tammy by the working group is being prepared and will be distributed to all subcommittee members for review and consideration.

During the month of February 2017, the Executive Board met once – in person - at the NGEC's 7<sup>th</sup> Annual Meeting held in Washington, DC on February 24<sup>th</sup> at the Hyatt Regency on Capitol Hill.

Highlights, decisions, and action items from the Annual Meeting included:

- Over 70 NGEC members attended and participated in the Annual Meeting.
- Eric Curtit, Missouri DOT, Chair of the NGEC Executive Board presented the annual Chairman's report. In the report, Mr. Curtit provided an overview on the first 7 years of the Committee which was organized in January 2010, highlighted the results produced throughout the years, discussed the NGEC of today, and provided a look ahead to the future.
- Progress Reports were provided by the three NGEC Standing subcommittees: the Technical subcommittee, the Finance and Administrative Subcommittee, and the 514 Capital Equipment Committee
- The Treasurer's Report was provided by Darrell Smith, Amtrak – NGEC Treasurer, who detailed the current financial status of the NGEC as well as an overview of the new federal funding Grant Agreement executed in October with an effective date of 10-1-17 through 9-30-19.
- The Executive Board unanimously accepted the Treasurer's Report as presented.
- The Technical subcommittee update was provided by NGEC Vice Chair Mario Bergeron, Amtrak (also Chair of the Technical subcommittee). Mario provide a detailed overview of the activities of the subcommittee including specification review, document management; and the processes and procedures that are in place to advance technology and continuously update and maintain the NGEC specifications to keep them current.
- Attendees received progress reports on many NGEC activities taking place within the Technical subcommittee including reports from the Accessibility Working Group; the AAR Equipment Committee on Passenger Equipment Performance Specification: a report on Passenger ECP Brake Equipment, and a presentation by Technical subcommittee Vice Chair Dale Engelhardt, on the future of electronics on trains.
- Brian Beeler II, NNEPRA, for Maine DOT, and Chair of the 514 Capital Equipment subcommittee provided an overview of its accomplishments including the development of Amtrak's 5-year Capital Improvement Plan (CIP) for 2017-2021 and a look ahead to next steps which will include a "major" update to the CIP.

- An update on the status of the Mid-West States Section 6 efforts was provided by Tim Hoeffner, Michigan DOT, who reported that the states are working well together in a collaborative way. A fleet manager has been hired by lead state Illinois DOT; and an oversight board has been established. The fleet manager will report to this board. Negotiations are ongoing with Amtrak on the lease program for equipment; and strategies are being developed for getting the new equipment into service.
- A Status Update presentation on the multi-state Diesel-Electric Locomotive Procurement was also provided with John Oimoen, IDOT, and Dave Ward, Siemens, presenting. Tremendous progress has been made. To date, thirteen of the Chargers have been delivered with more waiting in Sacramento to be delivered. Ten of the Chargers have already achieved the burn test and are waiting and ready to go into service.
- Attendees also heard from Michael Lestingi and Beth Nachreiner, FRA, who provided a brief overview of planning requirements that were included in the FAST Act which identify the new accounting structure within Amtrak, and how it is now required to report and plan revenue in its service lines. Michael and Beth also reported on the positive accomplishments of the NGEC as it approaches the end of its first decade and extended FRA's thanks to the NGEC and those involved in the current procurement, adding that the FRA looks forward to the NGEC continuing towards fulfilling the goals that were set out in PRIIA and continued in the FAST Act.
- Robert Ripperger, Amtrak Government Affairs, also briefed the attendees on the state of Amtrak and provided an overview of its new organizational structure.
- Chairman Curtit provided some closing remarks and next steps. He talked about the challenges faced by the states through the development of specifications, through the procurement process, and on to getting the equipment into revenue service. He noted that this is not something that states normally encounter since most states do not, historically, own equipment.

Eric stressed the need for an effort to develop lessons learned, and expertise gained. He called for the creation of a standalone document that is a record of what went on or what we need, as a sort of guidebook for the future...we need to tackle issues that can level the playing field and define what goes into a procurement and getting equipment into revenue service."

Ultimately, it was agreed that a task force will be established to take on the tasks described by the Chair. Several states (IDOT and WSDOT) offered to serve as did Amtrak and FRA. On the next NGEC Executive Board conference call, 3-14-17, the task force will be formally established and given its charge. The anticipated timeline for completion of the standalone document is by the next NGEC Annual Meeting (February 2018).

Note: All formal presentations from the Annual Meeting are available on the NGEC website at: [www.ngec.org](http://www.ngec.org).

During the month of March 2017, the Executive Board met twice on the 14<sup>th</sup> and 28<sup>th</sup>.

Highlights, decisions, and action items from the month of March 2017 include:

- Mid-West States – Section 6 progress report:  
  
The Section 6 report draft is wrapping up and will be under review. This is the FRA Planning Requirement per the FRA Grant regulations.  
  
The Mid-West Fleet Board is forming with state representatives having been identified. The Board expects to meet soon.  
  
They are in the final stages of completing the lease agreement with Amtrak and expect to have it wrapped up over the next few weeks.
- Formation of the Acquisition and Ownership Best Practices Task Force:

In March 2017, Chairman Curtit formally established the Acquisition and Best Practices Task Force. Eric Curtit will serve as Chair. Members include: Tim Hoeffner, Michigan DOT, and Mike Jenkins, Oregon DOT, Ron Pate/Jason Biggs, WSDOT, John Oimoen/Jennifer Bastian, IDOT, Joe Paul, Amtrak, Sal DeAngelo, FRA, Larry Salci, NGEC Consultant, Paul Jamieson, SNC-Lavalin, and Dick Bruss, NARP. Steve Hewitt has agreed to provide NGEC support.

The Chair will sketch out a DRAFT charge statement and an organizational call will be scheduled. The first call will be held after the completion of the more immediate efforts related to the completion of the lease agreements.

- Status Update: Diesel-Electric Locomotive Procurement:

On March 28, 2017, John Oimoen, IDOT, provided the following update:

Today, 3-28-17, in Chicago, signing of conditional acceptance on 9 locomotives is taking place. These units have all completed the 500-mile burn in at TTCI in Pueblo.

All Maintenance Demonstrations have been successfully completed

IDOT and Amtrak now have signed agreements for storage, testing and commissioning the locomotives.

WSDOT and IDOT continue to meet with Amtrak to finalize their respective leases.

Amtrak/JPE insurance issues have come to resolution and are in the signature phase.

Six Caltrans units have been delivered to Oakland

Siemens warranty service locations are now established at the JPE's.

Wi-Tronix application, as required by Amtrak is being applied by FMI. One Caltrans unit has been equipped and IDOT units at TTCI are being equipped. Siemens projects Wi-Tronix will complete software in June.

LED Headlight issues have been resolved with UP and JPEs, Amtrak and Siemens will keep in contact with AAR technical group for future review.

All Document Change Requests (DCR) have been processed.

IDOT and its' Fleet Manager Contractor is now functioning in Chicago daily.

- 514 subcommittee update:

On March 28, 2017, Brian Beeler II, reported that the 514 subcommittee is moving along well as it begins to work on the CIP major update, and has increased its call schedule from once a month to bi-weekly for the time being. The next call is scheduled for April 10<sup>th</sup>.

He expressed his thanks to Amtrak for providing the 1<sup>st</sup> DRAFT of the impact on states units used and how it will impact the budgets.

Brian anticipates that within a month they will have the actual capital budget changes. The first step is to see the impacts on units used and then see how capital budgets will potentially change.

Brian added that the subcommittee is just getting into the meat of the CIP project.

Brian explained that the CIP is on a major update year and will look at several priority areas such as; improving the reconciliation process and continuing to improve on transparency.

The subcommittee will see how concerns that have been raised in the past can be included in the new CIP.

- Technical subcommittee update:

On March 28, 2017, Mario Bergeron reported that the Technical subcommittee is in the process of reviewing the list of DCRs for the Diesel-Electric Locomotive specification. On the last call (3-23-17) an overview was provided by Tammy Krause and Rich Stegner. Questions and comments on the changes will be sent to Tammy and Richard and, on the next call, it is anticipated that the subcommittee will discuss any comments received and, possibly consider the changes for approval. If approved they will be sent to Chairman Eric Curtit who would then per NGEC procedures, re-convene the Locomotive Review Panel and ask Consultant Larry Salci to begin his review and prepare a Review Panel Report with recommendations.

Future of Electronics on Trains: On 3-23-17, Dale Engelhardt reprised the presentation he gave at the NGEC Annual Meeting and a follow-up discussion took place.

Dale has recommended to Chairman Bergeron that a working group be formed within the Technical subcommittee to address the topic of electronics on trains in the future. Subcommittee members interested in participating will send an email to that effect to Steve Hewitt prior to the next call. In the meantime, Dale will get Chairman Bergeron's input on how he wishes to proceed.

During the month of April 2017, the Executive Board met twice on the 11<sup>th</sup> and 25<sup>th</sup>.

Highlights, decisions, and action items from the month of April 2017 include:

- Mid-West States – Section 6 progress report:

The Mid-West States have completed the DRAFT Section 6 report for the new locomotives and submitted it to FRA. Section 6 compliance is a requirement before the new locomotives can be put into service. The Section 6 report is meant to be a living document.

Most of the lease agreements with Amtrak are very close to being finalized.

The Mid-West ownership board will be holding its first meeting very soon and will be developing By-Laws and operating procedures.

- Formation of the Acquisition and Ownership Best Practices Task Force:

In March 2017, Chairman Curtit formally established the Acquisition and Best Practices Task Force. Eric Curtit will serve as Chair. Members include: Tim Hoeffner, Michigan DOT, and Mike Jenkins, Oregon DOT, Ron Pate/Jason Biggs, WSDOT, John Oimoen/Jennifer Bastian, IDOT, Joe Paul, Amtrak, Sal DeAngelo, FRA, Larry Salci, NGEC Consultant, Paul Jamieson, SNC-Lavalin, and Dick Bruss, NARP. Steve Hewitt has agreed to provide NGEC support.

As of 4-25-17, Members have been identified. The Chair will sketch out a DRAFT charge statement and an organizational call will be scheduled. The first call will be held after the completion of the more immediate efforts to complete the lease agreements. An email to all members will go out in advance of the first meeting calling for topics and issues.

- Status Update: Diesel-Electric Locomotive Procurement:

On April 25, 2017, John Oimoen, IDOT, provided the following update:

- IDOT Locomotives 4604 and 4611 are in Chicago.
- Six Caltrans units have been delivered to Oakland
- IDOT and Siemens have signed conditional acceptance on IDOT units: 4603- 4611. These units have all completed the 500 mile burn in.
- Caltrans has signed conditional acceptance on their six units; WSDOT has also conditionally accepted 2 units, and IDOT has conditionally accepted 9.
- All Maintenance Demonstrations have been successfully completed.
- 238.111(b) testing is complete at WSDOT. 238.111(a) testing is complete at Caltrans. 238.111(a) testing has begun at IDOT, all yard tests are complete and corridor road testing began on 4/19.

- IDOT and Amtrak have signed agreements for storage, testing and commissioning the locomotives.
  - WSDOT and IDOT continue to meet with Amtrak to finalize their respective leases. Caltrans is working with Amtrak on updating its agreement.
  - Amtrak/JPE insurance issues have been resolved and the insurance is progress.
  - JPE's are working with Amtrak and the FRA on a list of final items that need to be resolved before the locomotives go into revenue service.
  - WSDOT units 1400-1401 have been delivered to TTCI and 1400 has completed the 500-mile burn in and 1401, 1402 and 1403 finished testing at TTCI this week.
  - Siemens warranty service locations are now established with the JPE's.
  - Wi-Tronix application, as required by Amtrak, is being applied by FMI. One Caltrans unit has been equipped and IDOT units at TTCI are being equipped. Siemens projects Wi-Tronix will complete software in June.
  - All Document Change Requests (DCR) have been processed to conform the technical specification for as-built configuration.
  - IDOT and its' Fleet Manager Contractor is now functioning in Chicago on a daily basis.
- 514 subcommittee update 4-25-17:
- On 4-25-17, Brian Beeler II provided the following update on the activities of the 514 subcommittee:
- The 514 subcommittee is making good progress as it begins its "major update" of the CIP.
- Amtrak has provided updates for equipment charges in the number of new locomotives fleets – the numbers could be different along the corridors - reflective of fleet types for each state using them.
- The subcommittee continues the discussion on the CIP and how it can be improved in how it looks, and how it works.
- On the last subcommittee call, there was a discussion about a potential refresh of Amfleet I. Amtrak has some money to potentially use for a refresh, and raised the possibility to the subcommittee members. More details will be forthcoming. There is no set resolution on this as to when it will happen or what the impacts will be.
- Technical subcommittee update:
- On April 25, 2017, Mario Bergeron provided the following update on the activities of the Technical subcommittee:
- On April 20, 2017, the Technical subcommittee unanimously approved the DCRS for the D-E Locomotive Specification as presented.
- In approving the DCRs, the Technical subcommittee asked Steve Hewitt to transmit the summary spreadsheet to Chairman Curtit and the Executive Board, and has requested that the Board begin the process for review and approval. Once adopted, the changes will be incorporated into the specification as Revision B.
- Status: Update of Single Level Car Specification – Tammy Krause is compiling the applicable changes from the Bi-Level specification (Revision C.4) to the Single Level specification, and will be sending them out to subcommittee members in the next few weeks. Tammy will also be revising the Timeline for completion, and will send that out as well.
- Status: Establishment of a technical working group re: Future of Electronics on Trains - following the NGEAC Annual Meeting, Dale Engelhardt reprised his presentation on the Future of Electronics on Trains. Establishing a technical working group (within the Technical subcommittee) to address this topic is under consideration. Good response with volunteers have come forward to participate on the working group. More to come...
- Finance and Administrative subcommittee update:



On 4-11-17, Darrell Smith provided the following update on the activities of the Finance and Administrative subcommittee (FASC):

The priority focus of the subcommittee is the development of a strategy and implementation plan for successfully requesting future federal funding beyond the current grant agreement which expires on 9-30-19. Initial discussions took place on 4-5-17, with follow up discussions scheduled for the next call – 5-3-17.

- Re-convening the Locomotive Review Panel and directing its review of the Diesel-Electric Locomotive Specification DCR summary sheet for Revision B:

Eric Curtit reported on 4-25-17, that with the DCRs for the Diesel-Electric Locomotive Specification having been received as approved by the Technical subcommittee, he would now begin the process for Executive Board adoption of what will be Revision B

The next steps are to:

- a. Confirm members of the panel (current listing – below):

Locomotive Review Panel:

Eric Curtit, Missouri DOT – Chairman  
Arun Rao, Wisconsin DOT  
Ray Hessinger, NYSDOT  
Jason Biggs, Washington State DOT  
Kevin Kesler, FRA  
Larry Salci, Consultant to the Panel  
Tammy Krause, Amtrak – technical support  
Steve Hewitt – NGEC support

- b. Request Consultant Larry Salci to begin a review of the changes and prepare a Review Panel Report, and ask Mr. Salci to provide AASHTO with an SOW specific to this effort.

Eric reported that Larry Salci has been contacted and has accepted the request to review the DCRs and prepare the DRAFT report with recommendations for Review Panel consideration, and ultimately, for Executive Board approval. Steve Hewitt has contact Larry to request that he submit an SOW to AASHTO and a timeline for completion.

During the month of May 2017, the Executive Board met twice on the 9<sup>th</sup> and the 23<sup>rd</sup>.

Highlights, decisions, and action items from the month of May 2017 include:

- Mid-West States – Section 6 progress report:

The lease agreements with Amtrak are getting close – with 2-3 items remaining. Getting the agreements in place is critical to getting the equipment into revenue service.

The Section 6 plan is still with FRA and its review is ongoing.

Meetings with the Fleet Manager are taking place to discuss ongoing fleet issues for the Mid-West states. The effort is collaborative and working well.

- Formation of the Acquisition and Ownership Best Practices Task Force:

In March 2017, Chairman Curtit formally established the Acquisition and Best Practices Task Force. Eric Curtit will serve as Chair. Members include: Tim Hoeffner, Michigan DOT, and Mike Jenkins, Oregon DOT, Ron Pate/Jason Biggs, WSDOT, John Oimoen/Jennifer Bastian, IDOT, Joe Paul, Amtrak, Sal DeAngelo, FRA, Larry Salci, NGEC Consultant, Paul Jamieson, SNC-Lavalin, and Dick Bruss, NARP. Steve Hewitt has agreed to provide NGEC support.

As of 5-23-17, NGECE Chairman Eric Curtit reported that he and NGECE Manager Steve Hewitt are working on a brief that will encapsulate what it is the working group should accomplish, and will send it out for working group member feedback. Following that input, it will be sent to NGECE Executive Board members for review and comment.

- Status Update: Diesel-Electric Locomotive Procurement:

On May 23, 2017, John Oimoen, IDOT, provided the following update:

a) Six Caltrans units have been delivered to Oakland and all have run the 500-mile burn in and have been conditionally accepted. The units have been through the pre-revenue joint inspection with Amtrak. All items identified at that inspection will be completed by tomorrow. They will then be ready for revenue service.

b) IDOT and Siemens have signed conditional acceptance on IDOT units: 4603- 4611. These units have also completed the 500-mile burn in.

c) WSDOT units 1400 and 1403 arrived in Seattle last weekend and are undergoing receiving inspections. 1401, 1402, 1403, 1404, 1406 have completed burn-in and are at TTCl. (Jason Biggs reported that two of the locomotives "are showing up today" and the burn-in testing should be completed this week). This would complete the burn-in for all WSDOT Chargers.

d) IDOT Locomotives 4604 and 4611 are in Chicago and completed the testing on the applicable Midwest corridors yesterday. Track Geometry done all corridors. The 238.111a testing on the Michigan and Chicago to St. Louis corridors will be run later due to PTC equipment.

e) Caltrans 238.111a test reports were also sent to Amtrak and Amtrak sent to FRA on 5/3.

f) The WSDOT 213.345 test report has been submitted by Amtrak to the FRA. WSDOT is waiting a letter from BNSF before this item can be closed out.

g) Letters were sent out by Amtrak to the host railroads 5/3 detailing the tests performed on the chargers and the intent to put into revenue service.

h) WSDOT and IDOT continue to meet with Amtrak to finalize their respective leases. Caltrans signed their agreement with Amtrak on 4/27. IDOT has two remaining items to work through. WSDOT is also getting close to signature.

i) JPE's are working with Amtrak and the FRA on the final items that need to be resolved before putting the units in revenue service. One is a purchase order between Amtrak and Siemens for Warrantee labor and equipment usage. A request for formal approval has also been made to the Office of Safety to release the units into Revenue service. We are waiting for the response.

j) Siemens warranty service locations are now established at the JPE's.

k) Wi-Tronix application, as required by Amtrak is being applied by FMI. One Caltrans unit has been equipped and IDOT units at TTCl have been equipped. Siemens projects Wi-Tronix will complete software in June. The units can go into revenue service only trailing units until this software is installed.

- Finance and Administrative subcommittee update:

As of 5- 9-17, the subcommittee continued to discuss development of a strategy and implementation plan for requesting federal funds beyond the expiration of the current grant agreement (9-30-19).

As a key step in the process, the subcommittee continues to emphasize distribution of the two-pager educational document. Members who would like additional copies should contact Steve Hewitt.

The FASC members, on 5-9 -13 requested that the Legislative Outreach task force be re-convened to work on concepts for a regular update/report card/dash board for the Hill and other stakeholders. The concept is for a quarterly report like what APTA has developed.

Syncing the Amtrak/AASHTO Support Services contract, and those of existing subcontractors, with the Grant Agreement. This effort is underway. There are several new requirements in the current grant to work through. These are primarily related to DBE requirements. Amtrak procurements is working through those requirements, and will be reaching out to AASHTO within a week or so.

- Executive Board approval of Diesel-Electric Locomotive Specification Revision B:

The members of the Locomotive Review Panel have been confirmed:

Eric Curtit, Missouri DOT – Chairman  
Arun Rao, Wisconsin DOT  
Ray Hessinger, NYSDOT  
Jason Biggs, Washington State DOT  
Kevin Kesler, FRA  
Larry Salci, Consultant to the Panel  
Tammy Krause, Amtrak – technical support  
Steve Hewitt – NGEC support

A scope, schedule and budget for reviewing the DCRS for specification Revision B and developing the Review Panel Report with Recommendations has been submitted by Consultant Larry Salci, and was approved by NGEC Chairman Eric Curtit. AASHTO will prepare the contract modification accordingly and Mr. Salci will begin completing the assigned tasks.

The intent is to have the Report completed by 5-22-17 and submitted to the Review Panel, with Executive Board consideration on 6-6-17.

The schedule has slipped a bit, but no significant delay is anticipated – likely to be completed by the end of June 2017.

During the month of June 2017, the Executive Board met twice on the 6<sup>th</sup> and the 20<sup>th</sup>.

Highlights, decisions, and action items from the month of June 2017 include:

- Mid-West States – Section 6 progress report:

The initial draft Section 6 plan by the states had been submitted to FRA – and the final DRAFT is expected to be submitted in the next day or two. The plan is needed before the locomotives can be entered in to revenue service.

The lease agreement is in final DRAFT form and is with all parties. John anticipates a clean version to be provided by Amtrak anytime and then the signature process will move forward. The lease agreement is also necessary before the locomotives can be placed into revenue service.

- Finance and Administrative Subcommittee and New Grant Activities: (ongoing)

The FASC is reviewing and updating the NGEC contract procedures and will consider the updates on its next call – 6-28-17. Following that call, the procedures as updated will be presented to the NGEC Executive Board.

On 6-6-17, the FASC submitted the following motion for Board consideration:

“As was intended in past NGEC budget approvals and to ensure compliance with the Audit of Grant Agreement of March 27, 2013, and the NGEC’s updated Procedure of Establishing Contract Support adopted August 6, 2013, the NGEC authorizes Amtrak to contract with AASHTO for administrative support services as well as subsequent sub-contracts per the statement of work for entities such as; with Hewitt Consulting for Manager of Support Services, and with SalciConsult for Specification Consultant services. In addition, with the Federal Railroad Administration’s June 8th, 2015, approval of the NGEC’s Supplemental Statement of Work and related budget extension through September 30, 2017, and its subsequent approval of the Statement of Work and Budget included in the Grant Agreement executed on October 26, 2016 for the period beginning October 1, 2016 through

September 30, 2019, Amtrak is authorized to extend its agreement with AASHTO and AASHTO's sub-consultants in accordance with the Statement of Work."

The motion was approved by the Executive Board with a quorum having been established and all votes cast in the affirmative.

Amtrak and AASHTO will work to finalize their contract in accordance with the motion, and AASHTO will do the same with the sub-consultant contracts.

Ongoing status updates will be provided to the Executive Board until the contracts have been finalized and executed.

The next Finance and Administrative subcommittee update to the Board will take place on 7- 18-17.

- Executive Board approval of Diesel-Electric Locomotive Specification Revision B:

After receiving the Locomotive Review Panel Report with recommendations to approve the Diesel Electric Locomotive Specification changes previously approved by the NGECE Technical subcommittee, on 6-20-17, the NGECE Executive Board adopted PRIIA 305-005 Diesel-Electric Locomotive Specification Revision B. The change summary will be sent to the Technical specification writer and will be incorporated as Revision B.

- Formation of the Acquisition and Ownership Best Practices Task Force:

In March 2017, Chairman Curtit formally established the Acquisition and Best Practices Task Force. Eric Curtit will serve as Chair. Members include: Tim Hoeffner, Michigan DOT, and Mike Jenkins, Oregon DOT, Ron Pate/Jason Biggs, WSDOT, John Oimoen/Jennifer Bastian, IDOT, Joe Paul, Amtrak, Sal DeAngelo, FRA, Larry Salci, NGECE Consultant, Paul Jamieson, SNC-Lavalin, and Dick Bruss, NARP. Steve Hewitt has agreed to provide NGECE support.

As of 6-20-17, NGECE Chairman Eric Curtit reported that he and NGECE Manager Steve Hewitt are working on a brief that will encapsulate what it is the working group should accomplish, and will send it out for working group member feedback. Following that input, it will be sent to NGECE Executive Board members for review and comment.

- Status Update: Diesel-Electric Locomotive Procurement:

On 6-20-17, John Oimoen, IDOT, provided the following update:

Things are progressing well. Many of the items have not changed a lot since the last report, but all are moving forward in a positive manner.

The lease agreements are close to completion for the Mid-West States.

Jason Biggs, WSDOT, reported that their lease agreement with Amtrak is moving along well and getting close ("we are rounding third and heading for home"). There is one issue to be resolved and a couple of exhibits. Jason anticipates the agreement being in place by the end of next week.

Jason also reported that 6 of 8 locomotives have been moved and are in Seattle. The last two are expected to be shipped in a week or so and they hope to have the locomotives in revenue service beginning in July.

John Oimoen continuing his report noted that Witronix has been installed on all the locomotives.

It has been a great team effort moving the procurement forward, and "we are on the cusp of having a lot of locomotives in revenue service".

During the month of July 2017, the Executive Board met once on the 18th.

Highlights, decisions, and action items from the month of July 2017 include:

- Mid-West States – Section 6 progress report:

Progress continues to be made – as the four Mid-West States and Amtrak have executed their lease agreements.

The first Fleet Ownership Board meeting will take place next week. (week of 7-24-17)

- Finance and Administrative Subcommittee and New Grant Activities: (ongoing)

Amtrak and AASHTO are working towards finalizing their contract in accordance with the Grant Agreement Budget and SOW. Amtrak procurements is working through the language for the extension. Once this is done between Amtrak and AASHTO then AASHTO will do the same with the sub-consultant contracts. A

Ongoing status updates are being provided to the Executive Board until the contracts have been finalized and executed.

The FASC approved updates to the NGEC Contract Procedures on 7-13-17; and on 7-18-17, the NGEC Executive Board adopted updated procedures as presented.

- Formation of the Acquisition and Ownership Best Practices Task Force:

In March 2017, Chairman Curtit formally established the Acquisition and Best Practices Task Force. Eric Curtit will serve as Chair. Members include: Tim Hoeffner, Michigan DOT, and Mike Jenkins, Oregon DOT, Ron Pate/Jason Biggs, WSDOT, John Oimoen/Jennifer Bastian, IDOT, Joe Paul, Amtrak, Sal DeAngelo, FRA, Larry Salci, NGEC Consultant, Paul Jamieson, SNC-Lavalin, and Dick Bruss, NARP. Steve Hewitt has agreed to provide NGEC support.

As of 7-18-17, NGEC Chairman Eric Curtit reported that he and NGEC Manager Steve Hewitt are working on a brief that will encapsulate what it is the working group should accomplish, and will send it out for working group member feedback. Following that input, it will be sent to NGEC Executive Board members for review and comment.

- Status Update: Diesel-Electric Locomotive Procurement:

On 7-18-17, John Oimoen, IDOT, submitted the following update:

a) All Caltrans locomotives have been delivered to Oakland. They have completed all testing, and are in revenue service.

b) IDOT and Siemens have signed final acceptance on IDOT units: 4603- 4611. Units 4612, 4613 have been signed for conditional acceptance, final is in progress.

c) IDOT Locomotives 4604, 4611, 4612 & 4613 are in Chicago and the pre-revenue testing and track geometry testing has been completed on the applicable Midwest corridors. The 110 MPH 238.111a testing on the Michigan and Chicago to St. Louis corridors will be run later due to IETMS/PTC implementation and ITCS software development. 4612 & 4613 are ready for revenue service. 4604 & 4611 will be ready after the 92-day maintenance is performed.

d) IDOT, representing the Midwest States, and Amtrak have come to agreement on the lease and the lease agreement has been signed. IDOT plans to enter into revenue service (Chicago-Milwaukee) sometime this week (week of 7-17-17) with locomotive 4612.

e) IDOT locomotives 4614 & 4615 have completed burn-in testing at TTCI and will shipped to Chicago on 7/13/2017. Locomotives 4616 & 4617 completing burn-in tests 7/14 and locomotives 4618 & 4619 will begin burn-in tests next.

f) All WSDOT Locomotives have been delivered and have competed pre-revenue testing and are being readied for revenue service.

g) The WSDOT 213.345 test report has been submitted by Amtrak to the FRA. FRA had no exceptions.

h) The IDOT 238.111b test reports were submitted to the FRA this week, and receipt was acknowledged.

i) WSDOT indicates that they are close on their lease agreement, as well.

j) Siemens warranty service locations are now established at all JPE locations.

k) The first Failure Review Board meeting is taking place next week in Chicago. Each JPE will have a representative on the board.

- 514 Subcommittee progress report as of 7-18-17:

On 7-18-17, Brian Beeler II provided an update to the NGEC Board on the activities of the 514 subcommittee:

A lot of work has been done on the CIP major update. In June, the subcommittee dug deep into costing for equipment overhauls. While some numbers went up, there were specific reasons for the increase. In many cases some fleet types went down and "line by line it's a good story". States are now going through their specific costs to determine if they jive with the CIP.

Thus far the subcommittee has completed much of the work on the CIP update including; updating units used and costs anticipated for the 5-years going out.

Brian expressed his appreciation for the hard work by Amtrak – Darrell Smith and Mario Bergeron – in bringing forth the information needed to update the CIP.

Brian believes the subcommittee is close to getting the update done.

Brian added that the subcommittee met in Detroit as a part of the SAIPRC meeting held there in June.

SAIPRC has asked 514 to help provide information and a knowledge base on equipment needs and to work on a 3<sup>rd</sup> party consultant SOW to look at the past, present and future of equipment. This will be another document that will look specifically at equipment and could help in educating on future funding for capital equipment. A small group met to discuss this and the effort is preliminary at this point. More will be discussed with the full subcommittee on its next call which was to take place later in the day on – 7-18-17.

During the month of August 2017, the Executive Board met on the 15<sup>th</sup> and the 29<sup>th</sup>.

Highlights, decisions, and action items from the month of August 2017 include:

- Mid-West States – Section 6 progress report:

As of 8-29-17, the Mid-West States held a ribbon cutting ceremony introducing the Charger locomotive his past week with representation from all the Mid-West State partners in the procurement, as well as Amtrak, FRA and Siemens. Amtrak did a great job of coordinating the event. It was a great way to showcase the new locomotives and was a celebration of a great accomplishment. The introduction also rolled out Amtrak's branding of the Mid-West locomotives promoting regional connectivity.

On Section 6 requirements, the plan has been updated with a final draft to be sent back to FRA "shortly".

- Finance and Administrative Subcommittee and New Grant Activities:

Darrell Smith reported that this effort is moving long well, and that he has a conference call with the Amtrak procurement team on Thursday, 8-31-17, which should “wrap it up for getting the paper work over to AASHTO”.

- Formation of the Acquisition and Ownership Best Practices Working Group:

In February 2017, at the NGEAC Annual Meeting, it was agreed that an Acquisition and Ownership Best Practices working group would be established to develop a best practices manual. In March, the working group was formally established and members were identified, but it was agreed that the activities of the working group would be tabled due of the heavy work load of its volunteers in finalizing all activities related to getting the locomotives launched into service.

On 8-29-17, Chairman Curtit determined that with much of those activities having been completed, it is now time to begin to focus on the working group and to develop its scope and start the process of developing the best practices manual.

Chairman Curtit expects to have a draft scope out to the NGEAC Executive Board members prior to the next call (9-12-17) to be sure for review and comment. Following that, the scope will go to the members of the working group and task assignments will be made.

Working Group Members:

Eric Curtit, Missouri DOT, Chair - [Eric.curtit@modot.mo.gov](mailto:Eric.curtit@modot.mo.gov)

Sal DeAngelo, FRA [Salvatore.deangelo@dot.gov](mailto:Salvatore.deangelo@dot.gov)

Joe Paul – Amtrak – [joseph.paul@amtrak.com](mailto:joseph.paul@amtrak.com)

Tim Hoeffner - Michigan DOT - [Hoeffnert@michigan.gov](mailto:Hoeffnert@michigan.gov)

Michael Jenkins – Oregon DOT - [Michael.I.jenkins@odot.state.or.us](mailto:Michael.I.jenkins@odot.state.or.us)

John Oimoen - Illinois DOT- [john.oimeon@illinois.gov](mailto:john.oimeon@illinois.gov)

Jennifer Bastian – Illinois DOT – Designated Alternate – [Jennifer.bastian@illinois.gov](mailto:Jennifer.bastian@illinois.gov)

Ron Pate – Washington State DOT - [pater@wsdot.wa.gov](mailto:pater@wsdot.wa.gov)

Jason Biggs – Washington State DOT – Designated Alternate – [biggsjr@wsdot.wa.gov](mailto:biggsjr@wsdot.wa.gov)

Momo Tamaoki, Caltrans – [momoko.tamaoki@dot.ca.gov](mailto:momoko.tamaoki@dot.ca.gov)

Paul Jamieson – Industry Member – SNC-Lavalin - [Paul.Jamieson@snclavalin.com](mailto:Paul.Jamieson@snclavalin.com)

Dick Bruss – Industry Member – NARP - [rjembruss@gmail.com](mailto:rjembruss@gmail.com)

Steve Hewitt - NGEAC Support: Steve Hewitt - [Shewitt109@aol.com](mailto:Shewitt109@aol.com)

Larry Salci – Consultant - [larry@salciconsult.com](mailto:larry@salciconsult.com)

- Status Update: Diesel-Electric Locomotive Procurement:

As of 8-29-17 (provided by Illinois DOT):

a) JPEs continue to work with Siemens on schedule and conduct bi-weekly conference calls.

b) All locomotives have completed required testing and all reports have been submitted and received. 110 mph hour testing in MI and the Chicago/St. Louis line will take place when all PTC logistics and software are up and in place. Progress was made this week in getting the proper agreements in place to move this forward.

- c) All Caltrans locomotives are in revenue service.
- d) IDOT and Siemens have signed conditional and final acceptance on 21 IDOT units.
- e) IDOT Revenue service started 7/27/2017, with units placed in trailing position. IDOT locomotives began revenue service in Lead Position today 8/24/2017.
- f) IDOT locomotives 4616 - 4625 have completed burn-in testing at TTCL. Locomotives 4626 & 4627 will be burn-in tested next week at TTCL. The locomotives stored at TTCL will be shipped to Chicago, as soon as storage space becomes available. Storage space in Chicago is limited, until the P-42 locomotives are re-deployed by Amtrak.
- g) The Wi-tronix system has been installed on all locomotives and all units in Chicago, except one, have had the necessary software installed which will allow the remaining units to be placed in Lead Position for revenue service. Caltrans software installation is scheduled for next week. Tentatively WSDOT the following week.
- h) All WSDOT Locomotives have been delivered and have completed pre-revenue testing and are being readied for revenue service.
- i) WSDOT is finalizing their lease with Amtrak
- j) Siemens warranty service locations are now established at all JPE locations.
- k) The Failure Review Board has been established, with two meetings taking place so far with all JPE's included and Siemens. The next meeting is scheduled for Sept 7<sup>th</sup>. The meeting for October (5<sup>th</sup>) is planned to be held in Wilmington Del and include a visit to Siemens's customer service facility. And plans are being made to hold some meetings with Amtrak personnel based in Wilmington. Amtrak representation will also be asked to take part in future meetings.

- 514 Subcommittee progress report as of 8-15-17:

514 subcommittee Chair, Brian Beeler II, reported on 8-15-17 that he had just received from Amtrak, the first full draft of the updated CIP. This was to be reviewed and discussed on the (8-15-17) next scheduled 514 subcommittee conference call.

Brian also reported that the 3<sup>rd</sup> quarter reconciliation call was held during the week of 8-7-17, and the information/details on equipment capital overhauls are going well within a very good timeframe.

The next 514 subcommittee update to the NGECE Executive Board will take place on 9-12-17.

- Technical subcommittee progress report as of 8-29-17:

The Technical subcommittee continues to monitor the progress of the "Charger" locomotive, and we receive an update from IDOT on a bi-weekly basis. Great progress has been made – it is of special significance that the locomotives have now been introduced into lead position. So much work goes on behind the scenes to make all of this happen. It is a great accomplishment!

The Technical subcommittee has established a working group to look at the future of electronics on trains. The working group is chaired by Cynthia Dietz, SNC-Lavalin, and meets bi-weekly. The working group is following the NGECE process for developing a requirements document for a DTL software specification, and is currently reviewing a DRAFT outline of the document. (Note: As of 8-30-17 Cynthia Dietz has accepted another position, and has stepped down as Chair of the working group – Tom Sisler, SNC-Lavalin, has been named as the new Chair).

On document control, the changes to the PRIIA Diesel-Electric Locomotive Specification which will comprise Revision B, as adopted by the Executive Board, is currently with the technical specification writer. Once complete, it will be sent to Steve Hewitt and AASHTO where it will become available through the NGECE request process.

During the month of September 2017, the Executive Board met on the 12<sup>th</sup> and the 26<sup>th</sup>.



Highlights, decisions, and action items from the month of September 2017 include:

- Mid-West States – Section 6 progress report:

The most recent Section 6 plan went to FRA on 9-13-17. Details in the plan include Fleet management, ownership changes etc. The plan will be a living document and will be continually updated.

- Finance and Administrative Subcommittee and New Grant Activities:

On 9-26-17, the AASHTO/Amtrak Support Services contract extension (through 9-30-19) was executed. Subsequently, on 9-27-17, the AASHTO contract modification with the NGE Manager was also executed (fully executed on 10-2-17) extending it through 9-30-19.

- Formation of the Acquisition and Ownership Best Practices Working Group:

On 9-26-17, it was agreed that Steve Hewitt will send a memo (see below) from Chairman Eric Curtit, as approved by the Board, to the working group members, and schedule a kick-off meeting for some time in October. Steve Hewitt will work with Eric Curtit on some potential dates and times for the first call. Steve will send the memo to working group members when he sends out the calendar notice for the first call.

Equipment Acquisition and Ownership Best Practices Working Group Members:

Eric Curtit, Missouri DOT, Chair - [Eric.curtit@modot.mo.gov](mailto:Eric.curtit@modot.mo.gov)

Sal DeAngelo, FRA [Salvatore.deangelo@dot.gov](mailto:Salvatore.deangelo@dot.gov)

Joe Paul – Amtrak – [joseph.paul@amtrak.com](mailto:joseph.paul@amtrak.com)

Tim Hoeffner - Michigan DOT - [Hoeffnert@michigan.gov](mailto:Hoeffnert@michigan.gov)

Michael Jenkins – Oregon DOT - [Michael.I.jenkins@odot.state.or.us](mailto:Michael.I.jenkins@odot.state.or.us)

John Oimoen - Illinois DOT- [john.oimeon@illinois.gov](mailto:john.oimeon@illinois.gov)

Jennifer Bastian – Illinois DOT – Designated Alternate – [Jennifer.bastian@illinois.gov](mailto:Jennifer.bastian@illinois.gov)

Jason Biggs – Washington State DOT – Designated Alternate – [biggsjr@wsdot.wa.gov](mailto:biggsjr@wsdot.wa.gov)

Momo Tamaoki, Caltrans – [momoko.tamaoki@dot.ca.gov](mailto:momoko.tamaoki@dot.ca.gov)

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Dick Bruss – Industry Member – NARP - [rjembruss@gmail.com](mailto:rjembruss@gmail.com)

Steve Hewitt - NGE Support: Steve Hewitt - [Shewitt109@aol.com](mailto:Shewitt109@aol.com)

Larry Salci – Consultant - [larry@salciconsult.com](mailto:larry@salciconsult.com)

Memo:

To: Executive Board

CC: Acquisition and Ownership Best Practices Working Group

Date: September 18, 2017

From: Eric Curtit, Chairman

RE: Acquisition and Ownership Best Practices Working Group

To better enhance intercity passenger rail, the NGEC Executive Board approved a working group to address issues encountered during the recent procurements and subsequent production of passenger rail equipment. This exercise fits within the NGEC mission to provide national leadership in standardization, acquisition, financing and management of passenger rail equipment.

This exercise will find ways for the FRA, states, and Amtrak, to improve project deliverables with an integrated approach. The Working Group will first be asked to identify topics and ensure it, and the Board, are on the same page about which will be covered. The group will then work to articulate and identify; pitfalls, best practices, and ways to improve. Regular updates will also be shared with the Board as this process moves along. This will help ensure that we are all on the same page and that the result is that we get the best product we can, in the most efficient way we can. The working group will ultimately produce a draft Acquisition and Ownership Best Practices document for the consideration of the NGEC Executive Board.

A kickoff meeting of the Working Group will be held in early October.

- Multi-state Car Procurement (Caltrans - Lead State):

On 9-12-17, Steve Hewitt read into the record a statement that Caltrans provide last week (9-7-17) to the Technical subcommittee:

"Contract Negotiations are still underway to determine if proposed substitute subcontractor is able to fulfill SCOA's contractual obligations."

- Status Update: Diesel-Electric Locomotive Procurement:

As of 9-26-17 (provided by Illinois DOT):

- a) JPEs continue to work with Siemens on schedule and conduct bi-weekly conference calls.
- b) All locomotives have completed required testing and all reports have been submitted and received. 110 mph hour testing in MI and the Chicago/St. Louis line will take place when all PTC logistics and software are up and in place.
- c) All Caltrans locomotives are in revenue service.
- d) IDOT and Siemens have signed conditional and final acceptance on 27 IDOT units.
- e) IDOT Revenue service started 7/27/2017, with units placed in trailing position. IDOT locomotives began revenue service in Lead Position as of 8/24/2017, but that was suspended on 9/1, due to a forward-facing camera download problem with Wabtec LDRS-V. This is the data storage for the video recorder. Wabtec, Siemens and Amtrak are addressing. Units continue to operate in trailing position.
- f) IDOT locomotives 4616 - 4629 have completed burn-in testing at TTCI. Locomotives 4630 will be burn-in tested this week at TTCI. The locomotives stored at TTCI will shipped to Chicago, as soon as storage space becomes available. Storage space in Chicago is limited, until the P-42 locomotives are re-deployed by Amtrak.
- g) The Wi-tronix system has been installed on 11 of the 12 units in Chicago. The necessary software has also been installed which allows the remaining units to be placed in Lead Position for revenue service. The software has also been installed on all Caltrans and WSDOT units.
- h) All WSDOT Locomotives have been delivered and have competed pre-revenue testing and are being readied for revenue service.
- i) WSDOT is finalizing their lease with Amtrak
- j) Siemens warranty service locations are now established at all JPE locations.
- k) The Failure Review Board has been established, with two meetings taking place so far with all JPE's included and Siemens. The last meeting was held on Sept 13<sup>th</sup>. The meeting for October is planned to be held in Wilmington Del and include a visit to Siemen's customer service facility. Amtrak representatives have been added and will participate in the meetings.

- 514 Subcommittee progress report as of 9-26-17:

514 Request to move to SAIPRC – Eric Curtit:

On 9-12-17, 514 subcommittee Chair, Brian Beeler II, put forth a request to the NGECEC executive Board to move the subcommittee out of the NGECEC and solely into SAIPRC.

On 9-26-17, NGECEC Chairman Eric Curtit reported that he talked to SAIPRC Chairman David Kutrosky about this on 9-22-17. The two are in general agreement that, with the proper steps taken, this move request should be accommodated.

Chairman Curtit reported to the Board on 9-26-17 that there are several steps required to take the action to remove 514 from the NGECEC and move it to SAIPRC. The first action is to refer the request to the Finance and Administrative subcommittee (FASC) for its review/consideration and recommendation.

Asked if there was any action that the Board needed to take to send this to the FASC, Steve Hewitt noted that the only action is for the Chair (Eric Curtit) to refer the request, as he has done, and direct the FASC to begin looking at it and come back to the Board with recommendations. The NGECEC By-Laws and Operating Procedures call for the FASC to be both the Finance and the Administrative arm of the NGECEC.

Darrell Smith, Chair of FASC, concurred that the FASC is "the right place" to start and that there will be impacts on both the Grant Agreement SOW and the By-Laws, both of which are within the FASC areas of responsibility.

Brian Beeler asked for clarification as to the process – does the FASC come back to the Board with a recommendation?

Eric Curtit responded that the FASC will make a recommendation which the Board "will pull the trigger on by taking a vote" and then the FASC will take the steps as approved by the Board. Eric added "it will take a while...David Kutrosky (SAIPRC Chair) is aware and understands...formally it will take a while to move it...informally, we (the NGECEC) understand that SAIPRC is working on this (514 activities)."

- Standing Subcommittee monthly update schedule:

Technical subcommittee – next update – 10-10-17

514 subcommittee – next update – 10-10-17

Finance and Administrative subcommittee – 10-10-17

During the month of October 2017, the Executive Board met on the 10th and the 24th.

Highlights, decisions, and action items from the month of September 2017 include:

- Leadership changes:

On 10-24-17, NGECEC Executive Board Chairman Eric Curtit appointed Charles King, Amtrak as Vice Chair of the NGECEC Executive Board and as Chair of the Technical subcommittee. These appointments will take effect at the close of business on 11-3-17 upon the retirement from Amtrak of current CMO Mario Bergeron.

On 10-24-17, Tim Ziethen, Amtrak was appointed as Treasurer of the NGECEC Executive Board and as Chair of the Finance and Administrative subcommittee. These appointments were effective immediately and filled the vacancies that occurred with the departure from Amtrak by Darrell Smith.

- Mid-West States – Section 6 progress report:

As of 10-24-17, the Section 6 plan is in its final draft stages and is currently going back and forth between IDOT and the FRA. John Oimoen, IDOT, expects that it will be finalized and ready to go within the month of November 2017.

- Finance and Administrative Subcommittee and Grant Activities:

Filling the Vacant Chair position:

On 10-24-17, to fill the vacancy at Treasurer and Chair of the Finance and Administrative subcommittee (FASC), Tim Ziethen, Amtrak, was appointed by the NGECE Executive Board as NGECE Treasurer and Chair of the FASC.

Completing the Grant Progress Report for the 3<sup>rd</sup> quarter due to FRA 10-30-17:

Tim Ziethen, Amtrak, reported on 10-24-17, that he is working on completing the quarterly grant agreement progress report to FRA and expects to have that done on time (due 10-30-17)

Moving 514 to SAIPRC:

The FASC is preparing By-Law revisions that will remove 514 from the B-Laws and Operating procedures of the NGECE.

On the last call, held on 9-27-17, the FASC agreed to begin a review of the grant agreement SOW and will propose amendments for moving 514. Also, at the suggestion of Amtrak's Grants office, the subcommittee will review the SOW for possible revisions, beyond just the move of 514 to SAIPRC, to reflect current NGECE activities and/or needs.

Contract Extensions:

The support services contract between AASHTO and Amtrak has been extended to run through the life of the grant agreement - 9-30-19. AASHTO has executed an extension to the contract of the NGECE Program Manager also through 9-30-19 and is in the process of extending the other sub-contractor contracts.

- Formation of the Acquisition and Ownership Best Practices Working Group:

On 10-24-17, Eric Curtit reported that the "kick off" meeting of the Acquisition and Ownership Best Practices and Lessons Learned Working Group has been scheduled for Noon Eastern on 11-2-17. Steve Hewitt has sent out the call-in information and a calendar appointment to all working group volunteers. He also provided the approved memo previously submitted by Chairman Curtit, describing the purpose of the working group. An agenda for 11-2-17 went to all members on 10-30-17.

Equipment Acquisition and Ownership Best Practices Working Group Members:

Eric Curtit, Missouri DOT, Chair - [Eric.curtit@modot.mo.gov](mailto:Eric.curtit@modot.mo.gov)  
Sal DeAngelo, FRA [Salvatore.deangelo@dot.gov](mailto:Salvatore.deangelo@dot.gov)  
Joe Paul - Amtrak - [joseph.paul@amtrak.com](mailto:joseph.paul@amtrak.com)  
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Jennifer Bastian - Illinois DOT - Designated Alternate - [Jennifer.bastian@illinois.gov](mailto:Jennifer.bastian@illinois.gov)  
Jason Biggs - Washington State DOT - Designated Alternate - [biggsjr@wsdot.wa.gov](mailto:biggsjr@wsdot.wa.gov)  
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Paul Jamieson - Industry Member - SNC-Lavalin - [Paul.Jamieson@snclavalin.com](mailto:Paul.Jamieson@snclavalin.com)  
Dick Bruss - Industry Member - NARP - [rjembruss@gmail.com](mailto:rjembruss@gmail.com)  
Steve Hewitt - NGECE Support: Steve Hewitt - [Shewitt109@aol.com](mailto:Shewitt109@aol.com)  
Larry Salci - Consultant - [larry@salciconsult.com](mailto:larry@salciconsult.com)

- Multi-state Car Procurement (Caltrans - Lead State):

As of 10-24-17, "Contract Negotiations are still underway to determine if proposed substitute subcontractor is able to fulfill SCOA's contractual obligations."

- Status Update: Diesel-Electric Locomotive Procurement:

As of 10-24-17 (provided by Illinois DOT):

- a) All locomotives have completed required testing and all reports have been submitted and received. 110 mph hour testing in MI and the Chicago/St. Louis line will take place when all PTC logistics and software are up and in place. There may be a window of opportunity to do this testing next month when the UP turns off cab signal in that territory.
- b) IDOT and Siemens have signed conditional and final acceptance on 27 IDOT units.
- c) IDOT Revenue service started 7/27/2017, with units placed in trailing position. IDOT locomotives began revenue service in Lead Position as of 8/24/2017, but that was suspended, due to a forward-facing camera download problem with Wabtec LDRS-V. This is the data storage for the video recorder. Wabtec, Siemens and Amtrak are addressing. Units continue to operate in trailing position. A new software update was installed last week. We are advised by Amtrak that an issue remains. Siemens and Wabtec are working to resolve the remaining problem. One unit continues in Lead position, others are being used run in trailing position.
- d) IDOT locomotives 4616 - 4630 have completed burn-in testing at TTCI. Locomotive 4631 experienced a component failure (first locomotive in 30) and will be completed this week. Locomotives 4632 and 4633 will go to TTCI next month. These are the last units of the order that are shipping from Siemens.
- e) The locomotives stored at TTCI will ship to Chicago, as soon as storage space becomes available. Storage space in Chicago is limited, until the P-42 locomotives are re-deployed by Amtrak.
- f) All WSDOT Locomotives have been delivered and have completed pre-revenue testing and are ready for revenue service.
- g) WSDOT is finalizing their lease with Amtrak; they are down to one last item that they are working on.
- h) All Caltrans Locomotives have been delivered and are operating in revenue service in trailing position.
- i) The Failure Review Board has been established, with two meetings taking place so far with all JPE's included and Siemens. The meeting for October was held in Wilmington Del and included a visit to Siemen's customer service facility. Amtrak representatives were added and are participating in the meetings. The first Bi-weekly warranty meeting was held by Siemens, they are working on setting this up as a recurring meeting with the JPE's.

- 514 Subcommittee progress report as of 10-24-17:

On 10-24-17, subcommittee chair, Brian Beeler II, reported that he was unable to give a date for completion of the CIP as he was waiting for Amtrak to add the FRA edits to the document, and was unsure where that was in the process.

Tim Ziethen and Bill Auve, Amtrak, reported that Eric Smith has updated the document with the FRA comments and is formatting it. It is very close to complete and it should be sent to Brian Beeler soon.

Brian commented that, it is possible, that he will be able to get it submitted to the NGECE Executive Board by its next call or the one after that.

Moving 514 to SAIPRC – The FASC subcommittee has begun its review of the By-Laws and the grant agreement SOW and budget and will provide recommendations to the Executive Board of the changes needed to make the move.

During the month of November 2017, the Executive Board met on the 7th and the 21st.

Highlights, decisions, and action items from the month of November 2017 include:

- On 11-21-17, The NGECE Executive Board accepted the Single Level Car Specification Review Panel report and its recommendations and adopted the weight change DCR as submitted and previously approved by the NGECE technical subcommittee.
- Mid-West States – Section 6 progress report:
- As of 11-21-17, the Mid-West states are working on responses to the comments received from FRA on the DRAFT Section 6 plan. A working session among the states and FRA is scheduled for January 2018 and that should result in finalizing the Section 6 plan.

- Finance and Administrative subcommittee and Grant Activities:

On 11-21-17, the Finance and Administrative subcommittee provided its monthly progress report to the NGECE Executive Board. Highlights of that report are:

The Finance and Administrative subcommittee (FASC) last met on 11-15-17.

On 11-15-17, the subcommittee approved proposed By-Law revisions which removed the 514 subcommittee as an NGECE standing subcommittee, and made minor corrections to the document for consistency and a better read. In accordance with the By-Laws, the revisions were submitted to the Executive Board in writing on 11-16-17. To change the NGECE By-Laws, those changes must be submitted in writing to the Executive Board at least 30 days in advance of the meeting the Board intends to vote on the changes. Based on those requirements, the FASC is anticipating that the Executive Board will vote on adoption of the By-Law changes on 12-19-17 on its regularly scheduled bi-weekly call.

The Amtrak grants office is internally reviewing the grant agreement SOW and budget to not only reflect changes necessary to reflect the move of 514 to SAIPRC, but also to make any revisions that may better reflect the activities of the NGECE over the remaining grant period. The intent is for the FASC proposed revisions to the SOW and Budget on its next call - 12-13-17 and submit them to the Executive Board for its consideration on 12-19-17.

On 11-15-17, the FASC accepted the Single Level Car Specification Review Panel Report and recommendation to approve the weight change DCR and submitted it to the Executive Board for its consideration. (adopted under agenda item 6 today)

The FASC continues to review proposed updates to the NGECE Educational document, which has also been sent to Board members for input. The intent is for the FASC to finalize its changes to the document on 12-13-17 and submit the revised document to the Board for consideration on 12-19-17.

Contract Extensions:

The support services contract between AASHTO and Amtrak has been extended to run through the life of the grant agreement - 9-30-19. AASHTO has executed an extension to the contract of the NGECE Program Manager also through 9-30-19 and is in the process of extending the other sub-contractor contracts. On 11-21-17, Shayne Gill, AASHTO, reported to the Executive Board that all sign offs on the budget and SOW for the Casamar contract modification had been received, and the process is moving forward.

- Equipment Acquisition and Ownership Best Practices Working Group:

On 11-2 -7, the first call of the Equipment Acquisition and Ownership Best Practices Working Group took place with all members present.

On 11-2-17, The group agreed to use an outline of a paper that Larry Salci had prepared for FRA earlier this year as a starting point. Larry is to convert that presentation into a shorter "white paper" focusing on issues related to the working group's scope. Members of the group are asked to review the paper and submit comments in track changes to Steve Hewitt and Eric Curtit to be compiled into a revised paper.

On 11-27-17, the FRA PowerPoint presentation was provided to all working group members for review, and on 11-28-17, a draft outline/white paper produced by Larry Salci was distributed for review and discussion on the next working group call – 11-30-17.

On 11-30-17,

- Multi-state Car Procurement (Caltrans - Lead State):

On 11-21-17, Kyle Grading, Caltrans, reported that the contract amendment with Sumitomo to move forward with the railcar procurement was executed on 11/3/17. Siemens is the replacement car builder. For Caltrans, the order calls for 49 cars.

- Status Update: Diesel-Electric Locomotive Procurement:

As of 11-30 -17 (provided by Illinois DOT to the Technical subcommittee):

- a) All locomotives have completed required testing and all reports have been submitted and received.
- b) 110 mph hour testing in MI and the Chicago/St. Louis line will take place when all PTC logistics and software are up and in place. There may be a window of opportunity to do this testing this month, or in December, when the UP turns off cab signal in that territory.
- c) IDOT and Siemens have signed conditional acceptance on 31 units and final acceptance on 29 IDOT units.
- d) Seven IDOT locomotives are operating in lead position and more will be rolling out in the next few weeks.
- e) IDOT locomotives 4601 - 4631 have completed burn-in testing at TTCI. Locomotives 4632 and 4633 are at TTCI and testing will be complete 11/30/2017. These are the last units of the order that are shipping from Siemens.
- f) The locomotives stored at TTCI will ship to Chicago, as soon as storage space becomes available. Storage space in Chicago is being freed-up with the re-deployment of P-42 locomotives by Amtrak, and now indicates room for 23 locomotives will be available soon. A shipping plan is in place.
- g) WSDOT Units are operating in revenue service.
- h) Caltrans Locomotives are operating in revenue service.
- i) The final procurement project meeting was held last week with the JPEs.
- j) The final procurement project meeting was held last week with Siemens and the JPE's
- k) The Failure Review Board is established, with all JPE's included and Siemens. Amtrak representatives are participating in the meetings.
- l) Bi-weekly warranty meetings are being held by Siemens, they have scheduled recurring meetings with the JPE's.

- 514 Subcommittee progress report as of 11-21-17:

Brian Beeler II reported that the Final Draft of the CIP is complete, and he will be transmitting it to Eric Curtit and Steve Hewitt after today's call, for distribution to the Executive Board members for consideration on the next Executive Board call.

Brian added that the financial aspects of the CIP have not changed since the initial DRAFT in August – no major changes have been made since then – only wording tweaks.

Brian also reported on the SAIPRC Equipment Capital Working Group face to face meeting that took place last week in NYC. The goal was to identify "moving forward parts" as 514 transitions to SAIPRC.

The group intends to utilize lessons learned under the NGEC leadership as it moves to SAIPRC.

Brian expressed his thanks to Amtrak for arranging a tour of Sunny Side Yard while the group met in NYC "We thank Tim (Ziethen) and the team", it was a very helpful and informative tour.

The work of 514 will continue "until the puzzle is in place and we have found our new home under SAIPRC". Brian also noted that they will continue the close relationship with 305 and maintain close communication after the move has been finalized.

The Technical subcommittee update as of 11-21-17:

Document Management:

The DCR for car weight in the single level car specification was approved on 11-2-17, by the Technical subcommittee, and submitted to the NGEC executive Board Chairman Eric Curtit.

Chairman Curtit directed the Single Level Car Specification Review Panel to conduct its review and provide a report with recommendations to the Executive Board for its consideration on 11-21-17.

On 11-21-17, the NGECEC executive Board accepted the Review Panel's Report and Recommendations and formally adopted the DR for weight change as submitted and previously approved by the Technical subcommittee.

- Revising the NGECEC Educational two-pager:

On 11-16-17, the DRAFT updated version of the two-page handout was distributed to Board members for review and comment. Those comments will be submitted to the FASC as it reviews and revises the DRAFT on its next call 12-13-17. As of 11-30-17, comments have been provided by Tammy Krause and Dave "Emeritus" Warner and have been provided to the FASC.

On 11-21-17, several Board members suggested that the pictures be changed – change the bi-Level picture to that of a single level car, and update the Locomotive picture to one with a state logo on it.

During the month of December 2017, the Executive Board met on the 5th and the 19th.

Highlights, decisions, and action items from the month of December 2017 include:

- Mid-West States – Section 6 progress report:

As of 12-19-17, the states continued to work on the comments received from FRA on the DRAFT Section 6 plan. The next meeting will be a sit down with FRA to work through the document together and, hopefully complete it. This meeting will take place in January 2018.

- Finance and Administrative Subcommittee Monthly Progress Report – Tim Ziethen, Amtrak:

The Finance and Administrative subcommittee (FASC) last met on 12-13-17.

On 12-13-17, the subcommittee approved proposed revisions to the NGECEC Grant SOW which addresses the move of the 514 subcommittee's responsibilities to SAIPRC. Additionally, the FASC revised the SOW to allow for the flexibility to have the functions of the Revision Control Coordinator (RCC) performed by a consultant and/or in house-Amtrak.

Chairman Ziethen has been working with Amtrak Grants to coordinate the changes and make sure the appropriate steps are taken.

Also on 12-13-17, the FASC outlined its steps for developing the Annual Meeting Progress report of the subcommittee and the Treasurer's report.

On today's Executive Board call (12-19-17) the FASC has two items that it has submitted for Board discussion and consideration:

1. The Proposed Revisions to the NGECEC By-Laws and Operating Procedures as approved by the FASC on 11-15-17 and distributed in writing to the NGECEC Executive Board on 11-16-17.
2. The proposed revisions to the NGECEC Grant SOW as approved by the FASC on 12-13-17 and submitted to the NGECEC Executive Board on 12-13-17.

Next FASC meeting 1-10-18 – next Exec Board Update 1-16-18

On 12-19-17, the NGECEC Executive Board adopted the revisions to the NGECEC By-Laws and Operating Procedures as submitted and presented by the Finance and Administrative subcommittee.

On 12-19-17, the NGECEC Executive Board approved the proposed revisions to the Grant Agreement SOW as submitted and presented by the Finance and Administrative subcommittee.

Following the Board meeting on 12-19-17 – the revised/adopted By-Laws were distributed by Steve Hewitt, Program Manager for the NGECEC, to all NGECEC Executive Board Members in final form and submitted to AASHTO for posting.



Following the approval of the revisions to the SOW, Finance and Administrative subcommittee chair, and NGEC Treasurer Tim Ziethen, Amtrak, was tasked with providing the revised document to Amtrak and FRA Grants offices. Jeff Gordon, FRA, agreed to be sure that FRA grants was aware of the action taken and that Amtrak Grants would be reaching out.

- 514 Subcommittee CIP Update:

The 2018-2022 CIP Update was approved, as presented, on 12-19-17 by the NGEC Executive Board.

A final version was distributed to all NGEC Executive Board members and was sent to AASHTO for posting on the NGEC website.

- Equipment Acquisition and Ownership Best Practices Working Group:

The Equipment Acquisition and Ownership Best Practices Working Group held its third conference call meeting on 12-14-17. On the call, the group agreed to develop "big bucket" topics and to submit those topics to Chairman Curtit and Steve Hewitt in advance of the next call – 1-11-18.

Next Board Update 1-16-18

- Multi-state Car Procurement (Caltrans - Lead State):

On 12-19-17, in the absence of a representative from Caltrans, Steve Hewitt provided the update that had been given by Momo Tamaoki, Caltrans, on 12-14-17 for inclusion in the minutes of the last Technical subcommittee call:

- SCOA/Siemens submitted early CDRLs such as project management plan, engineering plan, and monthly progress format to Caltrans on time. Caltrans IDOT compiled our comments and they will be sent on 12/15/2017.
- Detailed Master Schedule will be submitted by SCOA/Siemens by 1/5/2018.
- The design Familiarization Meetings will be held in the week of 12/18. We will review Toilet System, Carshell, Safety Appliance, DCRs.
- Working with Amtrak to start reviewing the shipping and testing and other pre-revenue items.
- We are still estimating that production of the railcars will begin in summer of 2018.

- Status Update: Diesel-Electric Locomotive Procurement:

As of 12-19-17, the status of activities related to the "Charger" Locomotive procurement as provided by Illinois DOT:

a) IDOT has completed conditional and final acceptance with Siemens on all 33 units.

b) 110 mph hour testing in MI and the Chicago/St. Louis line is scheduled with Amtrak for January 8<sup>th</sup>. We are able to do the testing during a time when UP will turn off cab signal in that territory.

d) Twenty-One Chargers are currently in the Midwest. Two more units are scheduled to ship the first week of Jan.

e) The locomotives stored at TTCL will ship to Chicago, as soon as storage space becomes available. Storage space in Chicago is being freed-up with the re-deployment of P-42 locomotives by Amtrak.

f) All WSDOT Units have been accepted into revenue service.

g) All Caltrans Locomotives have been accepted into revenue service.

h) The Failure Review Board is established, with all JPE's included and Siemens and Amtrak representatives are participating in the meetings.

i) Recurring bi-weekly warranty meetings with the JPEs are also being held by Siemens.

- Appointing a nominating committee – Eric Curtit:

Per the NGECE By-Laws:

The Chair shall appoint, not less than two months prior to the Annual Meeting, a Nominating Committee consisting of three (3) voting members of the Committee, which shall be responsible for presenting a list of the state representatives selected to serve as members of the Executive Board to be elected at the Annual Meeting. Following election of the Executive Board, the members of the Executive Board will elect the Officers of the Executive Board.

Newly elected Officers shall assume office at the conclusion of the Annual Meeting at which they are elected.

On 12-19-17, Chairman Curtit announced that he has appointed Ray Hessinger, NYSDOT, and Tim Hoeffner, Michigan DOT, to serve, along with Eric, (who will chair), on the nominating committee.

- Revising the NGECE Educational two-pager:

As of 12-19-17, the NGECE two-pager educational document was still undergoing review of proposed revisions/updates by the Finance and Administrative subcommittee.

- 2018 NGECE Annual Meeting -2-23-18 – Steve Hewitt:

Steve Hewitt provided a brief overview of the early DRAFT agenda for the 2018 NGECE Annual Meeting. Members are asked to review the draft and provide input on additional topics or changes by the next call 1-16-18.

The agenda can be used in its current form to submit for travel approval, even though some topics and/or order may change.

Those who are speakers/presenters are asked to confirm their attendance asap. Steve Hewitt will provide the NGECE PowerPoint template to all speakers.

Amtrak was asked to determine who will present the Amtrak update – usually a representative from Amtrak Government Affairs gives the presentation.

FRA is asked to inform the Chair (and Steve) as to who will provide the FRA update.

Tim Ziethen, Amtrak, agreed to connect with Amtrak Government Affairs and provide the name of the speaker to Steve Hewitt.

Jeff Gordon, FRA, agreed to check in with FRA to determine who will present its update and provide Steve Hewitt with the name. Following the 12-19-17 call, Jeff informed Steve that, as of now, Michael Lestingi will provide the FRA update for the Annual Meeting.

Following the 12-19-17 call, Steve Hewitt was in contact with Kamasha Hendricks, AASHTO meeting planner, and was provided with information on the Hotel Room block and was provided with timelines for submitting names of attendees to Kamasha and the items needed to be printed for handout packets.

Subsequently, Steve Hewitt provided all registration information to NGECE members (including the industry).

During the month of January 2018, the Executive Board met on the 16th and the 30th.

Highlights, decisions, and action items from the month of January 2018 include:

- Mid-West States – Section 6 progress report:

As of 1-30-18, the FRA has reviewed the DRAFT report and submitted some revisions which are currently under review by the states. A meeting to discuss the report and revisions is expected to take place soon. The Equipment Board met last week to reflect on the FRA comments and to ensure consistency with Section 6 requirements.

- Finance and Administrative Subcommittee Monthly Progress Report – Tim Ziethen, Amtrak:

The Finance and Administrative subcommittee last met on 1-10-18.

Action items from 1-10-18:

Review of the Grant Agreement SOW and Budget as suggested by Amtrak Grants:

Status: 1-30-18:

Tim Ziethen reported that he has been working with Emily Chan and others from Amtrak Grants to complete the amendment to the SOW as reflected in the NGECE Executive Board's approved changes. Tim anticipates that today (1-30-18) or tomorrow (1-31-18) they will finish the amendment and send on through Amtrak legal for its review. Shortly thereafter, it will be submitted to FRA.

Updating the two-page NGECE Educational document:

The Finance and Administrative subcommittee agreed on several revisions in language and in changing the pictures to use more current photos of the Charger and an artist's rendering of the single level car being built for Caltrans and the Mid-West states under the current multi-state procurement. Once these changes were made, the document was to be submitted to the Executive Board for discussion on its 1-30-18 call.

Status 1-30-18:

The updated DRAFT was submitted to the Executive Board on 1-29-18 and will be discussed on the call today (1-30-18).

Preparing for the NGECE Annual Meeting:

Tim Ziethen, is completing the DRAFT NGECE Treasurer's Report and a FASC yearly progress report for review by the subcommittee on its next call 2-7-18 to be presented at the Annual Meeting of the NGECE on 2-23-18. He expects to complete the DRAFT this week and have it distributed to all FASC members for review and consideration on the 2-7-18 call.

Preparing the NGECE Grant Quarterly Report to the FRA:

Status 1-30-18:

The Final DRAFT of the quarterly report for the period ending on 12-31-17 has been completed and will be submitted today (1-30-18).

- 514 Subcommittee CIP Update:

The 2018-2022 CIP Update was approved, as presented, on 12-19-17 by the NGECE Executive Board.

A final version was distributed to all NGECE Executive Board members and was sent to AASHTO for posting on the NGECE website.

- Equipment Acquisition and Ownership Best Practices Working Group:

The working group last met on 1-11-18 and reviewed a list of "bucket" items developed by Caltrans that the group should be focusing on.

The discussion on 1-11-18 primarily revolved around what items needed to be added to the list, or be better defined:

Training – especially as related to project management and quality control. Issues related to training include “train the trainer”, and scheduling classes. Training appeared to be a topic that runs across several of the “bucket “ items.

Preferences – “needs vs. wants” as compared to requirements. This topic is critical especially when the owner is not the operator. Interoperability and Safety are also key elements.

When looking at the topic of revenue service - “beef up” the issue of host railroads over which the equipment will operate.

Additionally, product liability insurance; agreements with the manufacturer on items such as service maintenance and support and overhaul planning; and material availability were cited as critical items to be covered.

A revised/refined list of topics will be prepared by Eric Curtit based on the 1-11-18 discussion and distributed to the members of the working group for review and comment.

The working group will meet again on 2-8-18 to finalize the list of topics and begin assigning members to take sections of the list and develop them further. The group agreed that, although the intent was to complete its work by the NGEN Annual Meeting, it is better to get it right than rush it. A status update will be presented at the meeting and a better sense of the timeline for completion will be identified.

- Multi-state Car Procurement (Caltrans - Lead State):

As of 1-30-18, the status of activities related to the Multi-state car procurement:

- SCOA/Siemens have been submitting contract deliverables on time. Caltrans/IDOT have been reviewing them and providing our comments back to them to finalize. Caltrans and IDOT are now working on the configuration management plan review and approval.
- Detailed Master Schedule was submitted by SCOA/Siemens on Jan 5. Caltrans/IDOT had a meeting with SCOA/Siemens to go over the schedule in detail on Jan 18. Caltrans/IDOT schedulers are working closely with SCOA/Siemens and are satisfied with the schedule and we'll approve as noted. We are still on schedule to begin production in summer 2018.
- The next design review meetings are scheduled for the week of Feb 5 at Siemens Sacramento Facility. The discussion topics will include end doors, wheelchair lift, diagnostics, lighting, electrical systems. and interior.
- Caltrans is meeting with three joint powers authorities on Feb 5 to review all the samples for railcar interior.
- Based on the discussions we are having at the design review meeting, Caltrans has been developing and submitting Document Change Requests (DCR) to NGEN. Caltrans has submitted three DCRs in December and awaiting approval from NGEN. And two more (air brake valve control & Seat spacing/mounting locations) DCRs will be submitted by the end of January.
- Caltrans will be meeting with Amtrak Clearance and Inspection Director, Mr. Mike Trosino to review some of the truck and clearance related questions that came up during the truck design review meeting. The meeting is scheduled in Philadelphia on Feb 22.
- Momo Tamaoki will be attending the NGEN annual meeting on Feb 23 to provide updates on the railcar procurement at NGEN.

- Status Update: Diesel-Electric Locomotive Procurement:

As of 1-30-18, the status of activities related to the “Charger” Locomotive procurement as provided by Illinois DOT:

- a). Of the 33-unit IDOT locomotive order, all 33 have been conditionally and finally accepted with Siemens.
  - b) 110 mph hour testing in MI and the Chicago/St. Louis line completed and the reports were submitted to the FRA by Amtrak on Mon 1/29.
  - c) 238.111a testing still needs to be completed on two Michigan corridors pending resolution of equipment and testing issues
  - d) Twenty-One Chargers are currently in the Midwest.
  - e) The locomotives stored at TTCI will ship to Chicago, as soon as storage space becomes available. Storage space in Chicago is being freed-up with the re-deployment of P-42 locomotives by Amtrak.
  - f) WSDOT Units are operating in revenue service.
  - g) Caltrans Locomotives are operating in revenue service.
  - h) The Failure Review Board is established, with all JPE’s included and Siemens. Amtrak representatives are participating in the meetings.
  - i) Recurring bi-weekly warranty meetings with the JPEs are also being held by Siemens.
- Appointing a nominating committee – Eric Curtit:

Per the NGEC By-Laws:

The Chair shall appoint, not less than two months prior to the Annual Meeting, a Nominating Committee consisting of three (3) voting members of the Committee, which shall be responsible for presenting a list of the state representatives selected to serve as members of the Executive Board to be elected at the Annual Meeting. Following election of the Executive Board, the members of the Executive Board will elect the Officers of the Executive Board.

Newly elected Officers shall assume office at the conclusion of the Annual Meeting at which they are elected.

On 12-19-17, Chairman Curtit announced that he has appointed Ray Hessinger, NYSDOT, and Tim Hoeffner, Michigan DOT, to serve, along with Eric, (who will chair), on the nominating committee.

The committee will conclude its work and make a recommendation during the NGEC Annual Meeting on 2-23-18.

- Revising the NGEC Educational two-pager:

As of 1-30-18, the NGEC two-pager educational document has been revised to reflect input received from the Finance and Administrative subcommittee and has been submitted to the NGEC Executive Board. The Board is reviewing the latest DRAFT and has until COB 2-8-18 to submit comments or suggested changes. Once approved by the Board, Missouri DOT graphics arts will finalize and do an initial printing for distribution at the NGEC Annual Meeting. Additional copies will be printed by AASHTO.

- 2018 NGEC’s 8<sup>th</sup> Annual Meeting -2-23-18 – Steve Hewitt:

On 1-30-18, Steve Hewitt provided a brief overview of the latest DRAFT agenda for the 2018 NGEC Annual Meeting. The agenda is close to final with most topics and speakers having been confirmed. Current registration for the meeting stands at 58.

During the month of February 2018, the Executive Board met on the 13<sup>th</sup>, via conference call and held the 8<sup>th</sup> NGEAC Annual meeting in Washington, DC on 2-23-18.

The 8<sup>th</sup> NGEAC Annual Meeting took place in Washington, DC at the Washington Court Hotel on 2-23-18 with 66 members of the states, Amtrak, FRA and industry present. Updates from FRA and Amtrak were provided, as were updates from the Chairman; the Treasurer and Finance and Administrative subcommittee; the Technical subcommittee; the Accessibility Working Group and the Equipment Acquisition and Ownership Best Practices Working Group. Additionally, those in attendance were given update presentations on the two multi-state passenger rail equipment procurements and on the status of the Mid-West Section 6 planning effort. Full DRAFT minutes of the meeting are available on the NGEAC website [www.ngec305.org](http://www.ngec305.org) as are all the presentations.

Some highlights, decisions and actions from the Annual meeting and throughout the month of February 2018:

- Executive Board:

On 2-23-18, the NGEAC states re-elected all current state representatives to serve new two-year terms on the NGEAC Executive Board effective 2-23-18 through the NGEAC Annual Meeting to be held in February 2020.

On 2-23-18, the newly formed NGEAC Executive Board voted unanimously to re-elect its officers to new two-year terms of office effective 2-23-18 through the 2020 NGEAC Annual Meeting to be held in February of that year.

NGEAC Executive Board and Officers through February 2020:

Officers:

Chairman - Eric Curtit, Missouri DOT

[Eric.curtit@modot.mo.gov](mailto:Eric.curtit@modot.mo.gov) – 573 751 7476 cell - 573 291 5394

Vice Chair - Charles King, Amtrak

[Charles.king@amtrak.com](mailto:Charles.king@amtrak.com) – 302 429-6386 - 904 378-6095 (cell)

Secretary – Ray Hessinger

[raymond.hessinger@dot.ny.gov](mailto:raymond.hessinger@dot.ny.gov) – 518 457-8075

Treasurer: Tim Ziethen, Amtrak

[Ziethet@amtrak.com](mailto:Ziethet@amtrak.com) - 302 661-6988 (W) 312 636-0539 (M)

Members:

Federal Railroad Administration:

Representative: Michael Lestingi

[Michael.Lestingi@dot.gov](mailto:Michael.Lestingi@dot.gov)

Iowa Department of Transportation

Representative: Amanda Martin

[amanda.martin@iowadot.us](mailto:amanda.martin@iowadot.us)

Illinois Department of Transportation

Representative: John Oimoen

[John.oimoen@illinois.gov](mailto:John.oimoen@illinois.gov)

North Carolina Department of Transportation

Representative: Allan Paul

[hapaul@ncdot.gov](mailto:hapaul@ncdot.gov) – 919 707-4712

Oklahoma Department of Transportation

Representative: John Jay Rosacker - 405 521-4164

[jrosacker@odot.org](mailto:jrosacker@odot.org)

Washington Department of Transportation

Representative: Ron Pate

[pater@wsdot.wa.gov](mailto:pater@wsdot.wa.gov) – 360 705-7950 cell- 360 878-7706

Wisconsin Department of Transportation

Representative: Arun Rao

[Arun.rao@dot.wi.gov](mailto:Arun.rao@dot.wi.gov)

Michigan Department of Transportation

Representative: Tim Hoeffner

[Hoeffnert@michigan.gov](mailto:Hoeffnert@michigan.gov) -517 373-6672

California Department of Transportation

Representative: Momoko Tamaoki  
[Momoko.tamaoki@dot.ca.gov](mailto:Momoko.tamaoki@dot.ca.gov)  
Oregon Department of Transportation  
Representative: Michael Jenkins  
[Michael.I.jenkins@odot.state.or.us](mailto:Michael.I.jenkins@odot.state.or.us)  
Maine Department of Transportation  
Representative: NNEPRA - Brian Beeler II  
[brian@nnepra.com](mailto:brian@nnepra.com) – c. 207 899-6089 p.207-780-1000 ext. 102

- Finance and Administrative Subcommittee (FASC) Progress Report/Treasurer's Report as of 2-23-18:

The Two-page educational outreach document was approved by the FASC and sent to the NGEC executive Board. The Board made some additional revisions, and on 2-23-18 at the NGEC Annual Meeting the new two-pager was released and is available in hard copy upon request and/or electronically – contact Steve Hewitt for copies.

In 2017, the NGEC By-Laws annual review was conducted by the FASC and approved on 12-19-18 by the NGEC Executive Board. Changes made included minor edits and corrections and reflected revisions to accommodate the move of the responsibilities of the 514 subcommittee to SAIPRC.

The FASC conducted a review of the NGEC Grant Agreement SOW and budget and recommended change that would be consistent with the 514-subcommittee's move to SAIPRC and would allow for the NGEC to have the flexibility to contract with an outside consultant to serve as Document Control Manager or, as is currently the case, have those responsibilities handled in-house by Amtrak. The NGEC Executive Board has approved these changes, and the Amtrak Grants office submitted on 2-7-18 an amended form with the changes, to FRA Grants for its review and action.

The NGEC Treasurer's Report was presented to the Executive Board and NGEC members during the Annual Meeting on 2-23-18.

The report is available on line at the NGEC website – [www.ngec.org](http://www.ngec.org) and has been distributed via email.

On 2-23-18, the Treasurer's Report was formally accepted as presented, by a vote of the NGEC Executive Board.

- Technical subcommittee progress report as of 2-23-18:

Functions of the Technical subcommittee:

- Will develop specifications as requested by the Executive Board.
- Each specification is assigned a Lead to coordinate the process.
- Majority of spec writing done by members of the 6 permanent working groups with support from a technical writer.

2017 Highlights:

- Passenger Car Weight Change Approval
- ECP Brake Test Train reached over 400k miles
- Diesel-Electric Locomotive Specification Rev B Approved
- Chargers in Service in Chicago, Seattle & Oakland
- Future Electronics on Trains Working Group Created and Merged with the DTL Working Group

2018 Projects:

- Support Multi-State Car Procurement
- Reissue revised Bi-Level PRIIA Spec
- Support Current Dual Mode Locomotive Procurement and update the PRIIA Spec

- Revise the Single Level PRIAA Spec

How to Improve:

- Speed of the DCR process
- Reach Out to APTA/AAR etc.

- Multi-state Car Procurement (Caltrans - Lead State):

As of 2-13-18, the status of activities related to the Multi-state car procurement:

- SCOA/Siemens have been submitting contract deliverables on time. Caltrans/IDOT have been reviewing them and providing our comments back to them to finalize. Caltrans and IDOT are now working on the configuration management plan review and approval.
- Detailed Master Schedule was submitted by SCOA/Siemens on Jan 5. Caltrans/IDOT had a meeting with SCOA/Siemens to go over the schedule in detail on Jan 18. Caltrans/IDOT schedulers are working closely with SCOA/Siemens and are satisfied with the schedule and we'll approve as noted. We are still on schedule to begin production in summer 2018.
- The next design review meetings were scheduled for the week of Feb 5 at Siemens Sacramento Facility. The discussion topics will include end doors, wheelchair lift, diagnostics, lighting, electrical systems, and interior.
- Caltrans is meeting with three joint powers authorities on Feb 5 to review all the samples for railcar interior.
- Based on the discussions we are having at the design review meeting, Caltrans has been developing and submitting Document Change Requests (DCR) to NGEC. Caltrans has submitted three DCRs in December and awaiting approval from NGEC. And two more (air brake valve control & Seat spacing/mounting locations) DCRs will be submitted by the end of January.
- Caltrans will be meeting with Amtrak Clearance and Inspection Director, Mr. Mike Trosino to review some of the truck and clearance related questions that came up during the truck design review meeting. The meeting is scheduled in Philadelphia on Feb 22.

On 2-23-18, Momo Tamaoki, Caltrans, and Armin Kick, Siemens industry provided a full update on the procurement as well as details on the equipment. The presentation has been distributed and can be found on the NGEC website at [www.ngec.org](http://www.ngec.org).

- Status Update: Diesel-Electric Locomotive Procurement:

As of 2-13-18, the status of activities related to the "Charger" Locomotive procurement as provided by Illinois DOT:

- a) Of the 33-unit IDOT locomotive order, all 33 have been conditionally and finally accepted with Siemens.
- b) 110 mph hour testing in MI and the Chicago/St. Louis line completed and the reports were submitted to the FRA by Amtrak on Mon 1/29.
- c) 238.111a testing still needs to be completed on two Michigan corridors pending resolution of equipment and testing issues
- d) Twenty-One Chargers are currently in the Midwest.
- e) The locomotives stored at TTCI will ship to Chicago, as soon as storage space becomes available. Storage space in Chicago is being freed-up with the re-deployment of P-42 locomotives by Amtrak.
- f) WSDOT Units are operating in revenue service.
- g) Caltrans Locomotives are operating in revenue service.



h) The Failure Review Board is established, with all JPE's included and Siemens. Amtrak representatives are participating in the meetings.

i) Recurring bi-weekly warranty meetings with the JPEs are also being held by Siemens.

On 2-23-18, John Oimoen, IDOT and Ray Ginnell, Siemens industry, provided a full update on the Chargers as they have entered into service and provided details on the equipment. The presentation has been distributed and can be found on the NGECC website at [www.ngec.org](http://www.ngec.org)

Mid-West Section 6 Planning Effort:

- On-going process – focused efforts by the states, the Fleet Manager and the FRA are essential
- Mechanism for receiving funds was critical
- Section 6 Plan will continue to evolve

During the month of March 2018, the Executive Board met twice via conference call, on the 13<sup>th</sup> and on the 27<sup>th</sup>.

Highlights, decisions, and action items from the month of March 2018 include:

- Procurement Updates:

Status Update – Multi-state Car Procurement (Caltrans - Lead State) - as of 3-27-18:

- The design review meeting took place in Chicago on March 20 & 21. The discussion topics included end doors for IDOT, wheelchair lift, diagnostics, seats and safety appliances. The meetings were productive, and a lot of action items were closed. We also had some preliminary discussions on café cars design. These concepts will be reviewed and discussed with Public Health team, FDA as well as ADA representatives from California and Mid-west states.
- Siemens visited Chicago Maintenance Facility on March 19. They took a facility tour, met with IDOT and Amtrak mechanical and operational staff to learn about the standard practices and tooling requirements in Illinois. The meeting was productive, and Siemens was able to see legacy equipment.
- Caltrans and IDOT are meeting with ADA representatives from California and Illinois to go over the accessible toilet room design as well as café car design concepts. Their feedback will be communicated to SCOA/Siemens.
- The Mock up review is scheduled in the week of April 9 in Florida. We will be using Brightline's cars to review some of the components in the cars, such as toilet rooms, gangway, HVAC, communication system, etc.
- Caltrans has been developing and submitting Document Change Requests (DCR) to NGECC. Caltrans has submitted 15 DCRs several weeks ago and awaiting approval from NGECC. 12 out of those 15 items were HVAC related and three are related to Seat tracks, Door Operators, and Air Brake Control Valve. All DCRs have been sent to the appropriate working group(s) and discussion and votes are pending. Timely approval of DCRs are critical for Caltrans and IDOT to move forward with this procurement.

- The Charger - Diesel-Electric Locomotive Update as of 3-27-18:

- a. Of the 33 units IDOT locomotive order, all 33 have been conditionally and finally accepted with Siemens.
- b. 238.111a testing still needs to be completed on two Michigan corridors pending resolution of equipment and testing issues. The locomotives for the MI corridors are still being held in Pueblo until this testing is completed.
- c. Twenty-Three Chargers are currently in the Midwest.
- d. The locomotives stored at TTCI will ship to Chicago as soon as storage space becomes available. Storage space in Chicago is being freed-up with the re-deployment of P42 locomotives by Amtrak.
- e. Amtrak has started to re-deploy their P42 fleet from the Midwest to other locations.
- f. WSDOT units are operating in revenue service
- g. Caltrans locomotives are operating revenue service

- h. The Failure Review Board is established and running, with all JPE's, Amtrak, Siemens and the new addition of Brightline as participants.
  - i. A recurring bi-weekly warranty meeting is being held by Siemens and includes all JPE's, Amtrak, Siemens, MARC and Brightline.
- Mid-West States Section 6 Activities – as of 3-27-18

This effort continues to move forward with regular meetings taking place. The Section 6 plan is under review by the FRA.

- Finance and Administrative Subcommittee update as of 3-27-18:

Updates – SOW Related Activities - Tim Ziethen, Amtrak:

- a. Status of the FRA Grants Office review of the grant agreement SOW changes:  
Tim Ziethen reported that he is still waiting for final approval from FRA on the revised Grant Agreement SOW. FRA has informed Amtrak grants that they have requested that SAIPRC's Executive Board change its SOW of charter to include the 514 responsibilities. FRA wants to approve the changes to both committees (NGEC and SAIPRC) simultaneously. They have no issues with the NGEC proposed changes which will remove 514 from the NGEC, but they want to ensure the move to SAIPRC is in place at the same time.
- b. Status – Document Control Management contract:  
Tim Ziethen reported that he has received the updated information (scope and budget) from Tammy Krause and has what he needs, but that he still needs to have a brief conversation with Charlie King. Tim noted that he has the procedures (provided by Steve Hewitt), and he should be able to move things forward around the first part of next week.
- c. Resolution on missing invoice payment:  
Tim Ziethen reported that the Amtrak Grants office is talking with FRA Grants to see how to process the payment. Apparently, Amtrak, for some reason had never seen the invoice in question, but it appears, from Amtrak Grants review that all is in order and it is a matter of getting input from FRA on how to process is. Amtrak is going ahead and getting it through its process internally so that once FRA has provided input, it will be ready to go.

- Acquisition and Ownership Best Practices Working Group – as of 3-27-18:

A progress report was provided at the NGEC Annual Meeting – the Presentation can be found at [www.ngec.org](http://www.ngec.org). The previously scheduled 3-8-18 working group conference call was canceled due to several conflicts. The next call of the group will be scheduled in April with the expectation that the topics list will be finalized, and tasks will be assigned.

- Dual Mode Locomotive Procurement:

Metro-North has begun the process for procuring Dual Mode Locomotives and has advertised a pre-bid meeting for potential builders to attend on 3-28-18. Metro-North is in discussions on potential DCRS to be submitted as the process moves forward. He also noted that on the most recent SAIPRC equipment capital working group call, Max Johnson, Amtrak, noted Amtrak's intent to procure Dual Mode locomotives as well, and the possibility of working through this procurement. Ray added that there will be a meeting later this week to discuss Amtrak and others who may wish to be a part of the procurement.

An update/progress report on the Metro-North Dual Mode Locomotive Procurement will become a standing agenda item on the Executive Board and Technical subcommittee calls going forward. Steve Hewitt will add Ray Hessinger, NYSDOT, to the email list and call schedule for NGEC Technical subcommittee calls to provide the bi-weekly updates.

During the month of April 2018, the Executive Board met twice via conference call, on the 10<sup>th</sup> and on the 24<sup>th</sup>.

Highlights, decisions, and action items from the month of March 2018 include:

- Procurement Updates:

Status Update – Multi-state Car Procurement (Caltrans - Lead State) - as of 4-24-18:

- Caltrans, IDOT, and Amtrak's Public Health Team met on 4/6 to go over the Galley Updates. Discussions were productive, and information offered by Amtrak was very helpful. The follow up meeting will take place in summer 2018.
- Caltrans, IDOT, Amtrak and the FRA team visited the Brightline's West Palm Beach facility in the week of April 9. We reviewed some of the components in the cars, such as toilet rooms, gangway, HVAC, communication system, etc.
- Caltrans, IDOT, SCOA, and Siemens met in Sacramento, CA on 4/16 for the executive board meeting. We discussed the status of design review, high-level schedule overview, as well as areas of concerns.
- The production of the first Carshell has begun on 4/6.
- The design review meeting is taking place in Sacramento, CA this week. The discussion topics included exterior doors, double sliding steps, communication system – Analog, trap doors, electrical system. The meetings have been productive, and a lot of action items are being closed.
- Caltrans has been developing and submitting Document Change Requests (DCR) to NGECC. All DCRs have been sent to the appropriate working group(s) and discussion and votes are pending.

Status Update: The Charger - Diesel-Electric Locomotive Update as of 4-24-18:

1. Of the 33 units IDOT locomotive order, all 33 have been conditionally and finally accepted with Siemens.
2. 238.111a testing still needs to be completed on two Michigan corridors pending resolution of equipment and testing issues. The locomotives for the MI corridors are still being held in Pueblo until this testing is completed.
3. Twenty-Three Chargers are currently in the Midwest.
4. The locomotives stored at TTCL will ship to Chicago as soon as storage space becomes available. Storage space in Chicago is being freed-up with the re-deployment of P42 locomotives by Amtrak.
5. WSDOT units are operating in revenue service
6. Caltrans locomotives are operating revenue service
7. The Failure Review Board is established and running, with all JPE's, Amtrak, Siemens and the new addition of Brightline as participants.
8. A recurring bi-weekly warranty meeting is being held by Siemens and includes all JPE's, Amtrak, Siemens, MARC and Brightline.

Metro North Dual Mode Locomotive Procurement as of 4-24-18:

Metro North held an information meeting in NYC on 3-28-18 for entities interested in the Dual Mode Locomotive procurement. The meeting was well attended with all major locomotive builders well represented. NYSDOT, Connecticut DOT, and Amtrak were also present at the meeting.

Metro North will be working with the MTA Board on the information gathered from the meeting and hopes to be releasing an RFP (which will be a 2 step RFP process) by late May or early June 2018.

The specification is to be based on the PRIIA Dual Mode locomotive specification with modifications. Metro North will bring those modifications to the NGECC, but not until after the release of the RFP. Ray Hessinger, NYSDOT, will continue to keep the NGECC apprised as the process moves forward.

- Mid-West States Section 6 Activities – as of 4-24-18:

The FRA and the states continue to go back and forth on the plan, but it is thought to be close to finalizing it. IDOT has reported that it is expected to be finalized sometime next month (May).

- Finance and Administrative status updates – as of 4-24-18:

- d. Status of the FRA Grants Office review of the grant agreement SOW changes:

On 4-24-18, Michael Lestingi, FRA, reported that NNEPRA (for SAIPRC) has not yet submitted a revised SOW for the SAIPRC grant agreement to include the move of the 514 responsibilities from the NGEC to SAIPRC. Michael will follow up.

e. Status – Document Control Management (DCM) contract:

On 4-24-18, Strat Cavros, AASHTO, reported that they have not yet received the formal contract proposal from Tammy Krause on her letterhead addressed to AASHTO. All information provided from Amtrak/NGEC is complete – but that info needs to be on TLK Associates letterhead and addressed to AASHTO to be executed. Tammy was informed on 4-18-18 of this request but has yet to submit it. Steve Hewitt agreed to follow up with Tammy and ask her to act on this asap so that the contract can be signed/executed.

f. Resolution of unpaid AASHTO invoice:

On 4-24-18, Tim Ziethen, Amtrak, reported that Amtrak has processed the invoice for payment but is still waiting for FRA to provide them “with a path forward”. Until then, Amtrak is at risk.

Michael Lestingi will follow up with FRA staff to get this resolved. Eric Curtit will call Michael on this as well.

- Acquisition and Ownership Best Practices Working Group – as of 4-24-18:

A progress report was provided at the NGEC Annual Meeting – the Presentation can be found at [www.ngec.org](http://www.ngec.org). The previously scheduled 3-8-18 working group conference call was canceled due to several conflicts. The next call of the group will be scheduled in April with the expectation that the topics list will be finalized, and tasks will be assigned.

- Document Control Update – as of 4-24-18:

On 4-24-18, Michael Burshtin, Amtrak, provided a status update on the pending DCRs for the single level car specification:

Michael has prepared the summary of changes spreadsheet with all of those that have been dispositioned out of the Technical working groups with recommendations of accepted, accepted as amended or rejected. The spreadsheet has been sent by Steve Hewitt to the Technical subcommittee members and will be considered for approval on 5-3-18.

Michael noted that there are several DCRs being considered by the Interiors working group, as amended, including the Seat Track DCR. It is anticipated that the working group will come to a determination on these DCRs and send their recommendations to Michael for inclusion on the summary of changes spreadsheet to be considered on 5-3-18.

Michael also noted that there is an additional DCR under review by the VTI working group, and it too, may be dispositioned for inclusion on the spreadsheet and considered for approval by the Technical subcommittee on 5-3-18.

If all these actions take place – it will mean that all the DCRS submitted for this specification will have been brought forth for consideration by the Technical subcommittee.

- Action taken – 4-24-18 - re-convene the Single Level Car/Trainset Review Panels and confirm members:

On 4-24-18, in anticipation of the DCRS for the Single Level Procurement being approved on 5-3-18 by the Technical subcommittee, and in accordance with NGEC procedures, Chairman Curtit, on 4-24-18, reconvened the appropriate Review Panels and confirmed membership:

Eric Curtit, Missouri DOT - Chair  
Ray Hessinger, NYSDOT  
Allan Paul, North Carolina DOT

Jason Biggs, Washington State DOT  
Jeff Gordon, FRA  
Larry Salci, Consultant to the Panel  
Michael Burshtin, Amtrak – technical support  
Tammy Krause, TLK – DCC technical support  
Steve Hewitt – NGEC support

Once the Technical subcommittee has voted on the DCRs submitted for consideration, those approved will be sent to Chairman Curtit who will direct the Review Panel and its consultant (Larry Salci) to develop its report and recommendations for Executive Board consideration.

During the month of May 2018, the Executive Board met twice via conference call, on the 8<sup>th</sup> and on the 22<sup>nd</sup>.

Highlights, decisions, and action items from the month of May 2018 include:

- Procurement Updates:

Status Update – Multi-state Car Procurement (Caltrans - Lead State) - as of 5-22-18:

The production of the first Carshell of the single-level railcars has begun on April 6, 2018. Caltrans/IDOT attended the QA kick-off meeting at Siemens Sacramento facility on May 16 & 17, 2018. We are also inspecting their welding machine on May 25, 2018.

Caltrans is working on the Document Change Requests (DCR) for the cab cars to submit to the NGEC. We are hoping to submit three DCRs hopefully in next month.

Caltrans is working closely with Amtrak Public Health and the Food and Drug Administration to finalize the design concept of our café cars. The meeting with the NGEC's Interior Working Group to discuss design and requirement details will be held on May 22, 2018 and hoping to get some directions from the group to move forward with the design concept.

The next design review meetings are scheduled in the week of June 18. The discussion topics include: double sliding step, Seats, Trap doors, lighting system, and communication system.

The initial underframe first article inspection is scheduled for this week. Caltrans QA manager will be attending the inspection.

Caltrans team is conducting Buy America audit at Siemens facility this week.

Status Update: The Charger - Diesel-Electric Locomotive Update as of 5-8-18:

1. Of the 33 units IDOT locomotive order, all 33 have been conditionally and finally accepted with Siemens.
2. 238.111a testing still needs to be completed on two Michigan corridors pending resolution of equipment and testing issues. The locomotives for the MI corridors are still being held in Pueblo until this testing is completed.
3. Twenty-Three Chargers are currently in the Midwest.
4. The locomotives stored at TTCL will ship to Chicago as soon as storage space becomes available. Storage space in Chicago is being freed-up with the re-deployment of P42 locomotives by Amtrak.
5. WSDOT units are operating in revenue service
6. Caltrans locomotives are operating revenue service
7. The Failure Review Board is established and running, with all JPE's, Amtrak, Siemens and the new addition of Brightline as participants.
8. A recurring bi-weekly warranty meeting is being held by Siemens and includes all JPE's, Amtrak, Siemens, MARC and Brightline.

Metro North Dual Mode Locomotive Procurement as of 5-31-18:

- As of 5-31-18, Metro North completed its final draft of its specification about a week and a half ago but missed the timing for meeting with the MTA Board. They are not on the Board's agenda for their June

meeting, so the procurement is slipping a bit – month by month. Even so, Metro North continues to meet with Amtrak on the technical specification to try to maximize the size of the order.

- Mid-West States Section 6 Activities – as of 5-8-18:

The FRA and the states continue to go back and forth on the plan, but he believes they are close to finalizing it.

- Finance and Administrative status updates – as of 5-31-18:

- g. Status of the FRA Grants Office review of the grant agreement SOW changes:

The SAIPRC SOW, as revised has been executed. The NGEC revised SOW has not yet been executed. FRA has asked Amtrak to respond to several clarification questions. Once resolved, the revised SOW will be executed. This is expected to occur by early June.

- h. Status – Document Control Management (DCM) contract:

The contract between AASHTO and TLK Associates, LLC (Tammy Krause) was executed in the first part of May.

- i. Resolution of unpaid AASHTO invoice:

Amtrak has paid AASHTO, and now awaits direction from FRA as to how to bill FRA for reimbursement. Chairman Curtit will be pressing the point to FRA that Amtrak needs to be made whole.

- Acquisition and Ownership Best Practices Working Group – as of 5-31-18:

The working group met on 5-31-18, topic categories have been approved; topic team leaders have been named and key members have also been assigned to the teams. Team updates are scheduled for the next call which will take place on 6-28-18.

- Document Control Update – as of 5-31-18:

There were 3 additional DCR's that were approved for the Single Level specification. The Locomotive specification had 1 new approved DCR and 3 that are still in review. PRIIA Spec 305-912 Rev C, Operating and Environmental Conditions, has been released. The requirements document for the Diesel-Electric Locomotive was updated to reflect the changes made in Revision B of the specification.

The Review Panel for the Single Level Car Specification 305-003 Revision B.1 met on 5-24-18 and approved the Panel report and recommendations as prepared by consultant Larry Salci. The Executive Board will consider acceptance of the report and adoption of Revision B.1 on its call on 6-5-18.

During the month of June 2018, the Executive Board met twice via conference call, on the 5<sup>th</sup> and on the 19<sup>th</sup>.

Highlights, decisions, and action items from the month of June 2018 include:

- Procurement Updates:

Status Update – Multi-state Car Procurement (Caltrans - Lead State) - as of 6-28-18:

- Caltrans is working on the Document Change Requests (DCR) for the cab cars to submit to the NGEC. We are hoping to submit three DCRs soon pending outcomes of upcoming concept meeting with Siemens. Target to submit those DCRs is July.
- Caltrans is working on the Document Change Requests (DCR) for the cab cars to submit to the NGEC. We are submitting those DCRs is July.

- Caltrans visited Televic (communication components vendor) yesterday (June 27) to get more information about what the system can offer. California is really interested in expanding on-board information system in our state-owned fleet.
- Testing and Commissioning internal meeting is scheduled for July 10 in Sacramento, CA. After the internal meeting, Caltrans and IDOT will be meeting with Amtrak, FRA, SCOA and Siemens in August to clearly define roles and responsibilities regarding the testing and all logistics and costs associated with it. (i.e. insurance, indemnification, etc.).
- The design review meetings took place in the week of June 18. The discussion topics included: the final design review of double sliding step, Seats, lighting system, and communication analog system. We also talked about testing and PRIIA compliance during the design review. Our PRIIA compliance plan was approved by FRA on 6/15.

Status Update: The Charger - Diesel-Electric Locomotive Update as of 6-28-18:

North County Transit District (NCTD) is responsible for the Coaster commuter rail service between San Diego and Oceanside, CA. The NCTD board approved on June 21, 2018 the purchase of 5 Diesel-electric Charger locomotives from Siemens using the available options from the Multi-State Diesel-electric locomotive procurement. In addition, 4 optional locomotives are foreseen. NCTD evaluated several possibilities for purchasing new Tier 4 passenger locomotives and came to the conclusion, that the Multi-State procurement based on the PRIIA specification was most beneficial.

Metro North Dual Mode Locomotive Procurement as of 6-19-18:

As of 6-19-18, Metro North and Amtrak have reviewed their respective specs side-by-side and have identified several differences, but "no show stoppers". Amtrak will try to include what they can from the Metro North specification into the specification in their RFP, but not in the initial amendment of their spec.

They are working to come up with a specification that would work for both parties even if not under the same procurement. The intent is to get a spec that they can both work off. Amtrak, time-wise, is ahead of Metro North's schedule.

- Mid-West States Section 6 Activities – as of 6-19-18:

The deliverable (Section 6 - Plan) is being finalized by the states and is down to the final comments provided by the FRA. Once complete, it will be sent back to FRA and should be approved shortly.

- Finance and Administrative status updates – as of 6-27-18:

Status of the FRA Grants Office review of the grant agreement SOW changes:

Amtrak is finalizing the changes to the SOW in response to FRA's recommended edits. The intent was to send it back to FRA for its review of the final changes and responses to their edits, by 6-28 or 29-18.

Steve Hewitt and Chairman Eric Curtit will receive a copy, as well, and determine if the changes need to be re-submitted to the NGEC Executive Board for consideration.

Resolution of unpaid AASHTO invoice:

Amtrak has paid AASHTO, and now awaits direction from FRA as to how to bill FRA for reimbursement. Chairman Curtit will be pressing the point to FRA that Amtrak needs to be made whole.

Treasurer's Update- NGEC Budget Status – Expenditures to Date/Balance/Spend Rate as of 6-27-18:

The NGEC continues to be in underspending mode. Invoice #3 in the amount of \$40, 957 is in final review by Amtrak and should be paid soon. The last quarter expenditures totaled \$64,981. Treasurer Tim Ziethen, Amtrak, reports that the spend rate is much under what was expected. The most recent

invoice is about on target, and there will be an increase in expenditures as the specification update process continues to move forward. Still, for budgeting purposes, the NGEC is well under spending.

AASHTO, notes that they show an outstanding invoice for the April – June 2017 period in the amount of \$55,106. Tim has done some research, and has more to do, but “our system says it was paid – however there is no proof of a check...there was a voucher cut and paid (according to Amtrak). Tim does not know if it was sent by check or electronically. The Purchase Order was complete. The invoice # is S1017042. Amtrak shows “it is an approved/paid invoice. Tim Ziethen will do further research to see if there is proof of how it was paid...” and to determine what the discrepancy is.

Requesting a 12 month No-Cost Grant Agreement Extension:

As of 6-27-18, Tim Ziethen reported that there is no question that the NGEC will need a 12 month no-cost extension – there will be no need for additional funding for the extended period based on the spend rate. The question is process and timing.

FRA has suggested that the first step is for the NGEC Executive Board to make a formal request for a no cost extension for 12 months. (current grant agreement expires 9-30-19 – the extension would be through 9-30-20)

NGEC Chairman Eric Curtit has asked FRA to provide the NGEC with confirmation that this grant makes a 12 month no-cost extension eligible.

Beth Nachreiner will check with FRA grants on the question of eligibility and get back to Eric with the answer. Once this question is resolved the next steps can be determined.

NGEC Audit – timing and process:

As of 6-27-18, Treasurer Tim Ziethen has inquired about the Audit and has been given a contact name at Amtrak's OIG to go to but needs to follow up with Amtrak Grants as to what the timing is relative to this grant.

- Acquisition and Ownership Best Practices Working Group – as of 6-28-18:

Team Leaders will continue to work on their section DRAFTS. If possible, DRAFTS should be distributed for working group members to review and comment on (in track changes) in advance of the next call. Each Team leader will be asked to provide a status update on their progress on the next call which is scheduled for 7-26-18.

- Document Control Update – as of 6-28-18:

All the received DCRs have been addressed, the rejected ones have been returned to the originators. The new revision of the Single Level specification will be available next week (week of 7-2-18).

On 6-5-18, the Executive Board accepted the Single Level Car Specification Review Panel Report and adopted 305-003 Revision B.1.

During the months of July and August 2018, the Executive Committee met 4 times – July 3<sup>rd</sup> and 17<sup>th</sup> and August 14<sup>th</sup> and 28<sup>th</sup>.

Highlights, decisions, and action items from the month of August 2018 include:

- Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 8-28-18:

- Three critical cab car DCRs were submitted to NGEC on 7/30. The three are: Car Length Over Couplers, Carbody/Cab Construction and Cab Car Floor Height Transition



- Final Design Review Sessions for standard coach concluded in the week of August 7 in Chicago with FDR for H-Coupler, IDOT Diaphragm, IDOT End Doors, Interiors, Wheelchair Lift and Trap Door. There are still open items that need to be addressed and closed before we can approve FDR.
- Dynamic testing discussions occurred August 7 & 8 in Chicago with a technical discussion session on 8/7 including Amtrak and FRA and a commercial & insurance discussion on 8/8. Many action items were identified, and Caltrans, IDOT, Amtrak and FRA will continue ongoing discussions to resolve all issues identified at the meetings. Caltrans and IDOT will be issuing a first letter to SCOA/Siemens addressing some of our action items. The letter will most likely go out next week.
- Preliminary Design Review for the Café car commences week of September 10 in Sacramento with a full PDR session for the Galley Equipment. Following will be an overview of the adapted systems changes from standard coach to café coach. Amtrak Public Health team will be joining us for this meeting.
- System-level FDR approvals of the Carbody & Clearance, Water & Waste, HVAC and Brakes have been provided to SCOA/Siemens. Gap Filler action items have been addressed with approval to follow. Caltrans submittals to FRA for Safety Appliance and Carbody to occur in September.
- The first 5 carshells are in production at Siemens Sacramento Facility with carshell #1 in the final stages of integration and welding. The expansion of the Sacramento production facility is in process and on target for a November completion.

Status Update: The Charger - Diesel-Electric Locomotive Update and Section 6 Plan as of 8-28-18:

The Section 6 Plan was been accepted by FRA in July 2018

Status Update: Metro North Dual Mode Locomotive Procurement as of 8-28-18:

Metro North released their RFP on 8/16. They have adopted a two-phased approach. Phase I involves pre-qualification of vendors. Interested vendors are required to submit documentation regarding their Vendor Responsibility, Financial Capability, Technical Capability and Experience. Phase I proposals are due 9/17. Metro-North will evaluate the proposals and short list the successful vendors. Short-listed vendors will then receive the technical RFP, including MNCR's Dual Mode specification. Metro-North has not announced a schedule for release of the Phase 2 technical RFP nor a submittal date for technical and price proposals.

Status Update: Amtrak Locomotive Procurement – 8-14-18:

On 8-14-18, Charlie King provided a high-level overview of the RFP that is on the streets for power and cited some of the differences between the PRIIA specification and that of Amtrak. Amtrak began with the PRIIA spec as its baseline and added some items based on its needs.

Some of those differences/changes include: Amtrak speed is 110mph vs PRIIA “up to” 125mph; 1000 KW HEP system vs PRIIA's 600 KW Amtrak is calling for a 2,200-gallon fuel tank – to PRIIA's call for 1,800 to 2,200 gallons; and the maximum length for Amtrak is 85 feet vs 72 feet called for in the PRIIA spec. There are other items such as those pertaining to advanced analytics and safety options especially in areas where there will be no PTC, and other safety measures will be required.

Charlie also noted that the questions and comments on the RFP have slowed down with about 4 or 5 manufacturers likely formulating their proposals for next month.

As for the RFI for cars, Charlie reported that 8 builders have come to Amtrak for interviews. Three states have been represented on those calls (IDOT, NYSDOT and Caltrans) as part of the team listening in. They provide questions to Amtrak to take to the builders. Data gathering will likely continue until October with an RFP thereafter.

Treasurer/Grant related Status Updates – 8-28-18:

- a. Status Revised Statement of Work (SOW)/Grant Amendment Request (GARF) submittal including the 12 Month No-cost grant agreement extension and decision on one or two audits:

Tim Ziethen reported that he has received verbal approval on the revised SOW and the GARF including the approval of a 12 month no-cost grant agreement extension (through 9-30-2020) and the elimination of the “extra” audit. The NGEC grant will be included as a part of the larger “single audit” process.

Michael Lestingi, FRA, confirmed Tim Ziethen’s understanding.

Steve Hewitt asked Tim Ziethen to provide him with a copy of the executed agreement once he has received it. Tim agreed to do so.

Steve asked FRA if they knew when the agreement would be executed. Beth Nachreiner, FRA, agreed to check with the grants office and let Steve know.

b. NGEC Budget Balance – expenditures to date, current balance:

The full Grant amount: \$1,250,000.00  
Current Balance \$1,018,811.00  
Spent to date: \$231, 189.25

Tim will provide a brief report on this to Steve Hewitt.

c. Status: April-June 2017 AASHTO Invoice:

Tim Ziethen reported that this invoice has been paid. Strat Cavors, AASHTO, confirmed the payment has been received and he has no issues.

This action item is closed.

d. Discussions with AASHTO re: potentially changing to a monthly invoice process:

Tim Ziethen reported that he is continuing towards working on a monthly invoicing process with AASHTO. A member of the Amtrak staff will be reaching out to Strat Cavors to discuss this as a possibility.

- Document Control Update – 8-28-18:

The three most recent DCRs received for the single level car specification are currently with the Structural working group. I do not have a date for completion yet.

Tammy Krause has reached out to Ray Hessinger, NYSDOT, to discuss the differences between the PRIIA Dual Mode locomotive and the MNRR Dual Mode locomotive and hopes to generate DCRs to update the PRIIA specification to address the differences.

- Acquisition and Ownership Best Practices Working Group 8-28-18:

Open/Ongoing Actions:

Team Leaders are working on their report section DRAFTS.  
DRAFTS will be distributed for working group members to review and comment on (in track changes) in advance of the next call (9-6-18).

Each Team leader will be asked to provide a status update on their progress on the call.

The Working Group has established a call schedule – it will meet every 4 weeks on Thursdays at 4:00PM Eastern. Due to schedule conflicts the originally scheduled 8-23-18 call was postponed until 9-6-18.

During the month of September 2018, the Executive Board met once via conference call, on the 25th. The scheduled meeting of 9-11-18 was canceled due to most Board members participating in AASHTO and other organization’s meetings in Miami 9-11 through 9-14-18.

Highlights, decisions, and action items from the month of September 2018 include:

- Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 9-25-18:

- Three critical cab car DCRs were submitted to NGEN on 7/30. The three are: Car Length Over Couplers, Carbody/Cab Construction and Cab Car Floor Height Transition. A conference call took place on 9/14 for discussion, and the vote will happen at a later date.
- Dynamic testing discussions occurred August 7 & 8 in Chicago with a technical discussion session on 8/7 including Amtrak and FRA and a commercial & insurance discussion on 8/8. Many action items were identified, and Caltrans, IDOT, Amtrak and FRA will continue ongoing discussions to resolve all issues identified at the meetings. Caltrans and IDOT issued a first letter to SCOA/Siemens addressing some of our action items on Friday 9/7. The follow up meeting took place on September 13 and we will have our next meeting on 10/5.
- Preliminary Design Review for the Café car took place in the week of 9/11 in Sacramento with a full PDR session for the Galley Equipment. Following was an overview presentation of the adapted systems changes from standard coach to café coach. Amtrak Public Health team joined us for the Galley portion of the meeting. Amtrak Rolling Stock Engineering team has provided input to various signage and color scheme for the cafe cars. Caltrans and IDOT have requested a modification to the proposed Galley design to increase storage, serving and cooling capacity. Siemens is investigating.
- Caltrans/IDOT is meeting with ADA representatives on 10/2 to go over the café car design updates.
- System-level FDR approvals of the Carbody & Clearance, Water & Waste, HVAC and Brakes have been provided to SCOA/Siemens. Gap Filler and Digital Communications are both pending system level approval. Approval requests have been received for Exterior Doors, Diagnostics and Sliding Step. Caltrans submittals to FRA for Safety Appliance and Carbody remain targeted for September. Siemens is currently gathering the final drawings for the Safety Appliance submittal.
- The first 7 carshells are in production at Siemens Sacramento Facility and carshell #1 has completed the passivation process. Carshells 8 through 12 are in the initial stages of construction. The expansion of the Sacramento production facility is in process and on target for a November completion.

Status Update: The Charger - Diesel-Electric Locomotive Update and Section 6 Plan as of 9-25-18:

The Section 6 Plan was accepted by FRA in July 2018 – nothing new to report during the month of September 2018.

Status Update: Metro North Dual Mode Locomotive Procurement as of 9-25-18:

Metro-North is in the middle of the procurement process – it is ongoing. NYSDOT is not directly involved in the procurement and it is technically “in a black box” but provides regular updates as appropriate.

Ray Hessinger, NYSDOT has had preliminary discussions with Tammy Krause, NGEN Document Control Manager, about bringing the specification to the NGEN to review the changes made by Metro-North to the base PRIIA spec and choose to adopt some of them and incorporate them into a revised PRIIA NGEN spec. This process is in the early stages – just getting started.

Status Update: Amtrak Locomotive Procurement – 9-25-18:

On 9-25-18, Charlie King, Amtrak CMO, and NGEN Vice Chair, reported that the Long-Distance Diesel-Electric Locomotive procurement process is moving along with a review of vendor proposals underway by the Long-Distance Diesel-Electric Locomotive Committee within Amtrak. The committee is expected to report its findings by the end of October 2018 to the entire Amtrak procurement team. Charlie added that there are approximately 15-20 people involved in the evaluation process.

As for the Passenger Car/DMU RFI process, vendor responses are due to Amtrak by mid-October. Recommendations will be made to the Amtrak Board by around mid-November and after that Charlie will be able to provide more information to the NGECC.

Treasurer/Grant related Status Updates – 9-25-18:

- a. NGECC Grant Agreement modification – fully executed 9-14-18

On 9-14-18 the modification to the Grant Agreement, including a 12 month no cost performance period extension (through 9-30-2010) and an approval of the revised SOW, was fully executed. Steve Hewitt has provided all Board Members with a copy of the executed agreement.

- b. Status: Discussions with AASHTO re: potentially changing to a monthly invoice process

On 9-25-18, NGECC Treasurer Tim Ziethen reported that he and Strat Cavros, AASHTO, have agreed to use the current process through this quarter (ending 9-30-18) and to begin in October using a monthly invoicing and reconciliation process.

Going to a monthly process would seem to be more efficient and useful especially from a review and audit perspective.

With the monthly process, AASHTO will receive payment sooner and from the review and audit process for Amtrak it will be much more useful.

- Document Control Update – 9-25-18:

On 9-25-18, DCM Tammy Krause, provided the following mid-year progress report to the NGECC Executive Board:

At the NGECC Annual Meeting in Washington DC on February 23, 2018 the following was presented as a task list for Document Control;

- Support Multi-State Car Procurement
- Reissue revised Bi-Level PRIIA Spec
- Support Current Dual Mode Locomotive Procurement and update the PRIIA Spec
- Revise the Single Level PRIIA Spec
- Improve Speed of the DCR process
- Reach Out to APTA/AAR etc.

Here is an update on the progress that has been made:

- Support Multi-State Car Procurement – This has been an on-going task. The Technical Subcommittee working groups have approved 18 DCRs this year for the Single Level Specification to support the procurement. Currently an additional 3 DCRs are being reviewed.
- Reissue revised Bi-Level PRIIA Spec – No progress to date.
- Support Current Dual Mode Locomotive Procurement and update the PRIIA Spec – Metro North RR is currently in the process of procuring Dual Mode locomotives. The PRIIA specification was used as the base document to create their specification. I am currently working with MNR to incorporate the changes that they made to the specification. I will be creating DCRs for the changes which will be reviewed by the Technical Subcommittee working groups. After the complete review and approval process, the PRIIA specification will be updated.
- Revise the Single Level PRIIA Spec - Version B.1 was approved 6/5/18. This version has been compiled and is available through the website request. Since there is an active procurement, 4 DCRs have been approved by the Technical Subcommittee to create a version B1a, and an additional 3 DCRs are under review that will create version B1b. Eventually these versions will be consolidated and approved, then they will be submitted to the Executive Board as Revision B.2.
- Speed of the DCR process – No progress to date.

- Reach Out to APTA/AAR – APTA is aware of the specifications that we have written, and AAR is involved (Paul Jamieson) as a part of the Technical subcommittee industry group.

Additional Items;

- Four DCRs for specification 305-005, Diesel-Electric Locomotive, were completed to support the locomotive procurement.
  - The Technical documentation list was updated 6/20/18.
- Acquisition and Ownership Best Practices Working Group 9-25-18:

On 9-25-18 NGEC Chairman, Eric Curtit, Missouri DOT, provided a status update of the activities of the NGEC Equipment Acquisition and Ownership Best Practices Working Group:

- The group last met on 9-6-18
- The four section Team Leaders provided updates on their sections of the DRAFT being developed.
- The four sections and their leaders are:
  - Planning – Jennifer Bastian, IDOT
  - Implementation – Momo Tamaoki, Caltrans
  - Revenue Service - Dick Bruss, Industry member
  - Long Term Operation Maintenance – Jason Biggs/Curt Massie, WSDOT
- Team Leaders will continue to work on their section DRAFTS.
- DRAFTS should be distributed for working group members to review and comment on in advance of the next call.
- Each Team leader will be asked to provide a status update on their progress on the next call – 10-4-18.
- Darrell Smith, an industry member, is working on Identifying best practices in how public procurement can support the uptake of innovation for the Rail Safety and Standards Board in the UK and the NGEC is seen as a unique model that will be included in the study. Darrell will keep the Working Group informed as the project progresses.

During the month of October 2018, the Executive Board met twice via conference call, on the 9<sup>th</sup> and the 23<sup>rd</sup>.

Highlights, decisions, and action items from the month of October 2018 include:

- Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 10-23-18:

The three critical Cab Car DCRs (Carbody/Cab Construction, Cab Car Floor Height Transition, and Car Length Over Couplers) have been reviewed and discussed by the NGEC mechanical working group. Two DCRs (Carbody/Cab Construction and Cab Floor Height Transition) were approved by the working group on 10/18/18.

The Car Length Over Couplers DCR has been approved by the working group contingent upon the NGEC Executive Board approval of the DCR approval procedural change being suggested by the working group.

System-level FDR approvals of the Carbody & Clearance, Water & Waste, HVAC, Gap Filler, Digital Communications, Diagnostic System, Double Sliding Step, Accessible Toilet Room, Safety Appliances and Brakes have been provided to SCOA/Siemens. Remaining actions for Lighting Systems, Trucks and Gangway are being completed with system level approval expected soon. Approval requests have been received for Couplers, Exterior, Trucks and Gangway.

Caltrans submittals to FRA for Safety Appliance and Carbody are complete and under review. The package containing the Clearance Envelopes have been submitted to Amtrak for review and approval.

The first 8 carshells are in production at Siemens Sacramento Facility and carshell #1 has passed its FAI with minor findings requiring rework. Carshell #2 has undergone component integration and is awaiting final weld quality inspection Carshells 9 through 12 are in the initial stages of construction with center sills completed. The expansion of the Sacramento production facility is in process and on target for a November completion.

The FAI process is underway and FAIs have occurred for the Carshell Complete, Digital Communication System and Battery Charger. Open items are being addressed and the FAIs are revisited for closure by the customer team as needed. The FAI for Lighting is scheduled for October 24 & 25<sup>th</sup> and the Floor Panels FAI is scheduled for November 15.

Status Update: The Charger- Diesel-Electric Locomotive and Section 6 Plan as of 10-23-18:

The Section 6 Plan was accepted by FRA in July 2018 – nothing new to report during the month of October 2018.

Status Update: Metro North Dual Mode Locomotive Procurement as of 10-23-18:

Metro-North is in the middle of the procurement process – it is ongoing. Qualification statements are due to Metro-North and they are in the process of reviewing those statements. He added that NYSDOT is not directly involved in the procurement and it is technically in lock down so Ray is unaware of who has responded. Once this is complete, they will develop a short list of qualified firms and they will be provided with all documentation. There is no date announced for issuing the short list or responses to the RFP by those on the short list.

Status Update: Amtrak Locomotive Procurement – 10-23-18:

RFI for cars – Amtrak engineering is working through the mounds of documents to come up with an RFP for cars.

RFP for power – Charlie reported that Amtrak is working its way through the RFP. Amtrak has a meeting today (10-23-18) with the FRA and also has items to present to Congress due to the size of the purchase.

No decision has been made on where to go in the selection process. The decision may come in mid-November. Charlie will keep the NGE Board informed.

- Treasurer FASC Activities – 10-23-18:

The annual review of the NGE Board By-Laws was completed by Ray Hessinger and Steve Hewitt and were approved by the FASC on its last call – 10-17-18 and have been distributed in marked-up form to all Board members.

a. Review of proposed changes/corrections – Ray Hessinger, NYSDOT:

Ray Hessinger provided a brief summary of what can best be described as one fairly substantive change that was missed last year in the By-Laws review (removing a reference on page one to the 514 subcommittee which has moved to SAIPRC) and several punctuation and formatting corrections.

b. Next Steps/Timeline – Steve Hewitt, NGE Board Program Manager:

Steve Hewitt reported that the By-Laws require that the Executive Board have the proposed amendments/changes in writing 30 days in advance of a vote. The FASC approved the changes from the subcommittee level on 10-17-18 and Steve distributed the document with the revisions in track changes, to all Board members on 10-18-18. The Board can vote at the next meeting following the 30-day requirement. The date for the meeting following the 30-day requirement is 11-20-18.

- Document Control Update – 10-23-18:

On 10-23-18, DCM Tammy Krause, provided the following mid-year progress report to the NGECE Executive Board:

There are currently 3 DCRs for the single level equipment being reviewed. Two of these DCRs have been accepted by their working groups. They are currently being reviewed by the entire Technical Subcommittee and will be discussed and hopefully voted on November 1st. These DCRs concern the floor height of the cab and the type of steel used in the cab manufacture.

The remaining DCR is more complicated, it concerns the length of the cab car. The mechanical working group is concerned that approving this DCR will lead to longer cars, in general, that will create track clearance issues in the future. Understanding though, that these 7 cab cars themselves are probably not going to cause an issue, could let the DCR be approved. To address this complicated issue the following suggestion has been made:

As you may know, the PRIIA spec process allows for changes to be made during the negotiation phase of a contract. The PRIIA specification has a revision level that is locked when the project goes to bid and can be changed during negotiations. Afterwards, the changes are evaluated by the Technical subcommittee and either accepted or rejected. The accepted DCRs are added to the next revision of the PRIIA spec.

There is no provision for this same process after the equipment is being manufactured. Jeff Gordon, FRA, and team leader for the Mechanical Working Group, is going to submit a DCR that will allow this process to be done during the manufacturing process. That will allow the length change to the Cab car in this build only, but the change will not carry through to future revisions of the PRIIA spec. For example, the build revision of the bi-level specification is C.4. Revision C was used for the procurement, changes made during the negotiation phase changed the level to C.2 and additional changes during design reviews changed it to C.4. That build specification is locked at C.4. Most of the changes in C.4 were submitted as DCRs and are incorporated in Revision D of the spec.

- Acquisition and Ownership Best Practices Working Group update as of 10-23-18:

The group last met on 10-4-18

The four section Team Leaders provided updates on their sections of the DRAFT being developed – great progress has been made with some teams as far along on their drafts as 80 % complete.

Team Leaders will continue to work on their section DRAFTS.

DRAFTS should be distributed for working group members to review and comment on in advance of the next call.

Each Team leader will be asked to provide a status update on their progress on the next call – 11-1-18.

Darrell Smith will continue to keep the group informed as his UK Best Practices project progresses.

- Charger Updates from States and Amtrak – In October, Chairman Curtit requested summary updates on the Chargers now that they have been placed in service.

Updates provided on 10-23-18:

a. Illinois/Mid-West States:

Jennifer Bastian reported that the overall equipment delivery and performance of the new Charger Locomotives has been the best she has seen. She noted that it is her understanding that it has exceeded Amtrak's expectations.

Operationally, it has been a good procurement.

One area of concern, however, is warrantee support and parts availability. The Mid-West states are working with Siemens to correct this situation.

b. California:

Kyle Gradinger agreed with Jennifer that the procurement has been a good one operationally. Caltrans' concerns are similar to those noted by IDOT – warrantee support – and parts availability. Overall, Kyle commented, - "operationally, when they are running, they work great". He added that engineers enjoy the cab and the acceleration is great – "overall we are very happy with the operation."

Kyle did mention that there are some glitches with the design of the snow plow – noting that California doesn't need a snow plow and it is ultimately used for shopping carts and tumble weed which can be problematic under the current design.

c. Amtrak:

Charlie King, Amtrak, echoed the comments made by California and IDOT and noted that Amtrak is measuring the information closely and looking at availability of parts and overall warranty support.

Charlie added that "we need robust part support from Siemens and technical support as well...we need to partner with Siemens and need a good and tight relationship between the states and Siemens and Amtrak, the states and Siemens."

- Preparing for the 2019 NGEAC Annual Meeting:

On 10-23-18, Steve Hewitt reported the location and date of the 2019 NGEAC Annual Meeting – The Hyatt Regency, Capitol Hill, Washington, DC – February 22, 2019) and noted that he and Eric will begin to work on a draft agenda. It will start with the standard/required updates to members of the committee, but additional topics of interest can be included. Please send suggestions to Eric Curtit and Steve Hewitt.

Eric Curtit reminded members to note in their travel requests that the NGEAC will be reimbursing states for all travel expenses related to attending the Annual Meeting.

A DRAFT agenda will be available by 11-20-18 for states to use in submitting travel requests.

During the month of November 2018, the Executive Board met twice via conference call, on the 6<sup>th</sup> and the 20<sup>th</sup>.

Highlights, decisions, and action items from the month of October 2018 include:

- Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 11-20-18:



Of the three critical Cab Car DCRs, two have been approved by the NGEC subcommittee – Carbody/Cab Construction and Cab Area Floor Height. The pending Car Length Over Couplers DCR would be an allowed exception to the PRIIA specification pending approval of an NGEC rule change. The PRIIA specification text would not be changed.

System-level FDR approvals of the Carbody & Clearance, Water & Waste, HVAC, Gap Filler, Digital Communications, Diagnostic System, Double Sliding Step, Accessible Toilet Room, Safety Appliances, Lighting Systems, Semi-Permanent and H-type couplers, Exterior Doors and Brakes have been provided to SCOA/Siemens. Trucks and Seats are currently in queue for approval. Remaining actions for Gangway and Interior Doors are complete with system level approval expected soon. Caltrans submittals to FRA for Safety Appliance and Carbody are complete and under review. The package containing the Clearance Envelopes have been submitted to Amtrak for review and approval.

The first 8 carshells are in production at Siemens Sacramento Facility and carshell #1 has passed its FAI and associated rework has been completed. Carshell #2 is in queue for passivation. Carshell #3 has completed the integration and associated inspection. Carshells 4 through 8 are in various stages of weld integration and Carshells 9 through 12 are in the initial stages of construction with center sills completed. The expansion of the Sacramento production facility is in process and on target for a November completion.

The FAI process is underway and FAIs have occurred for the Carshell Complete, Digital Communication System, Lighting System, Couplers, Sanitary System, Sidewall Lining, Flooring and Battery Charger. Open items are being addressed and the FAIs are revisited for closure by the customer team as needed. FAI for the Low Floor Door Panel is to be conducted in December.

The Virtual Reality Door Mock Up is scheduled on November 28 in Caltrans Sacramento Office.

Status Update: The Charger - Diesel-Electric Locomotive Update and Section 6 Plan as of 11-20-18:

The Section 6 Plan was accepted by FRA in July 2018 – nothing new to report during the month of October 2018.

Status Update: Metro North Dual Mode Locomotive Procurement as of 11-20-18:

Metro-North has canceled its Dual Mode Locomotive procurement for now. When it went on the street, it was assumed that the purchase of the new equipment was to be with 100% state funding. Circumstances have changes and Metro-North will re-issue the RFP with appropriate federal clauses and with the use of federal funds.

Status Update: Amtrak Locomotive Procurement – 11-20-18:

Amtrak is still working on the process to make the selection on the Locomotive procurement and is continuing to work on developing the RFP for cars.

- Adoption of By-Laws changes:

On 11-20-18, the changes to the NGEC By-Laws, as approved by the FASC on 10-17-18, were formally adopted by the NGEC executive Board. Steve Hewitt will finalize the document with the adopted changes and date of adoption. It will be sent to all Board members and to AASHTO for posting to the NGEC website. It will also be included in the handout packet at the NGEC 2019 Annual Meeting 2-22-19

- Document Control Update – 11-20-18:

The single level car specification DCRs that have been received are all addressed or in process. Larry Salci is currently reviewing Six DCRs that have been approved by the Technical Subcommittee. There is a 7<sup>th</sup> DCR that is waiting on a process change before it can be considered. Jeff Gordon, FRA, is working on this process change. After the change is submitted and if it is approved, the last DCR (length change of the Cab Car) will be addressed.

Tammy Krause is currently putting together DCRs required to update the NGEC Trainset specification to reflect approved changes to other car specs. The Trainset spec was last updated to Revision A on

August 2, 2011. Tammy hopes to have the DCRs distributed to the working groups in early December. The goal is to get the update to the Board for consideration by the NGECE 2019 Annual Meeting. Following that, Tammy will begin review of the DMU specification which is in its initial release version.

- Acquisition and Ownership Best Practices Working Group update as of 11-29-18:

The group last met on 11-29-18

Team Leaders provided status updates on their sections of the report - most have made significant progress, but more work remains to be done.

The intent is to have a draft of the document completed in advance of the NGECE Annual Meeting. Summary presentation to the Board then for input.

The next call of the working group is scheduled for 12-11-18.

- Charger Updates from States and Amtrak – In October, Chairman Curtit requested summary updates on the Chargers now that they have been placed in service.

Updates provided on 10-23-18:

d. Illinois/Mid-West States:

Jennifer Bastian reported that the overall equipment delivery and performance of the new Charger Locomotives has been the best she has seen. She noted that it is her understanding that it has exceeded Amtrak's expectations.

Operationally, it has been a good procurement.

One area of concern, however, is warranty support and parts availability. The Mid-West states are working with Siemens to correct this situation.

e. California:

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Kyle did mention that there are some glitches with the design of the snow plow – noting that California doesn't need a snow plow and it is ultimately used for shopping carts and tumble weed which can be problematic under the current design.

f. Amtrak:

Charlie King, Amtrak, echoed the comments made by California and IDOT and noted that Amtrak is measuring the information closely and looking at availability of parts and overall warranty support.

Charlie added that "we need robust part support from Siemens and technical support as well...we need to partner with Siemens and need a good and tight relationship between the states and Siemens and Amtrak, the states and Siemens."

- Preparing for the 2019 NGECE Annual Meeting – Hyatt Regency – Capitol Hill, Washington DC – 2-22-19 – Steve Hewitt:

Room Block Information – Hyatt Regency Hotel, Capitol Hill, Washington, DC:

The room rate is \$181 per night plus tax which is the per diem rate for DC. Attendees have until January 29, 2019 to reserve their room at the group rate.

Hyatt Regency Washington On Capitol Hill  
400 New Jersey Ave, NW  
Washington, DC 20001

[https://www.hyatt.com/en-US/hotel/washington-dc/hyatt-regency-washington-on-capitol-hill/wasrw?corp\\_id=G-AHT9](https://www.hyatt.com/en-US/hotel/washington-dc/hyatt-regency-washington-on-capitol-hill/wasrw?corp_id=G-AHT9)

Please feel free to contact me with any questions.

Kamasha

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DRAFT Agenda:

Steve Hewitt provided a brief overview of the DRAFT agenda sent to all Board members prior to this call (draft is attached to these minutes)

Confirming Speakers – Steve asked that all speakers confirm their availability to participate. Michael Lestingi, FRA, noted that he will likely give the FRA update, but will see if the Deputy FRA Administrator is available. Michael confirmed he will attend the meeting, and Steve Hewitt will leave him on the agenda for the FRA presentation unless notified otherwise. Tim Ziethen agreed to confirm who will provide the update on behalf of Amtrak Government Affairs.

Timeline for Presentations (if using Power Point – optional) – to Steve Hewitt by 2-15-18 (COB)  
Request for additional Agenda Topics – one request received thus far – to present the FRA/University of Nebraska Study on High Speed Wireless – Hamid Sharif-Kashani and Tarek Omar, FRA.

Travel Reimbursement for states – all state member travel expenses are reimbursed by the NGEC (through AASHTO). Steve Hewitt will be sending a travel expense reimbursement form with updated for GSA per diem and personal mileage amounts for 2019.

Registering with Steve Hewitt for the meeting – please send Steve Hewitt an email of your intentions to attend the Annual Meeting as soon as possible for ensuring a quorum and for a head count for name badges, tent cards, handout packets etc. To date only a few members of the Board or support staff have submitted their intentions and about 10 members of the industry have registered with Steve.

With the Chairman's approval, the current DRAFT agenda will be circulated, subject to change, to NGEC members to assist them with obtaining travel approvals.

A DRAFT agenda was made available for states to use in submitting travel requests.

During the month of December 2018, due to the holidays, the Executive Board met only once, via conference call, on the 4<sup>th</sup>.

Highlights, decisions, and action items from the month of December 2018 include:

- Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 12-13-18 as provided by Caltrans to the NGEC Technical subcommittee:

Of the three critical Cab Car DCRs, two have been approved by the NGEC subcommittee – Carbody/Cab Construction and Cab Area Floor Height. The pending Car Length Over Couplers DCR would be an allowed exception to the PRIIA specification pending approval of an NGEC rule change. The PRIIA specification text would not be changed. A DCR regarding the PRIIA vertical curve requirements has been submitted to NGEC.

System-level FDR approvals of the Carbody & Clearance, Water & Waste, HVAC, Gap Filler, Digital Communications, Diagnostic System, Double Sliding Step, Accessible Toilet Room, Safety Appliances, Lighting Systems, Semi-Permanent and H-type couplers, Trucks, Exterior Doors, Interior Doors and Brakes have been provided to SCOA/Siemens. End Doors is currently in queue for approval. Most actions for Gangway are complete with closure and system level approval expected soon. Caltrans submittals to FRA for Safety Appliance and Carbody are complete and under review. The package containing the Clearance Envelopes have been submitted to Amtrak for review and approval. Virtual 3D mockups were presented to Caltrans and IDOT to showcase updates to the vestibule area including the End Doors and Trap Doors.

The first 12 carshells are in production at Siemens Sacramento Facility and carshell #1 has passed its FAI and associated rework has been completed. Carshell #2 has completed passivation. Carshell #3 has begun the passivation process. Carshell 4 has completed initial customer inspection and carshells 5 through 9. The expansion of the Sacramento production facility is slightly delayed due to permitting issues but there is no effect on the schedule thus far.

The FAI process is underway and FAIs have occurred for the Carshell Complete, Digital Communication System, Lighting System, Couplers, Sanitary System, Sidewall Lining, FRP Panels, Flooring and heated panel and Battery Charger. Open items are being addressed and the FAIs are revisited for closure by the customer team as needed. FAI for the Low Floor Door Panel is to be conducted in mid- December.

Status Update: The Charger - Diesel-Electric Locomotive Update and Section 6 Plan as of 12-4-18:

The Section 6 Plan was accepted by FRA in July 2018 – nothing new to report during the month of December 2018.

Status Update: Metro North Dual Mode Locomotive Procurement as of 12-4-18:

Metro-North has canceled its Dual Mode Locomotive procurement for now. When it went on the street, it was assumed that the purchase of the new equipment was to be with 100% state funding. Metro-North will be re-issuing the RFP with appropriate federal clauses and with the use of federal funds.

Status Update: Amtrak Locomotive Procurement – 12-13-18 (To the Technical subcommittee):

Locomotive procurement:

Charlie King reported that there have been successful bidders for the P42 locomotives and the negotiation phase will begin shortly. Charlie anticipates that before the next subcommittee meeting the contract will be awarded. The base is for 75 P42s with increments of 25.

Car procurement:

The RFI session is closed. There was one additional vendor presentation that took place this morning (11-29-18), and, Charlie noted, that states were on the call hearing the presentation along with Amtrak. Underwriting of the RFP is now taking place. Charlie expects the DRAFT RFP to be released around the middle of December.

Asked if the Locomotive contract included Dual Mode Locomotives or only the P42's, Charlie noted that the RFI included Dual Mode Locomotives as well as P42s, and that option is in the RFP, but the current base of 75 is for P42s only.

- Document Control Update – 12-4-18:

With regard to the cab car-length DCR (177) and potential NGEC procedure changes:

Larry Salci recommended that the NGEC Board simply adopt a resolution to approve a one- time only allowance for the additional length to the Cab Car. He suggested that there is no need to amend

Document Management Procedures. "The rationale for this approval is the original bi-level contract was in default and as part of the cure the single level cab car technical proposal was approved by the states. The NGECC Document Management Procedures (305-100) never anticipated the DCR process to be utilized to address contract default issues. Therefore, to preserve the States NGECC policy of standardization and the single level tech spec 85' length over coupler pulling face, a one-time allowance will be approved by 'resolution of the NGECC Board'. This will prohibit any future potential "allowance" requests and not change the Document Management Policy designed for DCRs that improve the spec."

Larry strongly believes it is in the best interest of NGECC to do this as a one-time resolution due to the unusual circumstances surrounding this procurement, but not make a policy change impacting future procurements or the NGECC specification.

Ultimately, it was agreed that Larry Salci will prepare the draft resolution for circulation (by Steve Hewitt) to the NGECC Executive Board members for review and comment, with the intent being to consider it for approval on the next call – 1-15-19.

- Acquisition and Ownership Best Practices Working Group update as of 12-11-18:

The group last met on 12-11-18.

Team Leaders provided status updates on their sections of the report - most have made significant progress, but more work remains to be done.

Team Leaders will continue to work on their section DRAFTS and should try to send out what they have (completed draft if possible) for review by the first of the year.

The next working group call will take place on 1-3-19.

The goal continues to be to have a DRAFT report ready for presentation at the NGECC Annual Meeting on 2-22-19.

- Charger Updates from States and Amtrak – In October, Chairman Curtit requested summary updates on the Chargers now that they have been placed in service.

Updates provided on 10-23-18 – the next updates will be provided at the NGECC Annual Meeting on 2-22-19:

g. Illinois/Mid-West States:

Jennifer Bastian reported that the overall equipment delivery and performance of the new Charger Locomotives has been the best she has seen. She noted that it is her understanding that it has exceeded Amtrak's expectations.

Operationally, it has been a good procurement.

One area of concern, however, is warrantee support and parts availability. The Mid-West states are working with Siemens to correct this situation.

h. California:

Kyle Gradinger agreed with Jennifer that the procurement has been a good one operationally. Caltrans' concerns are similar to those noted by IDOT – warrantee support – and parts availability. Overall, Kyle commented, - "operationally, when they are running, they work great". He added that engineers enjoy the cab and the acceleration is great – "overall we are very happy with the operation."

Kyle did mention that there are some glitches with the design of the snow plow – noting that California doesn't need a snow plow and it is ultimately used for shopping carts and tumble weed which can be problematic under the current design.

i. Amtrak:

Charlie King, Amtrak, echoed the comments made by California and IDOT and noted that Amtrak is measuring the information closely and looking at availability of parts and overall warranty support.

Charlie added that “we need robust part support from Siemens and technical support as well...we need to partner with Siemens and need a good and tight relationship between the states and Siemens and Amtrak, the states and Siemens.”

- Preparing for the 2019 NGEC Annual Meeting – Hyatt Regency – Capitol Hill, Washington DC – 2-22-19 – Steve Hewitt:

Room Block Information – Hyatt Regency Hotel, Capitol Hill, Washington, DC:

Attendees have until January 29, 2019 to reserve their room at the group rate.

Hyatt Regency Washington On Capitol Hill  
400 New Jersey Ave, NW  
Washington, DC 20001

[https://www.hyatt.com/en-US/hotel/washington-dc/hyatt-regency-washington-on-capitol-hill/wasrw?corp\\_id=G-AHT9](https://www.hyatt.com/en-US/hotel/washington-dc/hyatt-regency-washington-on-capitol-hill/wasrw?corp_id=G-AHT9)

Please feel free to contact me with any questions.

Kamasha

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DRAFT Agenda as of 12-4-18:

Steve Hewitt provided a brief overview of the DRAFT agenda sent to all Board members prior to this call (draft is attached to these minutes). The only change is the addition of a discussion topic at the request of Kyle Grading, Caltrans on FRA's New Rail Safety Rule: Impact on the NGEC and Future Procurements.

Michael Lestingi, FRA, will check with FRA Safety regarding this topic and the timing of it, and let the Board know its thoughts. For now, it will remain on the agenda.

During the month of January 2019, the Executive Board met twice, via conference call, on the 15<sup>th</sup> and 29<sup>th</sup>.

Highlights, decisions, and action items from the month of January 2019 include:

- Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 1-29-19 as provided by Caltrans to the NGEC Executive Board:

Of the three critical Cab Car DCRs, two have been approved by the NGECC subcommittee – Carbody/Cab Construction and Cab Area Floor Height. The pending Car Length Over Couplers DCR has been withdrawn. Caltrans discussed issues with Charlie and Eric, and both are aware of our request to withdraw. A DCR Regarding the PRIIA vertical curve requirements has been submitted to NGECC. DCRs for HVAC testing are in work to align the PRIIA testing section with the system requirements section.

System-level FDR approvals of the Carbody & Clearance, Water & Waste, HVAC, Gap Filler, Digital Communications, Diagnostic System, Double Sliding Step, Accessible Toilet Room, Safety Appliances, Lighting Systems, Semi-Permanent and H-type couplers, Trucks, Exterior Doors, Interior Doors, Gangway and Brakes have been provided to SCOA/Siemens. Actions for Analog Communication System are complete with closure and system level approval expected soon. Caltrans submittals to FRA for Safety Appliance and Carbody are complete and under review. The package containing the Clearance Envelopes have been submitted to Amtrak for review and approval. Virtual 3D mockups were presented to Caltrans and IDOT to showcase updates to the vestibule area including the End Doors and Trap Doors.

The first 12 carshells are in production at Siemens Sacramento Facility and final assembly has begun on Carshell #1. Carshell #2 was presented for inspection, initial issues were re-worked and the carshell was accepted after re-inspection. Passivation rework is complete on Carshell #3 and carshell is in storage. Carshell #4 Car shell remains in storage pending scheduling for rework to passivated surfaces. Carshell #5 has completed passivation and carshells 5 through 10 are in various stages of weld and integration. The expansion of the Sacramento production facility is structurally complete and being equipped with cranes and fixtures.

Caltrans met with the ADA community on January 15 to present updates to the Café Car and Cab concepts and discuss the placement of the accessible toilet rooms. A meeting with the Midwest ADA community is in planning. Thank you SJJPA, Duncan & Marie for providing feedback on the revised café car layout. We will compile everyone's comments and send it to Siemens for review and considerations.

The FAI process is underway and FAIs have occurred for the Carshell Complete, Digital Communication System, Lighting System, Couplers, Sanitary System, Sidewall Lining, FRP Panels, Brake System, Interior Doors, Truck Frame, Flooring and heated panel and Battery Charger. Open items are being addressed and the FAIs are revisited for closure by the customer team as needed. FAI for the Low Floor and High Floor Door Panel is to be conducted in early February. The HVAC, Full Truck, Sliding Step, Seats, Electrical Cabinet and Window FAI's are also scheduled for February.

Status Update: Metro North Dual Mode Locomotive Procurement as of 1-29-19:

Metro-North has reissued its Dual Mode Locomotive RFP as a federally funded endeavor. They are following the same process as before – a two phase approach – pre-qualification and technical proposals. The due date for prequalification statements was reported as 1-29-19.

Status Update: Amtrak Locomotive Procurement as of 1-29 -19:

Locomotives:

Charlie King reported that a Notice to Proceed has been issued to Siemens for the Charger Locomotives. The current order is for 75. There are options for more, but, for now 75 seems to be the right number.

Single Level Trainset/cars:

An RFP for the Amfleet 1 replacement program for the aging NEC fleet has been issued. It is an RFP that is quite open on the specification. As it did with the Locomotive RFP, Amtrak wants to see what is out there and what options it may have.

- Document Control Update – 1-29-19:

Tammy Krause provided an update on 1-29-19:

There were four outstanding DCRs and one drawing for the Single level Specification. One of the DCRs 003-0177 has been withdrawn; two of the DCRs, 003-0178 and 003-0179 are waiting approval

by the Executive Board and DCR 003-180 is currently under review by the VTI group. The drawing is waiting until it can be approved by the Technical Subcommittee. The 92 trainset DCRs are still with the working groups.

Discussion:

Larry Salci, tasked to prepare the Single Level Car Review Panel Report, commented that, with the withdrawal of the car length DCR, he is proceeding with the report on the other approved DCRs. He had one question regarding the status of the DCR having to do with vertical curve. Tammy noted that the VTI technical working group has that DCR for adjudication. Brian Marquis is the team leader and has just gotten back to work following the government shutdown. Tammy will contact Brian to see where this DCR stands. Meanwhile, Larry Salci will proceed with completion of the Review Panel Report without the inclusion of the vertical curve DCR unless told otherwise.

Larry noted that he intends to have the report (DRAFT) done by the end of this week (2-1-19) and will send it to Steve Hewitt for distribution to the Review Panel members. Steve Hewitt polled the panel members on 1-29-19 and scheduled a call for the Review Panel to meet on 2-7-19 to review and consider for approval, the DRAFT report and recommendations.

The intent is to have the report and its recommendations finalized in advance of the Executive Board call scheduled for 2-12-19. At that time, it will be presented for Board consideration of adoption.

- Acquisition and Ownership Best Practices Working Group update as of 1-29-19:

The working group last met on 1-24-19.

Status reports were provided by 2 of the 4 section team leaders (Revenue Service – Industry member, Dick Bruss and Planning – Jennifer Bastian, IDOT). 2 team leaders (Implementation – Caltrans, Momo Tamaoki, and Long-Term Operation Maintenance – Jason Biggs/Curt Massie, WSDOT) were not available for the call.

All team leaders have been asked to continue to work on their section DRAFTS and to send out whatever they have (completed DRAFT if possible) for review by the next scheduled working group call which will take place on 2-7-19.

The goal has been to have a DRAFT full report ready for presentation at the NGEC Annual Meeting on 2-22-19. Each section, to date, is in varying stages of completion, so a full draft by 2-22-19 may not be feasible.

There will, however, be a status update on progress made on each section of the report at the annual meeting. The plan is to ask each section leader to provide a progress report and an overview description of their report section. If there is enough drafted material ready to be compiled and distributed at the meeting, that will be done as well.

- Charger Updates from States and Amtrak:

Background:

In October 2018, NGEC Chairman Eric Curtit requested summary updates on the Chargers since they had been placed in service.

Updates were provided on 10-23-18 – (see below) - the next updates will be provided at the NGEC Annual Meeting on 2-22-19:

j. Illinois/Mid-West States:

Jennifer Bastian reported that the overall equipment delivery and performance of the new Charger Locomotives has been the best she has seen. She noted that it is her understanding that it has exceeded Amtrak's expectations.

Operationally, it has been a good procurement.



One area of concern, however, is warrantee support and parts availability. The Mid-West states are working with Siemens to correct this situation.

k. California:

Kyle Gradinger agreed with Jennifer that the procurement has been a good one operationally. Caltrans' concerns are similar to those noted by IDOT – warrantee support – and parts availability. Overall, Kyle commented, - “operationally, when they are running, they work great”. He added that engineers enjoy the cab and the acceleration is great – “overall we are very happy with the operation.”

Kyle did mention that there are some glitches with the design of the snow plow – noting that California doesn't need a snow plow and it is ultimately used for shopping carts and tumble weed which can be problematic under the current design.

l. Amtrak:

Charlie King, Amtrak, echoed the comments made by California and IDOT and noted that Amtrak is measuring the information closely and looking at availability of parts and overall warranty support.

Charlie added that “we need robust part support from Siemens and technical support as well...we need to partner with Siemens and need a good and tight relationship between the states and Siemens and Amtrak, the states and Siemens.”

- Executive Board approval - updated NGEC two-pager and revised vision statement 1-29-19:

Background:

On 12-12-18, the NGEC Finance and Administration subcommittee approved a change to the NGEC vision statement included in the two-page educational document and recommended adoption of this change by the Executive Board. This change will also be made to the NGEC vision statement, itself, from which the two-pager statement was derived.

The FASC also agreed to ask the Document Control Manager to provide updated information on the two-pager section pertaining to the NGEC specifications latest revision updates.

The new two-pager statement, as proposed by the FASC, reads:

"As the national leader in standardization, acquisition, and management of passenger rail equipment, the NGEC is delivering results."

This would pertain also to the general vision statement which would read:

Our Vision: "The NGEC will provide national leadership in standardization, acquisition and management of passenger rail equipment."

On the 1-15-19 Executive Board call, the recommendations for changes to the two-pager and vision statement were discussed with no action taken due to the lack of a quorum.

The Document Control Manager has provided updated information on the specification revisions.

The intent, today (1-29-19), is to ask Board members to approve the revisions to the two-pager and vision statement so MoDOT graphic arts can update and print copies for distribution at the annual meeting.

A motion to approve the recommended changes to the two-pager and the NGEC vision statement was offered by John Oimoen, IDOT and seconded by Allan Paul, NCDOT.

With no further discussion forthcoming, Chairman Curtit determined that consensus had been achieved and the motion is approved. Eric will ask Missouri DOT's graphic arts department to make the changes

and print copies for distribution during the NGE annual meeting. Steve Hewitt will make the change to the NGE Vision statement on all correspondence effective immediately.

- Preparing for the 2019 NGE Annual Meeting – Hyatt Regency – Capitol Hill, Washington DC – 2-22-19 – Steve Hewitt:

Update: 1-29-19:

Room Block Information – Hyatt Regency Hotel, Capitol Hill, Washington, DC:

The Room Block cut-off date has been extended due to the partial government shutdown. Attendees have until February 5, 2019 to reserve their room at the group rate.

Hyatt Regency Washington On Capitol Hill  
400 New Jersey Ave, NW  
Washington, DC 20001

[https://www.hyatt.com/en-US/hotel/washington-dc/hyatt-regency-washington-on-capitol-hill/wasrw?corp\\_id=G-AHT9](https://www.hyatt.com/en-US/hotel/washington-dc/hyatt-regency-washington-on-capitol-hill/wasrw?corp_id=G-AHT9)

DRAFT Agenda:

Steve Hewitt provided the Executive Board with a brief overview of the revised DRAFT agenda sent to all Board members on 1-25-19.

All speakers have been asked to confirm their availability with Steve Hewitt.

All speakers are asked to use the NGE power point template and to submit the presentation to Steve Hewitt electronically by 2-16-19.

Several speakers still need to be identified and confirmed.

As of 1-29-19 all Executive Board members, other than Oklahoma, have confirmed their attendance or have designated a representative to act on their behalf at the meeting.

Registration: All those expecting to attend the meeting should register with Steve Hewitt, via email, asap so that an accurate head count can be provided to AASHTO and so that name badges can be printed.

As of 1-30-19, there are 58 registrants for the meeting. FRA, due to the just ended shutdown, has not provided information on who will be attending the meeting other than Executive Board designee Michael Lestingi.

Beth Nachreiner, FRA, will check with Michael Lestingi to confirm that he will give the FRA update at the annual meeting, and she will confirm additional FRA attendance and provide the names to Steve Hewitt.

During the month of February 2019, the Executive Board met twice, once via conference call, on the 12th and once, in person at the 2019 NGE Annual Meeting held in Washington, DC on 2-22-19.

Highlights, decisions, and action items from the month of February 2019 include:

- Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 2-12-19 as provided by Caltrans to the NGE Executive Board:

Note: A full progress report presentation provided by Caltrans and Siemens was given during the NHEC Annual Meeting on 2-22-19. The presentation has been distributed to NGE members and is posted on the NGE website.

Of the three critical Cab Car DCRs, two have been approved by the NGENC subcommittee – Carbody/Cab Construction and Cab Area Floor Height. The pending Car Length Over Couplers DCR has been withdrawn. The Vertical Curve DCR has been approved by the VTI working group and is moving to Technical Subcommittee review and vote. All other DCRs submitted on the project thus far have been approved by the Subcommittee and Executive Committee approval and reporting is in work.

System-level FDR approvals of the Carbody & Clearance, Water & Waste, HVAC, Gap Filler, Digital Communications, Diagnostic System, Double Sliding Step, Accessible Toilet Room, Safety Appliances, Lighting Systems, Semi-Permanent and H-type couplers, Trucks, Exterior Doors, Interior Doors, Gangway and Brakes have been provided to SCOA/Siemens. Actions for Analog Communication System are complete with closure and in queue for concurrence and approval. Caltrans submittals to FRA for Safety Appliance and Carbody are complete and under review. The package containing the Clearance Envelopes have been submitted to Amtrak for review and approval. FDR related CDRLs and other submittals continue through the review and approval process.

The first 12 carshells are in production at Siemens Sacramento Facility and final assembly continues, along with localized water testing on Carshell #1. Carshell #2 has been turned over for final assembly in is in preparation for build. Passivation rework is complete on Carshell #3 and carshell is in storage. Carshell #4 Car shell remains in storage pending scheduling for rework to passivated surfaces. Carshell #5 has completed passivation and is targeted for inspection next week. Carshells 7 through 12 are in various stages of weld and integration. The expansion of the Sacramento production facility is structurally complete and being equipped with cranes and fixtures. Caltrans, IDOT, SCOA and Siemens will meet with FRA Office of Civil Rights on February 20 to present a comprehensive overview of the ADA features of the new coaches. IDOT plans an additional meeting with the Midwest ADA community next week.

The FAI process is underway and FAIs have occurred for the Carshell Complete, Digital Communication System, Lighting System, Couplers, Sanitary System, Sidewall Lining, FRP Panels, Brake System, Interior Doors, Truck Frame, Flooring and heated panel and Battery Charger. Open items are being addressed and the FAIs are revisited for closure by the customer team as needed. FAI for the Low Floor and High Floor Door Panel is to be conducted in February. The HVAC, Full Truck, Sliding Step, Seats, Electrical Cabinet, Windows, Analog Communications and Electrical Switch Cabinet are also scheduled for February. Some dates might be delayed slightly to ensure preparedness and adequate resource coverage.

Status Update: Metro North Dual Mode Locomotive Procurement as of 2-12-19:

Metro-North Railroad received the phase 1 qualification packages and is currently reviewing to make sure submitters are qualified to actually bid.

Note: A full progress report presentation provided by Charlie King, Amtrak, was given during the NGENC Annual Meeting on 2-22-19. The presentation has been distributed to NGENC members and is posted on the NGENC website.

Status Update: Amtrak Locomotive Procurement as of 2-12-19:

On the Locomotives (Chargers):

The Locomotive Notice to Proceed went out to Siemens (as previously reported) and for a few months there will not be much to report on as far as delivery schedule, etc. for this procurement. The Amtrak Chargers are in line behind "our Canadian friends and some others".

On the trainset RFP:

The amended RFP is out and, Charlie believes that Amtrak has answered the technical questions asked by the states.

On May 1, 2019, vendor proposals are due to Amtrak.

- Document Control Update – 2-12-19:

Note: A full – 2018 progress report on Document Control was provided during the NGEC Annual Meeting 2-22-19 and can be viewed on the NGEC website and in the minutes from the 2-22-19 meeting.

Tammy Krause provided an update on 2-12-19:

The last DCR (3-180) for the single-level car was approved by the VTI working group, and it was also approved by the Technical subcommittee on 2-7-19, and the Review Panel has also included DCR 3-180 in its report.

DCR 3-180 is a request to change a requirement in section 1.4.3.3, track geometry. The original specification requires that "The cars shall be capable of negotiating a 1000 ft radius vertical curve (concave or convex), coupled to other equipment, without damage to any portion of the trucks or suspension, coupler, draft gear, air and electrical connections, carbody, diaphragm or truck". The DCR request that has been accepted is to change the 1000ft radius vertical curve to 2000 ft radius vertical curve.

Review Panel Report and Recommendations on Single Level Car Specification 305-003 Revision B.2

On 2-12-19, the NGEC executive Board accepted the NGEC Single Level Car Specification Review Panel Report and its recommendations and formally adopted Single Level Car Specification 305-003 Revision B.2

- Acquisition and Ownership Best Practices Working Group update as of 2-12-19:

At the NGEC Annual Meeting, (2-22-19) each Team Leader provided an overview of the status of the of each of the four sections of the report being developed by the working group.

Chairman Eric Curtit described the formation of the NGEC Equipment Acquisition Ownership Best Practices and Lessons Learned Working Group and asked each section leader to provide a brief update on progress made on each section of the report. Eric added that once the report has been developed (all sections) it will be distributed for review and input by NGEC members – including the industry participants. It will be considered a living document and is meant to serve as a guide for future procurements.

a. Implementation – Momo Tamaoki, Caltrans

Momo Tamaoki reported that she had parsed out the various segments of the Implementation section and had developed the outline and format for this section of the report. She had assigned the areas to be developed and set deadlines. She is now in the process of reviewing those submittals and compiling the segments into a DRAFT of the Implementation section.

b. Planning – John Oimoen, IDOT

John Oimoen complimented Jennifer Bastian, IDOT for the work she has done on this section of the report and provided a brief overview of the topics contained therein such as Fleet Planning; Fleet management and maintenance facilities.

c. Revenue Service – Dick Bruss – Industry member:

Dick Bruss was unavailable for today's meeting – Dick had completed a great deal of work on the Revenue Service section of the report, and it has been circulated among working group members.

d. Long Term Operation Maintenance – Jason Biggs, WSDOT

Jason Biggs reported that WSDOT has "onboarded Atkins" to develop the Long-Term Operations Maintenance section of the report.

A draft outline has been completed and draft data has been developed.

The target for distribution of a draft of the section to the working group team is late March 2019.

- The Charger Experience States and Amtrak:

Background:

In October 2018, NGEC Chairman Eric Curtit requested summary updates on the Chargers since they had been placed in service. At the NGEC Annual Meeting (2-22-19) states and Amtrak provided updates to their Charger experience. The full presentations can be found in the Minutes from the Annual Meeting and on line at on the NGEC website.

In summary, the experience has been very positive among all entities, and collaboration and cooperation among the states, Amtrak, FRA and the OEM has been a key factor in the successful implementation of the Charger into service.

- Updated NGEC two-pager and revised vision statement:

On 2-22-19, at the NGEC Annual Meeting, the updated two-page educational document was officially released. Hard copies were provided to all meeting attendees and are available by request through Steve Hewitt – [shewitt109@aol.com](mailto:shewitt109@aol.com)

- On 2-22-19, the NGEC held its 9<sup>th</sup> Annual Meeting with around 70 members in attendance. During the meeting, those in attendance received updates from the FRA, Amtrak (governmental affairs perspective) and VIA Rail on its equipment procurement as well as a Treasurer's Report and updates from the standing subcommittees (Technical and Finance and Administrative). Members also received updates on the ongoing equipment procurements, the status of the Charger experience, and a document control progress report as well as a progress report on the work of the NGEC Equipment and Ownership Best Practices and Lessons Learned working group.

All presentations and the DRAFT minutes from the meeting can be found on the NGEC website at: [www.ngec305.org](http://www.ngec305.org)

During the month of March 2019, the Executive Board met twice, via conference call, on the 12th and on the 26th.

Highlights, decisions, and action items from the month of March 2019 include:

- Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 3-26-19 - provided by Caltrans to the NGEC Executive Board:

System-level FDR approvals of the Carbody & Clearance, Water & Waste, HVAC, Gap Filler, Digital Communications, Diagnostic System, Double Sliding Step, Accessible Toilet Room, Safety Appliances, Lighting Systems, Semi-Permanent and H-type couplers, Trucks, Exterior Doors, Interior Doors, Gangway, Brakes, Analog Communications, Diaphragm, Electrical System and Trap Door have been provided to SCOA/Siemens. A new revision of FDR Wheelchair Lift has been submitted for review. FDR related CDRLs and other submittals continue through the review and approval process. FDR Approval is targeted for end of March.

The first 14 carshells are in production at Siemens Sacramento Facility. Carshells #1 and #2 are in the final assembly phase. Interior wiring is being installed in carshell #1. Insulation and interior cable duct to be installed in Carshell #2. Carshell #3 and Carshell #4 have completed the finishing coating process. Carshells 5-7 are in storage pending passivation scheduling. Carshell #8 s in the passivation stage and #9 is in inspection. The remaining carshells are in various stages of integration and welding.

CALTRANS met with the California ADA community last week in Sacramento to discuss project status and updates to coach ADA features.

The FAI process is underway and FAIs have occurred for the Carshell Complete, Digital Communication System, Lighting System, Couplers, Sanitary System, Sidewall Lining, FRP Panels, Brake System, Interior Doors, Truck Frame, Flooring and heated panel and Battery Charger. Open items are being addressed and the FAIs are revisited for closure by the customer team as needed. The HVAC, Full Truck, Sliding Step, Seats, Electrical Cabinet, Windows,

Analog Communications, Electrical Switch Cabinet and Fully Assembled Bogie occurred in February. Passenger Seats, Table, IDOT Passenger Information System, and Wheelset are scheduled for March. FAI for Double Sliding Steps is scheduled for April.

Status Update: Metro North Dual Mode Locomotive Procurement as of 3-26-19:

The Phase 2 proposal due date continues to be April 12, 2019.

Status Update: Amtrak Locomotive Procurement as of 3-12-19:

On the Locomotives (Chargers):

There was not much new on the Locomotive procurement – they are just waiting to get started.

On the car/trainset procurement:

Bids are coming in. An extension has been requested by several companies and has been accepted by Amtrak, but the overall process continues to be expeditious.

On May 1, 2019, vendor proposals are due to Amtrak.

METRA Equipment Procurement status:

On 3-26-19, at the request of Caltrans, it was agreed that Illinois DOT will obtain information and provide an update on the METRA Equipment Procurement on the 4-9-19 NGECE Executive Board call.

Document Control Update – as of 3-26-19:

The Revision B2 version of the single level specification (305-003 Revision B.2) is currently being compiled and will be provided to Steve Hewitt when it is complete, and the website will be updated at that time.

The single level train set specification revision is still ongoing (making its way through the various technical working groups). The interiors technical working group requested the original DCRs that were submitted, and they have been provided.

Acquisition and Ownership Best Practices Working Group update as of 3-26-19:

The Equipment Acquisition and Ownership Working Group will be meeting next week – 4-4-19. Thus far three of four DRAFT sections (Planning, Revenue Service and Sustainability) have been received and distributed among working group members. The DRAFT section on Implementation has not yet been provided.

FRA (Jeff Gordon) has submitted initial comments on the three DRAFT sections received to date, and those comments have been distributed to working group members.

On the call next week, the section drafts will be discussed and a plan for next steps will be determined. Eric noted, “we are still in the subject matter phase” and once all input has been gathered, we will “see where we are and discuss next steps”.

The Charger Experience States and Amtrak:

Background:

In October 2018, NGECE Chairman Eric Curtit requested summary updates on the Chargers since they had been placed in service. At the NGECE Annual Meeting (2-22-19) states and Amtrak provided updates to their Charger experience. The full presentations can be found in the Minutes from the Annual Meeting and on line at on the NGECE website.

In summary, the experience has been very positive among all entities, and collaboration and cooperation among the states, Amtrak, FRA and the OEM has been a key factor in the successful implementation of the Charger into service.

2019 NGEN two-pager educational document:

The 2019 NGEN two-page educational document was formally released on 2-22-19 at the NGEN Annual Meeting (distributed to all attendees).

200 hard copies were produced by MoDOT – As of 3-26-19, 157 hard copies have been distributed and approximately 350 have been distributed electronically.

In March 2019, NGEN Program Manager sent 50 copies each to AASHTO and OneRail for distribution on the Hill and/or wherever appropriate.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of April 2019, the Executive Board met twice, via conference call, on the 9th and on the 23rd.

Highlights, decisions, and action items from the month of March 2019 include:

- Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 4-23-19 - provided by Caltrans to the NGEN Executive Board:

All FDR System Level approvals for standard coach are complete. Four FDR-related submittals require update for FDR milestone approval. Siemens is preparing for a new café car & galley PDR meeting with IDOT on 5/7 and 5/8/2019 in Chicago. Caltrans cabcar PDR sessions are scheduled for week of May 20. Reviews that week will include Carshell, Cab HVAC, and F-end H-type coupler.

The first 14 carshells are in production at Siemens Sacramento Facility. Carshells #1 and #2 are in the final Assembly phase. The HVAC Units have been installed in carshell #1. Windows have been installed and Floors bonded in Carshell #2. Insulation installed in Carshell #3. Carshell #4 is in the Final Assemble Phase. Carshell #5 and Carshell #6 have been released to final assembly build. Carshell #'s 7, 8, 9, 10 and 11 are in various stages of integration or storage.

The FAI process continues and FAIs have occurred for the Carshell Complete, Digital Communication System, Lighting System, Couplers, Sanitary System, Sidewall Lining, FRP Panels, Brake System, Interior Doors, Truck Frame, Flooring and heated panel and Battery Charger, HVAC, Full Truck, Sliding Step, Seats, Electrical Cabinet, Windows, Analog Communications and Fully Assembled Bogie, Double Sliding Step and Vestibule FRP Panels. Open items are being addressed and the FAIs are revisited for closure by the customer team as needed. FAI Closure Approval has been provided to SCOA/Siemens for Lighting, Digital Communication, HVAC, Truck Frame, Analog Communications, Passenger Windows, and Brakes. FAI's for Trap Door, Double Sliding Step and Vestibule lining are all scheduled for May 2019.

Asked by Chairman Curtit when Caltrans anticipates the first car to be in revenue service, Momo responded that delivery is expected by January 2020 – with a summer 2020 timeline for revenue service (6 months testing after delivery).

Status Update: Metro North Dual Mode Locomotive Procurement as of 4-23-19:

The Phase 2 proposal due date is May 10, 2019

Amtrak Locomotive Procurement – 4-9-19:

On the locomotive procurement:

Amtrak is in the process of “pulling the program together...no big changes”.

On the passenger vehicle procurement:

Responses from Equipment manufacturers are due to Amtrak on 5-10-19. Anyone wanting to compete for the trainset or cars or DMUs – whatever type vehicle – responses are due 5-10-19.

Amtrak is putting a technical committee together to develop the weighting factors for proposals. Amtrak Mechanical is a part of the effort as are other segments of Amtrak including IT, Engineering, Customer Service, etc.

METRA Equipment Procurement status:

As of 4-9-19, an RFP is on the street for 200-400 bi-level cars. They are going through the process now. Interested parties must respond by August 2019.

METRA has the NGEC specification, but John does not know if they plan to use it or if they will be in contact with the NGEC or not.

- Document Control Update – 4-23-19:

a. Status: Revision B.2 – compiling changes into 305-003 Rev B.2 specification document

Tammy Krause (NGEC DCM) reported that she has not received a completion date from the technical writer for compiling the changes into the specification that will comprise 305-003 Revision B.2. The technical writer has all of the changes and should be able to complete the document fairly quickly. Tammy will reach out again for a timeline for completion.

b. Status: Single Level Trainset Specification Revision

Tammy anticipates the completion of the DCR reviews by the Interior and Mechanical working groups next week. The Electrical working group has completed its review. The VTI and Structure working groups have not yet provided an eta for completion of their work.

c. Status: Electronics on Trains Working Group - development of DTL software specification

The Electronics on Trains working group has a new chair (team leader) – David Brabb- and is getting its work resumed. Tammy has provided a list of working group members David Brabb and to Steve Hewitt (for the record).

d. Status: Verifying/updating Technical working group member lists

Tammy has received updated member lists from some of the technical working groups (Electrical, Mechanical, Interiors, and Electronics on Trains. She has not yet heard from the VTI and Structure working groups. Tammy Krause has received one additional DCR for the single level trainsets spec.

- Equipment Acquisition and Ownership Best Practices Working Group – 4-23-19:

The Equipment Acquisition and Ownership Working Group met on 4-18-19.

Eric Curtit has reached out to Momo Tamaoki, Caltrans, to get an ETA for the Implementation Draft section to be submitted and to Joe Paul, Amtrak, on getting his input on the Revenue Service Draft section.

Once all sections have been received, time will be allotted for all working group members to review them all in total and provide comments. After adequate time for review has been provided, a next call will be scheduled.

Eric is anticipating sometime in June or early July 2019, for a full DRAFT to be ready for distribution to the NGEC Executive Board for review and comment.

- The Charger Experience States and Amtrak:

Background:

In October 2018, NGEC Chairman Eric Curtit requested summary updates on the Chargers since they had been placed in service. At the NGEC Annual Meeting (2-22-19) states and Amtrak provided updates to their Charger experience. The full presentations can be found in the Minutes from the Annual Meeting and on line at on the NGEC website.

In summary, the experience has been very positive among all entities, and collaboration and cooperation among the states, Amtrak, FRA and the OEM has been a key factor in the successful implementation of the



Charger into service.

No updates were provided in April – updates will be requested periodically.

- 2019 NGEC two-pager educational document:

The 2019 NGEC two-page educational document was formally released on 2-22-19 at the NGEC Annual Meeting (distributed to all attendees).

As of 4-30-19, the NGEC program Manager, Steve Hewitt, has distributed 240 hard copies and 351 electronic copies.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Treasurer's Update – Current Balance and Spend Rate as of 4-9-19:

The accrued amount (spent) from the initial \$1,250,000 Grant through February 2019 is \$380,685.20. This leaves a significant balance of about \$869,314.80. The FASC is beginning to explore options for future funding, and potentially, a request for an additional no-cost extension beyond the current end date of 9-30-20.

During the month of May 2019, the Executive Board met once, via conference call, on the 21st.

Highlights, decisions, and action items from the month of May 2019 include:

- Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 5-21-19 - provided by Caltrans to the NGEC Executive Board:

All FDR System Level and related submittal approvals for the standard coach are at a Conditional Approval level or greater. Those submittals conditionally approved are ongoing documents that will be updated and submitted periodically.

Siemens held a new café car & galley PDR meeting with IDOT on 5/7 and 5/8/2019 in Chicago. Amtrak and a representative from FDA were present for the meetings. Caltrans cab car PDR sessions are scheduled for week of May 20. Reviews that week will include Carshell, Cab Layout, and F-end H-type coupler.

The first 14 carshells are in production at Siemens Sacramento Facility. Carshells #1 and #2 are in the final assembly phase. Carshell #1 is mostly complete except seats, ceiling panels, luggage shelves, trap doors and double sliding steps as well as smaller components. ATR for car #2 is ready for installation on the car. Carshells 3 and 4 are proceeding based on material availability, which has been improving throughout the month of April. Carshell #5 started final assembly. Carshell #6 is in final assembly with installation of rivets and nuts in preparation for component assembly to begin. Carshell #'s 7, 8, 9, 10 and 11 are in various stages of integration or storage.

The FAI process continues and FAIs have occurred for the Carshell Complete, Digital Communication System, Lighting System, Couplers, Sanitary System, Sidewall Lining, FRP Panels, Brake System, Interior Doors, Truck Frame, Flooring and heated panel and Battery Charger, HVAC, Full Truck, Sliding Step, Seats, Electrical Cabinet, Windows, Analog Communications and Fully Assembled Bogie, Double Sliding Step, Vestibule FRP Panels, Wheelset and Gap Filler. Open items are being addressed and the FAIs are revisited for closure by the customer team as needed. FAI Closure Approval has been provided to SCOA/Siemens for Lighting, Digital Communication, HVAC, Truck Frame, Analog Communications, Passenger Windows, Brakes, Couplers, and Wheelsets. The FAI for the Trap Door is scheduled for June 5<sup>th</sup>.

Status Update: Metro North Dual Mode Locomotive Procurement as of 5-21-19:

The due date for proposals was 5-10-19. Submittals were received from the short-listed car builders and Metro-North has initiated its review of those submissions

Amtrak Locomotive Procurement – 5-21-19:

On the locomotive procurement:

Amtrak is in the process of “pulling the program together...no big changes”.

On the passenger vehicle procurement:

Amtrak has received responses to the RFP from several 5 or 6 vendors. Amtrak is partnering with the states that are a part of the review process.

There are some suitable candidates in the submissions – with some questions that will need to go back to them for answers.

The intent is to do the best to have a “fair and level battlefield to provide the best possible equipment”.

METRA Equipment Procurement status:

As of 4-9-19, an RFP is on the street for 200-400 bi-level cars. They are going through the process now. Interested parties must respond by August 2019.

METRA has the NGEN specification, but John does not know if the plan to use it or if they will be in contact with the NGEN or not.

There will be future updates as appropriate. Nothing new reported in May 2019.

- Document Control Update – 5-21-19:

Status: Revision B.2 – completing technical writing for 305-003 Rev B.2 specification document:

The technical writer was delayed in her anticipated timeline for completion, but Tammy expects to get the final completed document by the end of this week. As of 5-31-19 – the document has not yet been completed. Anticipated timeline is now sometime during the first week of June.

Status: Single Level Trainset Specification Revision:

Nothing new to report on the status of revising the Single level Trainset specification. Tammy has reached out to two of the technical working group team leaders to see if their workload has reached the point where they may prefer her looking for another team leader.

Status: Electronics on Trains Working Group - development of DTL software specification:

New team leader – David Brabb – and the team have begun working on the DTL software specification, but also want to make changes to the hardware specification as well. David has sent out a survey to his team members to get input in what they would like to see the group work on as David develops its work plan.

Status: Verifying/updating all Technical working group member lists:

- The Equipment Acquisition and Ownership Working Group activities as of 5-21-19:

Since the last meeting of the working group (4-18-19), Eric Curtit has reached out to Amtrak and Caltrans to get an ETA for getting the missing sections or parts of sections, completed and out for review. (The section on Implementation (team leader – Caltrans) has not yet been submitted, and the section on Revenue service is incomplete pending input from Amtrak).

Eric continues to anticipate the remaining draft material soon and that duplications will be resolved by a complete (all sections) review by the working group. The sections submitted are written in a similar voice and will be tightened up before being distributed to the full Executive Board for its review and comment.

Eric continues to look for some time in late June or early July for a full DRAFT to be ready for distribution to the NGEN Executive Board for review.

Note: As of 5-31-19 – Amtrak has provided information to include in the revenue section.

- The Charger Experience States and Amtrak:

Background:

In October 2018, NGEC Chairman Eric Curtit requested summary updates on the Chargers since they had been placed in service. At the NGEC Annual Meeting (2-22-19) states and Amtrak provided updates to the Charger experience. The full presentations can be found in the Minutes from the Annual Meeting and on-line at on the NGEC website.

In summary, the experience has been very positive among all entities, and collaboration and cooperation among the states, Amtrak, FRA and the OEM has been a key factor in the successful implementation of the Charger into service.

No updates provided in May – updates will be requested periodically.

- 2019 NGEC two-pager educational document:

The 2019 NGEC two=page educational document was formally released on 2-22-19 at the NGEC Annual Meeting (distributed to all attendees).

As of 5-31-19 the NGEC program Manager, Steve Hewitt, has distributed 240 hard copies and 353 electronic copies.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Treasurer's Update – Current Balance and Spend Rate as of 5-21-19:

Current Balance and Spend Rate as of 5-21-19:

Total Grant: \$1,250,000.00

Spent to date: \$401, 255.35

Balance: \$848,744.65

Based on the current run rate and accounting for a bump up in costs for the annual meeting – the balance should cover another 38-40 months.

Status – Requesting additional no-cost grant agreement extension:

FRA has informed Amtrak that an additional one year no-cost extension can be requested and would be received favorably. It would be approved through the normal approval process.

FRA has suggested that Amtrak wait until the current agreement gets closer to the end date before applying for another extension, but that it will be received favorably.

The current extension expires 9-30-20.

During the month of June 2019, the Executive Board met twice, via conference call, on the 4<sup>th</sup> and the 18<sup>th</sup>.

Highlights, decisions, and action items from the month of June 2019 include:

Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 6-18-19 - provided by Caltrans to the NGEC Executive Board:

All FDR System Level and related submittal approvals for the standard coach are at a Conditional Approval level or greater.

The IDOT Café Car is being reconfigured to meet the new design requests. Updates to the design include ATR Toilet Room, new standing table design, additional storage and an alternate refrigeration concept.

Action items from the Caltrans Cab Car Coupler, Carshell and Cab Layout reviews have been distributed and are in process with Siemens Engineering team. The intermediate design review for the Cab Car Electrical System is

scheduled for June 28.

The first 21 carshells are in production at Siemens Sacramento Facility. Carshells #1 and #2 are in the final assembly phase. Carshell #3 is ready for Water Testing. Interior Insulation and window side panels have been installed in Carshell #4. Underframe cabling and piping continues in Carshell #5. Carshell #7 is staged for final assembly. Carshells 8 through 21 are in various stages of welding, integration, painting or storage.

The FAI process continues and most system-level FAIs have occurred. Recently completed FAIs include Exterior Doors and Electrical Switch Cabinets. The FAI for Vestibule Lining is scheduled for July 21<sup>st</sup>. A complete vehicle FAI is tentatively planned for August or September. Siemens continues to work with CALIDOT SMEs to address the open items.

Status Update: Metro North Dual Mode Locomotive Procurement as of 6-18-19:

Metro-North is currently doing its due diligence in reviewing submissions received from vendors, and it remains on schedule for selection this year.

Amtrak Locomotive Procurement – 6-18-19:

On the Acela procurement:

This procurement for the NEC is continuing. There are some challenges with the schedule, but they are being worked through, and the first prototype is anticipated to be ready by the end of summer (2019).

On the Locomotives:

The contract with Siemens on the Charger – P42 replacement continues on schedule.

On the passenger trainset:

On 6-27-19, Amtrak CMO and NGECE Vice Chair, Charlie King reported to the NGECE Technical subcommittee that at the request of the industry, the deadline for bids has been extended until November 2019.

METRA Equipment Procurement status:

As of 4-9-19, an RFP is on the street for 200-400 bi-level cars. They are going through the process now. Interested parties must respond by August 2019.

METRA has the NGECE specification, but John does not know if the plan to use it or if they will be in contact with the NGECE or not.

There will be future updates as appropriate. Nothing new reported in June 2019.

Document Control Update – 6-18-19:

On 6-18-19, the following update was provided by DCM Tammy Krause:

Revision B2 of the single level specification is now available by requesting it through the NGECE website.

Later this week (week of 6-18-19) I will be sending out the proposed changes to the Trainset specification going out to the entire technical subcommittee for their comments. This will include all the DCRs that have been either accepted or rejected by the working groups. I will request that any comments be received within two weeks. I will then send all the comments to the Technical subcommittee for discussion.

All working group leaders are happy to remain in place, and I am waiting on one final membership list.

The Electronics on Trains working group held their first meeting with David Brabb as the leader. They are still working through their agenda and at this point have nothing to report.

VIA Rail Equipment Procurement:

In June 2019, Chairman Curtit invited VIA Rail to provide periodic updates on its equipment procurement (following up on the presentation VIA Rail provided to the NGEAC at its Annual Meeting in February 2019).

On 6-4-19, Robert Becker and Ronal Bartels, VIA Rail, provided the first such update:

VIA Rail is advancing the concept design review which is about 30% complete and is expected to be finished in July 2019. On schedule.

They are consulting with internal Stakeholders – including locomotive engineers and train crews. Additionally, VIA Rail is working with accessibility customers to review the interior layouts.

Vigilance is needed to control a tendency by technical people to want to correct past issues – when the focus is on the future and the new equipment going forward.

Some challenges: Seats – executives are very involved in seats and their wish list is all over the place. The VIA Rail team is doing its best to control the scope as best as possible to keep it in line with what was in the bid.

Potential issues: The procurement is for trainsets – bi-directional – similar to those being purchased for California. This is the first time VIA Rail will be operating this type of equipment and there are some concerns being expressed by train crews. The team will be conducting risk assessments to help mitigate any issues they may come up.

A project to deal with maintenance facilities has been initiated to adapt them to the new equipment and modernize them. They are hiring an engineering firm for this effort, and it will take some coordination with Siemens on the equipment side with the engineering firm once it has been hired.

VIA Rail has bought training simulators.

Robert and Ronald have been invited to join each of the NGEAC Executive Board calls as their schedule permits and will be asked to provide an update every 4<sup>th</sup> call or so.

The next update is scheduled for July 30, 2019.

The Equipment Acquisition and Ownership Working Group activities as of 6-30-19:

The Equipment Acquisition and Ownership Working Group last met on 4-18-19.

Following that call, Eric Curtit reached out to Amtrak and Caltrans to get an ETA for getting the missing sections or parts of sections, completed and out for review.

Since then we have received Amtrak's input on the Revenue section of the report (thank you Joe Paul). As of today, we still have not received the DRAFT Implementation Section of the report from Caltrans.

Once Caltrans has submitted its' section, we will have all 4 sections in DRAFT form and will reconvene the working group to review the sections and make sure there are no duplications and that the report is written in consistent voice.

On 6-28-19, Chairman Curtit reached out to Caltrans requesting an ETA on the DRAFT Implementation Section. Caltrans responses that it was close to ready for distribution in DRAFT form to the working group.

The Charger Experience States and Amtrak:

Background:

In October 2018, NGEAC Chairman Eric Curtit requested summary updates on the Chargers since they had been placed in service. At the NGEAC Annual Meeting (2-22-19) states and Amtrak provided updates to their Charger experience. The full presentations can be found in the Minutes from the Annual Meeting and on-line at on the NGEAC website.

In summary, the experience has been very positive among all entities, and collaboration and cooperation among the states, Amtrak, FRA and the OEM has been a key factor in the successful implementation of the Charger into service.

No updates provided in June – updates will be requested periodically. It is anticipated that Chairman Curtit will request an update be provided late July, early August 2019.

2019 NGEC two-pager educational document:

The 2019 NGEC two-page educational document was formally released on 2-22-19 at the NGEC Annual Meeting (distributed to all attendees).

As of 6-30-19 the NGEC program Manager, Steve Hewitt, has distributed 240 hard copies and 353 electronic copies.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

Treasurer's Update – Current Balance and Spend Rate as of 5-21-19:

Total Grant amount: \$1,250,000

Spent (through April 2019) = \$420, 860.50

Balance = \$829,139.50

Talks continued with FRA with regard to an extension beyond the current grant period (9-30-2020). Amtrak has received a nominal "nod of the head" from FRA and will begin looking at the steps to make a formal request as we get closer to the end of the current grant period (about 6 months or so prior).

In June, the Finance and Administrative subcommittee continued to discuss with Amtrak and others various messaging activities related to the NGEC and its future.

During the month of July 2019, the Executive Board met three times, via conference call, on the 2<sup>nd</sup>, the 16<sup>th</sup> and the 30<sup>th</sup>

Highlights, decisions, and action items from the month of July 2019 include:

Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 7-25-19 - provided by Caltrans:

All FDR System Level and related submittal approvals for the standard coach are at a Conditional Approval level or greater.

The Updated IDOT Galley PDR has been approved and the galley mock-up review is scheduled for October 2019. The IDOT Café Car IDR is scheduled for the week of September 2 in Sacramento. Action items for the Cab Car PDRs are in work and the Cab Car Brake System IDR is scheduled for September.

The first 27 carshells are in production at Siemens Sacramento Facility. Trucks on Carshell #1 have been updated to the requested legacy piping configuration and the car is being prepared for static testing. Wiring, ducting and ceiling supports installation continues on Carshell #2. Interior work continues on Carshell #3 with wiring, toilet module and ceiling supports. Wiring and toilet module assembly also continues on Carshell #4. Interior work is in process on Carshells #5 and 6. The underframe and cable tray has been installed and cable routing and piping continues on Carshells #7 and 8. Carshells 9 through 27 are in various stages of component installation, welding, integration, painting or storage.

The FAI process continues and most system-level FAIs have occurred. The FAIs for Vestibule Liners and Trap Door are occurring this week. The End Door FAI is scheduled for the last week of August. The complete Coach Car FAI and Sample Car Inspection are scheduled for Mid-September or Early October. SCOA and Siemens continue to work with CALIDOT SMEs to address the FAI open items.

Status Update: Metro North Dual Mode Locomotive Procurement as of 7-30-19:

Metro-North is currently doing its due diligence in reviewing submissions received from vendors, and it remains on schedule for selection this year.

Amtrak Locomotive Procurement – 8-30-19:

On the Acela:

The Acela trainset 1 remains on schedule for TTCl testing in January 2020.  
Trainset 2 is on track for NEC testing in March 2020

On the Charger Locomotive procurement:

It is on schedule – no major issues.

On the Trainset Procurement:

It remains on schedule for a November timeframe for bid submission.

METRA Equipment Procurement status:

As of 4-9-19, an RFP is on the street for 200-400 bi-level cars. They are going through the process now. Interested parties must respond by August 2019.

METRA has the NGEN specification, but John does not know if they plan to use it or if they will be in contact with the NGEN or not.

There will be future updates as appropriate. Nothing new reported in July 2019.

Document Control Update – 7-30-19:

On 7-30-19, Tammy Krause provided the following update:

The first group of proposed changes to the Trainset Specification have been sent to the Technical Subcommittee members. I have asked for comments on these DCRs to be sent to me by July 12. So far, I have received just a handful of comments on the first group of DCRs. The second group of proposed changes was sent to the TSC and I have requested comments back by August 7. I will then put all comments together and submit them to the TSC for discussion at the 8/8 meeting followed by acceptance or rejection at the 8/22 meeting. The accepted DCRs will then be submitted to the EB and can be discussed at the 8/26 meeting. The EB can then request Larry Salci to review the changes and call for the review panel.

VIA Rail Equipment Procurement – status as of 7-30-19:

On 7-30-19, Robert Becker provided a brief status update:

that things are going well and that they are close to wrapping up the conceptual design review phase.

In September, they will begin the next phase – preliminary design review.

There have been no major issues.

They are in the process of fine tuning the final configuration after beginning with a base specification.

The next update is scheduled for September 24, 2019.

The Equipment Acquisition and Ownership Working Group activities as of 7-30-19:

The Equipment Acquisition and Ownership Working Group last met on 4-18-19.

All DRAFT sections (4) of the report have been submitted and are under review.  
The working group will meet on 8-8-19 to discuss the submittals and determine next steps in compiling a full DRAFT report.

Update: States and Amtrak – Charger Locomotive Experience as of 7-30-19:

#### Mid-West States Experience:

The Charger locomotives have been running for 2-years and are working well with all of the locomotives in service and only the normal "teething" issues occurring and being worked through.

One area that they are striving for improvement and are making improvements on is parts availability and field service. These issues are challenging but being worked out and improving.

There have been several vehicle strikes and debris strikes in the Mid-West, but the good news is that the Crash Energy Management (CEM) performed very well. The engineers were very satisfied with the safety of the cabs.

Overall, they are very pleased with the performance of the locomotives.

#### California Experience:

Caltrans reported on the average number of miles and engine hours for the locomotives in the various sections of the state where they are being used and noted that they are performing well.

There have been several debris strikes and Siemens and Amtrak are working on repairs.

Caltrans has exercised its option for continuing technical support with Siemens after the warranty has expired.

There have been some instances of ice build-up on the HVAC and they are working on determining the root cause.

Overall, the locomotives are performing very well.

#### Washington State Experience:

No report provided

#### Amtrak Experience:

Amtrak has held several meetings with Siemens on parts availability as "we continue to support the states" as our partners.

Amtrak is leasing a state unit to test in Long Distance service. Rolling Stock Engineers are on board to see how the locomotives perform in the hot days and high altitudes. The locomotive is in the trail, not lead, position on this test.

So far it has performed extremely well.

The intent is to also conduct a test in the winter weather to see how it fares. And they are working on resolving the snow ingestion issues that occurred last winter.

#### 2019 NGEC two-pager educational document:

The 2019 NGEC two-page educational document was formally released on 2-22-19 at the NGEC Annual Meeting (distributed to all attendees).

As of 7-30-19 the NGEC program Manager, Steve Hewitt, has distributed 265 hard copies and 353 electronic copies.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

#### Treasurer's Update – Current Balance and Spend Rate as of 7-30-19:

Total Grant amount: \$1,250,000

Balance = \$800,000 (approximately)

FASC discussion on S305 NGEC reauthorization – proposed language, funding amount, and performance length:



On 7-30-19, Tim Ziethen, NGEF Treasurer and Chair of the Finance and Administrative subcommittee (FASC) reported that the initial Grant amount of \$1,250,000 has a balance of \$800,000. The current Grant agreement runs through 9-30-2020 which includes the approved/executed 12 month no cost extension. At the current spend rate of between \$15 -\$20,000 an additional no cost extension of about 2 years beyond 9-30-2020 would be possible.

Tim went on to report on discussions taking place among the members of the Finance and Administrative subcommittee (FASC) around reauthorization of the NGEF in the next surface transportation authorization bill which is now being developed. Discussion on the last FASC call (7-24-19) revolved around preparing language that could be used by Amtrak and others in making their authorization requests. The language would need to include, not only the scope of the NGEF's work, but also the length of time and amount of funding that would be requested.

At the current spend rate, and with no change to the current scope, and through a performance period of 5 years, the NGEF would need, as a floor, \$250,000 per year or \$1,250,000 for the full 5 years. This would basically be a scope of work that does not allow for additional activities.

The FASC has been discussing what additional activities the NGEF should include in its scope as it goes forward.

Eric Curtit noted that discussions have revolved around continued document control management/ specification refreshment efforts, the ongoing work of the Equipment Acquisition and Ownership working group, and potential new specifications – possibly even getting involved in developing HSR specs.

Michael Lestingi, FRA, added that another question that should be asked is whether Congress should direct the FRA to make use of the NGEF specifications mandatory for future state/Amtrak procurements. In the current NOFO's FRA has remained silent on this as a requirement.

Eric agreed that this is a good point and should be a part of the discussion. He also noted that AASHTO, SPRC, Amtrak, and others are including the NGEF as a part of their reauthorization principles, and, in some cases, will need to be provided with more information – including scope and funding requirements for the future.

Steve Hewitt commented that Amtrak (Ken Altman) was looking for some language and funding amounts to include in Amtrak's request and asked Tim Ziethen if there was a timeline for providing that information to Ken.

Tim noted that he did not have an exact timeline, but likely it is within a few weeks – less than a month.

With that in mind, Eric Curtit agreed to send out some of his thoughts to the states for consideration so that, on the next NGEF Executive Board call - 8-13-19 – the Board could come to agreement on proposed language, scope and funding for a 5-year authorization that could be provided to Amtrak and to others (such as AASHTO) as they develop/finalize their authorization requests.

Eric also noted that he and Steve Hewitt have had some discussions about an NGEF session at TRB in January and will brief the Board on this on the next call. The session would tie in well with this reauthorization discussion.

Tim Ziethen will let Steve and Eric know if the Amtrak timeline is sooner than the next two weeks and whether placeholder language may need to be provided.

During the month of August 2019, the Executive Board met two times, via conference call, on the 13<sup>th</sup> and the 27<sup>th</sup>.

Highlights, decisions, and action items from the month of August 2019 include:

Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 8-27-19 - provided by Caltrans:

All FDR System Level and related submittal approvals for the standard coach are at a Conditional Approval level or greater. The IDOT galley mock-up review is scheduled for October 2019. The IDOT Café Car IDR is scheduled for the week of September 2 in Sacramento. Action items for the Cab Car PDRs are in work and the Cab Car Brake System IDR is confirmed for September 4th.

The first 29 carshells are in production at Siemens Sacramento Facility. Static Lean, Wedge testing and air brake testing continue this week on Car #1. The corner load test is complete on Car #2 which is being prepared for

trucking. Luggage rack brackets have been installed on Carshell #3. The remaining carshells are in various stages of component installation, welding, integration, painting or storage.

The FAI process continues and most system-level FAIs are complete. Recent FAIs include the Trap Door and Vestibule Lining. The Complete Coach Car FAI is tentatively scheduled for September 17th pending production progress through the week. The FRA Sample Car Inspection will be scheduled once FAI dates are finalized.

Status Update: Metro North Dual Mode Locomotive Procurement as of 8-27-19:

Metro-North is currently doing its due diligence in reviewing submissions received from vendors, and it remains on schedule for selection this year.

Amtrak Locomotive Procurement – 8-27-19:

On the Acela 21:

2 cars are together at Hornell – not officially a trainset yet – no power cars at this point – but great progress. There have been a few minor delays but the start of testing at TTCI remains on schedule for January 2020.

On the Charger:

The procurement remains on track – Amtrak is engaged in a review conference with Siemens.

The anticipated April 2021 Delivery timeframe remains on track.

On the Trainset procurement:

November remains as the timeframe for bids to come in and then an aggressive schedule will proceed on the next steps.

Minor adjustment to the spec is being made as input is received from potential bidders.

METRA Equipment Procurement status:

As of 4-9-19, an RFP is on the street for 200-400 bi-level cars. They are going through the process now. Interested parties must respond by August 2019.

METRA has the NGEC specification, but John does not know if the plan to use it or if they will be in contact with the NGEC or not.

There will be future updates as appropriate. Nothing new reported in August 2019.

Document Control Update – 8-27-19:

The Technical subcommittee approved the DCRs presented for Revision B of the Trainset specification 305-007. The subcommittee has asked the Executive Board to begin its review process to moving forward in consideration of adopting the changes and create Revision B. Tammy Krause requested that Chairman Curtit re-convene the Trainset Review Panel and request that consultant Larry Salci begin the review process.

Re-Convening the Trainset Spec Review Panel – confirming members/setting timeline -Eric Curtit:

Eric Curtit and Jeff Gordon are confirmed as panel members – as are staff/advisors Steve Hewitt, Tammy Krause and Michael Burshtin.

Steve Hewitt will send an email to all Review panel members to ask that they confirm their willingness to serve again.

Steve will also reach out to Larry Salci and ask that he take the necessary steps with AASHTO to facilitate a contract for his review of the DCRs and preparation of a Review Panel report with recommendations. Larry will be asked on the next Executive Board call – 9-10-19 – to provide a timeline for completion and some dates for a Review panel call.

Trainset Review Panel:

Eric Curtit, Missouri DOT - Chair  
Allan Paul, North Carolina DOT  
Jason Biggs, Washington State DOT  
Jeff Gordon, FRA  
Larry Salci, consultant to the Review Panel  
Michael Burshtin, Amtrak – technical support  
Tammy Krause, NGECC Document Control Manager  
Steve Hewitt -NGECC support

VIA Rail Equipment Procurement – status as of 7-30-19:

On 7-30-19, Robert Becker provided a brief status update:

that things are going well and that they are close to wrapping up the conceptual design review phase.

In September, they will begin the next phase – preliminary design review.

There have been no major issues.

They are in the process of fine tuning the final configuration after beginning with a base specification.

The next update is scheduled for September 24, 2019.

The Equipment Acquisition and Ownership Working Group activities as of 7-30-19:

The Equipment Acquisition and Ownership Working Group last met on 4-18-19.

All DRAFT sections (4) of the report have been submitted and are under review.

The working group will meet on 8-8-19 to discuss the submittals and determine next steps in compiling a full DRAFT report.

Next Update: 9-24-19

Update: States and Amtrak – Charger Locomotive Experience as of 7-30-19:

Mid-West States Experience:

The Charger locomotives have been running for 2-years and are working well with all of the locomotives in service and only the normal “teething” issues occurring and being worked through.

One area that they are striving for improvement and are making improvements on is parts availability and field service. These issues are challenging but being worked out and improving.

There have been several vehicle strikes and debris strikes in the Mid-West, but the good news is that the Crash Energy Management (CEM) performed very well. The engineers were very satisfied with the safety of the cabs.

Overall, they are very pleased with the performance of the locomotives.

California Experience:

Caltrans reported on the average number of miles and engine hours for the locomotives in the various sections of the state where they are being used and noted that they are performing well.

There have been several debris strikes and Siemens and Amtrak are working on repairs.

Caltrans has exercised its option for continuing technical support with Siemens after the warranty has expired.

There have been some instances of ice build-up on the HVAC and they are working on determining the root cause.

Overall, the locomotives are performing very well.

Washington State Experience:

No report provided

Amtrak Experience:

Amtrak has held several meetings with Siemens on parts availability as "we continue to support the states" as our partners.

Amtrak is leasing a state unit to test in Long Distance service. Rolling Stock Engineers are on board to see how the locomotives perform in the hot days and high altitudes. The locomotive is in the trail, not lead, position on this test.

So far it has performed extremely well.

The intent is to also conduct a test in the winter weather to see how it fares. And they are working on resolving the snow ingestion issues that occurred last winter.

Next update: NGEC Annual Meeting February 2-20

2019 NGEC two-pager educational document:

The 2019 NGEC two-page educational document was formally released on 2-22-19 at the NGEC Annual Meeting (distributed to all attendees).

As of 8-27-19 the NGEC program Manager, Steve Hewitt, has distributed 265 hard copies and 355 electronic copies.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

Treasurer's Update – Current Balance and Spend Rate as of 8-13-19:

As of 8-13-19:

Initial grant amount: \$1,250,000

Current Balance: \$814, 590.67

Next Update 9-10-19

- Developing proposed NGEC Re-authorization Language – scope and funding:

Eric Curtit provided an overview of the DRAFT NGEC reauthorization language that was distributed prior to the 8-27-19 call. It is re-printed below:

DRAFT NGEC Reauthorization scope and funding language

(§24101): The Passenger Rail Investment and Improvement Act of 2008 directed Amtrak, states, FRA and industry to establish the Next Generation Corridor Equipment Pool Committee (NGEC) to standardize and streamline the process for designing and obtaining next-generation passenger rail equipment purchased with federal funding. NGEC is the national leader in standardization, acquisition, and management of passenger rail equipment. The Committee effectively developed 6 specifications that focus on single level car, bi-level car, single level train sets, diesel-electric locomotive, diesel multiple units, and dual-mode locomotive. Its document control procedures enable a review of the use of specifications and requests for modifications in order to continuously improve these specifications as new developments are conceived in vehicle production/manufacturing. The Committee has succeeded in lowering operating and maintenance costs and extending vehicle life expectancy. Lastly, NGEC sparked domestic production, invigorated the supply chain and created high-wage jobs. It is important that Congress reauthorize the committee in order to improve future equipment needs.

The NGEC suggests the following actions for consideration in the FAST Act Reauthorization:

Reauthorize the NGEC and provide \$2,500,000 over the life of the bill for the NGEC activities;

Authorize the NGEC to:

Continue its document management efforts to maintain and improve upon its current passenger rail equipment specifications through existing NGEC procedures;

Continue its work in documenting best practices and lessons learned in equipment acquisition and ownership including; the development of a living reference document that will provide guidance for future equipment procurements;

Continue to work with entities like the Transportation Research Board (TRB) to leverage limited funding for additional research;

Develop high speed rail equipment specifications;

Award preference to entities using NGEC specifications who seek discretionary federal funding for new passenger rail equipment;

To date an ever-increasing number of entities within and outside of the NGEC have used its specifications as a basis for procuring new rail equipment and this trend is expected to continue.

To date, the committee has expended approximately \$3 million and has created six standardized vehicle specifications and continues to improve each as they are used in actual development of equipment. Creating and using standardized specifications will help to continue to increase competition and lower costs.

Eric added that he will include a line in the proposed language that notes that the FRA is not a party to the request – that it is coming from the states and Amtrak.

The intent is to have all comments in to Eric Curtit and Steve Hewitt by COB on 9-6-19, and the language will be finalized on the 9-10-19 Executive Board call. In the meantime, if Amtrak or AASHTO or others need the language to meet a deadline, this language will be used as a placeholder.

Equipment Acquisition and Ownership Best Practices Working Group – 8-27-19:

The Working Group met on 8-8-19

All sections (Planning, Implementation, Revenue Service, and Sustainability) have been submitted by the team leaders and working group members have begun to review and comment on the material that has been submitted.

On 8-8-19, a discussion about the nature of the comments and a path forward took place. In general, the comments received revolved around duplication, overlap between sections and differences in structure.

It was agreed that members will be given additional time for review and to provide additional comments.

Once all comments are received, the next step will be to develop a scope and budget for possibly procuring professional assistance to compile the sections and write the report.

During the discussion, it was emphasized/clarified that this “report” is meant to be a reference document. It is meant to be a tool that states looking to procure equipment can use as a reference identifying best practices as well as issues that have come up in these initial NGEC procurements.

A timeline was established as follows:

All members having additional comments are to submit them in track changes to Eric Curtit and Steve Hewitt by COB 9-5-19.

Steve Hewitt will send all comments out to the members in advance of the next call which will take place on 9-19-19 at 4:00pm Eastern. On that call, next steps will be further defined. The overall timeline remains for the document to be finalized in time for the NGEC 2020 Annual Meeting (February 2020).

On the next Finance and Administrative subcommittee call (8-21-19), Steve Hewitt and Eric Curtit will begin the discussion on moving forward under NEC procurement procedures for contracting for a consultant to complete the document.

Next update 9-24-19

TRB session – NGECE 10 years of Progress:

On 8-13-19, it was agreed that Jack Madden will work with TRB and the NGECE executive Board in developing a lecture session to be held during the TRB Annual Meeting in January 2020.

The Board will determine the content and the speakers for the panel and keep Jack apprised. Jack will need to finalize participants and content by 10-1-19. In the meantime, Jack will reserve the slot for the TRB meeting using the working session title of "The NGECE – 10 Years of Progress".

On 8-27-19, speakers were discussed further. FRA has committed to having a representative on the panel.

Action/timeline: The NGECE Executive Board needs to let Jack Madden know by 10-1-19 who will participate and what the content will be.

This will remain as an agenda item for the next call (9-10-19) to try to firm up participants.

During the month of September 2019, the Executive Board met two times, via conference call, on the 10<sup>th</sup> and the 24<sup>th</sup>.

Highlights, decisions, and action items from the month of August 2019 include:

- Equipment Procurement Updates:

- Status Update - Multi-State Rail Car Procurement as of 9-24-19 - provided by Caltrans:

All FDR System Level and related submittal approvals for the standard coach are at a Conditional Approval level or greater.

The IDOT galley mock-up review is scheduled for first half of October 2019. IDR system reviews for the IDOT café car occurred week of September 2. Action items for the Cab Car PDRs are complete and the Cab Car Brake System IDR occurred on September 4 in Sacramento.

The first 30 carshells are in production at Siemens Sacramento Facility. Static testing is nearly complete on Carshell #1. Corner load, trucking and water tests were completed on Carshell #2. Liners and luggage racks are installed on Carshell #3. Carshells 4 and 5 remain in production with work including: door platforms, underframe racks, toilet modules and wiring. The remaining carshells are in various stages of component installation, welding, integration, painting or storage.

The FAI process continues and most system-level FAIs are complete. The FRA Sample Car Inspection occurred on September 18<sup>th</sup> and the first two cars are being prepared for shipment to TTCI. The overall car FAI will be scheduled for week of October 21. A functional wheelchair lift demonstration will occur at Ricon on October 15.

- Status Update: Metro North Dual Mode Locomotive Procurement as of 9-10-19:

Metro-North continues to negotiate to come up with a conforming specification to allow vendors to submit bid proposals.

- Amtrak Locomotive Procurement – 9-24-19:

On the Acela:

Continues to move forward – progressing well with a power car moving at Hornell using its own power on the catenary.

It is expected to depart in January for TTCI.

Non-passenger cars (no interiors) – moving along well.

On the Locomotives:

Progressing nicely with the OEM – Amtrak will soon be going to FRA to request a waiver for testing since the state locomotives were tested and there is not much difference between these locomotives and those.

On the Trainset (cars):

This continues forward with bids due in a November timeframe.

- METRA Equipment Procurement status:

As of 4-9-19, an RFP is on the street for 200-400 bi-level cars. They are going through the process now. Interested parties must respond by August 2019.

METRA has the NGEC specification, but John does not know if they plan to use it or if they will be in contact with the NGEC or not.

There will be future updates as appropriate. Nothing new reported in September 2019.

- Document Control Update – 9-24-19:

Document Control has been very quiet lately, only a few questions and comments from a few TSC members. The Technical subcommittee has not met since August and there is no update from the electronics on Trains WG. The TSC accepted changes to the Train set specification have been submitted to the EB and I am waiting upon Larry Salci's review.

- Trainset Spec 305-007 Revision B status update as of 9-24-19:

Larry Salci has begun a review of the summary of changes and noted the need to have a call with Tammy Krause to get some clarification.

Larry prepared the letter with scope and budget and submitted it to AASHTO and Eric Curtit and Steve Hewitt.

It was previously agreed that the target date for Executive Board consideration of the Review Panel Report and recommendation will be 10-22-19.

All Review Panel members are now confirmed:

Trainset Review Panel:

Eric Curtit, Missouri DOT - Chair - confirmed

Allan Paul, North Carolina DOT - confirmed

Jason Biggs, Washington State DOT - confirmed

Jeff Gordon, FRA - confirmed

Larry Salci, consultant to the Review Panel - confirmed

Michael Burshtin, Amtrak – technical support - confirmed

Tammy Krause, NGEC Document Control Manager - confirmed

Steve Hewitt -NGEC support - confirmed

- VIA Rail Equipment Procurement – status as of 7-30-19:

On 7-30-19, Robert Becker provided a brief status update:

that things are going well and that they are close to wrapping up the conceptual design review phase.

In September, they will begin the next phase – preliminary design review.

There have been no major issues.

They are in the process of fine tuning the final configuration after beginning with a base specification.

The next update is scheduled for September 24, 2019.

- The Equipment Acquisition and Ownership Working Group activities as of 7-30-19:

The Equipment Acquisition and Ownership Working Group last met on 4-18-19.

All DRAFT sections (4) of the report have been submitted and are under review. The working group will meet on 8-8-19 to discuss the submittals and determine next steps in compiling a full DRAFT report.

In September there was no update provided by VIA Rail.

Next Update: 10-8-19

- Update: States and Amtrak – Charger Locomotive Experience as of 7-30-19:

Mid-West States Experience:

The Charger locomotives have been running for 2-years and are working well with all of the locomotives in service and only the normal “teething” issues occurring and being worked through.

One area that they are striving for improvement and are making improvements on is parts availability and field service. These issues are challenging but being worked out and improving.

There have been several vehicle strikes and debris strikes in the Mid-West, but the good news is that the Crash Energy Management (CEM) performed very well. The engineers were very satisfied with the safety of the cabs.

Overall, they are very pleased with the performance of the locomotives.

California Experience:

Caltrans reported on the average number of miles and engine hours for the locomotives in the various sections of the state where they are being used and noted that they are performing well.

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No report provided

Amtrak Experience:

Amtrak has held several meetings with Siemens on parts availability as “we continue to support the states” as our partners.

Amtrak is leasing a state unit to test in Long Distance service. Rolling Stock Engineers are on board to see how the locomotives perform in the hot days and high altitudes. The locomotive is in the trail, not lead, position on this test.

So far it has performed extremely well.

The intent is to also conduct a test in the winter weather to see how it fares. And they are working on resolving the snow ingestion issues that occurred last winter.

Next update: NGEAC Annual Meeting February 2-20



- 2019 NGEC two-pager educational document:

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As of 9-24-19 the NGEC program Manager, Steve Hewitt, has distributed 265 hard copies and 355 electronic copies.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Treasurer's Update – Current Balance and Spend Rate as of 9-10-19:

As of 9-10-19:

Spent to date: \$460, 236.38  
Total Grant Amount: \$1,250,000  
Balance: \$789,763.62

The current run rate is just under \$15,000 a month with about one year left on the current grant agreement. To continue, the NGEC has been deemed to be for a no-cost grant agreement extension. The recommendation (with concurrence from the FRA) is to begin the formal request process no later than shortly after the first of the year (January 2020).

Next Update 10-8-19

- Developing proposed NGEC Re-authorization Language – scope and funding:

On 8-27-19, Eric Curtit provided an overview of the DRAFT NGEC reauthorization language. It is re-printed below:

#### DRAFT NGEC Reauthorization scope and funding language

(§24101): The Passenger Rail Investment and Improvement Act of 2008 directed Amtrak, states, FRA and industry to establish the Next Generation Corridor Equipment Pool Committee (NGEC) to standardize and streamline the process for designing and obtaining next-generation passenger rail equipment purchased with federal funding. NGEC is the national leader in standardization, acquisition, and management of passenger rail equipment. The Committee effectively developed 6 specifications that focus on single level car, bi-level car, single level train sets, diesel-electric locomotive, diesel multiple units, and dual-mode locomotive. Its document control procedures enable a review of the use of specifications and requests for modifications in order to continuously improve these specifications as new developments are conceived in vehicle production/manufacturing. The Committee has succeeded in lowering operating and maintenance costs and extending vehicle life expectancy. Lastly, NGEC sparked domestic production, invigorated the supply chain and created high-wage jobs. It is important that Congress reauthorize the committee in order to improve future equipment needs.

The NGEC suggests the following actions for consideration in the FAST Act Reauthorization:

- 5) Reauthorize the NGEC and provide \$2,500,000 over the life of the bill for the NGEC activities;
- 6) Authorize the NGEC to:
  - i. Continue its document management efforts to maintain and improve upon its current passenger
  - j. rail equipment specifications through existing NGEC procedures;
  - k. Continue its work in documenting best practices and lessons learned in equipment acquisition and
  - l. ownership including; the development of a living reference document that will provide guidance for
  - m. future equipment procurements;
  - n. Continue to work with entities like the Transportation Research Board (TRB) to leverage limited
  - o. funding for additional research;
  - p. Develop high speed rail equipment specifications;

- 7) Award preference to entities using NGEC specifications who seek discretionary federal funding for
- 8) new passenger rail equipment;  
To date an ever-increasing number of entities within and outside of the NGEC have used its specifications as a basis for procuring new rail equipment and this trend is expected to continue.

To date, the committee has expended approximately \$3 million and has created six standardized vehicle specifications and continues to improve each as they are used in actual development of equipment. Creating and using standardized specifications will help to continue to increase competition and lower costs.

Action timeline: All comments are due to Eric Curtit and Steve Hewitt by COB on 9-6-19, and the language will be finalized on the 9-10-19 Executive Board call. In the meantime, if Amtrak or AASHTO or others need the language to meet a deadline, this language will be used as a placeholder.

As of 9-10-19, no comments or edits were received.

Eric noted that he and Steve Hewitt will add a disclaimer to the effect that FRA is not a party to developing or advocating for the language being proposed.

Once the disclaimer is added, it will be sent to FRA (Jeff Gordon and Michael Lestingi) for their ok. After that, a final document will be distributed to AASHTO and Amtrak for their use and to all NGEC members to use as appropriate.

The Chairman asked if there were any objections or issues with the language or the approach. Hearing none, it was determined that the process would move forward as described.

- Equipment Acquisition and Ownership Best Practices Working Group – 8-27-19:

The Working Group last met on 8-8-19

All sections (Planning, Implementation, Revenue Service, and Sustainability) have been submitted by the team leaders and working group members have begun to review and comment on the material that has been submitted.

On 8-8-19, a discussion about the nature of the comments and a path forward took place. In general, the comments received revolved around duplication, overlap between sections and differences in structure.

It was agreed that members would be given additional time for review and to provide additional comments.

Once all comments are received, the next step will be to develop a scope and budget for possibly procuring professional assistance to compile the sections and write the report.

During the discussion, it was emphasized/clarified that this “report” is meant to be a reference document. It is meant to be a tool that states looking to procure equipment can use as a reference identifying best practices as well as issues that have come up in these initial NGEC procurements.

A call was scheduled for 9-19-19 to discuss all comments received.

Due to the AASHTO, SPRC and SAIPRC meetings in Hartford during the week of 9-16-19, the working group call was postponed until 10-3-19.

Next update: 10- 8-19

- TRB session – NGEC 10 years of Progress:

On 8-13-19, it was agreed that Jack Madden will work with TRB and the NGEC executive Board in developing a lectern session to be held during the TRB Annual Meeting in January 2020.

The Board will determine the content and the speakers for the panel and keep Jack apprised. Jack will need to finalize participants and content by 10-1-19. In the meantime, Jack will reserve the slot for the TRB meeting using the working session title of “The NGEC – 10 Years of Progress”.

On 9-24-19, the following panelists were confirmed – in the order suggested:

The title:

Session Title: The NGEC – 10 Years of Progress

Speakers:

Eric Curtit - Chair, NGEC

Charlie King - Vice Chair, NGEC, and Chair NGEC Technical subcommittee

John Oimoen, IDOT – representing a State which has procured PRIIA equipment and placed it in service

Jeffrey Gordon, Representing the Federal Railroad Administration

Larry Salci, providing the industry perspective

Each panelist was asked to provide the following information to Steve Hewitt by 9-27-19:

1. Name, title, organization, address, email and mobile phone (see Jack Madden example above)
2. Presentation Title

On 9-27-19, the following information was submitted to Jack Madden:

The Next Generation Corridor Equipment Pool Committee (NGEC) “10 Years of Progress”

Panelists:

Presentation Title: “NGEC Goals and Policies”

Eric J. Curtit, Chair - NGEC Executive Board

Administrator of Railroads

Missouri Department of Transportation

105 West Capitol Avenue

Jefferson City, MO 65102

C: 573.291.5394

[eric.curtit@modot.mo.gov](mailto:eric.curtit@modot.mo.gov)

Presentation Title: “NGEC Technical Subcommittee and Specification Development”

Charlie King, Vice Chair - NGEC Executive Board – Chair - NGEC Technical subcommittee

VP Mechanical and Chief Mechanical Officer

National Railroad Passenger Corp. Amtrak

4001 Vandever Ave. Building 12, Room 202

Wilmington, DE 19802

C: 904 378-6095

[Charles.King@amtrak.com](mailto:Charles.King@amtrak.com)

Presentation Title: “The States’ Role”

John Oimoen

Deputy Director of Railroads

Illinois Department of Transportation

69 W Washington Suite 2100

Chicago, IL 60602.

312 793-4222

[John.Oimoen@illinois.gov](mailto:John.Oimoen@illinois.gov)

Presentation Title: “The Federal Role”

Jeffrey Gordon

Federal Railroad Administration

55 Broadway, Room 935

Cambridge, MA 02142

617 494-2303

[Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov)

Presentation Title: "The Industry Role"  
Larry Salci  
SalciConsult  
Management Consultant - Transportation  
C:314 705-0546  
[larry@salciconsult.com](mailto:larry@salciconsult.com)

Support for the panelists:  
Stephen J Hewitt  
NGEC Program Manager  
Hewitt Consulting  
6647 Breezewood Blvd.  
Myrtle Beach, SC 29588  
C: 845 616-3076  
[Shewitt109@aol.com](mailto:Shewitt109@aol.com)

During the month of October 2019, the Executive Board met two times, via conference call, on the 8<sup>th</sup> and the 22<sup>nd</sup>.

Highlights, decisions, and action items from the month of October 2019 include:

- Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 10-31-19 - provided by Caltrans:

All FDR System Level and related submittal approvals for the standard coach are at a Conditional Approval level or greater. Cab Car PDR action items are addressed, and approval is in process.

The Café Galley Mock-Up was held in Roseville, Michigan on October 1<sup>st</sup>-3<sup>rd</sup>. The Complete Coach FAI is scheduled for November 13– 14 in Sacramento.

The first 34 carshells are in production at Siemens Sacramento Facility. Cars 1 and 2 have shipped to Pueblo for testing at TTCI and are being prepared for the various procedures. EMI testing is scheduled for week of November 4. Car #3 has been shipped to the environmental testing facility in Ottawa. Carshell #4 has completed static testing and is in preparation for First Car FAI. The remaining carshells are in various stages of component installation, welding, integration, painting or storage.

The FAI process continues and most system-level FAIs for standard coach are complete. Cab Car Structure IDR documents have been submitted and are in review. The IDR meeting is scheduled for December 11 – 12.

Status Update: Metro North Dual Mode Locomotive Procurement as of 10-31-19:

Metro-North continues to negotiate to come up with a conforming specification to allow vendors to submit bid proposals.

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Amtrak Locomotive Procurement as of 10-31-19:

On the Acela:

Continues to move forward – progressing well with a power car moving at Hornell using its own power on the catenary.

It is expected to depart in January for TTCI.

Non-passenger cars (no interiors) – moving along well.

On the Locomotives:

Progressing nicely with the OEM – Amtrak will soon be going to FRA to request a waiver for testing since the

state locomotives were tested and there is not much difference between these locomotives and those.

On the Trainset (cars):

This continues forward with bids due in a November timeframe.

METRA Equipment Procurement status:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They are going through the process now. Interested parties must respond by August 2019.

METRA has the NGEN specification, but John does not know if they plan to use it or if they will be in contact with the NGEN or not.

There will be future updates as appropriate. Nothing new reported in October 2019.

Document Control Update – 10-31-19:

The PRIIA Single Level Trainset Specification 305-007 Revision B was adopted by the Executive Board on 10-22-19. Document Control Manager Tammy Krause is in the process of formatting the changes and compiling them for inclusion into the specification as Revision B.

VIA Rail Equipment Procurement – status as of 10-31-19:

On 10-8-19, Robert Becker, VIA Rail, reported to the Executive Board that things are going well – with several mock-ups taking place currently and over the next several months. Overall things are moving forward on schedule and in good shape so far.

The next update is scheduled for December 12, 2019.

The Equipment Acquisition and Ownership Working Group activities as of 10-31-19:

The Equipment Acquisition and Ownership Working Group last met on 10-31-19.

3 of 4 Revised/updated sections have been submitted and were distributed to working group members. The Planning section update, led by IDOT, is being completed. Jennifer Bastian will provide Chairman Eric Curtit with an ETA on completion. Eric asked if anyone had anything to add or comment on with regard to the updated sections received thus far. No comments were offered.

Eric reported that his thinking going forward is to check on the availability, and willingness, of Cameron Cordell, to potentially take on the assignment of meshing the 4 sections into one voice and one DRAFT reference document. The thought is that if she is available and the fact that she is already under contract with the NGEN as its specification technical writer, with a remaining budget balance, this may be the easiest path forward.

The goal remains to have a complete DRAFT ready for the NGEN Annual Meeting in February 2020. Once a complete DRAFT has been assembled, working group members will be provided with it and with time to review and comment on it.

Actions as determined on 10-31-19:

Jennifer Bastian will let Eric Curtit and Steve Hewitt know her ETA for completion of the updated Section 1 (Planning).

Once the Planning Section has been updated it will be distributed to all working group members.

Cameron Cordell, technical writer, will be asked if she is willing and available to do the technical writing.

Update: States and Amtrak – Charger Locomotive Experience (last update 7-30-19):

Mid-West States Experience:

The Charger locomotives have been running for 2-years and are working well with all of the locomotives in service and only the normal “teething” issues occurring and being worked through.

One area that they are striving for improvement and are making improvements on is parts availability and field service. These issues are challenging but being worked out and improving.

There have been several vehicle strikes, and debris strikes in the Mid-West, but the good news is that the Crash Energy Management (CEM) performed very well. The engineers were very satisfied with the safety of the cabs.

Overall, they are very pleased with the performance of the locomotives.

California Experience:

Caltrans reported on the average number of miles and engine hours for the locomotives in the various sections of the state where they are being used and noted that they are performing well.

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Washington State Experience:

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Amtrak Experience:

Amtrak has held several meetings with Siemens on parts availability as "we continue to support the states" as our partners.

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So far it has performed extremely well.

The intent is to also conduct a test in the winter weather to see how it fares. And they are working on resolving the snow ingestion issues that occurred last winter.

Next update: NGEC Annual Meeting February 2-20

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The 2019 NGEC two-page educational document was formally released on 2-22-19 at the NGEC Annual Meeting (distributed to all attendees).

As of 10-31-19 the NGEC program Manager, Steve Hewitt, has distributed 265 hard copies and 355 electronic copies.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

The NGEC Executive Board is planning to update the document in advance of the Annual Meeting. Steve Hewitt and Chairman Curtit will present recommendations for changes to the Board in November 2019.

FASC update and Treasurer's Report as of 10-31-19:

Treasurer's Report:

Amount Spent: \$ 472,593.10  
Total Initial Grant Amount: \$1,250,000.  
Balance remaining: \$ 777,406.90

Spend Rate per month: \$ 13,899.80

At this rate there is enough funding for several years. The grant period (as extended) runs through 9-30-2020. FRA has given verbal approval to apply for, and hopefully approve, another no-cost extension to be requested and the intent was to begin the request process in the Spring 2020.

Establishing timeline and next steps for another no-cost Grant Agreement extension:

Steve Hewitt suggested during the 10-16-19 FASC call that the NGECE process for making the extension request should begin earlier in order for the Executive Board to formalize its request by the NGECE Annual Meeting – thus providing Amtrak and FRA grants offices with ample time to complete their process.

NGECE Annual By-Laws Review:

On the 10-16-19 FASC call, Steve Hewitt and Ray Hessinger were tasked with conducting the Annual Review of the By-Laws. They will then present any recommended changes at the November or December meeting of the FASC. Following FASC approval of any changes, the updated By-Laws with the changes noted will be submitted in writing to all Executive Board members 30 days prior to a vote in consideration of adoption.

- Developing proposed NGECE Re-authorization Language – scope and funding:

This task is complete. Language, scope and funding have been provided to Amtrak, AASHTO and states for their use.

TRB session – NGECE 10 years of Progress:

The session has been scheduled for 1-14-20 at 10:15am.

Session Title: "The NGECE – 10 Years of Progress"

Panelists:

Presentation Title: "NGECE Goals and Policies"

Eric J. Curtit, Chair - NGECE Executive Board

Administrator of Railroads

Missouri Department of Transportation

105 West Capitol Avenue

Jefferson City, MO 65102

C: 573.291.5394

[eric.curtit@modot.mo.gov](mailto:eric.curtit@modot.mo.gov)

Presentation Title: "NGECE Technical Subcommittee and Specification Development"

Charlie King, Vice Chair - NGECE Executive Board – Chair - NGECE Technical subcommittee

VP Mechanical and Chief Mechanical Officer

National Railroad Passenger Corp. Amtrak

4001 Vandever Ave. Building 12, Room 202

Wilmington, DE 19802

C: 904 378-6095

[Charles.King@amtrak.com](mailto:Charles.King@amtrak.com)

Presentation Title: "The States' Role"

John Oimoen

Deputy Director of Railroads

Illinois Department of Transportation

69 W Washington Suite 2100

Chicago, IL 60602.

312 793-4222

[John.Oimoen@illinois.gov](mailto:John.Oimoen@illinois.gov)

Presentation Title: "The Federal Role"

Jeffrey Gordon

Federal Railroad Administration

55 Broadway, Room 935  
Cambridge, MA 02142  
617 494-2303  
[Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov)

Presentation Title: "The Industry Role"  
Larry Salci  
SalciConsult  
Management Consultant - Transportation  
C:314 705-0546  
[larry@salciconsult.com](mailto:larry@salciconsult.com)

Support for the panelists:  
Stephen J Hewitt  
NGEC Program Manager  
Hewitt Consulting  
6647 Breezewood Blvd.  
Myrtle Beach, SC 29588  
C: 845 616-3076  
[Shewitt109@aol.com](mailto:Shewitt109@aol.com)

Preparing for the 10<sup>th</sup> NGEC Annual Meeting 2-21-20:

Sending out announcement to all NGEC members -timeline:

Steve Hewitt will formally send a notice, including hotel information to all NGEC members – states, Amtrak, FRA and the industry by late this week, or early next week:

The hotel is the Hyatt Regency Capitol Hill Washington, DC. The link for reserving a room is below:

<https://www.hyatt.com/en-US/group-booking/WASRW/G-APT5>

The rate is \$149 per night. Currently this is for double bedded rooms only; anyone wanting a King will need to contact the hotel directly to see if this is a possibility. However, additional cost may be incurred.

Preparing a DRAFT agenda – Steve and Eric have begun to develop a DRAFT agenda for the meeting and at this point the intent is to begin the meeting with registration at 8:00am with the meeting concluding around 1:00pm. Steve and Eric will provide the first DRAFT agenda to Board members in advance of the next call (11-5-19).

Appointing a nominating Committee – for Election of Executive Board Members and NGEC officers – Since this is an election year – all state members of the Executive Board will need to be nominated to serve another two-year term. (Amtrak retains two slots on Board and FRA retains one slot). A nominating committee should be appointed to ascertain who on the current Board are willing to continue to serve and provide the names to the full Committee (including candidates to fill vacancies if there are any). The nominating committee reports out at the Annual Meeting and the state Board member nominees are then voted on. Following the election, the states caucus and name their officers. Per the NGE precedent, Amtrak's CMO retains the Vice Chair seat and Amtrak retains the Treasurer's seat. The states elect the Chair and Vice Chair.

NGEC two pager – Revise/ Update – Eric and Steve will take a first look at updating the NGEC two-pager and present their recommendations in November.

During the month of November 2019, the Executive Board met two times, via conference call, on the 5<sup>th</sup> and the 19<sup>th</sup>.

Highlights, decisions, and action items from the month of November 2019 include:

Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 11-30-19 - provided by Caltrans:

FDR for the standard coach is complete. Cab Car PDR action items are closed, and the FDR has been approved by Caltrans.



The Complete Coach FAI is taking place this Wednesday and Thursday in Sacramento. Various tests continue at TTCI with cars 1 and 2 and the instrumented wheelset has been validated for the upcoming NEC testing. Car #3 has arrived in Ottawa for climate room testing.

The first 35 carshells are in production at Siemens Sacramento Facility. Carshell #4 is fully assembled and ready for First Car FAI. The remaining carshells are in various stages of component installation, welding, integration, painting or storage.

Most system-level FAIs for standard coach are complete. Cab Car Structure IDR documents have been submitted and are in review. The IDR meeting for the carshell is scheduled for December 11.

Status Update: Metro North Dual Mode Locomotive Procurement as of 11-30-19:

Metro-North continues to negotiate to come up with a conforming specification to allow vendors to submit bid proposals.

Amtrak Locomotive Procurement as of 10-31-19:

On the Acela replacement:

Trainset 1 is together –power car on both ends.  
Trainset 2 is being put together for the NEC.  
Tilt testing has been completed and has been or will be submitted to the FRA.  
Passenger cars are in the final testing and once complete will be submitted to FRA.

On the Locomotives:

Design review is well underway – there are some changes being processed and in the near future Amtrak will come back to the states with some of the adjustments being made.

The issue of snow ingestion is being addressed and Siemens appears to have a solution for it.

On the Trainsets:

The RFP is due back this month.

On the Maintenance of Way Yard Locomotive Replacements:

The RFP was due back this month (November).

METRA Equipment Procurement status:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They are going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but John does not know if they plan to use it or if they will be in contact with the NGEC or not.

There will be future updates as appropriate. Nothing new reported in November 2019.

Document Control Update – 11-30-19:

Two open items as of 11-30-19 were:

Completing the compiling of changes to comprise the 305-007 Trainset Specification Revision B and reaching out to Cameron Cordell regarding her availability to take on the technical writing for the Equipment Acquisition and Ownership Best Practices/Lessons Learned reference document.

VIA Rail Equipment Procurement – status as of 11-30-19:

On 10-8-19, Robert Becker, VIA Rail, reported to the Executive Board that things are going well – with several mock-ups taking place currently and over the next several months. Overall things are moving forward on schedule and in good shape so far.

The next update is scheduled for December 3, 2019.

The Equipment Acquisition and Ownership Working Group activities as of 11-30-19:

The working group is waiting for one last section to be updated (Planning) – once that is done, we will be reaching out to Cameron Cordell to take on the technical writing task if available.

On the last call of the Executive Board (11-5-19) Tammy Krause agreed to reach out to Cameron Cordell about her availability and willingness to take on the assignment.

Steve Hewitt will follow up with Tammy to confirm that she has reached out to Cameron and determine if she is, indeed, available to take on this task.

Update: States and Amtrak – Charger Locomotive Experience (last update 7-30-19):

Mid-West States Experience:

The Charger locomotives have been running for 2-years and are working well with all of the locomotives in service and only the normal “teething” issues occurring and being worked through.

One area that they are striving for improvement and are making improvements on is parts availability and field service. These issues are challenging but being worked out and improving.

There have been several vehicle strikes and debris strikes in the Mid-West, but the good news is that the Crash Energy Management (CEM) performed very well. The engineers were very satisfied with the safety of the cabs.

Overall, they are very pleased with the performance of the locomotives.

California Experience:

Caltrans reported on the average number of miles and engine hours for the locomotives in the various sections of the state where they are being used and noted that they are performing well.

There have been several debris strikes and Siemens and Amtrak are working on repairs.

Caltrans has exercised its option for continuing technical support with Siemens after the warranty has expired.

There have been some instances of ice build-up on the HVAC and they are working on determining the root cause.

Overall, the locomotives are performing very well.

Washington State Experience:

No report provided

Amtrak Experience:

Amtrak has held several meetings with Siemens on parts availability as “we continue to support the states” as our partners.

Amtrak is leasing a state unit to test in Long Distance service. Rolling Stock Engineers are on board to see how the locomotives perform in the hot days and high altitudes. The locomotive is in the trail, not lead, position on this test.

So far it has performed extremely well.

The intent is to also conduct a test in the winter weather to see how it fares. And they are working on

resolving the snow ingestion issues that occurred last winter.

Next update: NGEC Annual Meeting February 2-20

2019 NGEC two-pager educational document:

The 2019 NGEC two-page educational document was formally released on 2-22-19 at the NGEC Annual Meeting (distributed to all attendees.

As of 10-31-19 the NGEC program Manager, Steve Hewitt, has distributed 265 hard copies and 393 electronic copies.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

The NGEC Executive Board is in the process of updating the document in advance of the Annual Meeting.

FASC update and Treasurer's Report as of 11-30-19:

Treasurer's Report:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$ 472,593.10

Balance remaining: \$ 777,406.90

Spend Rate per month: just under \$14,000 per month

At this rate there is enough funding for three years (36 months) which, at the current spend rate would allow for a cushion of about \$42,000. FRA has given verbal approval to apply for, and hopefully approve, another no-cost extension to be requested.

Requesting a no-cost grant agreement extension:

On the last FASC call (11-13-19), the question of whether the request for a no-cost extension can be for one year only or for multiple years. It is believed that multiple year extensions are allowed, but the FASC has asked FRA for confirmation. Once the answer is provided, hopefully by the next FASC call, (12-11-19) the subcommittee will make a recommendation to the Executive Board to formally request a no-cost grant agreement extension for 36 months if allowed or for 12 months if that is the maximum allowed time period.

NGEC Annual By-Laws Review:

Tim Ziethen reported that on behalf of the Finance and Administrative subcommittee, Steve Hewitt and Ray Hessinger conducted the Annual By-Laws Review and recommended that no changes or revisions were needed. Subsequently the FASC voted to accept the recommendation and formally request that the Executive Board act accept the recommendation that no changes or revisions were needed to the NGEC By-Laws at this time, and that the activity (conducting the annual review is complete).

A motion to accept the recommendations of the FASC was offered by Allan Paul, NCDOT, and was seconded by Ray Hessinger, NYSDOT.

With a quorum having been established and no objections being raised, Charlie King determined that consensus was achieved, and the motion is approved.

This task is complete

TRB session – NGEC 10 years of Progress:

As reported previously, TRB has confirmed the date and time for "The NGEC -10 Years of Progress" as:

Tuesday, 1-14-20 10:15AM.

The confirmed participants/panelists for the NGEC are:

Eric Curtit, Chair - NGEC Executive Board - Presentation Title: "NGEC Goals and Policies"

Charlie King, Vice Chair - NGEC Executive Board – Chair - NGEC Technical subcommittee - Presentation Title: “NGEC Technical Subcommittee and Specification Development”

John Oimoen, Deputy Director of Railroads, Illinois DOT - Presentation Title: “The States’ Role”

Jeffrey Gordon, Federal Railroad Administration - Presentation Title: “The Federal Role”

Larry Salci, SalciConsult - Presentation Title: “The Industry Role”

Steve Hewitt - NGEC Program Manager – will attend as support for the panel.

Steve Hewitt has provided the NGEC PowerPoint Template to all panelists.

Each panelist should plan for about a 15-minute presentation.

Once all presentations are prepared, panelists should provide them to Steve Hewitt who will make sure all panelists have them all.

Steve Hewitt has reached out to Jack Madden about a timeline and logistics for getting the presentations in to TRB. Jack has asked TRB but has not gotten a response yet. It is Jack’s belief that TRB usually wants the presentations 30 days in advance in order to load them into their system. Based on that assumption, Steve Hewitt suggested that panelists should be prepared to submit their presentations to Steve by 12-13-19.

Steve Hewitt will send an email to the NGEC panelists noting this deadline.

Preparing for the 10<sup>th</sup> NGEC Annual Meeting 2-21-20:

The formal announcement went out in November inviting all NGEC members (states, Amtrak, FRA and the industry) to attend the Annual Meeting.

The hotel is the Hyatt Regency Capitol Hill Washington, DC. The link for reserving a room is below:  
<https://www.hyatt.com/en-US/group-booking/WASRW/G-APT5>

The rate is \$149 per night. Currently this is for double bedded rooms only; anyone wanting a King will need to contact the hotel directly to see if this is a possibility. However, additional cost may be incurred.

Steve Hewitt reviewed the DRAFT agenda with Board members on 11-19-19 and asked for clarifications on speakers and for changes or suggestions for additional topics by the next Exec Board call 12-3-19.

Tim Ziethen has reached out to Ken Altman, Amtrak Government Affairs, and has exchanged emails, but will contact him to confirm, by the next Board call 12-3-19, if he is available or who from his staff would be available.

Michael Iestingi is following up within FRA to determine who will provide the FRA update.

Steve Hewitt spoke to Mario Bergeron to ascertain VIA Rail’s interest in providing an update presentation at the Annual Meeting. Mario agreed that VIA Rail will be at the meeting and would give an update. He asked Steve to list him (Mario Bergeron) and Bob Becker as presenters.

Bob Becker confirmed on today’s call that VIA Rail will be there and will provide an update.

All Board members are asked to confirm their attendance at the Annual Meeting by 12-3-19, if possible, and those who are slated to speak are asked to confirm their availability by that same date.

Appointing a nominating Committee – for Election of State Executive Board Members:  
On 11-5-19, Eric Curtit called for two state members to volunteer to join him as the nominating committee to put forward the State Board members to be elected (re-elected) to new 2-year terms of office. There were no volunteers today. Eric will follow up to request volunteers for the nominating committee. Eric is not on today’s call and has not appointed the nominating committee at this point.

By 12-3-19, a nominating committee will be appointed.

Item: The NGEC submitting a letter to the Hill on the merits of making Strategic Investments in next generation equipment:

On 11-19-19, Mike Jenkins, Oregon DOT, raised the possibility of the NGEC submitting a letter to Congress (following its recent Hearing on Amtrak) on the merits of strategic investments in next generation equipment. He had sent the suggestion to Eric and Steve but did not know if they had a chance to discuss it yet. He believes the record will remain open for 15 days.

Steve noted that he and Eric have not talked about it and added that because the NGEC members include FRA and Amtrak, it is always difficult, as a body, for them to weigh in with letters to Congressional Committees. He added that the States for Passenger Rail Coalition, whose membership is all states, may be the better vehicle.

Mike agreed that SPRC should also weigh in, but still feels that it would be appropriate and beneficial for the NGEC to weigh in.

Charlie King asked Steve to discuss this with Eric and to add it as an agenda item for the next call.

During the month of December 2019, the Executive Board met two times, via conference call, on the 3rd and the 17th.

Highlights, decisions, and action items from the month of December 2019 include:

**Special Announcements and acknowledgements – December 2019:**

- Allan Paul, NCDOT, announced his retirement from state service and informed the Executive Board that 12-17-19 was his last NGEC call.

Allan was a legacy member and contributed his time, energy and expertise to both the NGEC Executive Board and the Technical subcommittee. Allan you will be missed greatly!

NCDOT will now be represented on the Executive Board by Jason Orthner with Jon Dees as the alternate. On the Technical subcommittee, NCDOT will be represented by Mathew Simmons with Curtis McDowell serving as his alternate.

- Tim Hoeffner, Michigan DOT, has also announced his retirement from state service effective in January 2020. Tim has been a long serving member of the NGEC Executive Board and the Finance and Administrative subcommittee and his contributions, like those of Allan Paul, have made a tremendous impact on the success of the NGEC and you will also be missed greatly!
- A successor for Tim's roles within the NGEC has not yet been named.
- Chairman Eric Curtit, MODOT, announced in December that he has accepted a promotion as Director of Planning at the department and will no longer have Rail as a part of his responsibilities at Missouri DOT. Eric will remain on as Chair of the NGEC up until the election of new officers during the 2-21-20 NGEC Annual Meeting.

Eric has been a tremendous leader and visionary for the NGEC. He has worked tirelessly to advance the work of the Committee and has been the NGEC's driving force. Eric participated on all NGEC subcommittees and working groups, while serving as chair, and has been the Committee's greatest advocate.

Eric, your energy, expertise, and enthusiasm were invaluable, and you will be missed greatly! We thank you for all you have given and all you have meant to the success of the NGEC.

A successor to Eric as Missouri DOT's representative to the NGEC has not yet been named.

- Equipment Procurement Updates:
- Status Update - Multi-State Rail Car Procurement as of 12-17-19 - provided by Caltrans:

- FDR for the standard coach is complete. Cab Car PDR action items are closed, and the PDR has been approved by Caltrans.
- The Complete Coach FAI occurred on November 13-14 in Sacramento. The action items have been recorded and the FAI findings are being worked through. Testing continues at TTCL on cars 1 and 2 with Trainline Functional Testing occurring this week. Car #3 continues with climate room testing in Ottawa. Caltrans and IDOT are witnessing tests in both locations. Car #3 will be shipped to the NEC for FRA 213.345 validation after climate room testing is complete.
- 43 cars are in production at Siemens Sacramento Facility. Car #4 is the FAI car and undergoing work to address the FAI findings. The remaining carshells are in various stages of component installation, welding, integration, painting or storage.
- Most system-level FAIs for standard coach are complete. IDOT End Door FAI is occurring this week. Cab Car Structure IDR meeting was conducted Wednesday, December 11. Amtrak visited Siemens in Sacramento on December 11 & 12 to review the completed car features.

- Status Update: Metro North Dual Mode Locomotive Procurement as of 12-3-19:

Metro-North continues to negotiate to come up with a conforming specification to allow vendors to submit bid proposals.

- Amtrak Locomotive Procurement as of 12-17-19:

On the Acela replacement:

Prototype one is on the test track at Hornell and in following that it will be going to TTCL – all is going well so far.

Prototype two is being put together and will be tested in March in Philadelphia.

On the “Charger” Locomotives:

Amtrak was at Siemens on 12-11-19 and all is going well and on time still looking at an early spring 2021 delivery.

Charlie King thanked IDOT for its support in winter testing of the locomotives. They had previously done summer testing and were now going to do winter testing.

On the Trainsets:

Bids are in and are being reviewed in the two evaluation committees with the goal of completing the review in time for the January or March Amtrak Board Meetings.

- METRA Equipment Procurement status:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They are going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but John does not know if the plan to use it or if they will be in contact with the NGEC or not.

There will be future updates as appropriate. Nothing new reported in December 2019.

- Document Control Update – 12-17-19:

Revision B of the Trainset specification should be completed by the end of this month. Camren is also working on the Ownership and Acquisition document. The next specification to be updated is going to be the Diesel Multiple Unit. That is my update.

Steve Hewitt asked if Tammy had received a timeline and anticipated cost from Cameron for the Equipment Acquisition and Ownership best practices document.

Tammy replied that she had asked but has not heard back.

Steve noted that he would keep asking, although there is money in the budget line for this work, it was still appropriate to provide AASHTO with a heads up on anticipated costs and the Board with a timeline for completion.

- VIA Rail Equipment Procurement – status as of 10-31-19:

VIA Rail was not available to provide an update in December. On 12-17-19, Steve Hewitt recommended, and the chair agreed, tabling this item until the Annual Meeting to take place on 2-21-20. VIA Rail has confirmed that it will be at the Annual Meeting and will give an update presentation.

- The Equipment Acquisition and Ownership Working Group activities as of 12-30-19:

All sections (1-4) have been provided to the Technical writer. A timeline for completion and a scope of work/costs have been requested.

- Update: States and Amtrak – Charger Locomotive Experience (last update 7-30-19):

Mid-West States Experience:

The Charger locomotives have been running for 2-years and are working well with all of the locomotives in service and only the normal “teething” issues occurring and being worked through.

One area that they are striving for improvement and are making improvements on is parts availability and field service. These issues are challenging but being worked out and improving.

There have been several vehicle strikes and debris strikes in the Mid-West, but the good news is that the Crash Energy Management (CEM) performed very well. The engineers were very satisfied with the safety of the cabs.

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California Experience:

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see how the locomotives perform in the hot days and high altitudes. The locomotive is in the trail, not lead, position on this test.

So far it has performed extremely well.

The intent is to also conduct a test in the winter weather to see how it fares. And they are working on resolving the snow ingestion issues that occurred last winter.

Next update: NGEC Annual Meeting February 2-20

- 2019 NGEC two-pager educational document:

The 2019 NGEC two-page educational document was formally released on 2-22-19 at the NGEC Annual Meeting (distributed to all attendees).

As of 12-30-19 the NGEC program Manager, Steve Hewitt, has distributed 265 hard copies and 393 electronic copies.

Additional copies can be obtained by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- 2020 NGEC two-pager educational document:

The NGEC Executive Board approved updates to the two-pager. MODOT Graphic Arts completed the updates and 400 copies have been printed. These copies will be mailed to Steve Hewitt who will distribute copies to all attendees at the Annual Meeting and make them available throughout the year upon request (hard copy or electronic).

- FASC update and Treasurer's Report as of 12-17-19:

- a. Balance-Spend Rate:

Tim Ziethen reported:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$496,446.52

Balance remaining: \$ 753,553.48

Spend Rate per month: \$13,417.47

Projected spend in the remaining months of the current grant: \$147,592.21

Balance anticipated at the end of the grant period (9-30-20): \$605,961.27

Expenditures anticipated in a 36-month no-cost extension: \$540,000.00

Average Monthly expenditure: \$15,000.00

Balance remaining at the end of the 36-month extension: approximately \$65,000.00

- b. FRA Clarification – is there a 12-month limit on the length of a no-cost extension – or can it be for multiple years?

During the call on 12-11-19, Tim Ziethen received confirmation from Amtrak grants that they had gotten an affirmative response from FRA that a multiple year no-cost grant extension can be requested.

Amtrak grants has noted that the request for a multi-year no-cost extension must be submitted prior to a July-September window of opportunity. This would mean that the NGEC Executive Board should act on formalizing its request to Amtrak/FRA for a no-cost extension at the NGEC Annual Meeting. This would provide ample time for Amtrak grants to file the appropriate forms for the request in advance of the narrow window.

- TRB session – NGEC 10 years of Progress:

Jack Madden, (Liaison with NGEC and TRB) provided the following for update on 12-17-19:

Jack Madden Logistics Comments for NGEC TRB Session 1470, Tuesday, January 14, 1015 am, Room 144B, Walter Was



"Mr. Chairman,

First, congratulations on your new position at Missouri DOT. We wish you well in this endeavor and regret that you will not be able to join us for the NGE C session at the TRB 2020 Annual Meeting.

Steve has asked me to review the logistics involved for the session. I have provided these comments to Steve for inclusion in the minutes, so you do not have to take notes.

The Session title is: 'Next-Generation Corridor Equipment Pool Committee: 10 Years of Progress'  
It is scheduled on Tuesday, January 14<sup>th</sup> from 10:15 AM- 12:00 PM in Room 144B of the Walter Washington Convention Center, 801 Mt Vernon PI NW, Washington, DC 20001. The Convention Center occupies three city blocks.

I have provided Steve an attachment which lists all the TRB hotels and their location with respect to the Convention Center.

Each of you should have already registered on the TRB site for the Annual Meeting and received your registration badge and materials ticket in the mail. Mine postmarked 12/13 and arrived Monday.

Check in at the Registration Desk at Salon GHI (street level, next to main lobby) to confirm your attendance receive a badge holder & lanyard, and receive a hard-copy printed program. The registration hours are:

Sat, 1/11 3p-7p  
Sun, 1/12 7a-7p  
Mon,1/13 7a-6p  
Tue, 1/14 7a-6p

As of today, the Online Visual Aid Submission Site is still not open for submission of your presentations. When it is, TRB will let us know.

As a work around, I ask that each speaker do the following:

1. Email me their presentation not later than Friday, December 27<sup>th</sup>. I will load them on a jump drive and take them with me to TRB as a backup for you.
2. Upon your arrival at TRB, please visit the On-site Ready Room in the Convention Center, Street Level, Salon F. You can upload your presentation to the central server there. The hours are:
  - a. Sat, 1/11 3p-7p
  - b. Sun, 1/12 7a-6p
  - c. Mon,1/13 7a-6p
  - d. Tue, 1/14 7a-6p

The sequence of presentation at the Session is listed on the TRB Annual Meeting webpage in this order:

NGEC Goals and Policies  
Eric Curtit, Missouri Department of Transportation  
P20-20730

[As John is going to substitute for Eric, I ask that John prepare Eric's presentation separately, and load it separately, so as to maintain the correct order.]

NGEC Technical Subcommittee and Specification Development  
Charles King, National Railroad Passenger Corporation (Amtrak)  
P20-20731

The States' Role  
John Oimoen, Illinois Department of Transportation

P20-20732

The Federal Role  
Jeffrey Gordon, Federal Railroad Administration (FRA)  
P20-20733

The Industry Role  
Larry Salci, Larry Salci Consulting Services  
P20-20734

I also ask each presenter to email me by December 27<sup>th</sup> a one-paragraph biographical summer which I can use to introduce each speaker.

I will be arriving at TRB on Saturday afternoon, 1/11 and will be staying at the Grand Hyatt, 1000 H Street, NW. My cell phone number is 603-305-2419 and my email address is [maddenj@erdmananthony.com](mailto:maddenj@erdmananthony.com).

Are there any questions?"

Steve Hewitt asked about speakers registering for TRB as he did not believe any of them had at this point. Jack pointed the speakers to the TRB website for registration for TRB. Steve Hewitt asked if there was a cost for registration. Jack noted States and FRA were "free" others (he was not sure about Amtrak) would be charged a registration fee. Tammy Krause mentioned that she had gotten a one-day free pass from TRB when she last spoke there.

Eric noted that if it ends up that there is a cost, the individual speaker (Amtrak and/or Larry Salci) charged the cost should request reimbursement from the NGECC.

Jack Madden agreed to inquire of TRB the availability of a one-day pass for those speakers who are not from a state or FRA.

Eric Curtit thanked Jack for his information and his help in facilitating this session at TRB. Eric also noted that, if the TRB hotels blocks were not available, he recommended trying the Capitol Hill Hotel. It is one where he (Eric) has had great success in getting government rate and it is right across the street from a metro stop – thus making it very convenient.

Eric also noted that he will provide John Oimoen and the other NGECC panelists with some talking points for the Goals and Policies presentation.

- Preparing for the 10<sup>th</sup> NGECC Annual Meeting 2-21-20:

The formal announcement went out in November 2019 inviting all NGECC members (states, Amtrak, FRA and the industry) to attend the Annual Meeting.

The hotel is the Hyatt Regency Capitol Hill Washington, DC. The link for reserving a room is below:

<https://www.hyatt.com/en-US/group-booking/WASRW/G-APT5>

The rate is \$149 per night. Currently this is for double bedded rooms only; anyone wanting a King will need to contact the hotel directly to see if this is a possibility. However, additional cost may be incurred.

On 12-17-19, Steve Hewitt reviewed the DRAFT agenda for the Annual Meeting and asked for confirmation of speakers where possible.

Steve Hewitt also noted that he had distributed a new (10<sup>th</sup> Anniversary edition of the PowerPoint template – thank you Mario Bergeron!)

Steve Hewitt reported that the current list of registrants for the NGECC Annual Meeting stands at 26 – 13 of those are industry members. Board members and support staff need to confirm their attendance with Steve ASAP for name badges, tent cards and head count as well as for confirmation of a quorum.

Also, on 12-17-19, Tim Ziethen informed Steve Hewitt that Joe McHugh had agreed to provide the Amtrak update at the Annual Meeting.

Michael Lestingi, FRA, told Steve Hewitt to list him as providing the FRA update, with the understanding that he has forwarded the request up the chain and if there is a change, he will let the Board know.

Tammy Krause confirmed that she will be at the Annual Meeting and will provide the Annual Document Management update.

During the month of January 2020, the Executive Board met two times, via conference call, on the 14th and the 28th.

Highlights, decisions, and action items from the month of January 2020 include:

#### Equipment Procurement Updates:

Status Update - Multi-State Rail Car Procurement as of 1-28-20 - provided by Caltrans:

FDR for the standard coach is complete. Cab Car PDR action items are closed, and the PDR has been approved by Caltrans.

The Complete Coach FAI occurred on November 13-14 in Sacramento.

Testing continues at TTCI on cars 1 and 2 with results of the 2-Car friction brake performance and lighting tests being finalized. Side door cycle testing is scheduled for this week. The climate room testing is ongoing in Ottawa. Car #3 will be shipped to the NEC for FRA 213.345 in February. Plans are in work to ship an additional two cars to TTCI for PTC Brake Testing.

45 cars are in production at Siemens Sacramento Facility. Car #4 is the FAI car and production is reworking open items. The remaining carshells are in various stages of component installation, welding, integration, painting or storage.

System-level FAIs for standard coach are nearly complete with remaining action items under review. Cab Car Structure IDR meeting was held in December and FDR is tentatively planned for February. The IDOT Galley Layout FDR documents have been submitted and the FDR meeting is scheduled February 5 & 6.

Status Update: Metro North Dual Mode Locomotive Procurement as of 1-28-20:

Metro-North continues to move forward on its Dual Mode Locomotive Procurement.

Amtrak Locomotive Procurement as of 1-28-20:

On the Acela replacement:

Trainset 1 has been undergoing testing and dynamic runs at Hornell with good results and is going to Pueblo.

Trainset 2 has begun dynamic runs at Hornell.

The other trainsets are in various stages of the assembly process.

On the Locomotives:

This procurement continues to progress with a target of next Spring.

On the Trainset (AmFleet replacement):

They continue to be in the bid review phase by the Amtrak technical and finance committees and it is hoped that a decision will be made by March 2020.

METRA Equipment Procurement status:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They are going through the process now. Interested parties were to respond by August 2019.

METRA has the NGECC specification, but John does not know if they plan to use it or if they will be in contact with the NGECC or not.

There will be future updates as appropriate. Nothing new reported in December 2019.

Document Control Update – 1-28-20:

Revision B of the Single Level Trainset specification should be finished this week. Camren had a few follow-up questions that should be addressed later today. I will ask Steve to send out an email when it is complete and listed on the website.

The Diesel Multiple Unit Revision A DCRs are started. I hope to send them out before the Technical Subcommittee next week. After I have the total number of changes, I will put together a timeline.

Camren is currently working on the Equipment Acquisition Best Practices Report and she should hopefully have it done next week. I have not received the scope from her yet, but I hope to receive after our call today.

VIA Rail Equipment Procurement – status as of 10-31-19:

On the last update – 10-8-20 it was reported that things were going well – with several mock-ups taking place over the next several months. Overall things were moving forward on schedule and in good shape so far.

Next planned update: NGECC Annual Meeting 2-21-20

The Equipment Acquisition and Ownership Working Group activities as of 1-28-20:

All 4 sections have been sent to technical writer Cameron Cordell to compile into a complete “one voice” document. Tammy Krause was to follow up on Cameron’s progress and report back to the Executive Board.

Tammy will be speaking with Cameron today (1-28-20) and will get a better sense of the timeline. It was agreed that the priority is to complete 305-007 Revision B first, and then focus on completing the Best Practices DRAFT.

Update: States and Amtrak – Charger Locomotive Experience (last update 7-30-19):

Mid-West States Experience:

The Charger locomotives have been running for 2-years and are working well with all of the locomotives in service and only the normal “teething” issues occurring and being worked through.

One area that they are striving for improvement and are making improvements on is parts availability and field service. These issues are challenging but being worked out and improving.

There have been several vehicle strikes, and debris strikes in the Mid-West, but the good news is that the Crash Energy Management (CEM) performed very well. The engineers were very satisfied with the safety of the cabs.

Overall, they are very pleased with the performance of the locomotives.

California Experience:

Caltrans reported on the average number of miles and engine hours for the locomotives in the various sections of the state where they are being used and noted that they are performing well.

There have been several debris strikes and Siemens and Amtrak are working on repairs.

Caltrans has exercised its option for continuing technical support with Siemens after the warranty has expired.

There have been some instances of ice build-up on the HVAC and they are working on determining the root cause.

Overall, the locomotives are performing very well.

Washington State Experience:

No report provided

Amtrak Experience:

Amtrak has held several meetings with Siemens on parts availability as "we continue to support the states" as our partners.

Amtrak is leasing a state unit to test in Long Distance service. Rolling Stock Engineers are on board to see how the locomotives perform in the hot days and high altitudes. The locomotive is in the trail, not lead, position on this test.

So far it has performed extremely well.

The intent is to also conduct a test in the winter weather to see how it fares. And they are working on resolving the snow ingestion issues that occurred last winter.

Next update: NGEAC Annual Meeting February 2-21-20

2020 NGEAC two-pager educational document:

The NGEAC two-pager has been updated for 2020 and printed by MODOT. Steve Hewitt has received 400 hard copies and will distribute a hard copy to all NGEAC Annual Meeting attendees. The hard copies are available by request.

50 copies were sent on 1-10-20 to Jack Madden for distribution at TRB during the NGEAC session on 1-14-20.

Eric Curtit has sent Steve Hewitt the PDF version, so it is now available for distribution electronically.

Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com). If hard copy, let Steve know where to send them and how many.

FASC update and Treasurer's Report as of 1-28-20:

Balance-Spend Rate:

Tim Ziethen reported: (Includes Invoices through November 2019).

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$515,042.76

Balance remaining: \$ 734,957.24

Spend Rate per month: \$13,553.76

Projected spend in the remaining months of the current grant: \$155,537.57

Balance anticipated at the end of the grant period (9-30-20): \$579,419.67

Expenditures anticipated in a 36-month no-cost extension: \$540,000.00

Average Monthly expenditure: \$15,000.00

Balance remaining at the end of the 36-month extension: approximately \$39,419.67

Next Steps/timeline in the process of requesting an extension through the Exec Board process

Tim confirmed the process to formally request a no-cost grant agreement entails submitting a GARF which is first presented to the executive Board for approval. The GARF would request a 36-month extension at no cost with the supporting budget documentation as based on the above information. The GARF must be submitted to the FRA in advance of the 90-day window for grant amendment requests (July1 – September 30, 2020).

The FRA has previously confirmed that the NGEAC is eligible to request a multi-year no-cost grant agreement extension. On 1-8-20, The FASC reviewed the current balance remaining and the anticipated monthly run rate and has agreed that there is ample funding remaining to support a 36-month extension beginning 10-1-20 through

9-30-23 with a cushion of around \$51,000 at the end of the extension.

The FASC has recommended that the Executive Board go forward with the process for requesting a 36-month no cost grant agreement extension.

Tim completed a DRAFT GARF and asked for internal review by the Amtrak Grants office. The Grants office provided a positive review and the next step is to have Amtrak legal review it. In the meantime, Tim suggested that the NGEC Executive Board approve the recommendation of the FASC to go forward with the 36-month no-cost extension.

On a motion by Tim Ziethen, Amtrak, and a second by Brian Beeler II, for Maine DOT, the Executive Board agreed with the recommendation to take the steps necessary for formally requesting a 36-month no cost grant agreement extension. (The extension would be for the period beginning on 10-1-20 through 9-30-23).

With a quorum having been established and no objections being offered, Chairman Curtit determined that consensus was achieved, and the motion is approved.

TRB session – NGEC 10 years of Progress:

Charlie King reported that the TRB session went very well and was well received. Jack Madden “was the orchestra leader” – thank you Jack, and the presenters all did a great job of getting the point across to those in attendance.

The presenters made it clear that the NGEC specifications save Amtrak, FRA and states money and time on engineering and in getting the product out safely.

Special thanks to John Oimoen, IDOT, who had double duty in giving the Chairman’s presentation as well as his own state’s perspective presentation.

Steve Hewitt reported that he had received a request from Jack Madden to see if there was interest from Board members to participate and reprise some or all of the presentations given during TRB at the Rail Tech Conference & Expo in Worcester, MA on March 19<sup>th</sup>. Steve thanked Jack and told him he would ask Board members about it on the 1-28-20 call. Steve noted that with the week of meetings taking place in DC in February, it may be difficult for members to travel again in March.

It was agreed that Steve Hewitt will inform Jack Madden that the NHEC members will not be able to participate at this conference, but the presentations from TRB will be available on the NGEC website.

Steve Hewitt will also ask Jack Madden for the name of his contact at Keolis and he will extend an invite to become an industry participant of the NGEC.

Preparing for the 10<sup>th</sup> NGEC Annual Meeting 2-21-20:

The Annual Meeting will take place on 2-21-20 at the Hyatt Regency Hotel Capitol Hill, Washington, DC. The meeting will begin with coffee and registration at 8:00am and will end at 1:00pm. If you have not registered your attendance with Steve for the Annual Meeting, please do so by 2-7-20 so that an accurate head count can be provided to AASHTO and the appropriate tent cards and name badges can be printed.

Currently (2-5-20) there are 73 registrants for the meeting.

NGEC Leadership Transition – Nominating Committee update as of 2-5-20:

On 1-28-20, Eric Curtit reported on the fact that a nominating committee has been named and he has communicated with the members what their role is and provided some suggestions. Oklahoma DOT will no longer serve on the Board but will remain as a member state. Two states – Michigan and Missouri will need to name new representatives.

As of 2-5-20, Missouri has named a new Railroad Administrator – Troy Hughes and he has been named to serve on the Executive Board, the NGEC Technical subcommittee and the Finance and Administrative subcommittee.

Michigan has not communicated its intentions since the retirement of Tim Hoeffner.

During the month of February 2020, the Executive Board met two times, via conference call, on the 11th and in person at the 10<sup>th</sup> Annual Meeting of the NGEC held on 2-21-20 in Washington DC.

- Highlights, decisions, and action items from the month of February 2020, and from the NGEN Annual Meeting on 2-21-20 include:

The NGEN elected its Executive Board to two-year terms of office effective immediately. The Board also elected its officers to serve two-year terms of office effective immediately.

Executive Board Members:

Ron Pate, WSDOT  
 Kyle Grading, Caltrans  
 Jason Orthner, NCDOT  
 Mike Jenkins, Oregon DOT  
 Brian Beeler II, NNEPRA for Maine DOT  
 Ray Hessinger, NYSDOT  
 Troy Hughes, MODOT  
 Amanda Martin, IOWA DOT  
 Arun Rao, Wisconsin DOT  
 John Oimoen, IDOT  
 Michigan DOT

(Note: Michigan DOT has agreed to continuing to serve on the Board and will name its representative as soon as they have named the replacement for their Rail Division Director Tim Hoeffner who retired in January 2020.)

Tim Ziethen, Amtrak  
 Charlie King, Amtrak  
 Michael Lestingi, FRA

Officers of the NGEN Executive Board elected to two-year terms effective 2-21-20:

Chair – Ray Hessinger, NYSDOT  
 Vice Chair – Charlie King, Amtrak  
 Secretary – John Oimoen, IDOT  
 Treasurer – Tim Ziethen, Amtrak

- Technical subcommittee review of the Access Board Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

Whereas earlier this week (week of 2-17-20), the Access Board issued an Advance Notice of Proposed Rulemaking regarding an update to the accessibility guidelines for rail vehicles subject to the Americans with Disabilities Act and comments are due May 14<sup>th</sup>. Chairman Ray Hessinger charged the Technical Subcommittee with the task of comparing the proposed rules against our specifications and document any discrepancies.

- Executive Board review of NGEN documents to ensure there are no holes in the NGEN portfolio of specifications and other documents.

Chairman Hessinger noted that the Acquisition and Ownership report will be the first completely new document prepared by the NGEN in several years. This year, he will ask the Executive Board to consider whether there are any holes in our portfolio of specifications and other documents and if so, to begin the development of any such specification, guidance document or report.

- Ensuring the execution of the NGEN 36-month no-cost grant agreement extension – (10-1-2020 thru 9-30-2023):

The current grant with the FRA expires at the end of September 2020 and a no-cost time extension request has been submitted to the FRA for approval. Timely approval of this no-cost grant agreement extension is critical to a seamless continuation of NGEN operations for an additional 3 years. Chairman Hessinger tasked the FASC with continuing its efforts to shepherd this through the bureaucracy.

- On 2-21-20, the following appointments were made to fill vacancies:

As Chair – Ray Hessinger is an ex-officio member of the NGEC subcommittees. He is also Chair of the NGEC Review Panels and of the NGEC Equipment Acquisition and Ownership Best Practices and Lessons Learned working group. Steve Hewitt has added him to those groups accordingly.

John Oimoen, IDOT – Secretary of the NGEC Executive Board is appointed as second Vice-Chair of the Finance and Administrative subcommittee (FASC)

Troy Hughes, MoDOT is appointed to the NGEC Technical subcommittee and the NGEC FASC.

Jennifer Bastian, IDOT (pending confirmation of availability) is appointed to the NGEC Locomotive Review Panel

Phil Meraz, Iowa DOT is appointed to the NGEC Trainset Review panel

Phil Meraz, Iowa DOT is appointed to the NGEC Single Level Car Review Panel

Brian Beeler II, For Maine DOT is appointed to the NGEC DMU Review Panel

Momo Tamaoki, Caltrans is appointed to the NGEC DMU Review Panel

- Housekeeping items/actions:

All presentations will be distributed to the NGEC email list, providing they are not too large for transmittal, and will be posted on the NGEC website at [www.ngec305.org](http://www.ngec305.org)

All state members of the NGEC who have traveled to this meeting are asked to submit their expense reimbursement forms to Strat Cavros, AASHTO, at [scavros@aaashto.org](mailto:scavros@aaashto.org). Please submit these expense forms as soon as possible.

All industry members are asked to review the industry participants roster and provide any corrections, additions, deletions to Steve Hewitt as soon as possible. The list is only as good as the information provided.

The Executive Board will continue to meet bi-weekly every other Tuesday at 11:30am. The next call is scheduled for 3-10-20.

The NGEC Technical subcommittee will stay on its normal bi-weekly schedule (every other Thursday) with the next call taking place on 3-5-19.

The NGEC Finance and Administrative subcommittee will also stay on schedule and will meet on 3-4-19.

- The new NGEC two-pager educational document was distributed to all in attendance. These are now available in hard copy by request through Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com). Please let Steve know how many and where to send them. They will also be available electronically upon request (from Steve) or through the NGEC website.
- Progress Report – NGEC Equipment Acquisition and Ownership Best Practices and Lessons Learned Working Group as of 2-21-20:

The status of the NGEC Equipment Acquisition and Ownership Working Group' development of a Best Practices and Lessons Learned Reference document is:

The working group, made up of representatives from State DOTs, Amtrak, FRA and the industry has prepared a DRAFT report in 4 sections:

Planning - IDOT

Implementation - CALTRANS

Revenue Service – Dick Bruss/Industry

Sustainability – Washington State DOT

After each section was completed – the full working group was provided an opportunity to review and comment.

The sections were then updated by the team leaders to reflect the comments received.



Following that, the working group brought in NGECE Technical writer – Cameron Cordell – to compile the four sections into one format, one voice and to clean up redundancies or duplications.

As of 2-21-20, much of the compilation of the document, including formatting, has been completed. Several clarification questions from Cameron have been answered and she is nearly finished with the compilation DRAFT.

Once the DRAFT is done, it will be sent to the full working group for its review and comment. Ultimately, once the group is ok with the DRAFT, it will be sent to the NGECE executive Board for its review, comment and consideration of approval.

The intent was to have it ready for this Annual meeting, but it was determined by Chairman Curtit that it was better to do this right rather than rush it.

The intent is that this will be a living document which will serve as a guideline for future procurements and as reference for ongoing procurements throughout the process.

- METRA Equipment Procurement status:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They are going through the process now. Interested parties were to respond by August 2019.

METRA has the NGECE specification, but John does not know if the plan to use it or if they will be in contact with the NGECE or not.

There will be future updates as appropriate. Nothing new reported in December 2019.

- Document Control Progress Report – 2-21-20:

Next Generation Single Level Car

- PRIIA Specification 305-003
- Revision B.1 to Revision B.2
- 65 Specification Changes
- February 12, 2019

Next Generation Trainset

- PRIIA Specification 305-007
- Revision A to Revision B
- 70 Specification Changes
- October 22, 2019

Next Specification to Revise:

Next Generation Diesel Multiple Unit

- PRIIA Specification 305-009
- Revision is Initial Release
- September 4, 2012

- Treasurer's Report and NGECE Finance and Administrative subcommittee Progress Report 2-21-20:

At the Annual Meeting, Tim Ziethen, NGECE Treasurer and Finance and Administrative subcommittee (FASC) Chair, provided a progress report on the subcommittee's activities and accomplishments for 2019 and provided the NGECE Treasurer's Report as of 2-21-20.

FASC Update:

Updating the NGECE By-Laws

- The annual By Law review was conducted by the Finance and Administrative Sub-Committee (FASC)
- No changes or corrections were identified as needed and this was submitted for approval by the FASC to the NGECE Executive Board.
- On December 3, 2019, the Executive Board confirmed and adopted the recommendation that the By Laws would remain in their current form with no changes as recommended by the FASC
- Current version of the By Laws are posted to the website. Hard copies of the updated By Laws are included in today's meeting packet as info only

#### Build Educational and Outreach Documentation

- The NGECE has revised its two-page educational and awareness document and has distributed over 1,000 hard and soft copies
- Highlights the mission of the NGECE; its goals and results to date and modifies the vision statement to better reflect the NGECE as it is today
- Focus is on developing and maintaining Standardized Equipment Specifications
- Executive Board approved the revisions in November 2019 and the updated document has been released and can be shared with Stakeholder Community and Legislators. Copies may be requested by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

#### Funding Status

The grant agreement has been amended as noted earlier and extends the grant period by 12 months, at no additional cost, through September 30, 2020.

A request to extend the grant period through September 30, 2023 has been submitted to the FRA.

#### Treasurer's Report

- New Grant executed effective October 2016 and we are tracking against the SOW
- Spending is lower than planned – spending rate tracking at about \$14,000 per month
- Document Control Position moved to AASHTO Services
- 514 Subcommittee work moved to SAIPRC Equipment Working Group
- Grant Agreement performance period extended through 9-30-2020
- FASC has confirmed the ability to request another no-cost extension that could cover multiple years
- Financial analysis based on current spending would indicate that a 36 - month extension would be possible and has been approved by the Executive Board and has been submitted to the FRA
- Grant Reference FRA-AMT-0010-17-01-00

#### Summary Spending from Inception of Grant

| <b><u>NGEC 305 Grant Reporting</u></b>                                                           |                        |
|--------------------------------------------------------------------------------------------------|------------------------|
| <b>Current Grant - Period of Performance through 9/30/2020</b>                                   |                        |
| <b>Total Grant Spending (Paid/Accrued/Incurred costs through December 2019)</b>                  | <b>\$ 529,144.89</b>   |
| <b>Total Incurred for AASHTO/Services</b>                                                        | <b>\$ 523,872.76</b>   |
| <b>All Other</b>                                                                                 | <b>\$ 5,272.13</b>     |
| <b>Total Incurred for all WBS Line Items</b>                                                     | <b>\$ 529,144.89</b>   |
| <b>Grant Total</b>                                                                               | <b>\$ 1,250,000.00</b> |
| <b>Remaining Funds included accrued expenses - Balance</b>                                       | <b>\$ 720,855.11</b>   |
| <b>Projected Spend remaining months on Grant - Jan 2019 =&gt; Sept 2020</b>                      | <b>\$ 142,110.36</b>   |
| <b>Estimated Balance Remaining at end of current grant period of performance</b>                 | <b>\$ 578,744.75</b>   |
| <b>Amount utilized if Grant was extended for 36 Months at current spend rate (~\$15,000/mo.)</b> | <b>\$ 540,000.00</b>   |
| <b>Current Spend Rate</b>                                                                        | <b>\$ 13,567.82</b>    |
| <b>Estimated Balance at End of Extension Period (if approved)</b>                                | <b>\$ 38,744.75</b>    |

Prior Grant - Spending Through 9/30/2016

|                              | <b>Executive Board</b> | <b>Technical Sub-committee</b> | <b>Finance &amp; Admin. Sub-committee</b> | <b>"514" Equipment Capital Sub-committee</b> | <b>AASHTO Support Services</b> | <b>TOTAL</b>       |
|------------------------------|------------------------|--------------------------------|-------------------------------------------|----------------------------------------------|--------------------------------|--------------------|
| <b>Labor</b>                 |                        | \$515,710                      | \$193,001                                 |                                              | \$449,411                      | <b>\$1,158,122</b> |
| <b>Meetings</b>              |                        |                                |                                           |                                              | \$69,572                       | <b>\$69,572</b>    |
| <b>Travel</b>                |                        |                                | \$6,547                                   |                                              | \$130,197                      | <b>\$136,744</b>   |
| <b>Professional Services</b> |                        | \$198,406                      |                                           |                                              | \$1,359,320                    | <b>\$1,557,726</b> |
| <b>Financial Review</b>      |                        |                                |                                           |                                              |                                | <b>\$0</b>         |
| <b>Conference Calls</b>      |                        |                                |                                           |                                              | \$1,218                        | <b>\$1,218</b>     |
| <b>Webinar</b>               |                        |                                |                                           |                                              | \$79                           | <b>\$79</b>        |
| <b>Reserve (Contingency)</b> |                        |                                |                                           |                                              |                                | <b>\$0</b>         |
| <b>Web Site</b>              |                        |                                |                                           |                                              | \$0                            | <b>\$0</b>         |
| <b>TOTAL</b>                 | <b>\$0</b>             | <b>\$714,117</b>               | <b>\$199,547</b>                          | <b>\$0</b>                                   | <b>\$2,009,797</b>             | <b>\$2,923,461</b> |

Budget (New Grant Statement of Work 10/1/2016)

|                       | Executive Board | Technical Sub-committee | Finance & Admin Sub-committee | "514" Equipment Capital Sub-committee | AASHTO Support Services | TOTAL              |
|-----------------------|-----------------|-------------------------|-------------------------------|---------------------------------------|-------------------------|--------------------|
| Labor                 |                 | \$72,000                | \$90,000                      |                                       | \$100,000               | <b>\$262,000</b>   |
| Meetings              |                 |                         |                               |                                       | \$90,000                | <b>\$90,000</b>    |
| Travel                | \$0             |                         | \$10,000                      | \$0                                   | \$90,000                | <b>\$100,000</b>   |
| Professional Services | \$0             |                         |                               |                                       | \$682,000               | <b>\$682,000</b>   |
| Financial Review      |                 |                         | \$100,000                     |                                       |                         | <b>\$100,000</b>   |
| Conference Calls      |                 |                         |                               |                                       | \$12,000                | <b>\$12,000</b>    |
| Webinar               |                 |                         |                               |                                       | \$3,000                 | <b>\$3,000</b>     |
| Web Site              |                 |                         |                               |                                       | \$1,000                 | <b>\$1,000</b>     |
| Other                 |                 |                         |                               |                                       |                         | <b>\$0</b>         |
| <b>TOTAL</b>          | <b>\$0</b>      | <b>\$72,000</b>         | <b>\$200,000</b>              | <b>\$0</b>                            | <b>\$978,000</b>        | <b>\$1,250,000</b> |

#### Future Funding Discussion

Continue to evaluate NGECC spending as we get closer to the end of grant period. Apply for a new grant to fund the on-going activities and mission of the NGECC.

Submit a no-cost extension to the current grant to extend funding for 36 months (in process).

Activities would include ongoing review and updating of PRIIA vehicle technical specifications; educational outreach to build awareness and highlight results; monitoring multi-state vehicle procurements; identifying lessons learned and developing best practices.

- The Executive Board unanimously accepted the Treasurer's Report as presented.
- Equipment Procurements:

At the Annual Meeting, those in attendance received updates on:

Amtrak's Equipment Procurement  
 VIA Rail's Equipment Procurement  
 Metro-North's Dual Mode Locomotive Procurement  
 The multi-state Single Level car procurement – led by Caltrans

All Presentations are available at [www.ngec305.org](http://www.ngec305.org).

- Progress Report: NGECC Technical subcommittee as provided by Charlie King, NGECC Vice Chair and Chair of the NGECC Technical subcommittee on 2-21-20:

#### NGECC Technical Subcommittee and Specification Development

##### PRIIA 305 Technical Subcommittee

1. Main purpose is to develop specifications as requested by the Executive Board.
2. Comprised of representatives from Amtrak, FRA, States, and rail equipment manufacturers and suppliers.
3. Currently we have 13 states involved; California, Connecticut, Illinois, Iowa, Maine, Michigan, Missouri, New York, North Carolina, Oklahoma, Oregon, Washington and Wisconsin.
4. Presently over 225 volunteer members. Open to anyone from companies/consultants involved in rail.
5. Each Specification has a Leader to coordinate the creation process.
6. Majority of spec writing done by members of the 6 permanent working groups on a volunteer basis

with support from a technical writer.

### Specification Creation Process

#### Specification Creation

All chapters for the car specifications have the same titles and where possible the actual chapters are the same.

- Specification Summary
- References and Glossary
- Project Management
- Carbody
- Trucks
- Couplers and Draft Gear
- Brakes
- Door Systems
- Interior
- HVAC System
- Lighting System
- Communications System
- Electrical System
- Water and Waste System
- Cab and Train Controls
- Emergency Equipment
- Materials and Workmanship
- Food Service
- Test Requirements
- Tools, Consumables and Spare Parts
- Shipping Preparations
- Training and Documentation
- Customer Variables

#### Specification Creation

The Locomotive chapters are the same as the cars where they can be. Again, some of the chapters are the same, for example, References and Glossary.

- Specification Summary
- References and Glossary
- Project Management
- Locomotive Carbody
- Running Gear
- Couplers and Draft Gear
- Brakes
- Engineers Cab
- Locomotive Propulsion System
- AC Power Dist., Comm and MU
- Lighting System
- Locomotive to Train Communication
- Head End Power System
- Sanding System
- Engineers Cab Controls
- Fuel System
- Materials and Workmanship
- Test Requirements
- Tools, Consumables and Spare Parts
- Shipping Preparations
- Training and Documentation
- Customer Variables
- Safety Accessories

## Battery System Environmental Characteristics

The following 6 Equipment Specifications have been created since January 2010

- Bi-Level: C.4 – 8/2/16
- Locomotive: A.1 – 12/9/17
- Single Level: A – 11/13/12
- Trainset: A – 12/10/13
- DMU: IR – 9/4/12
- Dual Mode Loco: IR – 2/2/16

### Revising Specifications

After the specifications are completed and issued as version IR (initial release) the process of updating and revising the specification becomes an issue. This has led us to develop a complete and thorough process for managing change control.

### Document Change Request Form (DCR)

- This is the basis for all changes.
- Changes can be proposed by anyone using a DCR.
- Evaluated by the TWG responsible for the section affected.
- Approved by the TWG.
- Approved by the Technical Subcommittee during the regular phone conference call and sent to the Executive Board for approval.

### Revising Specifications

- Review Panel reviews change to verify compliance with requirements document.
- Executive Board approves.

This process can take months because typically the DCRs are processed and a specification is revised after several DCRs have been received.

There is an Urgent DCR process to address issues that may come up during a procurement. This pushes a DCR through the system in less than two weeks.

### Current Status of Revisions

- The Bi-level specification is currently on revision D and the TWGs processed a total of 295 DCRs to date.
  - The Single level and Trainset specifications were both updated in 2019 and incorporated 180 and 102 changes, respectively.
  - The Locomotive specification is on revision B and, so far, the TWGs have processed 70 DCRs.
  - Starting this month, the TSC will begin the undertaking of updating the DMU specification. This will include evaluating every change made to every PRIIA specification to determine if it applies to the DMU. A DCR will be created for every proposed change.
- Experiences with the “Charger” Locomotive:

Presentations from Amtrak, the Mid-West States, Washington State and Caltrans were provided on 2-21-20. These presentations can be found posted on the NGECC website with all other Annual Meeting presentations as noted earlier in this report.

- Chairman's Remarks – a look at the year ahead – Incoming Chair Ray Hessinger, NYSDOT:

On 2-21-20, with the election of the Board and its officers. Incoming Chairman Ray Hessinger assumed the chair and made the following remarks (reprinted from the Meeting Minutes:

*Thank you for the opportunity serve as Chair of the Next Generation Equipment Committee.*

*As my first official action as Chair, I want to thank Eric Curtit for his service to the NGEC and wish him the best of luck in his new role at Missouri DOT. When Eric assumed the Chair, we were holding a series of meetings to discuss what the NGEC would become when it grows up. Under Eric's leadership, the NGEC has grown to a mature, well run organization providing significant value for the public dollars we spend. It is a legacy he should be very proud of.*

*I want to also thank Charlie King for Chairing this meeting today in Eric's absence. While Eric never wore a tie to a meeting, he usually wore shoes, and you did an outstanding job filling his shoes today, regardless of their size.*

*Next, I would like to congratulate Tim Hoeffner of Michigan DOT and Allen Paul of North Carolina DOT on their recent retirements and thank them for their many years of service to the NGEC. I want to welcome Troy Hughes of Missouri DOT, Jason Orthner of North Carolina DOT, and a player to be named later from Michigan DOT, to the Executive Board. I also want to welcome any other new participants from the private sector to the NGEC. There are many opportunities to become engaged within this organization and we look forward to your contributions to the NGEC at all levels.*

*Rounding out my list of thank you's, I want to acknowledge the continuing contributions of Steve Hewitt. Steve has provided his services in support of the NGEC since day one. It is no exaggeration to say that this organization would not be where it is today without Steve's professionalism and dedication. I look forward to working more closely with Steve in advancing the NGEC's mission.*

*As we move forward into 2020 and begin the 11<sup>th</sup> year of the NGEC, there remains important work for this Committee to accomplish in support of passenger rail equipment issues across North America.*

*The development and maintenance of technical specifications for intercity passenger rail equipment is the core mission of the NGEC. While we do not have any new specifications under consideration at this time, the work necessary to keep our library of specifications current is an ongoing, continuing effort and will remain the NGEC's top priority for the foreseeable future.*

*This year, the NGEC will finalize and publish Revision B to the Single-Level Trainset specification, and we expect to complete Revision A to the Diesel Multiple Unit specification in 2020.*

*Each of the other specifications developed and maintained by the NGEC require some level of revision to carry forward those changes that are applicable across multiple vehicle platforms and to incorporate any other additional changes that may be identified through the ongoing procurements. The Executive Board will need to prioritize and schedule these efforts for the coming year.*

*However, revisions to our specifications should not be limited to changes identified during procurement and manufacturing or regulatory changes. Earlier today, we heard an update on the in-service experience with the Charger locomotives. As Amtrak and others continue to gain experience with the operation and maintenance of the Charger fleet, we need cycle this experience back into our locomotive specifications. What things worked well? Where could the specification have been better?*

*I believe we have all the necessary document control and change management processes in place, but to truly embrace a process for continuous improvement, we need those who own, operate and maintain the Chargers – or any other equipment built using an NGEC specification – to prepare and submit DCR's as necessary based on this in-service experience.*

*Earlier this week, the Access Board issued an Advance Notice of Proposed Rulemaking regarding an update to the accessibility guidelines for rail vehicles subject to the Americans with Disabilities Act. Comments are due May 14<sup>th</sup>. I will charge the Technical Subcommittee with comparing the proposed rules against our specifications and document any discrepancies.*

*Over the past year, the Acquisition and Ownership Best Practices Working Group has made significant progress in the development of their report. This effort to document the lessons learned from the multi-state procurement of the Charger locomotives will become an invaluable reference for states in the future. I expect this reference document to be completed and adopted by the NGEC later this year and to become a living document that will be updated as additional procurements are completed.*

*The Acquisition and Ownership report will be the first completely new document prepared by the NGEC in several years. This year, I will ask the Executive Board to consider whether there are any holes in our portfolio of specifications and other documents and if so, to begin the development of any such specification, guidance document or report.*

*With the expiration of the FAST Act later this year, as a transportation professional it's physically impossible to be in Washington DC during 2020 and not use the word "reauthorization" at least once. Check.*

*One of the requirements of our FRA grant is that the NGEC prepare and distribute an Educational Document that summarizes the activities of the NGEC. This document was recently updated, and during 2020 we will ensure it is widely distributed to those with an interest in the NGEC's ongoing activities.*

*Finally, our current grant with the FRA expires at the end of September and a no-cost time extension request has been submitted to the FRA for approval. Timely approval of this no-cost time extension is critical to a seamless continuation of NGEC operations for an additional 3 years. I will ask the Administration and Finance Subcommittee to continue their efforts to shepherd this through the bureaucracy....*

*In closing, thank you again for this opportunity and I look forward to an exciting and productive 2020.*

During the month of March 2020, the Executive Board met two times, via conference call, on the 10th and on the 24<sup>th</sup>.

Highlights, decisions, and action items from the month of March 2020 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back and there is a final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

- Executive Board review of NGEC documents to ensure there are no holes in the NGEC portfolio of specifications and other documents.

Chairman Hessinger noted that the Acquisition and Ownership report will be the first completely new document prepared by the NGEC in several years. This year, he will ask the Executive Board to consider whether there are any holes in our portfolio of specifications and other documents and if so, to begin the development of any such specification, guidance document or report.

On 3-10-20, it was agreed that the topic that needs being developed and that will be the focus of the Board's efforts in this area will be TSSSA.

On 3-24-20, a discussion ensued about what the NGEC should develop -should it be a template for states to use? It was agreed that Charlie King will provide the Amtrak TSSSA SOW used for the ALC 42 (Charger) and with Siemens and one used with Alstom. If possible, he will make these available by the next Executive Board call (4-7-20). If other issues (Coronavirus crisis) overtake things, the item will remain as an agenda item until such time as "we can do it".

The Board would then have a discussion and try to get consensus on a path forward with the expectation that it would be assigned to the Technical subcommittee with direction from the Board.

- FASC update and Treasurer's Report – as of 3-24-20:

Balance/Spend Rate



Grant Amount: \$1,250,000.00  
Spent: \$542,423.82  
Balance: \$707,576.18  
Spend rate: approximately \$13,560.00 per month  
Expenditures anticipated through 9-30-20: \$128,184.00  
Balance remaining at the end of current grant period: \$579,000.00  
Estimated Balance remaining at the end of a 36 month no-cost extension: \$39,000 (based on a \$15,000 monthly spend rate).

Status: 36-month No-Cost Grant Extension Request

Amtrak Grants Office has been communicating with FRA grants. Prior to the Coronavirus, FRA's intent was to review and approve the extension request by May 2020. Amtrak had requested it be earlier than that and FRA was working towards a potentially earlier timeframe. Tim expects that the timeframe could slip a bit due to the Coronavirus situation but thinks it will still be approved somewhere within the May target.

- Update – Multi-State Rail Car Procurement as of 3-24-20:

FDR for the standard coach is now complete. Cab Car structure FDR took place on February 27 and updated documents are now in review. IDOT galley FDR reviews and releases are ongoing.

The Complete Coach FAI occurred on November 13-14 in Sacramento and open items are near closure. Vehicle track Interaction testing per FRA 213.345 is scheduled to begin as soon as March 24 or 25. CEM crush box testing for the Caltrans Cab Car and other non-domestic testing has been postponed due to travel restrictions. TTCI testing is complete, including Amtrak PTC and brake performance tests. Two of the four cars at TTCI are scheduled to return to Sacramento this week and the remaining two will ship to Stockton.

49 cars total are in production or have been produced at Siemens Sacramento Facility. System-level FAIs for standard coach are nearly complete with remaining action items under final review, including open items for the complete car. Two Caltrans cars have arrived at the ACE facility in Stockton.

The project teams are monitoring potential production and schedule impacts due to the coronavirus and are receiving daily updates from SCOA and Siemens.

- Metro North Dual Mode Locomotive Procurement – Update as of 3-24-20:

Metro-North continues to evaluate RFP responses it has received.

- Amtrak Equipment Procurement Update – as of 3-24-20:

Charlie King reported on 3-24-20, that Hornell (for the Acela) is closed for 30 days due to the Coronavirus crisis as are other relevant plants. Delays will need to be factored into the procurement process. Amtrak is in line, as well, at Sacramento, and, like Caltrans, is uncertain as to schedule impacts.

Charlie summarized that “a lot of stuff is on hold” due to the Coronavirus crisis.

- VIA Rail Equipment Procurements – as of 2-21-20

At the Annual Meeting, 2-21-20, Mario Bergeron, Bob Becker and Joe Diliello provided an update on the ongoing VIA Rail equipment procurement and on overview of VIA Rail as a company.

The complete presentation was is provided as a PDF file and was not re-printed in the Minutes but is available on the website and was distributed along with other NGEK presentations.

- Document Control Update - as of 3-24-20:

On 3-24-20, Tammy Krause provided the following update for inclusion in the minutes:

This month in document control the following happened:

The Trainset specification Revision B has been delayed due to the incorrect numbering of the sections, this has been corrected and hopefully the finished version will be available soon.

The next specification to be considered is the DMU. I have commenced creating the DCRS. I anticipate sending them to Rich Stegner and Dick Bruss for an initial review on 3-31-20. I will ask that they have any comments to me by 4/10/20. This will allow me to issue the DCRs to the appropriate WGs by 4/16/20. I will request that the WGs have their comments back to me by 5/27/20. The comments will then be submitted to the entire TSC on 5/28/20. This should pave the way for the TSC to vote on them at the 6/11/20 meeting and then send them to the Executive Board (EB). The EB can discuss at the 6/16/20 meeting and start the review process. Ultimately the EB should be able to vote on the changes at the 7/14/20 meeting.

The Equipment Acquisition Best Practices document is with Camren and I anticipate the draft being returned any day.

I have requested that the TSC Working Group leaders send me a current list of their group members. I have received 2 out of 7 so far.

- METRA Equipment Procurement Effort as of 4-9-19:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

In the near-term, Steve Hewitt will reach out to John Oimoen, IDOT, to see if he would be able to provide a status update on this item on an upcoming Executive Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – as appropriate

- Distribution of the NGEC two-pager – educational document as of 3-24-20:

The updated NGEC two-pager remains available in hard copy and PDF. To date over 150 hard copies and 250 electronic copies have been distributed.

Copies are available in either version by request from Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of April 2020, the Executive Board met two times, via conference call, on the 7th and on the 21st.

Highlights, decisions, and action items from the month of April 2020 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

- Executive Board review of NGECC documents to ensure there are no holes in the NGECC portfolio of specifications and other documents.

Chairman Hessinger noted that the Acquisition and Ownership report will be the first completely new document prepared by the NGECC in several years. This year, he will ask the Executive Board to consider whether there are any holes in our portfolio of specifications and other documents and if so, to begin the development of any such specification, guidance document or report.

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As of 4-23-20 Amtrak was working on this and making some progress. They have a few drawings that they need to get releases on. Charlie King reported on 4-23-20 that he hopes to have something to send to everyone (via Steve Hewitt) as an example of what will be included. He expects it will be a primer with minimal examples of options and include links to other potential options. Charlie has asked that this item be a monthly agenda item for the Technical subcommittee.

- FASC update and Treasurer's Report – as of 4-29-20:

Status: Grant Agreement extension request:

The two grants offices (Amtrak and FRA) have been in communication. The intent is for the FRA to review the request in May with an approval (hopefully) forthcoming by the end of that month. If nothing has happened by then, Amtrak grants will reach out to FRA grants for a status.

Balance-Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$557,227.12

Balance remaining: \$ 692,772.88

Spend Rate per month: approximately \$13,590.91

Estimated balance remaining at the end of the current grant period (9-30-20) - \$577,636.54

Average Monthly expenditure estimated for the extension period is: \$15,000.00

Amount utilized if the Grant is extended for 36 months at estimated spend rate \$540,000.00

Projected total remaining at the end of the 36-month extension: \$37,636.54

- Update – Multi-State Rail Car Procurement as of 4-21-20:

FDR for the standard coach is complete. The Cab Car structure FDR took place on February 27 and updated documents are in review. IDOT galley FDR reviews and releases are ongoing.

The Complete Coach FAI occurred on November 13-14 in Sacramento and open items are near closure. Non-domestic testing has been postponed due to travel restrictions. Video and photos are being provided for tests that SMEs are unable to witness. Cars 1 and 2 have returned to Sacramento from TTCI for final repairs and inspections before shipment to Stockton. Car #3 began testing in the NEC on April 9<sup>th</sup>. Testing has been successful thus far with speed upgrades to 130 mph and cant deficiency testing to 7 inches. Additional testing on deflated air springs up to 125 mph was performed on Tuesday April 14 with additional runs on representative track to follow.

49 cars total are in production or have been produced at Siemens Sacramento Facility. The production facility remains open under an Essential Business clause. System-level FAIs for standard coach are nearly complete with remaining action items under final review, including open items for the complete car. Car shipment dates are formally delayed due to COVID-19. The current expectation is three cars will be shipped to Stockton at the end of April. The first IDOT car shipment is currently projected for late May/early June.

The project teams are monitoring potential production and schedule impacts due to the coronavirus and are receiving daily updates from SCOA and Siemens.

- Metro North Dual Mode Locomotive Procurement – Update as of 4-21-20:

Metro-North continues to evaluate RFP responses it has received.

- Amtrak Equipment Procurement Update – as of 4-21-20:

The COVID 19 situation has caused delays.

On the Acela 21 –

Trainset 1 is at TTCL. Trainset 2 is in Philadelphia. The rest of the deliveries are on hold waiting for the re-opening of the plant at Hornell.

On the Charger Locomotives:

The Siemens facility in Sacramento is open. There are some delays due to suppliers struggles during the COVID situation.

On the single level car/trainset procurement – the RFP is on the street.

On the Maintenance of Way Yard Engines – Charlie is hopeful that the next Amtrak Board of Directors meeting there will be some decisions made.

- VIA Rail Equipment Procurements – as of 2-21-20

At the Annual Meeting, 2-21-20, Mario Bergeron, Bob Becker and Joe Diliello provided an update on the ongoing VIA Rail equipment procurement and on overview of VIA Rail as a company.

The complete presentation was is provided as a PDF file and was not re-printed in the Minutes but is available on the website and was distributed along with other NGECE presentations.

Next update – as appropriate

- Document Control Update - as of 4-21-20:

The DMU Propulsion and Cab proposed changes are being reviewed by Rich Stegner (Locomotive Technical Working Group Team Leader). Tammy Krause has asked him to verify that they are applicable to the DMU. After she receives comments back from him, she will be able to release the proposed change DCRs to the working groups.

- Equipment Acquisition and Ownership Best Practices/Lessons Learned reference document:

As of 4-30-20, the DRAFT sections of the document are with the Technical writer. She has completed most of the compilation/synthesizing of the 4 sections and has completed re-formatting it in a manner consistent with other NGECE documents. Once the full DRAFT has been completed it will be sent to working group members for review and comment. Following this, the next step will be for the Executive Board members to review and comment -and – ultimately consider approval.

- METRA Equipment Procurement Effort as of 4-21-20:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGECE specification, but it was unknown if the plan to use it or if they will be in contact with the NGECE or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement on the 5-5-20 NGECE Executive Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – as appropriate

- Distribution of the NGEC two-pager – educational document as of 4-21-20:

The updated NGEC two-pager remains available in hard copy and PDF. To date over 150 hard copies and 250 electronic copies have been distributed.

Copies are available in either version by request from Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of May 2020, the Executive Board met two times, via conference call, on the 5th and on the 17th.

Highlights, decisions, and action items from the month of May 2020 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

On 5-28-20, Melissa Shurland reported that the US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

<https://www.access-board.gov/guidelines-and-standards/transportation/vehicles/update-of-the-guidelines-for-transportation-vehicles/advance-notice-of-proposed-rulemaking-2>

- Executive Board review of NGEC documents to ensure there are no holes in the NGEC portfolio of specifications and other documents.

Chairman Hessinger noted that the Acquisition and Ownership report will be the first completely new document prepared by the NGEC in several years. This year, he will ask the Executive Board to consider whether there are any holes in our portfolio of specifications and other documents and if so, to begin the development of any such specification, guidance document or report.

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

On 5-19-20, Charlie King, Technical subcommittee Chair, reported that progress has been made in developing a TSSSA template/primer which will be brought first to the Technical subcommittee and then, once approved, to the Executive Board. He has recently received OEM approval to use on one of the Diagrams that had been jointly developed by Amtrak and the OEM. Amtrak is now drafting the explanation.

Charlie reiterated that the intent, as expressed by Chairman Hessinger, is to have an “a la carte” menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGEC document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

- FASC update and Treasurer’s Report – as of 5-19-20:

Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.  
Amount Spent: \$579,201.22 (through March 2020)  
Balance remaining: \$ 670,798.78  
Estimated balance remaining at the end of the current grant period (9-30-20) - \$568,055  
Average Monthly expenditure estimated for the extension period is: \$15,000.00  
Amount utilized if the Grant is extended for 36 months at estimated spend rate \$540,000.00  
Projected total remaining at the end of the 36-month extension: \$28,000

Grant Agreement extension request update:

FRA Grants has reached out to Amtrak Grants suggesting that the grant agreement extension request amend the performance period to include the first 26 months and add the requested 26 months making the grant performance period 72 months.

Tim Ziethen commented that this is really what the extension meant to do so this amendment/clarification is fine, and he will let the grants people know.

FRA also asked that the NGEC budget be reviewed to see if there are any changes to be made at this time within categories/tasks.

Tim Ziethen explained that in conducting a review of the budget – he noted that there is \$100,00 in it for two audits to be conducted by Amtrak's OIG at \$50,000 each. The first would take during the performance period and the second would be at the end of the grant period.

- Update – Multi-State Rail Car Procurement as of 5-19-20:

Design review for the standard coach is now complete. The Cab Car structure FDR took place in February and plans are in work for structural and CEM testing. IDOT galley FDR reviews and releases are ongoing. Cab Car F-coupler FDR occurred on May 6.

Open items for complete coach FAI are near closure. Non-domestic testing has been postponed due to travel restrictions. Video and photos are being provided for tests that SMEs are unable to witness. The Interior Lighting test was repeated last week, and open items are being reviewed. NEC testing made good is complete (Thank you Amtrak!) and the car is being prepared for return shipment to Sacramento.

49 cars total are in production or have been produced at Siemens Sacramento Facility. The production facility remains open under an Essential Business clause. System-level FAIs for standard coach are complete with final approvals in work. Cars 7, 9 and 13 were shipped to Stockton on April 27<sup>th</sup>, and there are now seven cars total at the Stockton facility. Cars 10 through 34 are in final assembly. Cars 11 and 12 are scheduled to be shipped the 2<sup>nd</sup> week of June. The First IDOT cars are scheduled to ship the 3<sup>rd</sup> week of June.

The project teams are continuing to monitor potential production and schedule impacts due to the coronavirus and are receiving frequent updates from SCOA and Siemens.

- Metro North Dual Mode Locomotive Procurement – Update as of 5-19-20:

As of 5-19-20, the process remains in the procurement “cone of silence” period, but things are moving forward, and they are “getting closer everyday”.

- Amtrak Equipment Procurement Update – as of 5-19-20:

On the Acela:

The first trainset is at TTCl and has hit speeds of up to 160mph.

Trainset 2 is in Philly and is addressing some issues related to access and PTC. It remains on schedule with testing to begin this month in a normal test process.

On Intercity Passenger Rail cars/trainset:

This remains an active procurement still under review.

On the Locomotives:

This remains ongoing at the Siemens facility in Sacramento. It is still all green (go) to be on time for a delivery in February 2021. It will go to Wilmington for testing with a goal of being in service by this time next year (May 2021).

- Connecticut DOT Rail Car RFP:

On 4-30-20, during the Technical subcommittee call, Marci Petterson, Connecticut DOT, announced that Conn DOT would be releasing an RFP for new rail cars. The ConnDOT RFP, as have others, used the NGEC specification as its basis. Conn DOT is an NGEC member – active participant and voting member of the Technical subcommittee.

Later, on 4-30-20, Marci provided the link to the RFP to Steve Hewitt for distribution to all NGEC participants. The link was sent to over 250 email addresses on 5-1-20 and was scheduled to be posted in Railway Age either 5-1-20 or 5-4-20.

The link and Marci's message as distributed on 5-1-20 are inserted below:

[https://biznet.ct.gov/SCP\\_Search/BidDetail.aspx?CID=53056](https://biznet.ct.gov/SCP_Search/BidDetail.aspx?CID=53056)

Of interest to other states as well as carbuilders – while our spec is based on the PRIIA spec, there is no Federal funding in this procurement. However, our scoring gives points to work done in and components supplied from the US and CT. We are open to partnering with other states while maintaining those terms. The car amenities will be somewhere between a traditional commuter car and an intercity car, leaning toward intercity.

This will be listing digitally in Railway Age tomorrow (5-1-20) or Monday (5-4-20).

We will ask Marci to provide monthly updates on the progress of this procurement on Technical subcommittee calls and Steve Hewitt will provide that update on the following Executive Board call.

- VIA Rail Equipment Procurements – as of 2-21-20

At the Annual Meeting, 2-21-20, Mario Bergeron, Bob Becker and Joe Diliello provided an update on the ongoing VIA Rail equipment procurement and on overview of VIA Rail as a company.

The complete presentation was provided as a PDF file and was not re-printed in the Minutes but is available on the website and was distributed along with other NGEC presentations.

Next update – as appropriate

- Document Control Update - as of 5-19-20:

All DCRs for the DMU specification have been sent to the working groups and I have received comments back from the Propulsion group.

Tammy has received comments on the Equipment Acquisition Best Practices document from Dick Bruss and Andrew Wood, the review meeting was scheduled for 5/28.

Tammy received working group member lists from the Mechanical, Electrical and Interiors groups.

- Equipment Acquisition and Ownership Best Practices/Lessons Learned reference document:

The Equipment Acquisition and Ownership DRAFT document has been prepared by the Technical Writer and was distributed to the working group members for review and comment. The members

have been asked to provide their comments to Tammy Krause by COB 5-14-20 with CCs to Ray Hessinger and Steve Hewitt.

A meeting of the working group took place on 5-28-20.

After hearing from several members on the 100,000-foot level, it was agreed that, while some comments need to be addressed, the document is taking shape and "nearing the home stretch". NGEC Chair Ray Hessinger commented that he is not looking to cut corners to get it done – he wants it to be right.

Ray laid out the process for getting it approved and released. First, the latest comments need to be incorporated into a revised version, the working group would need to review and ultimately approve it as DRAFT and send it to the Executive Board for its review and comment. Depending on the extent of the Executive Board's comments, it could be sent back to the working group again. He also noted that it is meant to always be a living document and it will be updated as more experience in procurements occurs.

Jennifer Bastian, IDOT, added that she hopes it will not be too long before it is completed because she is helping Wisconsin DOT on a procurement for the Mid-West States and could use the document as soon as possible.

Ray Hessinger commented that Jennifer should feel free to use it to help in the procurement effort as a DRAFT. Even though it is not finalized, it can certainly be useful.

Jeff Gordon, FRA, suggested that sharing the DRAFT with an entity not involved in developing it could be helpful in providing feedback to the group.

Jennifer agreed and said she will share it and ask for feedback.

After some continued discussion, it was agreed that the additional comments that have been received will be incorporated into a revised DRAFT (Tammy/Cameron will do this). Dick Bruss offered to rewrite a specific section – about 3 pages and send that to Ray, Steve and Tammy for inclusion in the next DRAFT. (Tammy will wait for Dick to provide his update before she completes the next DRAFT.

When the next DRAFT is sent to working group members, they are asked to review the comments and only note where they disagree. A call will then be scheduled to resolve the short list of comments not yet agreed on.

On 5-28-20, it was agreed that a call to review the "short list" of comments unresolved will be scheduled for 6-25-20 at 4:00PM Eastern. This gives Dick Bruss time to complete his rewrite and for Tammy to complete the incorporation of all comments into the revised DRAFT.

Following that members will have about two weeks to provide their input on what they do not agree with and for Tammy to compile the "short list" in advance of the 6-25-20 conference call.

- METRA Equipment Procurement Effort as of 5-31-20:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:



In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – as appropriate

- Distribution of the NGEC two-pager – educational document as of 5-31-20:

The updated NGEC two-pager remains available in hard copy and PDF. To date over 400 hard copies and electronic copies have been distributed.

Copies are available in either version by request from Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Discussion of Executive Board Call Frequency:

On 5-5-20, there was discussion about reducing the frequency of Executive Board calls to once a month or every four weeks, especially during this time when there is a lull in NGEC activities which would require decisions and there are a vast number of increased calls by other organizations with many of the NGEC members as participants. It was also discussed that the call schedule should remain the same on the calendar (bi-weekly) with the thought that Ray Hessinger and Steve Hewitt, when developing the agendas, will keep focus on canceling calls where the agenda is light, but maintaining a call at least once each month. Steve and Ray would err on the side of holding calls once every four weeks rather than bi-weekly, and simply cancel the calls deemed to have light agendas. On 5-5-20, Board Members had been asked to think about how to best move forward and come back with their thoughts on today's (5-19-20) call.

On 5-19-20, Ray Hessinger opened the floor for discussion:

Michael Lestingi, FRA, recommended that the calls be moved to monthly and if there was a desperate need for DCR approvals or something similar, it could be handled by email rather than wait for the monthly call.

Ray Hessinger raised a counterpoint, noting that with other organizations such as SAIPRC (and others) competing for time on busy calendars – if the NGEC calls are taken off the calendar – “we will never get the time back”. This is a significant concern.

Dave “Emeritus” Warner suggested that the calls be kept on the schedule - that the NGEC maintain that slot on the calendar. The thought would be that the calls would not necessarily take place bi-weekly – but the slot would remain and be used as needed. (The premise would be to always hold at least one call each month). Dave emphasized that there is no doubt – once it is off the calendar, it is not coming back.

Brian Beeler II, NNEPRA for Maine DOT, commented “I agree with the idea that the calls should be kept on the calendar to be used when needed”.

Steve Hewitt, NGEC Program Manager, echoed the view that it was important to keep the slot on the calendar. He agreed that the NGEC is in a quiet period right now and there are a lot of pressing issues facing the states that are competing for time on the calendar, but the work of the NGEC is ongoing and needs continuity and there will be times of greater activity. Some of the other calls competing right now are revolving around current times and shorter-term activities and that will not be as pressing down the road. Steve also noted that – if you take it off the calendar now – it never comes back on and you are relegating the NGEC long-term to a once a month or once every four weeks schedule. It is better to leave it on as it is – preserve the slot – and Ray and Steve can cancel calls with light agendas. Steve also mentioned that, when possible, the calls could be kept to a half hour – acknowledging that SAIPRC calls are pressing up against the Board calls by meeting at Noon and that is a large part of what is driving the concern. Steve also noted that the work on the NGEC is different, but of equal importance to that of some of the competing activities pressing on the calendars.

Ray Hessinger weighed in in agreement with Steve and noted that the SAIPRC calls taking place at noon were in relation to the Amtrak procurements and the procurement will not be going on forever, so those calls will go away at some point, but the work of the NGEC is long-term.

Asking for additional comments, and hearing none, Chairman Hessinger determined that the prudent way forward was to keep the schedule as is. Steve Hewitt and Ray Hessinger will add to their weekly one on one call a standing agenda item to determine the status of the next call based on anticipated agenda content.

During the month of June 2020, the Executive Board met two times, via conference call, on the 16th and on the 30th.

Highlights, decisions, and action items from the month of May 2020 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGECC specifications to ensure compliance and make any necessary changes by utilizing the NGECC DCR process.

On 5-28-20, Melissa Shurland reported that the US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

On the 16<sup>th</sup> and the 30<sup>th</sup>, members were reminded by Steve Hewitt that any comments they wished to submit to the docket were due by July 14<sup>th</sup>.

<https://www.access-board.gov/guidelines-and-standards/transportation/vehicles/update-of-the-guidelines-for-transportation-vehicles/advance-notice-of-proposed-rulemaking-2>

- Executive Board review of NGECC documents to ensure there are no holes in the NGECC portfolio of specifications and other documents.

Chairman Hessinger noted that the Acquisition and Ownership report will be the first completely new document prepared by the NGECC in several years. This year, he will ask the Executive Board to consider whether there are any holes in our portfolio of specifications and other documents and if so, to begin the development of any such specification, guidance document or report.

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

On 5-19-20, Charlie King, Technical subcommittee Chair, reported that progress has been made in developing a TSSSA template/primer which will be brought first to the Technical subcommittee and then, once approved, to the Executive Board. He has recently received OEM approval to use on one of the Diagrams that had been jointly developed by Amtrak and the OEM. Amtrak is now drafting the explanation.

Charlie reiterated that the intent, as expressed by Chairman Hessinger, is to have an "a la carte" menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGECC document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 6-30-20 - progress continues on the development of the TSSSA primer/template.

- FASC update and Treasurer's Report – as of 6-30-20:

Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.  
Amount Spent: \$596,770.62 (through April 2020)  
Balance remaining: \$ 653,229.38  
Anticipated spending through the remainder of the current grant period – approximately \$90,000.  
Estimated balance remaining at the end of the current grant period (9-30-20) - \$563,837.45  
Actual current spend rate: \$13,878.39  
Average Monthly expenditure estimated for the extension period is: \$15,000.00  
Amount utilized if the Grant is extended for 36 months at estimated spend rate \$540,000.00  
Projected total remaining at the end of the 36-month extension: \$23,837.45

Grant Agreement extension request:

Tim Ziethen reported that the grant agreement extension request is still under review by FRA and it is expected to be completed and approved shortly. Amtrak and FRA grants are talking/checking in weekly. Tim will keep the Board apprised as he gets a status update.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 6-30-20:

Design review for the standard coach is complete. The Cab Car structure FDR is complete, and CEM element testing is currently planned for early July, with setup for compression testing to follow in July or August. The Cab Car brake system FDR is confirmed for July 13th. IDOT galley FDR reviews and releases are ongoing, and the latest galley review occurred on June 16<sup>th</sup>.

Travel restrictions are being evaluated, with potential travel in July to reviews and test sites. Video and photos continue to be provided for tests that SMEs are unable to witness. NEC testing is complete, and the test report is in process.

51 cars total are in production or have been produced at Siemens Sacramento Facility. System-level FAls for standard coach are complete with final open items in work to complete first car overall FAI. The overall car FAI for IDOT is in process this week, followed by an FRA Sample Car Inspection. There are seven cars total at the Stockton facility. Cars 11 and 12 are scheduled to be shipped to Stockton at the end of June. The IDOT cars are scheduled to begin shipments near the end of July.

The project teams continue to monitor potential production and schedule impacts due to the coronavirus and are receiving frequent updates from SCOA and Siemens.

- Metro North Dual Mode Locomotive Procurement – Update as of 6-30-20:

As of 6-30-20, the process remains in the procurement “cone of silence” period, but things continue to move forward, and they are “getting closer everyday”.

- Amtrak Equipment Procurement Update – as of 6-16-20:

On the Acela:

The first Trainset is at Pueblo at TTCL for testing. It has reached speeds up to 165 mph on the test track.

The second Trainset has done a few early runs out of Philly a couple of times and has reached 125 mph. There are still a few PTC issues that are being worked on.

On the Charger Locomotives:

The locomotive continues to be under construction with little impact from the COVID 19 pandemic. It remains on schedule for February-March (2021) delivery of the first test locomotive on the NEC.

On the Intercity Trainset Procurement:

This procurement is proceeding, but it is at a stage where it remains in the “cone of silence”.

- Connecticut DOT Rail Car RFP:

On 4-30-20, during the Technical subcommittee call, Marci Petterson, Connecticut DOT, announced that Conn DOT would be releasing an RFP for new rail cars. The ConnDOT RFP, as have others, used the NGECC specification as its basis. Conn DOT is an NGECC member – active participant and voting member of the Technical subcommittee.

Later, on 4-30-20, Marci provided the link to the RFP to Steve Hewitt for distribution to all NGECC participants. The link was sent to over 250 email addresses on 5-1-20 and was scheduled to be posted in Railway Age either 5-1-20 or 5-4-20.

The link and Marci's message as distributed on 5-1-20 are inserted below:

[https://biznet.ct.gov/SCP\\_Search/BidDetail.aspx?CID=53056](https://biznet.ct.gov/SCP_Search/BidDetail.aspx?CID=53056)

Of interest to other states as well as carbuilders – while our spec is based on the PRIIA spec, there is no Federal funding in this procurement. However, our scoring gives points to work done in and components supplied from the US and CT. We are open to partnering with other states while maintaining those terms. The car amenities will be somewhere between a traditional commuter car and an intercity car, leaning toward intercity.

Next update is expected to take place on 7-9-20 during the Technical subcommittee call.

- VIA Rail Equipment Procurements – as of 2-21-20

At the Annual Meeting, 2-21-20, Mario Bergeron, Bob Becker and Joe Diliello provided an update on the ongoing VIA Rail equipment procurement and on overview of VIA Rail as a company.

The complete presentation was provided as a PDF file and was not re-printed in the Minutes but is available on the website and was distributed along with other NGECC presentations.

Next update – as appropriate

- Document Control Update - as of 6-30-20:

Document Control activities have primarily been around the Equipment Acquisition and Ownership Working Group on which Ray Hessinger has provided an update (see agenda item 7). Tammy is preparing to send out the working group approved changes and finish collecting comments before getting the next version of the draft issued.

The updating of the trainset continues to bring it in line with the other PRIIA specifications.

Tammy is still waiting to hear from 2 working groups on their DMU comments, and she is still waiting for membership lists from 2 working groups.

- Equipment Acquisition and Ownership Best Practices/Lessons Learned reference document:

The group met on 6-25-20 to go over comments received on the most recent draft. It was a productive session with all comments addressed in one way or another. Some suggested edits will require additional rewriting to address comments made.

Another version of the document will be drafted, and another round of working group review will be needed. The next meeting will take place on 7-30-20 and Ray is hopeful it will be the last round of reviews by the working group before advancing the DRAFT to the Executive Board for its review and comment.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – as appropriate

- Distribution of the NGEC two-pager – educational document as of 6-30-20:

The updated NGEC two-pager remains available in hard copy and PDF. To date over 400 hard copies and electronic copies have been distributed.

Copies are available in either version by request from Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of July 2020, the Executive Board met once, via conference call, on the 14th.

Highlights, decisions, and action items from the month of July 2020 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

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On 5-19-20, Charlie King, Technical subcommittee Chair, reported that progress has been made in developing a TSSSA template/primer which will be brought first to the Technical subcommittee and then, once approved, to the Executive Board. He has recently received OEM approval to use on one of the Diagrams that had been jointly developed by Amtrak and the OEM. Amtrak is now drafting the explanation.

Charlie reiterated that the intent, as expressed by Chairman Hessinger, is to have an “a la carte” menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGEAC document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 7-31-20 - progress continued in the development of the TSSSA primer/template. It is anticipated that the DRAFT document will be completed within the next couple of months.

Treasurer’s Report – provided on 7-22-20 to the FASC:

- Treasurer’s update as of 7-22-20:

Balance/Spend Rate:

Through May 2020

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$620,692.48

Balance remaining: \$ 629,307.52

Anticipated spending through the remainder of the current grant period: approximately \$76,000.

Estimated balance remaining at the end of the current grant period (9-30-20): \$552,000.

Approximate current spend rate: \$14,000.

Average Monthly expenditure estimated for the extension period is: \$15,000.00

Amount utilized if the Grant is extended for 36 months at estimated spend rate: \$540,000.00

Projected total remaining at the end of the 36-month extension: \$10-20,000.

Grant Agreement extension request:

Tim Ziethen reported that Amtrak grants has gotten some feedback from FRA on the grant extension request. The most recent interaction was this week. Some suggested verbiage changes have been agreed to, and Tim understands that there is now “conceptual” agreement on the 36 month “no-cost” extension. He believes that most, if not all, reviews have been completed and they are awaiting final confirmation of approval.

As soon as gets an update, Tim will let the FASC members and the Executive Board know.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 7-23-20:

Design review for the standard coach is complete. The Cab Car structure FDR is complete. Setup for cab car structure compression testing is tentative for August in Sacramento depending on travel restrictions. The Cab Car brake system FDR occurred on July 9<sup>th</sup>. IDOT galley FDR reviews and releases are ongoing, and the latest galley review occurred on June 16<sup>th</sup>.

Travel restrictions are being evaluated, but travel to Europe from the U.S. for testing is unlikely in the near term. Video and photos continue to be provided for tests that SMEs are unable to witness. This was successfully demonstrated using live video for Cab Car CEM testing. NEC testing is complete, and the test report has been sent to FRA and Amtrak for review. Caltrans 238.111 testing is underway this week. The IDOT 238.111 test runs on the IDOT corridors are expected to be performed in August or September.

51 cars in total are in production or have been produced at Siemens Sacramento Facility. System-level FAIs for standard coach are complete and approved with final open items in work to complete first car overall FAI. The complete car FAI for IDOT and a follow-up FRA Sample Car Inspection occurred June 24<sup>th</sup> and 25<sup>th</sup>. There are nine cars in total at the Stockton facility. Cars 11 and 12 were shipped to Stockton on June 30<sup>th</sup>. The IDOT cars are expected to begin shipments in August.

The project teams continue to monitor potential production and schedule impacts due to the coronavirus and are receiving frequent updates from SCOA and Siemens.

- Metro North Dual Mode Locomotive Procurement – Update as of 7-31-20:

On 7-14-20, Ray Hessinger, NYSDOT, reported that while the procurement effort remains under the “cone of silence”, there is some “light at the end of the tunnel” as Metro-North has established a schedule to bring the effort to closure. Ray expects to have some announcements “eventually”.

- Amtrak Equipment Procurement Update – as of 7-31-20:

On 7-14-20, Charlie King provided the following update to the Executive Board:

On the Acela:

Testing continues on Trainsets 1 and 2.

Instrumented wheels are to come off Trainset 1 in Pueblo and will go to the NEC for Trainset 2 testing.

Trainset 2 continues to be “out and about” undergoing controlled tests for access and will be taken to DC either next week or the week after.

Charlie noted that there has been close coordination with FRA throughout the process and they have been supportive.

Trainsets 3 and 4 continue to be built in Hornell.

The COVID 19 virus is having an impact on some of the material – but the plan remains for revenue service sometime in 2021.

On the Locomotives:

Seven units are in various stages of construction – with the first one being the furthest along - the car body FAI is going on this week in the Siemens factory in Sacramento.

On the Intercity Passenger Rail (ICPR) vehicles intended to replace Amfleet and others such as Washington State DOT:

Amtrak continues to evaluate bid proposals and remains under the procurement “cone of silence” as they work through the technical packages. They are hopeful for some announcements by the end of this summer.

- Connecticut DOT Rail Car RFP as of 7-31-20:

The following update was provided by Marci Petterson, Connecticut DOT as an update to the Executive Board:

RFP went public on April 30<sup>th</sup>

Pre-proposal conference held June 12<sup>th</sup>

First round of questions was due July 10<sup>th</sup>

Second round due at the end of August 2020

Anticipate awarding in January 2021

We are using a best value selection process

- VIA Rail Equipment Procurements – as of 2-21-20

At the Annual Meeting, 2-21-20, Mario Bergeron, Bob Becker and Joe Diliello provided an update on the ongoing VIA Rail equipment procurement and on overview of VIA Rail as a company.

The complete presentation was is provided as a PDF file and was not re-printed in the Minutes but is available on the website and was distributed along with other NGECE presentations.

Next update – as appropriate

- Document Control Update - as of 7-31-20:

Document Control activities recently have involved primarily the Trainset specification. Tammy Krause is working to finish the reconfiguring of the specification by the end of the month (July 2020).

- Equipment Acquisition and Ownership Best Practices/Lessons Learned reference document:

The group met on 6-25-20 to go over comments received on the most recent draft. It was a productive session with all comments addressed in one way or another. Some suggested edits will require additional rewriting to address comments made.

On 7-23-20, to the Technical subcommittee, Steve Hewitt added an update on the Equipment Acquisition and Ownership Working Group's progress on developing Recommended Practices. Based on comments received and comments previously accepted, and some new section re writes, Tammy and the technical writer will be revising the previous draft to include all updates and to recirculate to working group members. The members will be provided with the document two weeks in advance of the next call. Initially, the next call was scheduled for 7-30-20. Because the updated DRAFT has not yet been completed or distributed, Chairman Hessinger has canceled the 7-30-20 call and will reschedule it once the new DRAFT has been provided with a two-week review period.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

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Next Update – as appropriate

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During the month of August 2020, the Executive Board met once, via conference call, on the 11th.

Highlights, decisions, and action items from the month of August 2020 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGEC



specifications to ensure compliance and make any necessary changes by utilizing the NGECD process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received.

- Executive Board review of NGECD documents to ensure there are no holes in the NGECD portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As expressed by Chairman Hessinger, the intent is to have an "a la carte" menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGECD document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 8-20-20 - progress continued in the development of the TSSSA primer/template. It is anticipated that the DRAFT document will be completed within the next couple of months.

Treasurer's Report – provided on 7-22-20 to the FASC:

- Treasurer's update as of 8-19-20:

Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$643,857.54

Balance remaining: \$ 606,142.46

Anticipated spending through the remainder of the current grant period: approximately \$63,899.38

Estimated balance remaining at the end of the current grant period (9-30-20): \$542,243.08

Approximate current spend rate: \$14,633.13

Average Monthly expenditure estimated for the extension period is: \$15,000.00

Amount utilized if the Grant is extended for 36 months at estimated spend rate: \$540,000.00

Projected total remaining at the end of the 36-month extension: \$2,243.08

Grant Agreement Extension request as of 8-19-20:

Tim Ziethen reported that FRA continues to work through the final steps for the no-cost grant agreement extension approval. Some minor adjustments were requested. Amtrak made the adjustments and sent back to FRA – for its review. Tim anticipates the final review will be completed in the next week or two.

Mike Murray, FRA, reported that he spoke to FRA grants and confirmed that it is moving along well, and it is expected to be finalized by the first week in September.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 8-20-20:

Design review for the standard coach is complete. The Cab Car structure FDR is complete, the structural test plans are in review, and the Cab Car brake system FDR occurred in July with closure documents in work. Reviews for Cab Car Interiors, Electrical Systems and Safety Appliances are scheduled to commence in September. IDOT Café Car releases are ongoing with design reviews continuing through August and September.

Travel restrictions are being evaluated, but travel to Europe from the U.S. for testing has not been possible with no known upcoming change. Video and photos continue to be provided for tests that SMEs are unable to witness and this has been successfully demonstrated using remote live video for

cab car CEM element testing In July. NEC testing is complete and comments to the report have been provided by the customer and FRA. Caltrans 238.111 testing was completed the last week of July and the final report is in work. The IDOT 238.111 test runs on the IDOT corridors are expected to be performed in September.

54 cars total are in production or have been produced at Siemens Sacramento Facility. System-level FAIs for standard coach are now approved and the overall car FAI is in the approval process. The complete car FAI for IDOT and a follow-up FRA Sample Car Inspection occurred June 24<sup>th</sup> and 25<sup>th</sup>. The Maintainability Demonstration for standard coach is scheduled for late August. There are nine cars delivered to the Stockton facility. The first IDOT cars shipped end of July and are at the Amtrak facility in Chicago.

The project teams continue to monitor potential production and schedule impacts due to the coronavirus and are receiving frequent updates from SCOA and Siemens.

- Metro North Dual Mode Locomotive Procurement – Update as of 8-20-20:

On 8-6-20, Ray Hessinger, NYSDOT, reported that the procurement effort remains under the “cone of silence”.

- Amtrak Equipment Procurement Update – as of 8-6--20:

On the Acela:

Trainsets 1 and 2 continue in the testing phase. Instrumented wheels have been put on Trainset 2 for operation on the NEC.

There have been some challenges, similar to what Caltrans is facing, due to travel restrictions from foreign countries to the US due to COVID 19 issues.

On the Locomotives:

Amtrak published picture and colors of the new locomotives with progress moving forward on the 7 that are in the manufacturing stage.

On the Intercity Passenger Rail cars:

This procurement currently remains in the “cone of silence” period as Amtrak progresses through the procurement steps before an announcement is made. The announcement should occur within the next 60 days.

- Connecticut DOT Rail Car RFP as of 8-6-20:

The following update was provided by Marci Petterson, Connecticut DOT as an update to the Executive Board:

“We are finalizing answers to the 82 questions/requests for clarification received on our RFP. Those are due to be posted as an addendum on our procurement site on Friday (8-7-20).”

- VIA Rail Equipment Procurements – as of 2-21-20

At the Annual Meeting, 2-21-20, Mario Bergeron, Bob Becker and Joe Diliello provided an update on the ongoing VIA Rail equipment procurement and on overview of VIA Rail as a company.

The complete presentation was is provided as a PDF file and was not re-printed in the Minutes but is available on the website and was distributed along with other NGECE presentations.

Next update – as appropriate

- Document Control Update - as of 8-6-20:

As provided by Tammy Krause:

I am still waiting on one WG for their comments on the DMU DCRs, but they hope to have their meeting next week and will then get their results back to me. I am also waiting on two WGs for their member lists.

I have sent the proposed changes to the Equipment Acquisition and Ownership document to the Technical Writer, I should have those changes back next week. (Week of 8-10-20)

I have also started sending her the chapter changes for the Trainset specification.' I am sending the chapters individually to give her time to make the changes and I should have all the changes to her by the end of next week. (Week of 8-10-20)

- Equipment Acquisition and Ownership Best Practices/Lessons Learned reference document as of 8-19-20:

As reported previously the working group last met on 6-25-20 to go over comments received on the most recent draft. It was a productive session with all comments addressed in one way or another. The title of the document was agreed on by the working group members as "Recommended Practices".

Some edits suggested on the 6-25-20 call required additional rewriting to address comments made and will be incorporated into an updated DRAFT and there will be another round of working group review.

The next meeting was scheduled to take place on 7-30-20, but, that call was canceled, and because we still have not received the updated DRAFT, it has not yet been rescheduled. It will only be scheduled when the updated version has been received and circulated. The intent continues to be to give working group members at least two weeks for review. It is hoped that this will be the last round of reviews by the working group before advancing the DRAFT to the Executive Board for its review and comment.

Once the working group has approved the DRAFT document, the Executive Board will be provided at least two weeks of review prior to discussion on a subsequent Board call.

Last status report from Document Control Manager Tammy Krause was that the updates have been provided to the technical writer, Camren Cordell, and Tammy anticipated getting the updated version over the next week or so. Thus far that has not happened – but we hope to hear from Tammy on tomorrow's technical subcommittee call as to where things stand.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – as appropriate

- Distribution of the NGEC two-pager – educational document as of 8-31-20:

The updated NGEC two-pager remains available in hard copy and PDF. To date over 400 hard copies and electronic copies have been distributed.

Copies are available in either version by request from Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of September 2020, the Executive Board met twice, via web conference, on the 8<sup>th</sup> and the 22<sup>nd</sup>.

Highlights, decisions, and action items from the month of August 2020 include:

- Changes in NGEC Officers:

On 9-18-20, NGEC Vice Chair and Chair of the Technical subcommittee formally retired from Amtrak. George Hull, Acting CMO for Amtrak and the Vice Chair of the NGEC Technical subcommittee assumed the Chairman's role and the role of Vice Chair of the NGEC Executive Board. George also appointed Joe Paul to serve as Vice Chair of the Technical subcommittee.

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20-20, Melissa Shurland, FRA, reported to the Technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGEC technical subcommittee informed as the process is completed.

- Executive Board review of NGEC documents to ensure there are no holes in the NGEC portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As expressed by Chairman Hessinger, the intent is to have an "a la carte" menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGEC document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 9-17-20 - progress had slowed due to the many changes that have taken place at Amtrak. On 9-17-20, new Technical subcommittee Chair, George Hull told the Technical subcommittee that there were no updates on the progress of this activity at this time as "things are just getting settled here at Amtrak" with all the changes that have occurred.

- Treasurer's Report:

Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$645,579.00.

Balance remaining: \$ 604,421.00

Anticipated spending through the remainder of the current grant period: approximately \$28,068.65.  
Estimated balance remaining at the end of the current grant period (9-30-20): \$576,352.35.  
Estimated spend at current rate for the next 36 months (9-30-23) - \$505,235.74.  
Approximate current spend rate: \$14,034.33.  
Estimated Balance at the end of the extension period (Contingency) - \$71,116.61

The 36 month no-cost NGEC Grant Agreement Extension has been approved/executed and the Treasurer's report includes that period going forward.

Syncing all NGEC contracts/subcontracts with the grant agreement term – (Amtrak/AASHTO; AASHTO/Subcontractors):

On 9-22-20, Ray Hessinger stressed the importance of Amtrak and AASHTO extending their contract and AASHTO, in turn, extending the contracts of Steve Hewitt, Tammy Krause, Cameron Cordell and Larry Salci so that they are all in sync with the 36-month grant agreement extension.

Tim Ziethen agreed, and reiterated that he will make it a priority to get the Amtrak/AASHTO contract extended and get the ball rolling so AASHTO can, in turn, extend the contracts of the aforementioned subcontractor in sync with the extended grant period.

Updating the NGEC two-page handout:

On the 9-16-20 FASC call a sub-group (Steve Hewitt, Ray Hessinger Troy Hughes, and Tim Ziethen) was established to begin reviewing and updating the two-pager to make it more current. The expectation is that the group will have some initial recommendations to report to the FASC on its next call on 10-14-20. Troy Hughes has agreed to check with MODOT graphics to see if they would, once again, format and print it for the NGEC.

Annual By-Laws Review:

On the 10-16-20 FASC call, Chairman Ziethen tasked NGEC Secretary John Oimoen, IDOT and NGEC Manager with beginning the annual review of the NGEC By-laws and providing recommendations on the next FASC call – 10-14-20.

NGEC Reauthorization:

Due to concern over the fact that the proposed House reauthorization bill did not include the NGEC, the FASC discussed on the last few calls the fact that, although the NGEC cannot advocate as a group, it's state members AASHTO, other organizations such as the States for Passenger Rail Coalition (SPRC) and Amtrak are able to include requests for reauthorizing the NGEC and have done so.

To reiterate and emphasize the importance of getting the NGEC authorized in the successor to the FAST Act, and get the word to Senate Commerce which has not completed its proposal, SPRC, submitted DRAFT language scope and funding (based on the information provided previously by the NGEC, and included the NGEC two-pager as well as SPRC's previously submitted principles which had included a simple request without details to reauthorize the NGEC. Amtrak Government Affairs is also going to re-emphasize the need for authorizing the NGEC and AASHTO is as well. It will be included as one of its programs which needs to be continued.

The SPRC materials were submitted on Friday 9-18-20 to Senate Commerce and to the House T&I as well.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 9-22-20:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and the structural test plans have been reviewed and are in revision. Reviews for Vending Cars, Cab Car Interiors, Diagnostic Systems and Safety Appliances were scheduled for the week of September 28th in Sacramento. IDOT Café Car releases are ongoing with design reviews continuing through September. The Café Car IDR has been approved.

Travel to Europe from the U.S. for testing is being investigated in order to support workstation table testing. The first Maintainability Demonstration took place in Stockton last week. NEC testing for standard coach is complete and comments to the report are being clarified with FRA. Caltrans 238.111 testing is complete, and the report is in work. The IDOT 238.111 test runs on the IDOT corridors are expected to begin end of September or early October.

54 cars total are in production or have been produced at Siemens Sacramento Facility. System-level FAIs and the Complete Coach FAI are now approved for the standard coach. There are nine cars delivered to the Stockton facility. The first IDOT cars shipped end of July and the second shipment occurred August 28.

The project teams continue to monitor potential production and schedule impacts due to the coronavirus and are receiving frequent updates from SCOA and Siemens.

- Metro North Dual Mode Locomotive Procurement – Update as of 9-8-20:

On 9-8-20, Ray Hessinger, NYSDOT, reported that the procurement effort remains under the “cone of silence”.

- Amtrak Equipment Procurement Update – as of 9-8--20:

On the Acela:

The first two “prototypes” continue in different phases of testing.

There may be some delays, but the opportunity to make up some time is there.

On the Locomotives (ACL 42):

Great progress has been made – they are actually beginning to look like locomotives.

The 11<sup>th</sup> unit is being assembled with the fuel tank as the first item. This is the 11<sup>th</sup> of a total of 75 units to be built.

On the Intercity Passenger Car procurement:

This procurement remains in the “cone of silence”.

- Connecticut DOT Rail Car RFP as of 9-8-20:

On 9-3-20, Marci Petterson reported to the Technical subcommittee that they continue to finalize answers to the questions (52) received. One was a request for an extension which they are considering.

- VIA Rail Equipment Procurements – as of 2-21-20

At the Annual Meeting, 2-21-20, Mario Bergeron, Bob Becker and Joe Diliello provided an update on the ongoing VIA Rail equipment procurement and on overview of VIA Rail as a company.

The complete presentation was is provided as a PDF file and was not re-printed in the Minutes but is available on the website and was distributed along with other NGEC presentations.

Next update: On 9-22-20, VIA Rail agreed to provide an update presentation to the NGEC Executive Board on its web conference scheduled for 10-20-20.

- Document Control Update - as of 9-22-20:

As provided by Tammy Krause:

- Tammy Krause was unavailable for today’s call (9-22-20) and provided the following update which Steve Hewitt presented:

Last week I was off for my daughter's wedding and nothing happened in Document Control. Happily, I have now heard from Anand Prabhakaran. He provided me with the Structural Group comments on the DMU specification and the group member list. He did not express any interest in being replaced as group lead. I will be sending the complete list of proposed changes to the DMU out to the entire Technical Subcommittee this week, and I will also be sending all the group member lists to Steve. I have no update on the Trainset, I was not able to get back to Camren last week with additional needed information.

Steve Hewitt added an explanation of the NGEC process and next steps once the DMU DCRs have been compiled. He also emphasized the need for moving some of these document control items forward to completion and will require follow-up by Tammy as Document Control Manager.

Steve also noted that the Equipment Acquisition and Ownership document (Recommended Practices) is also with the Technical writer and Tammy will need to follow up on that as well. The 4<sup>th</sup>, and hopefully, final revision was expected to be completed and sent out to working group members on 9-11-20.

Chairman Ray Hessinger agreed with Steve's comments and added that until these various items go through the document control process – the others (Technical subcommittee, Equipment Acquisition and Ownership Working Group, and the Executive Board) are on hold in advancing them to completion.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – as appropriate

- Distribution of the NGEC two-pager – educational document as of 8-31-20:

The updated NGEC two-pager remains available in hard copy and PDF. To date over 400 hard copies and electronic copies have been distributed.

Copies are available in either version by request from Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

[As noted above, the Finance and Administrative subcommittee has begun a review and update of the NGEC two-pager which will be completed and available for distribution by January 2021.](#)

During the month of October 2020, the Executive Board met twice, via web conference, on the 6<sup>th</sup> and the 20<sup>th</sup>.

Highlights, decisions, and action items from the month of August 2020 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGE C specifications to ensure compliance and make any necessary changes by utilizing the NGE C DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20 -20, Melissa Shurland, FRA, reported to the Technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGE C technical subcommittee informed as the process is completed.

As reported to the Technical subcommittee on 10-1-20, the Access Board review is currently in a holding pattern.

- Executive Board review of NGE C documents to ensure there are no holes in the NGE C portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As expressed by Chairman Hessinger, the intent is to have an "a la carte" menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGE C document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 10-30-20 - progress has slowed due to the many changes that have taken place at Amtrak. On 10-1-20, Technical subcommittee Chair, George Hull reported to the subcommittee that there were no updates on the progress of this activity.

- Treasurer's Report:
- Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$645,579.00.

Balance remaining: \$ 604,421.00.

Projected spending through the remainder of the grant period through 9-30-20: approximately \$28,068.65.

Estimated balance remaining at the end of FFY 2020 (9-30-20: \$576,352.00).

Approximate current spend rate: \$14,034.33.

Estimated spend at current rate for the next 36 months (through 9-30-23 - \$505,235.74

Estimated balance at the end of the Extension Period – 9-30-23 – (Contingency) - \$71,116.61.

- 36 month – No-cost Grant Agreement Extension Executed - Tim Ziethen:

Status: Contract extensions Amtrak/AASHTO, and AASHTO/Sub-contractors (Hewitt, Krause, Casamar, Salci):

As of 10-30-20, the Amtrak/AASHTO 36-month contract extension had been fully executed and the AASHTO/Hewitt 36-month contract extension had also been fully executed. Casamar and Krause contract extensions were in process and the Salci contract for the upcoming DMU Review Panel work is also in process.

- Updating NGE C two-page handout/backgroundunder - Tim Ziethen/Steve Hewitt:



Steve Hewitt has begun a review of the two-pager and has some suggestions for updates. The FASC has established a small subgroup to work on this effort. The group is meeting today – following the Board call. The intent is to have the document updated and ready for distribution by January 2-21. MODOT graphics arts has agreed to, once again, format the changes and produce the two-pager and print copies as well.

- Status and next steps: Annual By-Laws Review - Steve Hewitt

Steve Hewitt reported that the FASC approved By-Law changes as proposed by John Oimoen and Steve Hewitt. They are minimal changes, but ones that better reflect the work that is being done by the NGEAC at this point and going forward. In accordance with the By-Laws, the Executive Board must have the proposed changes in writing 30 days prior to taking a vote on them. All Board members were provided with the DASC recommendations on 10-14-20. This would mean the By-Law changes can be discussed and considered by the Board during the 11-17-20 meeting.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 10-29-20:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and the structural test plans have been reviewed and are in revision. Reviews for Vending Cars, Cab Car Interiors, and Diagnostic Systems occurred the week of September 28. IDOT Café Car releases are ongoing. FDR Communications, Diagnostics and Interiors took place in early October. The Café Car IDR has been approved. The new emergency egress window was successfully demonstrated to FRA on September 29.

Workstation table testing is ongoing in Spain and though some parameters have not passed, overall results are positive. Minor modifications and preparation for repeat testing are in work. NEC testing for standard coach is complete and report reviews are ongoing with FRA. Caltrans 238.111 testing is complete, and the final report is in work. The IDOT 238.111 test runs on the IDOT corridors is pending results of the 213 report discussions. Cab Car Compression Test Preparation is ongoing, and test setup is tentative for mid-November.

60 cars total are in production or have been produced at Siemens Sacramento Facility. System-level FAIs and the Complete Coach FAI are now approved for the standard coach. There are nine cars delivered to the Stockton facility. Four more CALTRANS cars are scheduled to ship on December 2<sup>nd</sup>. The third IDOT shipment occurred on September 30<sup>th</sup> and additional cars are tentatively scheduled to ship Mid-November.

The project teams continue to monitor potential production and schedule impacts due to the coronavirus and are receiving frequent updates from SCOA and Siemens.

- Metro North Dual Mode Locomotive Procurement – Update as of 10-29-20:

On 10-20-20, Ray Hessinger, NYSDOT, reported that the procurement effort remains under the “cone of silence”.

- Amtrak Equipment Procurement Update – as of 10-29-20:

There was no new activity reported that would change this update

On the Acela on 9-8-20:

The first two “prototypes” continue in different phases of testing.

There may be some delays, but the opportunity to make up some time is there.

On the Locomotives (ACL 42):

Great progress has been made – they are actually beginning to look like locomotives.

The 11<sup>th</sup> unit is being assembled with the fuel tank as the first item. This is the 11<sup>th</sup> of a total of 75 units to be built.

On the Intercity Passenger Car procurement – reported on 10-29-20:

This procurement remains in the “cone of silence”.

- Connecticut DOT Rail Car RFP as of 10-20-20:

On 10-29-20, Marci Petterson reported to the Technical subcommittee that proposals are due by 11-2-20.

- VIA Rail Equipment Procurements – as of 10-20-20

On 10-20-20, Ron Bartels, VIA Rail, provided the NGECE Executive Board with an update on the VIA Rail vehicle procurement program.

He gave an overview of an exciting program that will result in 32 trainsets - each with 1 locomotive, 4 coaches and a cab car. Ron provided a general overview of milestones and an anticipated timeline for delivery.

He also described the great level of progress that has taken place, even with a tight schedule and the challenges presented by the COVID 19 pandemic.

VIA Rail will provide an update to the NGECE Board in 6 months or, potentially during the NGECE Annual Meeting to be held virtually in February 2021.

- Document Control Update - as of 10-29-20:
- Approval of the summary of changes to the NGECE DMU Specification Revision B:

On 10-15-20, the NGECE Technical subcommittee approved the summary of changes presented by Document Control Manager, Tammy Krause as submitted by the Technical working groups. The NGECE Chairman, on 10-20 re-opened the DMU review Panel and tasked it with beginning the review process.

On 10-29-20 Tammy Krause provided the following update to the Technical subcommittee:

Additional information on the DMU DCRs, was submitted by the Mechanical Working Group which made several proposed changes and the Interiors Group also added two new DCRs. These were sent out prior to the 10-29-20 Technical subcommittee meeting.

Steve Hewitt expanded on the issue raising the fact that the additional changes to the DMU specification, sent out today from Tammy Krause, need to be discussed and, if agreed upon, the Technical subcommittee could vote on them. If approved they would be passed on to Larry Salci for inclusion in his review of the summary of changes.

Steve also reported that an email from industry member Rich Bowie asked for consideration of another change:

First row regarding calipers: our WZKT's maintain 1.5+/-0.5mm between pad and disc. These are successfully deployed in significantly large quantities.

Can this be reconsidered?

Jeff Gordon will take this request back to the Mechanical working group. He anticipates this will be no problem and will be approved.

Jeff Gordon also raised the issue that there are two sets of numbers that need to be reconciled. The replacement language in 40 and 41 are not the same. Weight needs to be representative of what

the industry thinks it should be and, once resolved, it should be the same in both places in the specification.

Jeff agreed to contact Tammy Krause to discuss this and remedy the issue. Larry Salci also stated he would give Tammy a call as he was involved initially with the DMU and the discussion of weight.

Steve Hewitt recommended, and Chairman Hull agreed, that the vote on the items distributed today should be tabled until the issue is resolved.

It is anticipated that the issue can be resolved over the next two weeks and can be considered on the next Technical subcommittee call on 11-12-20. Larry Salci, Review Panel consultant for the NGEC, will conduct his review of the summary of changes approved previously by the Technical subcommittee while awaiting resolution of the issues raised today (10-29-20).

Tammy also reported on the status of the Ownership best practices document (Recommended Practices) stating that it is still with the Technical Writer. A discussion was to take place later that day between the Technical Writer and Tammy (10-29-20).

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – as appropriate

- Distribution of the NGEC two-pager – educational document as of 10-30-20:

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[As noted above, the Finance and Administrative subcommittee has begun a review and update of the NGEC two-pager which will be completed and available for distribution by January 2021.](#)

- Industry member's concerns- Email addresses posted on the NGEC website and being used for solicitations:

On 10-20-20, Steve Hewitt reported that an NGEC industry member had approached him with concerns over the listing of industry members email addresses on the NGEC website. A company that has no association with the NGEC utilized the public website to obtain the industry email list and sent out a solicitation.

It was decided that this will be an agenda item for discussion on the next (10-29-20) NGEC Technical subcommittee call where 20-30 industry members usually are in attendance. If the general sense is that they would prefer to be given a choice to opt out of having their email addresses listed on the NGEC website. If opting out is the choice, Steve Hewitt will send an email to that effect out to all NGEC industry participants.

On the Technical subcommittee meeting on 10-29-20, it was decided that the industry members email addresses will remain posted on the NGECE website unless otherwise requested by a particular member. Any member contacting Steve Hewitt to request removal of their email address will be accommodated – otherwise the addresses remain. To date, only the one email address will be removed.

- NGECE Annual Meeting – 2021:

It has been determined that due to the COVID 19 pandemic, the NGECE Annual Meeting for 2021 will be held virtually rather than in person at a date to be determined - likely during the month of February 2021.

During the month of November 2020, the Executive Board met twice, via web conference, on the 3rd<sup>h</sup> and the 17th.

Highlights, decisions, and action items from the month of November 2020 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGECE specifications to ensure compliance and make any necessary changes by utilizing the NGECE DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20 -20, Melissa Shurland, FRA, reported to the Technical subcommittee, “we are in a holding pattern to see what the comments were and what the Access Board’s disposition of them will be.” Melissa will keep the NGECE technical subcommittee informed as the process is completed.

As reported to the Technical subcommittee on 10-1-20, the Access Board review is currently in a holding pattern. As of 11-30-20 – this pattern continues.

- Executive Board review of NGECE documents to ensure there are no holes in the NGECE portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As expressed by Chairman Hessinger, the intent is to have an “a la carte” menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGECE document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 10-30-20 - progress has slowed due to the many changes that have taken place at Amtrak. On 10-1-20, Technical subcommittee Chair, George Hull reported to the subcommittee that there were no updates on the progress of this activity.

As of 11-30-20 there has been no new activity on this item.

- Treasurer’s Report:

Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$669,646.87.

Balance remaining: \$ 580,353.13.

Estimated balance remaining at the end of FFY 2020 (9-30-20): \$580,353.13.

Estimated spend at current rate for the next 36 months (through 9-30-23) - \$524,071.46.

Current Spend Rate (as info and used in calculating) - \$14, 557.54

Estimated balance at the end of the Extension Period – 9-30-23 – (Contingency) - \$56,281.67.

- Status: Contract extensions Amtrak/AASHTO, and AASHTO/Sub-contractors (Hewitt, Krause, Casamar, Salci):

Tim Ziethen reported that the Amtrak/AASHTO 36-month contract extension has been fully executed by Amtrak and AASHTO. In turn, AASHTO has fully executed 36-month contract extensions with each of the subcontractors (Hewitt, Krause, and Casamar). NGEN Technical Consultant, Larry Salci's, contracts are individual task orders, and he has provided a statement of work (SOW) and budget for the DMU specification update review panel effort. AASHTO is processing that task order now.

- Updating NGEN two-page handout/background:

On 11-16-20, the FASC two-pager update working group (Tim Ziethen Ray Hessinger, Troy Hughes, and Steve Hewitt) met for the second time via web conference.

On the call on 11-16-20, the working group prepared a rough draft mark-up of the two-pager with proposed changes in content and in design format. The intent, today, (11-17-20) is to get a general sense from the Board about the direction they are taking. The next step would be to have Laura Seabaugh, MODOT graphics arts, format it and smooth it. It would then be presented to the FASC for its review before coming back to the NGEN Executive Board for final approval.

Steve Hewitt provided a brief overview of the suggested changes/updates as prepared by the working group.

Ray Hessinger commented that he would like to add to the Charger information on the timeline column on page 1. Ray's change would be to add the number of Chargers in service and how many are on order.

Ray also noted that MARC should be added to the list of entities that are using NGEN specs.

Steve Hewitt added that John Oimoen, IDOT, sent him some suggestions just prior to this call (see below). They are good suggestions and will also be included in the next DRAFT.

John Oimoen was not available for the meeting, but provided the following suggestions for inclusion in the two-pager:

- Safety Enhancements – both the locomotives and cars, for example the CEM system among many other features.
- ADA Enhancements (cars) – intensive involvement with the ADA community and numerous improvements made.

Steve Hewitt also noted that the group is looking for a new picture (Single Level Coach Car) for the front page and asked states, preferably from the Mid-West, to provide one to Steve Hewitt and MODOT along with permission to use it.

Ray Hessinger and Tim Ziethen encouraged Board members to provide any comments/edits/suggestions they have to Steve Hewitt in advance of the next FASC call – 12-9-20. Meanwhile, the working group will move forward and make the formatting improvements and confirm some of the information contained in the DRAFT.

- Status and next steps: Annual By-Laws Review

On 11-17-20, the NGEC Executive Board adopted the proposed changes to the By-Laws, with all members present voting in the affirmative.

Following the adoption of the changes – Steve Hewitt finalized the document and provided it to all Executive Board members and to AASHTO for posting on the NGEC website.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 11-17-20:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and the structural test plans have been reviewed and are in revision. IDOT Café Car releases are ongoing. The FDR for Cab Car Safety Appliances is scheduled for November 18 and the documents are in review. The Café Car IDR has been approved. The new emergency egress windows are now being installed on cars in California and Illinois.

Workstation table testing is ongoing in Spain and though some parameters have not passed, overall results are positive. A repeat test is scheduled for Thursday, November 12. NEC testing for standard coach is complete and report reviews are ongoing with FRA. Caltrans 238.111 testing is complete, and the report is in final review. The IDOT 238.111 test runs on the IDOT corridors is pending results of the 213 report discussions.

Cab Car Compression Test Preparation is ongoing, and test setup is being planned. 60 cars total are in production or have been produced at Siemens Sacramento Facility. System-level FAIs and the Complete Coach FAI are now approved for the standard coach. There are nine cars delivered to the Stockton facility. Four more CALTRANS cars are scheduled to ship on November 20th. A shipment of 5 cars is scheduled to ship to IDOT this week.

- Metro North Dual Mode Locomotive Procurement – Update as of 11-30-20:

The procurement effort remains under the “cone of silence”.

- Amtrak Equipment Procurement Update – as of 11-3-20:

The Charger locomotives are progressing on track with 12 locomotives online in production at Siemens.

The Trainsets – Amfleet replacement – continue to be in negotiation with vendors and there is not much more he can add at this time.

- Connecticut DOT Rail Car RFP as of 11-30-20:

Proposals were due by 11-2-20. There is nothing new to report at this time.

- VIA Rail Equipment Procurements:

On 10-20-20, Ron Bartels, VIA Rail, provided the NGEC Executive Board with an update on the VIA Rail vehicle procurement program.

He gave an overview of an exciting program that will result in 32 trainsets - each with 1 locomotive, 4 coaches and a cab car. Ron provided a general overview of milestones and an anticipated timeline for delivery.

He also described the great level of progress that has taken place, even with a tight schedule and the challenges presented by the COVID 19 pandemic.

VIA Rail will provide an update to the NGEC Board in 6 months or, potentially during the NGEC Annual Meeting to be held virtually in February 2021.

- Document Control Update - as of 11-17-20:

Tammy Krause provided the following update on 11-17-20:

"I have sent out requests for contact information to members of the Structural, Interiors and Mechanical Working Groups. I have received many replies so far and I am currently building those membership lists. I will send out requests to the remaining working groups after I finish these lists.

The final draft of the Equipment Acquisition and Ownership document (Recommended Practices) was received from the technical writer and has been sent to that working group.

I am now meeting with the technical writer weekly to work on the outstanding documents. The Trainset specification work is the next to work on once the Equipment Acquisition and Ownership document has been completed.

I have received notice that Stadler intends to submit some proposed changes to the DMU specification revision. Stadler has put together an internal review schedule of each chapter and should be finished December 4<sup>th</sup>. They are a DMU manufacturer so I think that they may have some valuable proposed changes. I can send the changes out when I get them and maybe we can vote on the changes at the TSC meeting of 12/17/2020."

#### Discussion:

Steve Hewitt noted that, in light of the fact that Stadler's changes were not going to be considered by the Technical subcommittee until 12-17-20, the intended timeline for adoption of DMU specification Revision B was going to have to be revised. The original intent was to complete the DMU update by the end of 2020, but that timeline cannot be met. Steve emphasized that it was understandable, especially since Stadler builds DMUs, and their input is important. So, even though the plan was to complete the update in this calendar year, it is far more important to get it right than rush it to fit into a timeline.

Steve noted that this point segued into the next agenda topic which is Larry Salci and the DMU review timeline status.

Ray Hessinger agreed that it was better to wait and get the DMU revision right and he echoed Steve's sentiments that since Stadler builds DMUs it will be interesting to see what their changes are, and it would not be prudent to go forward without getting those changes/DCRs adjudicated.. He then called on Mr. Salci to provide his thoughts on the impact of this on his review.

#### Revised Timeline and status – Review of proposed changes to the DMU specification:

On 11-17-20, Larry Salci reported that he has reviewed the 82 DCRs and the supplemental comments received from FRA and the mechanical working group on the recent Technical subcommittee call. He noted that there are a number of issues in need of clarification.

Larry provided several examples of issues needing clarification – most of them related to defining weight.

Larry added that wheels are also an issue with 2 conflicting DCRS having been included in the summary of proposed changes.

Additionally, Larry noted that this review is more time consuming and more complicated than others he has done for the NGEC due to the fact that in doing his review he has to look at and compare three specs – including the DMU spec and the Locomotive specification to ensure consistency and compliance.

Larry added that he knows that AASHTO is working on completing the contract process, and he may need to contact Strat Cavros, AASHTO, to revise the scope because his estimate of time to be spent on the review is understated.

Larry has had a recent discussion with Document Control Manager Tammy Krause about these issues and others that need clarification going forward. He believes that a working group should be

established by the NGEC technical subcommittee to reconcile the weight issue and ensure FRA compliance.

He also noted that, while Stadler builds DMU's, they are primarily running under waivers from FRA compliance because they are operating on freight railroad rights of way and under an agreement to run when there are no freight trains running at the same time.

Larry added that it will be interesting to see what Stadler provides and that whatever the changes are – they will need to be FRA compliant.

As of 11-30-20, the Stadler comments have not been submitted and they have requested more time to develop those comments internally before submitting through the NGEC Document Control process as DCRs. The timeline now is anticipated to be sometime in January 2021.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – as appropriate

- Distribution of the NGEC two-pager – educational document as of 10-30-20:

The updated NGEC two-pager remains available in hard copy and PDF. To date about 420 copies have been distributed.

Copies are available in either version by request from Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

[As noted above, the Finance and Administrative subcommittee has begun a review and update of the NGEC two-pager which will be completed and available for distribution by mid to late January 2021.](#)

- NGEC Annual Meeting – 2021:

Note – on December 1, 2020, the Executive Board agreed to hold the NGEC “virtual” Annual Meeting on February 23, 2020 from 11:30AM-1:30PM Eastern. Steve Hewitt has sent a Save the Date notice and a calendar appointment out to all NGEC members/participants.

During the month of December 2020, the Executive Board met twice, via web conference, on the 1st and the 15th.

Highlights, decisions, and action items from the month of December 2020 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGEC



specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20-20, Melissa Shurland, FRA, reported to the Technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGEC technical subcommittee informed as the process is completed.

As reported to the Technical subcommittee on 10-1-20, the Access Board review is currently in a holding pattern. As of 12-31-20 – this pattern continues.

- Executive Board review of NGEC documents to ensure there are no holes in the NGEC portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As expressed by Chairman Hessinger, the intent is to have an "a la carte" menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGEC document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 10-30-20 - progress has slowed due to the many changes that have taken place at Amtrak. On 10-1-20, Technical subcommittee Chair, George Hull reported to the subcommittee that there were no updates on the progress of this activity.

As of 12-31-20 there has been no new activity on this item.

- Treasurer's Report:

Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$681,579.65.

Balance remaining: \$ 568,420.35.

Estimated spend at current rate for the remaining grant period (through 9-30-23) - \$486,842.61.

Current Spend Rate (as info and used in calculating) - \$13,909.79.

Estimated balance at the end of the Extension Period – 9-30-23 – (Contingency) - \$81,577.74.

- Updating NGEC two-pager:

Proposed updates to the NGEC two-pager were approved by the Finance and Administrative subcommittee (FASC) on 12-9-20:

On 12-15-20, during the NGEC executive Board meeting, Steve Hewitt walked through the updated two-pager, as approved by the FASC on its last call (12-9-20), noting that the approval was pending filling in some dates and getting permission to use an IDOT picture of the coach car.

Action:

John Oimoen, IDOT, agreed to get the appropriate permissions for use of a coach car picture on page 2 of the document. John also agreed to provide the requested dates to complete the NGEC timelines on rail car and Charger deliveries.

With the pending permissions and requested information, and no further comments, Chairman Hessinger determined that there was agreement in the direction the two-pager is taking and, once the

information requested has been obtained, it will be sent to MODOT to compile and format into a final DRAFT for the Board to give final approval.

Later in the month of December, all approvals/permissions were granted, and a picture was recommended by IDOT for use. This information was provided to MODOT and its graphic arts office will make the changes and provide a final draft for review by the Executive Board before going to print.

- Annual By-Laws Review

On 11-17-20, the NGEN Executive Board adopted the proposed changes to the By-Laws, with all members present voting in the affirmative.

Following the adoption of the changes – Steve Hewitt finalized the document and provided it to all Executive Board members and to AASHTO for posting on the NGEN website.

This task is complete. Next review will take place in the Fall of 2021.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 12-15-20:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and the structural test plans are being coordinated with Caltrans, Siemens, and FRA. IDOT Café Car releases are ongoing and the Electrical FDR is scheduled for December 15. The updated FDR documents for Cab Car Safety Appliances and Clearance are in review. The new emergency egress windows are being installed on cars in California and Illinois.

Workstation table testing for the new economy table has been successfully completed and work is ongoing to address Buy America compliance. NEC testing for standard coach is complete and the report is accepted by FRA. Caltrans 238.111 testing is complete, and the report has been submitted to Amtrak for final review and submittal to FRA. The IDOT 238.111 test runs are pending test date confirmation from Amtrak.

65 cars total are in production or have been produced at Siemens Sacramento Facility. System-level FAIs and the Complete Coach FAI are approved for the standard coach. There are now twelve CALTRANS cars at the Stockton Facility. Five IDOT cars were shipped to Chicago during the second week of November.

- Metro North Dual Mode Locomotive Procurement – Update as of 12-15-20:

On 12-15-20, Ray Hessinger, NYSDOT, reported that the MTA Board was meeting to consider awarding a contract to Siemens Mobility for a base order of 19 dual mode locomotives with options for a total of 152 for Metro-North, Long Island Railroad, NYSDOT and Connecticut DOT. The base order cost is at \$12.2 million each and the option orders will be at \$10.3 million each.

Ray noted that Siemens Mobility was the only bidder. Two other companies had submitted pre-qualification documents but, in the end, decided not to submit bids.

- Amtrak Equipment Procurement Update – as of 12-10-20:

As of 12-10-20 (reported to the NGEN Technical subcommittee):

CAF Cars – 2 sleeper cars delivered – down to the last 11.

Acela – the first prototype is in testing in Pueblo and the second is in testing on the North East Corridor (NEC)

Long Distance Diesel-Electric Locomotives - they are progressing well – 13 are in production with the first in final stage.

Amfleet replacement procurement remains in the cone of silence, with Amtrak and vendors continuing to be in discussions.

- Connecticut DOT Rail Car RFP as of 12-15-20:

Proposals were received (11-2-20) and CtDOT is in the process of reviewing them under the “cone of silence”.

- VIA Rail Equipment Procurements:

On 10-20-20, Ron Bartels, VIA Rail, provided the NGEC Executive Board with an update on the VIA Rail vehicle procurement program.

He gave an overview of an exciting program that will result in 32 trainsets - each with 1 locomotive, 4 coaches and a cab car. Ron provided a general overview of milestones and an anticipated timeline for delivery.

He also described the great level of progress that has taken place, even with a tight schedule and the challenges presented by the COVID 19 pandemic.

In December, Steve Hewitt extended an invitation, which was accepted by Mario Bergeron, for VIA Rail to give an update presentation during the NGEC Virtual Annual Meeting on 2-23-21.

- Document Control Update - as of 12-15-20:

Tammy Krause provided the following update on 12-10-20:

The Technical subcommittee established a new technical working group on Equipment Weights, this will be led by Jeff Gordon, FRA.

The request for contact information from all technical working group members has been issued.

The Equipment Acquisition and Ownership working group is meeting on 12-15-20 to complete the review of the Best Practices document. (Recommended Practices PRIIA 305-200)

The DMU specification DCR approval is currently on hold until January to allow Stadler Rail to complete their review of the specification and propose changes.

The Trainset specification changes will be completed after the Equipment Acquisition and Ownership document is completed.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – NGEC Virtual Annual Meeting 2-23-21.

- NGEC Annual Meeting – 2021:

Note – on December 1, 2020, the Executive Board agreed to hold the NGECE “virtual” Annual Meeting on February 23, 2020 from 11:30AM-1:30PM Eastern. Steve Hewitt has sent a Save the Date notice and a calendar appointment out to all NGECE members/participants.

On 12-15-20, the Executive Board approved a proposed agenda for the Annual Meeting as developed by Chairman Ray Hessinger and Steve Hewitt.

The agenda has been distributed as DRAFT to all NGECE members. Most speakers have been confirmed Follow-ups to speakers invited but not yet confirmed are underway.

During the month of January 2021, the Executive Board met twice, via web conference, on the 12th and the 26th.

Highlights, decisions, and action items from the month of January 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGECE specifications to ensure compliance and make any necessary changes by utilizing the NGECE DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20 -20, Melissa Shurland, FRA, reported to the Technical subcommittee, “we are in a holding pattern to see what the comments were and what the Access Board’s disposition of them will be.” Melissa will keep the NGECE technical subcommittee informed as the process is completed.

As reported to the Technical subcommittee on 10-1-20, the Access Board review is currently in a holding pattern. As of 12-31-20 – this pattern continues.

As of 1-31-21 – this holding pattern continues.

- Executive Board review of NGECE documents to ensure there are no holes in the NGECE portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As expressed by Chairman Hessinger, the intent is to have an “a la carte” menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGECE document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 10-30-20 - progress has slowed due to the many changes that have taken place at Amtrak. On 10-1-20, Technical subcommittee Chair, George Hull reported to the subcommittee that there were no updates on the progress of this activity.

As of 12-31-20 there has been no new activity on this item.

On January, Technical subcommittee chair reported that he planned to provide a DRAFT to the subcommittee on its call on 2-4-21.

- Treasurer's Report – 1-26-21:

Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$681,532.36.

Balance remaining: \$ 568,467.64.

Estimated spend at current rate for the remaining grant period (through 9-30-23) - \$486,808.83.

Current Spend Rate per month (as info and used in calculating) - \$13,908.82.

- Updating NGECE two-pager:

Proposed updates to the NGECE two-pager were approved by the Finance and Administrative subcommittee (FASC) on 12-9-20:

The NGECE two-pager for 2021 has been approved as a final DRAFT and is with MODOT Graphics Arts being finalized for distribution by the NGECE Virtual Annual Meeting.

- Annual By-Laws Review

On 11-17-20, the NGECE Executive Board adopted the proposed changes to the By-Laws, with all members present voting in the affirmative.

Following the adoption of the changes – Steve Hewitt finalized the document and provided it to all Executive Board members and to AASHTO for posting on the NGECE website.

This task is complete. Next review will take place in the Fall of 2021.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 1-26-21:

"Design review for the standard coach is complete. The Cab Car structure FDR is complete and the structural test plans are being coordinated with Caltrans, Siemens, and FRA. IDOT Café Car releases are ongoing and the Electrical FDR occurred on December 15. The Galley FDR is expected to be completed by the end of January. The new emergency egress windows are being installed on cars in California and Illinois. Cab Car Clearance, Lighting and Electrical FDR meetings occurred January 7 and 8.

The Maintainability Demonstration resumes this week in Stockton. IDOT Business Class table testing is tentative for February 9 in Spain. NEC testing for standard coach is complete and the report is accepted by FRA. Caltrans 238.111 testing is complete, and the report has been submitted to Amtrak. The IDOT 238.111 test runs are scheduled for the week of January 25<sup>th</sup>.

65 cars total are in production or have been produced at Siemens Sacramento Facility. There are currently twelve Caltrans cars at the Stockton Facility and eighteen IDOT cars in Chicago."

- Metro North Dual Mode Locomotive Procurement – Update as of 12-15-20:

On 12-15-20, Ray Hessinger, NYSDOT, reported that the MTA Board was meeting to consider awarding a contract to Siemens Mobility for a base order of 19 dual mode locomotives with options for a total of 152 for Metro-North, Long Island Railroad, NYSDOT and Connecticut DOT. The base order cost is at \$12.2 million each and the option orders will be at \$10.3 million each.

Ray noted that Siemens Mobility was the only bidder. Two other companies had submitted pre-qualification documents but, in the end, decided not to submit bids.

As of 1-26-21 the MTA Board had approved the awarding of a contract between Metro-North and Siemens Mobility for the production of the Dual Mode Locomotive.

Metro-North and Siemens were in the process of executing the contract.

Metro North agreed to give a presentation on the procurement during the NGEAC Annual Meeting and has confirmed that Dwight Sowden will be the speaker.

- Amtrak Equipment Procurement Update – as of 1-26-21:

CAF Sleeper cars – two more have been delivered – that leaves 9 left.

Long-Distance Locomotive – on track with the first one anticipated to ship in March 2021.

Amfleet replacement – this procurement is progressing and is in the “cone of silence” stage.

AE21 – is in testing on the Northeast Corridor and a TTCL.

- Connecticut DOT Rail Car RFP as of 1-26-21:

Proposals were received (11-2-20) and CtDOT is in the process of reviewing them under the “cone of silence”.

On 1-12-21, Steve Hewitt reached out to Marci Petterson, Connecticut DOT, to determine if she would be able to give an update at the NGEAC Annual Meeting. Marci reported that they will likely still be in the “cone of silence” and unable to say anything. She stated that she will attend the meeting and would offer an update if there was one to give but would not be a formal presenter at this time.

- VIA Rail Equipment Procurements:

On 10-20-20, Ron Bartels, VIA Rail, provided the NGEAC Executive Board with an update on the VIA Rail vehicle procurement program.

He gave an overview of an exciting program that will result in 32 trainsets - each with 1 locomotive, 4 coaches and a cab car. Ron provided a general overview of milestones and an anticipated timeline for delivery.

He also described the great level of progress that has taken place, even with a tight schedule and the challenges presented by the COVID 19 pandemic.

In December, Steve Hewitt extended an invitation, which was accepted by Mario Bergeron, for VIA Rail to give an update presentation during the NGEAC Virtual Annual Meeting on 2-23-21.

In January, Steve Hewitt reported that he had confirmed with Mario Bergeron that VIA rail will give a presentation at the Annual Meeting. Presenters will be a combination of Mario Bergeron, Ron Bartels, and Joe Di Liello.

- Document Control Update - as of 1-26-21:

Tammy Krause provided the following update on 1-26-21:

1. The Equipment Acquisition and Ownership Best Practices document was sent to the WG for final review and comments are due back to me by tomorrow. I have received 3 sets of comments so far.
2. Stadler Rail had requested a delay in the DMU to allow them to submit comments. I have received the first group of comments and the second group are due 2/10/2021.
3. The PRIIA specifications all reference the APTA PRESS Standards. For the past several years, APTA has been working on reviewing and updating all the specifications. They have also created many new ones. I am working with Paul Jamieson on changes to the PRIIA specs based on these. This will include making changes to Chapter 2 and 18 (References and Materials & Workmanship). In addition, ECP brakes now has standards which will require some changes to the Brakes chapters. I have also asked Paul Jamieson to send me the proposed changes based upon the APTA specifications by February 10<sup>th</sup> – the same as the date for the Stadler submittals.

On 1-26-21, Steve Hewitt asked Tammy to complete the list of technical working group members as he is preparing an NGEC Roster to be included in the meeting materials for the Annual meeting.

Tammy agreed to provide the list in time to include as a part of the NGEC Roster for the Annual Meeting packet.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if they plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

- Updates: States and Amtrak – Charger Locomotive Experience:

In-depth updates were provided during the Annual meeting and were included in the minutes. Presentations were distributed and posted to the website.

Next Update – NGEC Virtual Annual Meeting 2-23-21.

- NGEC Annual Meeting – 2021:

As of 1-26-21, the Annual Meeting Agenda is in Final DRAFT form. It has been distributed as DRAFT. All speakers have been confirmed, and 79 members of the NGEC have registered to attend.

The meeting will be held on 2-23-21 “virtually” from 11:30am-2:00pm Eastern.

- Determining the status of Michigan Membership on The NGEC Executive Board and/or as a member of the Committee, in general

This item remains on hold as a new Rail Director for Michigan (Peter Anastor) was only named recently and it was determined that outreach would wait until he has had a chance to get settled in.

The intent is to have this resolved in advance of the Annual Meeting.

John Oimoen, IDOT, noted that the Mid-West states were meeting on 1-27-21 and will be introduced to the new Michigan DOT Rail Director and he will try to get information on their interest in resuming involvement in the NGEC.

- FRA Request for list of NGEC Executive Board votes taken in 2020:

The FRA – week of 1-25-21 - requested a list of all NGEC Executive Board votes taken in 2020.

On 1-28-21, Steve Hewitt provided a list of key decisions/actions taken by the Board in 2020 (after a review by Chairman Hessinger) and submitted it to Mike Murray, FRA.

Noted in the submittal is the fact that the Board operates on consensus and few formal votes are taken, but many decisions/actions are taken throughout the year to keep the workflow moving and to continuously monitor the work of the standing subcommittees and technical working groups.

During the month of February 2021, the Executive Board met twice, (including the 11<sup>th</sup> Annual Meeting) via web conference, on the 9<sup>th</sup> and the 23<sup>rd</sup>.

Highlights, decisions, and action items from the month of February 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGECE specifications to ensure compliance and make any necessary changes by utilizing the NGECE DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20-20, Melissa Shurland, FRA, reported to the Technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGECE technical subcommittee informed as the process is completed.

As reported to the Technical subcommittee on 10-1-20, the Access Board review is currently in a holding pattern. As of 12-31-20 – this pattern continues.

As of 2-28-21 – this item remains in a holding pattern.

- Executive Board review of NGECE documents to ensure there are no holes in the NGECE portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As expressed by Chairman Hessinger, the intent is to have an "a la carte" menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGECE document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 10-30-20 - progress has slowed due to the many changes that have taken place at Amtrak. On 10-1-20, Technical subcommittee Chair, George Hull reported to the subcommittee that there were no updates on the progress of this activity.

On 2-23-21, during the Annual Meeting – it was reported that a DRAFT 6 pager primer has been developed and is in review within Amtrak Mechanical. It is expected to be circulated through the Technical subcommittee for review in the near future and ultimately to the Executive Board. This is an item, once approved, which may be added to the PRIIA 305-220 Recommended Practices document.

- Treasurer's Report – 2-23-21 Annual Meeting Report:



| <b>NGEC 305 Grant Reporting</b>                                   |                           |           |                     |
|-------------------------------------------------------------------|---------------------------|-----------|---------------------|
| <i>Current Grant - Period of Performance through 9/30/2023</i>    |                           |           |                     |
| WBS C.CF.100674.0001                                              | Technical Subcommittee    | \$        | -                   |
| WBS C.CF.100674.0002/B.ME.100032.0001                             | AASHTO/Services           | \$        | 701,847.62          |
| WBS C.CF.100674.0003                                              | Administrative Task Force | \$        | 4,478.84            |
| WBS C.CF.100674.0004                                              | Executive Board           | \$        | 793.29              |
| <b>Total Grant Spending (Invoiced through Dec 2020)</b>           |                           | <b>\$</b> | <b>707,119.75</b>   |
| Total Invoiced/Incurred                                           |                           | \$        | 701,847.62          |
| Total Incurred for AASHTO/Services                                |                           | \$        | 701,847.62          |
| All Other Admin Expenses                                          |                           | \$        | 5,272.13            |
| <b>Total Incurred for all WBS Line Items</b>                      |                           | <b>\$</b> | <b>707,119.75</b>   |
| <b>Grant Total</b>                                                |                           | <b>\$</b> | <b>1,250,000.00</b> |
| <b>Remaining Funds included accrued expenses - Balance</b>        |                           | <b>\$</b> | <b>542,880.25</b>   |
| <b>Estimated spend at current rate for the next 33 months</b>     |                           | <b>\$</b> | <b>457,548.07</b>   |
| <b>Current Spend Rate (as info and used in calculations)</b>      |                           | <b>\$</b> | <b>13,865.09</b>    |
| <b>Estimated Balance at End of Extension Period (Contingency)</b> |                           | <b>\$</b> | <b>85,332.18</b>    |

The full Report was formally accepted by the NGECE Executive Board at the Annual Meeting as presented and is available on the NGECE website.

- 2021 NGECE two-pager:

The two-page NGECE 2021 educational document was distributed electronically to all NGECE members – including over 200 members of the industry. By the end of 2021 – an update will be made to it for 2022.

- Annual By-Laws Review

On 11-17-20, the NGECE Executive Board adopted the proposed changes to the By-Laws, with all members present voting in the affirmative.

Following the adoption of the changes – Steve Hewitt finalized the document and provided it to all Executive Board members and to AASHTO for posting on the NGECE website.

This task is complete. Next review will take place in the Fall of 2021.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 2-9-21:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and the structural test plans are being coordinated with Caltrans, Siemens and FRA with compression testing planned for March or April. IDOT Café Car releases are ongoing and open items are being addressed. The new emergency egress windows are being installed on cars in California and Illinois. Cab Car Clearance, Lighting and Electrical FDR meetings occurred in January with additional reviews tentative for March.

The Maintainability Demonstration was performed on January 22<sup>nd</sup> in Stockton and open items are in work. IDOT Business Class table testing is tentative for February 9 in Spain. NEC testing for standard coach is complete and the report is accepted by FRA. Caltrans 238.111 testing is complete, and the report has been submitted to Amtrak and FRA. The IDOT 238.111 test runs were completed in January and the report is in work.

70 cars total are in production or have been produced at Siemens Sacramento Facility. There are currently twelve Caltrans cars at the Stockton Facility and eighteen IDOT cars in Chicago. Four Caltrans cars are scheduled to ship in late February.

On 2-23-21, Caltrans provided a comprehensive presentation on this procurement at the Annual Meeting. The presentation is available on the NGECE website.

- Metro North Dual Mode Locomotive Procurement – Update as of 2-23-20:

MTA approved the award of the Metro-North Dual Mode Locomotive contract to Siemens. Metro-North is in the process of finalizing the contract documents to formalize the agreement.

Dwight Sowden, Metro-North provided a comprehensive presentation on this procurement at the Annual Meeting. The presentation is available on the NGECE website.

- Amtrak Equipment Procurement Update – as of 2-9-21:

CAF Sleeper cars – two more have been delivered – that leaves 9 left.

Long-Distance Locomotive – on track with the first one anticipated to ship in March 2021.

Amfleet replacement – this procurement is progressing and is in the “cone of silence” stage.

AE21 – is in testing on the Northeast Corridor and a TTCI.

Amtrak, (George Hull) provided a comprehensive presentation on this procurement at the Annual Meeting. The presentation is available on the NGECE website.

- Connecticut DOT Rail Car RFP as of 2-4-21:

As of 2-4-21, Marci Petterson reported to the Technical subcommittee that CtDOT has completed reviewing and rating the proposals received and will begin negotiations with the highest proposer next week.

- VIA Rail Equipment Procurements:

On 10-20-20, Ron Bartels, VIA Rail, provided the NGECE Executive Board with an update on the VIA Rail vehicle procurement program.

He gave an overview of an exciting program that will result in 32 trainsets - each with 1 locomotive, 4 coaches and a cab car. Ron provided a general overview of milestones and an anticipated timeline for delivery.

He also described the great level of progress that has taken place, even with a tight schedule and the challenges presented by the COVID 19 pandemic.

In December, Steve Hewitt extended an invitation, which was accepted by Mario Bergeron, for VIA Rail to give an update presentation during the NGECE Virtual Annual Meeting on 2-23-21.

In January, Steve Hewitt reported that he had confirmed with Mario Bergeron that VIA rail will give a presentation at the Annual Meeting. Presenters will be a combination of Mario Bergeron, Ron Bartels, and Joe Di Liello.

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGECE members and is posted on the NGECE website.

- Document Control Update - as of 2-23-21:

Tammy Krause, the NGECE Document Control Manager, provided a progress report during the Annual Meeting on 2-23-21 noting 2020 accomplishments as well as a look ahead:

2020 Accomplishments:

- The DMU Specification was updated to Rev A with 81 changes that were approved by the Working Groups. These changes were approved by the Technical Subcommittee. After this approval Stadler US, a DMU manufacturer, requested additional time to review the specification. I have now received approximately 120 additional proposed changes. These will be made into DCRs and sent to the appropriate working groups for review.
- Document, #305-200, Equipment Acquisition and Ownership Best Practices was developed by the Best Practices Working Group. This document should be approved today by the EB.
- The Trainset Specification Rev B has been approved but is not compiled. While making the approved changes, it was determined that the specification did not follow the PRIIA goal of using the same chapter layout and same basic chapters. The specification is currently being reorganized.

2021 Plans:

- Complete the DMU Specification.
- Complete the reorganization of the Trainset Specification Rev B.
- Review the APTA PRESS Standards and Recommended Practices for updates required for our specifications.

2021 Specification Updates:

- The Bi-Level Specification will be the next specification to be updated. The current revision is revision C.4 from 2016.
- Several of the PRIIA specifications have been used for upcoming and current procurements. (Amtrak, CtDOT, NCDOT, All Aboard Florida, Metro-North, VIA Rail.
- These specifications need to be reviewed for updates to the PRIIA specifications.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

As of 2-28-21 – nothing new has been reported.

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

- NGEC Annual Meeting – 2021:

On 2-23-21, the 11<sup>th</sup> Annual Meeting took place virtually with 104 attendees. This is the second highest number to participate since the 1<sup>st</sup> Annual Meeting which took place at FRA in Washington, DC in 2011.

The following Actions and Decisions were taken during the Annual meeting on 2-23-21:

|                                                                 |
|-----------------------------------------------------------------|
| Approval of the Minutes from the 2-9-21 Executive Board Meeting |
| The NGEC Treasurer's Report was accepted as presented.          |

The NGEC Executive Board adopted PRIIA 305-200 Recommended Practices document – Steve Hewitt will add it to the NGEC inventory of reference documents.

Along with the NGEC Chairman's Report there were also updates provided from Amtrak Government Affairs, FRA, The FASC and Treasurer's Report, the Technical subcommittee, the Technical working group on vehicle weights, Document Control, and on the five ongoing procurements and deployments.

All PowerPoint Presentations that were provided on these reports will be posted to the NGEC website [www.ngec.org](http://www.ngec.org) and will also be distributed along with these minutes to NGEC members.

#### Filling Vacancies:

Chairman Hessinger appointed Ed Engle, Iowa DOT, to fill vacancies that occurred due to the retirement of Phil Meraz from Iowa DOT. Ed is hereby appointed to serve on the Technical subcommittee and on the Trainset and Single Level Rail Car Specification Review Panels.

The Chair also noted that Brent Thompson, WSDOT, was retiring from state service and had resigned as first Vice Chair of the NGEC FASC. It will be up to FASC Chair Tim Ziethen to appoint a first Vice Chair.

WSDOT has expressed its intention to remain on the subcommittee and at present Jason Biggs will serve as its voting member.

Ray also reported that Michael Lestingi, FRA has been moved to the front office to serve as Acting Executive Director of the FRA, and in that capacity will not serve on the NGEC. FRA has appointed Jeff Gordon to serve as its voting member of the Executive Board and Jeff will also retain his current positions within the NGEC.

During the month of March 2021, the Executive Board met once via web conference, on the 23rd.

Highlights, decisions, and action items from the month of March 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20 -20, Melissa Shurland, FRA, reported to the Technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGEC technical subcommittee informed as the process is completed.

As of 3-31-21 – this item remains in a holding pattern.

- Executive Board review of NGEC documents to ensure there are no holes in the NGEC portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As expressed by Chairman Hessinger, the intent is to have an “a la carte” menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGECC document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 3-31-21, a DRAFT TSSSA primer was developed by Amtrak Mechanical and is under review by George Hull. Once he completes his review, it will be sent to Tammy Krause to work through the NGECC document management process. This is an item, once approved, which may be added to the PRIIA 305-220 Recommended Practices document.

- Treasurer’s Report – 3-23-21:

Balance and Spend Rate through December 2020:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through December 2020: \$707,119.75.

Balance remaining: \$ 542,880.25.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$457,548.07.

Current Spend Rate per month (as info and used in calculating): \$13,865.09.

Estimated Balance at the end of the Extension Period (Contingency): \$85,332.18

Tim noted that he has reached out to AASHTO (Strat Cavros) and expects to receive the January invoices shortly. It is anticipated that the January and February spend totals will be around \$28,000 which keeps us in line with the current spend rate of around \$14,000 per month.

- 2021 NGECC two-pager:

The two-page NGECC 2021 educational document was distributed electronically to all NGECC members – including over 200 members of the industry. Hard copies are now available by request through Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com). By the end of 2021 – an update will be made for 2022.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 3-23-21:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and the structural test plans are being coordinated with Caltrans, Siemens and FRA with compression testing planned for April. The Cab Car IDR phase is complete and FDR meetings are scheduled to resume in April. IDOT Café Car reviews are complete and open items are being addressed.

IDOT Business Class table testing occurred February 16<sup>th</sup> in Spain. NEC testing for standard coach is complete and the report is accepted by FRA. Caltrans 238.111 testing is complete, and the report has been submitted to Amtrak and FRA. IDOT 238.11 testing and the report is in the submittal stage.

75 cars total are in production or have been produced at Siemens Sacramento Facility. There are currently twelve Caltrans cars at the Stockton Facility and eighteen IDOT cars in Chicago. Additional Caltrans and IDOT cars are scheduled to ship in March or April.

The initial consists for Caltrans and IDOT are being prepared for Conditional Acceptance and revenue service.

- Metro North Dual Mode Locomotive Procurement – Update as of 3-23-20:

Metro-North has awarded the Dual Mode Locomotive contract to Siemens. A get-start meeting was held on March 8<sup>th</sup> and design activities are now underway.

- Amtrak Equipment Procurement Update – as of 3-23-21:

CAF: Progress continues – with 2 more sleeper cars complete – there are 7 left.

Charger Locomotive – Also continues to progress well. The first unit is in testing and it is going well.

AmFleet replacement – is in the “cone of silence” period with discussions continuing with vendors.

Acela Express 21 (AE21) testing continues – they are addressing some modeling issues and evaluating schedule impacts.

- Connecticut DOT Rail Car RFP as of 3-31-21:

This procurement is in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGEC members and is posted on the NGEC website.

The next update is anticipated to take place around June 2021.

- Document Control Update - as of 3-23-21:

- The Equipment Acquisition and Ownership Best Practices Document has been signed and will be added to the website soon.
- Tammy Krause has been creating the DMU specification DCRs proposed by Stadler Rail. She has sent out DCRs to the Electrical, Interiors, and Mechanical Working Group team leaders.
- Tammy is working on the Trainset specification updates and the first 3 chapters are now complete. She will be resuming her weekly meetings with Camren to keep it progressing.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

As of 3-31-21 – nothing new has been reported.

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

During the month of April 2021, the Executive Board met twice via web conference, on the 6<sup>th</sup> and the 20<sup>th</sup>.

Highlights, decisions, and action items from the month of April 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the Technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20-20, Melissa Shurland, FRA, reported to the Technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGECC technical subcommittee informed as the process is completed.

As of 4-30-21 – this item remains in a holding pattern.

- Executive Board review of NGECC documents to ensure there are no holes in the NGECC portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In April it was agreed that developing a TSSSA template/menu of potential options would be undertaken by the Technical subcommittee.

As expressed by Chairman Hessinger, the intent is to have an "a la carte" menu of options when considering a TSSSA as a part of the procurement process.

Once the DRAFT is prepared, it will be provided to Tammy Krause to get it ready to be included as an NGECC document for Technical subcommittee approval and, ultimately for Executive Board review and approval.

As of 4-30-21, a DRAFT TSSSA primer, developed by Amtrak Mechanical, and reviewed by CMO George Hull has been distributed to NGECC Technical subcommittee members for review and comment. The subcommittee will discuss the document on its call on 5-13-21. When consensus is achieved the DRAFT primer will be submitted to the executive Board for its review and consideration.

- Treasurer's Report – 4-30-21:

Balance and Spend Rate

Total Initial Grant Amount: \$1,250,000.

Amount Spent through February 2021: \$741,394.50

Balance remaining: \$ 508,605.50.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$433,645.84.

Current Spend Rate per month (as info and used in calculating): \$13,988.58.

Estimated Balance at the end of the Extension Period (Contingency): \$74,959.66

- 2021 NGECC two-pager:

The 2021 version of the NGECC two-page background/educational document has been released and is available electronically or in hard copy by request - contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 4-30-21:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and the structural test plans are being coordinated with Caltrans, Siemens, and FRA. The Cab Car IDR phase is complete and FDR meetings are scheduled to resume in May. FDR meetings for the Caltrans Vending Car Water/Waste system occurred April 7, and the Electrical review took place on April 14. IDOT Café Car are ongoing, FAIs are being planned, and open items are being addressed.

The Cab Car Compression Test setup will begin in May in Sacramento. A follow-up Maintainability Demonstration is scheduled for the week of May 5<sup>th</sup>. NEC testing for standard coach is complete and the report is accepted by FRA. Caltrans 238.111 testing is complete, and the report has been submitted to Amtrak and FRA. IDOT 238.11 testing is complete, and the test report is under final review.

78 cars total are in production or have been produced at Siemens Sacramento Facility. There are currently twelve Caltrans cars at the Stockton Facility and twenty-six IDOT cars delivered to Chicago and Indiana and

Metro-North Dual Mode Locomotive Equipment as of 4-30-21:

Siemens and Metro-North have “jumped” into the initial design review with a focus on systems that remain unchanged from the Charger s and ALC 42's. Metro-North will review and provide any comments they may have.

- Amtrak Equipment Procurement Update – as of 4-30-21:

On the Charger Locomotives: The first Unit #300 was delayed for 4 weeks due to issues with the fuel system. The problem has been identified and rectified. They will likely wait until the second unit is ready and ship them both together.

On the Intercity Passenger Rail Trainset – Siemens has been announced as the provider and has entered into negotiations with Amtrak.

CAF: Nothing new to report.

- Connecticut DOT Rail Car RFP as of 4-30-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGECC members and is posted on the NGECC website.

The next update is anticipated to take place around June 2021.

- Document Control Update - as of 4-30-21:

The Stadler DMU proposed changes (120) have been sent to the team leaders of the Mechanical, Interiors and Propulsion technical working groups.

Tammy Krause will provide a list of those changes to NGECC Review Panel Consultant so that he can revise his scope of work accordingly.

The rewrite of the trainset specification continues. No technical changes are being made, just rearranged to match the other PRIIA specifications. I am now having weekly meetings with Camren Cordell to review the chapters and the changes. I have gone through four chapters so far.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGECC specification, but it was unknown if the plan to use it or if they will be in contact with the NGECC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

As of 4-30-21 – nothing new has been reported.

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:



In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

- Reauthorizing the NGEC as of 4-30-21:

Steve Hewitt reported to the Executive Board, FASC and the Technical subcommittee in April that the States for Passenger rail Coalition (SPRC) sent a letter (4-12-21) requesting the reauthorization of the NGEC and providing suggested language, scope, and funding.

After sending the letter, SPRC chair, Arun Rao, received a call from the House Railroad subcommittee staff (Majority) Frances Bourne, asking about the NGEC:

Are the specs being used? Isn't the work done if specifications have been completed and standardization is occurring? Why not ask that states be required to use NGEC specifications if using federal dollars?

Arun responded that the specifications are not only being used widely across the country and beyond (VIA Rail, Canada) but they are being relied upon. They have saved millions of dollars as they are used as the baseline specification and there is no need to start from scratch which would be at a cost estimated to be about \$2 million.

Arun also noted that the work is not complete – the specifications need to be maintained and updated constantly as they are used, and changes are developed that will keep them current and useful and if the NGEC is not reauthorized the specs would become obsolete. He also noted there may be additional specs yet to be developed as technology changes.

The last question, Arun did not specifically respond to as there are different views on this – the specs are being widely used now without there being a federal requirement which could potentially add more onerous requirements where not necessary.

Steve Hewitt commented on the fact that there is some back and forth on whether there should be a requirement that the NGEC specifications be used when federal dollars are involved. The fact that the specs are already being utilized so widely is a testament to their quality as well as cost savings they provide. Steve noted that if a state is required to use the specs, when document change requests (DCRs) are brought forth during a procurement it triggers what is called the Urgent DCR process whereby NGEC procedures for accepting or rejecting changes to the specification based on those changes being in- compliance with the Specification's requirements document. While this is done in a relatively expedited manner, it still can slow the procurement process down. If there is no requirement to use the specs, the entities are still using them as the baseline spec – provide free to them by the NGEC – and are asked to provide the as built spec to the NGEC at the end of the procurement so that it can be reviewed and changes that have been made can go through the complete document control process to determine if they should be included as a revision to the specification if it makes it better and is in compliance.

Shayne Gill, AASHTO, had reported on the NGEC FASC call on 4-28-21, that he also had received a call from Frances Bourne. He was asked pretty much the same questions and provided similar responses. Shayne emphasized that the NGEC is needed, that it has worked well towards the goal of revitalizing the passenger rail manufacturing and supply industry in the US, and it has been successful in achieving the objectives of developing and maintaining standardized specifications.

Shayne also emphasized that AASHTO supports the NGEC and its continuation (reauthorization) and recognizes the value it has added in cost savings and job creation.

The word is getting out, and it is a positive that the House Rail Subcommittee has reacted to the SPRC letter and language and has reached out to ask questions and gain an understanding of what the NGEC is and what value it brings. The effort will need to continue, but the NGEC is, at least, on their radar now with a raised profile.

Steve Hewitt also noted that he has distributed the letter along with the agenda for this call and encouraged states and industry members to weigh in with congressional staff as well.

During the month of May 2021, the Executive Board met once via web conference, on the 18<sup>th</sup>.

Highlights, decisions, and action items from the month of May 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20 -20, Melissa Shurland, FRA, reported to the technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGEC technical subcommittee informed as the process is completed.

As of 5-31-21 – this item remains in a holding pattern.

- Executive Board review of NGEC documents to ensure there are no holes in the NGEC portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In May 2021, the NGEC Technical subcommittee approved the DRAFT TSSSA for submittal to the Executive Board for its review and consideration.

The Executive Board has been provided with the DRAFT Primer and it is currently under review with the Board intending to discuss any potential changes and potentially consider it for approval on 6-15-21.

- Treasurer's Report – 5-18-21:

Balance and Spend Rate

Total Initial Grant Amount: \$1,250,000.

Amount Spent through March 2021: \$748,062.38

Balance remaining: \$ 496,665.49.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$418,519.17.

Current Spend Rate per month (as info and used in calculating): \$13,950.64.

Estimated Balance at the end of the Extension Period (Contingency): \$78,146.32

- 2021 NGEC two-pager:

The 2021 version of the NGEC two-page background/educational document has been released and is available electronically or in hard copy by request - contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

To date approximately 510 electronic versions have been distributed.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 5-31-21:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and the structural test plans are being coordinated with Caltrans, Siemens, and FRA. The cab car Interiors FDR occurred on May 25. The remaining cab car FDR sessions are being planned with

Caltrans and Siemens. FDR meetings for the Caltrans Vending Car Water/Waste system and Electrical Systems occurred in April. IDOT Café Car FDR releases are ongoing, and the Galley FAI is scheduled for June 23 in Texas.

The Cab Car Compression Test setup is in process in Sacramento with testing planned for July. Cab Car Collision and Corner Post testing is tentative for August in Germany and the test specimen is being prepared for shipment. NEC testing for standard coach is complete and the report is accepted by FRA. Caltrans 238.111 testing is complete, and the report has been submitted to Amtrak and FRA. IDOT 238.11 testing is complete, and the test report has also been provided to FRA.

82 cars total are in production or have been produced at Siemens Sacramento Facility. Car deliveries are ongoing to Chicago and Beech Grove for IDOT, and Stockton for Caltrans. The initial consists for Caltrans and IDOT are being prepared for Conditional Acceptance and revenue service while open items are addressed.

Metro-North Dual Mode Locomotive Equipment as of 5-31-21:

Metro-North and Siemens have just wrapped up initial Design Review meetings with the focus on Charger systems that will remain unchanged. Additional Design Review documents and meetings are forthcoming.

- Amtrak Equipment Procurement Update – as of 5-31-21:  
On the Intercity Passenger Rail Trainset – Siemens has previously been announced as the preferred bidder and has entered into negotiations with Amtrak – this process continues.

On the Long-Distance Locomotives – the first unit should be ready by mid-June to be shipped for use on the East Coast.

CAF: Nothing new to report.

- Connecticut DOT Rail Car RFP as of 5-31-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGEC members and is posted on the NGEC website.

The next update is anticipated to take place around June or July 2021.

- Document Control Update - as of 5-31-21:

The rewrite of the trainset specification continues. All the chapters have been reviewed. The non-technical specification change sheet is now complete. Camren and I are now working on the DCRs for the missing sections. I will be reaching out to a few WG leaders to get their input on missing sections.

I have reached out to the WGs that are working on the DCRs for the DMU and I have received the status on the comments from two of the four groups.

I attended the Electronics on Trains WG. The revision of the DTL Hardware specification has been sent to the WG for final review and it will be finalized at the next WG meeting. The next task for this WG is the DTL software specification.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

As of 5-31-21 – nothing new has been reported.

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

- Reauthorizing the NGEC as of 5-18- 21:

Steve Hewitt reported that since the last Executive Board call held on 4-20-21, the Midwest Intercity Passenger Rail Commission (MIPRC) has submitted its Principles for Federal Surface Transportation Authorization and has also (along with others such as the States for Passenger Rail Coalition (SPRC) and AASHTO) included the reauthorization of the NGEC. The wording is consistent with what others have said and also includes funding as a part of the request.

As noted earlier, Arun Rao, Chair of SPRC, is following up with the House T&I Committee to provide additional information, including the presentation given to the RSAC Passenger Safety Working Group on 5-4-21 by Ray Hessinger. The presentation was sent out to all with today's meeting materials. This presentation along with the SPRC letter and the NGEC 2021 two-pager, the MIPRC and AASHTO Principles, are all valuable tools that can/should be utilized to educate congressional staff/members on the value of the NGEC and the need to reauthorize it with funding.

Steve also noted that SPRC is working with staff from Senate Commerce on getting language in its version of the bill that would reauthorize the NGEC with funding.

- Summary: NGEC Presentation to RSAC's Passenger Rail Safety Working Group on 5-4-21:

On 5-18-21, Ray Hessinger provided a brief summary of a presentation he gave on 5-4-21 to the RSAC Passenger Rail Safety Working Group on the NGEC – what it is, what it does and what it has accomplished. The presentation was distributed to all Board members along with the meeting materials for this call.

The presentation went well and was a great opportunity to provide the working group of a basic understanding of the NGEC and how it is structured. The presentation has (or will be) been sent to the House T&I committee staff (Frances Bourne) as a follow up to her discussion with SPRC's chair Arun Rao about the NGEC and the need to reauthorize it.

This presentation is yet another educational tool that can and should be used to further educate and convey the message of value added by the work of the Committee.

- Executive Board Meeting with FRA Deputy Administrator Amit Bose:

On 5-18-21, Ray Hessinger reported that FRA Deputy Administrator Amit Bose has requested a meeting with the NGEC Executive Board to discuss the Administration's American Jobs Plan and get input from the Board.

Steve Hewitt reached out to the Deputy Administrator's staff (Perrin Bradley) to coordinate scheduling the meeting. Ultimately, it was set for the Executive Board call scheduled for 6-1-21, as recommended by Ray Hessinger, with the full agenda being dedicated to the discussion with Amit Bose.

This is a great opportunity for the NGEC to hear about the American Jobs Plan and to provide input.

Steve Hewitt emphasized that the request from Amit Bose was to meet with the NGEC Executive Board. Steve will contact Perrin Bradley to confirm that this is understood and that the meeting will

be with the Board and its support staff only and will be solely dedicated to the discussion with the Deputy Administrator. – no other NGE C business will be on the agenda.

During the month of June 2021, the Executive Board met three times via web conference, on the 1<sup>st</sup>, the 15<sup>th</sup>, and the 29<sup>th</sup>.

Highlights, decisions, and action items from the month of June 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the technical subcommittee (through its technical working groups) will compare them with the NGE C specifications to ensure compliance and make any necessary changes by utilizing the NGE C DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20 -20, Melissa Shurland, FRA, reported to the technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGE C technical subcommittee informed as the process is completed.

As of 6-30-21 – this item remains in a holding pattern.

- Executive Board review of NGE C documents to ensure there are no holes in the NGE C portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In June 2021, the NGE C the Executive Board continued its review of the DRAFT document and on 6-29-21, Chairman Hessinger set a deadline for comments by 7-8-21 and will look to have a discussion and consideration of approval on the bi-weekly Board meeting on 7-13-21.

- Treasurer's Report – 6-29-21:

Balance and Spend Rate

Total Initial Grant Amount: \$1,250,000.

Amount Spent through April 2021: \$766,612.50

Balance remaining: \$ 483,387.50.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$404,213.86.

Current Spend Rate per month (as info and used in calculating): \$13,938.41

Estimated Balance at the end of the Extension Period (Contingency): \$79,173.64

- 2021 NGE C two-pager:

The 2021 version of the NGE C two-page backgrounder/educational document remains available electronically or in hard copy by request - contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

To date approximately 550 electronic versions have been distributed.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 6-29-21:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and in the approval process. The Cab Car HVAC FDR occurred on June 14. The Cab Car Cab Layout FDR is scheduled for July 1<sup>st</sup> and the Cab Car Safety Appliance & Clearance FDR is scheduled for July 14. IDOT Café Car FDR releases are ongoing and the Galley FAI occurred June 23 in Texas.

The Cab Car Compression Test setup is in process in Sacramento with testing planned to begin July 13. Cab Car Collision and Corner Post testing has been reserved for August in Germany. NEC testing for standard coach is complete and the report is accepted by FRA. Caltrans and IDOT 238.111 testing is complete and both reports have been submitted to Amtrak and FRA.

90 cars total are in production or have been produced at Siemens Sacramento Facility. Car deliveries are ongoing to Chicago and Beech Grove for IDOT, and Stockton for Caltrans. The initial consists for Caltrans and IDOT are being prepared for Conditional Acceptance and revenue service while open items are addressed.

Metro-North Dual Mode Locomotive Equipment as of 6-29-21:

Initial Design Review meetings continue with a focus on systems that remain unchanged from the ACL42.

- Amtrak Equipment Procurement Update – as of 6-29-21:

On The CAF cars – two more were accepted – the last few are expected to by the end of the Fiscal Year.

On the Acela Express 21 – Testing of prototype two continues on the Northeast Corridor. Amtrak is getting ready for Trainset 3.

On the Intercity Passenger Rail Trainset – Final contract discussions continue to advance quickly. Discussions with FRA and on the Hill are taking place as required.

On the Long-Distance Locomotives – the first one is in Chicago for pictures and then will be shipped East to begin the commission process.

- Connecticut DOT Rail Car RFP as of 6-29-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGECC members and is posted on the NGECC website.

The next update is anticipated to take place around June or July 2021.

- Document Control Update - as of 6-29-21:

The rewrite of the trainset specification continues. All the chapters have been reviewed. The non-technical specification change sheet is now complete. The DCRs are now all complete and were sent to the Working Groups.

I have reached out to the WGs that are working on the DCRs for the DMU and I have received the status on the comments from two of the four groups. The last two Working Groups are expected to provide their comments to Tammy tomorrow (6-30-21). That will allow the document compiling to be complete by 7/16/21 and sent to the Technical subcommittee prior to the 7/22/21 meeting.

The Electronics on Trains Working Group is meeting today (6/29/21) and will discuss the possible development of a new specification concerning Cellular Communication on Railcars.

Steve Hewitt asked Larry Salci if he has provided an updated scope and budget for the DMU to AASHTO so that the task order can be adjusted accordingly. Larry responded that he has not yet but has the information he needs now to prepare and submit an amended scope and budget.

Tammy informed Larry that the Trainset rewrite has also resulted in some DCRs that will need to be reviewed. Steve Hewitt commented that that would require a separate Task Order that AASHTO and Larry Salci would need to execute. Larry agreed and said he would prepare a scope and budget for that one as well.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEC specification, but it was unknown if the plan to use it or if they will be in contact with the NGEC or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

As of 6-30-21 – nothing new has been reported.

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

- Reauthorizing the NGEC as of 6-29-21:

Steve Hewitt reiterated to Executive Board Members that the House and Senate Committees of jurisdiction released their versions of Federal Surface Transportation Authorization legislation. The House has passed its bill through the T&I Committee – next step the Floor of the House. The Senate Commerce Committee passed its bill through the committee as well.

Neither bill included NGEC reauthorization despite requests to do so by numerous associations and the industry (SPRC, MIPRC, AASHTO, CSG-East, Siemens).

No amendments to either bill in committee were presented – so as the bills go to their next step, the NGEC remains out of reauthorization.

Steve Hewitt has since followed up with industry members to make them aware of this and asking for them to reach out to see if they could get a member to request a managers' amendment when the House bill is on the Floor. On 6-21-21, Steve Hewitt spoke to Steve Morrison, Siemens, who conferenced him in with their lobbyist Harrison Wadsworth. Steve Hewitt provided Harrison with context and background on the NGEC – its history, what it does and what it has accomplished and what the ask is legislatively. Harrison reached out immediately to Ken Altman, Amtrak to get his sense of Amtrak's support, and planned to reach out to try to also get an AASHTO decision maker involved. Siemens is concerned about going it alone as it would seem self-serving, so they wanted to work with Amtrak and AASHTO on this.

Following the call with Siemens, Steve Hewitt informed AASHTO (Shayne Gill) of the conversation as a heads up and informed Tim Ziethen who also had been reaching out to Ken Altman.

On 6-24-21, Steve Morrison emailed Steve Hewitt to let him know that he did not have anything new to report but would let Steve H know as soon as he did.

While there is still some opportunity to get the NGEC into the reauthorization bill, that opportunity is narrowing.

Shayne Gill, AASHTO, reported that AASHTO did review both bills and all amendments and concurred that neither included reauthorization of the NGEC.

AASHTO followed up by sending in a recommendation to the House that reauthorization of the NGEC is important and should be added. AASHTO fully supports reauthorizing the NGEC.

Tim Ziethen, Amtrak, reported that he has been reaching out to Ken Altman, Amtrak Government Affairs, and has provided follow-up information.

Tim expects to speak with Ken Altman sometime today (6-29-21). Steve Hewitt recommended that Tim ask Ken if he has discussed the issue with the Siemens lobbyist who reached out via email last week. Tim agreed to try to get a status update.

Tim also reiterated that Amtrak is supportive of reauthorizing the NGEC.

Following the 6-29-21 call – John Oimoen, IDOT, called Steve Hewitt to inform him that IDOT Deputy Secretary Doug House has agreed to reach out to Senator Durbin and Representative Castin. Steve provided John with background information and proposed legislative language scope and funding for the Deputy Secretary to use in his discussions with Durbin and Castin.

Steve informed Siemens of this activity and they are willing to help with Durbin following the IDOT outreach.

Note: On 7-1-21, the House passed the INVEST Act – the NGEC was not included. IDOT working with Senator Durbin is key to a potential amendment to the Senate bill.

- Executive Board Meeting with FRA Deputy Administrator Amit Bose 6-1-21:

On 6-15-21, Ray Hessinger provided a brief overview of the highlights of the 6-1-21 Executive Board meeting with FRA Deputy Administrator Amit Bose and opened the floor for discussion/reaction. The meeting was dedicated solely to the discussion with the Deputy Administrator. There were no other agenda items.

Ray highlighted several of the key discussions that took place during the meeting – following the Deputy Administrator's summary description of the American Jobs Plan.

Ray emphasized to the Deputy Administrator the need for harmonization on use of funds across DOT (FTA, FRA, FHWA) and the flexibility needed for the use of funds for equipment purchases. He stressed that mixing money from various modal agencies with various versions/interpretations of Buy America cannot be done.

The Deputy Administrator noted that this is an on-going issue and that it is on his radar, and he was generally supportive, but noted that it would be require a legislative fix.

Turning to the issue of the NGEC, the Deputy Administrator asked about the extent of manufacturers and suppliers' involvement with the Committee and if it was continuous. He noted that he believes that their (the industry) engagement is important.

Steve Hewitt responded in detail about the industry's consistent and strong involvement in the NGEC from its inception in 2010. He explained that over 200 representatives of the passenger rail equipment manufacturing and supply industry (including all of the major OEM's) are members of the NGEC's industry participation group. The number of industry representatives has been very consistent over the years. They are actively engaged and have been involved in the development and updating of each of the NGEC vehicle specifications as well as the recently adopted PRIIA 305-200 Recommended Practices document.

Ray asked for comments/reactions from Board members:

Jason Biggs echoed Ray's sentiments on the Buy America issue noting that it is a challenge to WSDOT. Jason feels it is important to keep this critical issue "front and center" and believes having this discussion with Deputy Administrator Bose was key.

Overall, Jason felt "it was a good session".

Asked if he had heard anything from the FRA senior management following the meeting, Jeff Gordon responded that he has not, and Ray Hessinger commented "I guess no news is good news".



- Announcement about the new Mid-West Equipment – Venture cars – John Oimoen, IDOT:

John Oimoen, IDOT announced that last week (week of 6-21-21) was an exciting week for IDOT and the Mid-West states as 5 Venture cars manufactured by Siemens were completed and will be ready to begin revenue service within 5 weeks. The 5 cars are the first of 88 that are being manufactured.

John noted that while the effort had some starts and stops the collaboration among the states, the NGEC, Amtrak, FRA, and the industry helped them to persevere and get to this point where they will soon be ready for customers to enjoy and use the new technology and new next generation passenger rail cars.

John expressed his appreciation to the NGEC – NGEC specifications and procedures were used – and to all of the stakeholders, partner agencies and the industry as well as Amtrak and FRA. John noted that he is “thankful for all who played a part in this project”.

Ray Hessinger, NYSDOT, and Chair of the NGEC executive Board commented “outstanding news – congratulations on behalf of the NGEC”.

Kyle Gradinger, Caltrans, also congratulated John and the IDOT team for reaching this great milestone. Kyle also singled out Jennifer Bastian, IDOT for her role and hard work in making this a success. Kyle also thanked Jeff Gordon, FRA, “for all you have done”.

John Oimoen also noted the value of the Lessons learned and Best Practices document produced and released recently by the NGEC which is a tool that will be invaluable to states that have not been through the procurement process before and also as a reference for those who have experienced it and will again.

Jeff Gordon, FRA, congratulated IDOT and the Mid-West State partners and note that he has been involved from the beginning (nearly 12 years ago) and knows the hard work that went into this and the collaboration that played a critical part. “Congratulations to all.”

During the month of July 2021, the Executive Board met once via web conference, on the 13th.

Highlights, decisions, and action items from the month of July 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20 -20, Melissa Shurland, FRA, reported to the technical subcommittee, “we are in a holding pattern to see what the comments were and what the Access Board’s disposition of them will be.” Melissa will keep the NGEC technical subcommittee informed as the process is completed.

As of 7-31-21 – this item remains in a holding pattern.

- Executive Board review of NGEC documents to ensure there are no holes in the NGEC portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In July 2021, the NGEC the Executive Board approved the TSSSA document as submitted by the Technical subcommittee with some minor edits/corrections. The document is now being finalized

with the approved changes and will become a part of the NGEC inventory of documents. It will be distributed to all NGEC members once finalized and will be posted on the NGEC website.

- Treasurer's Report – 7-31-21:

Balance and Spend Rate

Total Initial Grant Amount: \$1,250,000.

Amount Spent through April 2021: \$766,612.50

Balance remaining: \$ 483,387.50.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$404,213.86.

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Estimated Balance at the end of the Extension Period (Contingency): \$79,173.64

- 2021 NGEC two-pager:

The 2021 version of the NGEC two-page backgrounder/educational document remains available electronically or in hard copy by request - contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

To date approximately 555 electronic versions have been distributed.

In July, the Finance and Administrative subcommittee developed a timeline and process to develop an updated two-pager for 2022. The goal is to publish/distribute hard copies of the 2022 version during the in-person NGEC Annual Meeting to be held in Washington, DC on 2-25-22.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 7-31-21:

Design review for the standard coach is complete. The Cab Car structure FDR has been approved. The Cab Car Diagnostics and Display FDR occurred July 21. The Vending Car Interiors FDR will take place August 3<sup>rd</sup>. IDOT Café Car FDR is the completion stage and the Galley FAI occurred June 23<sup>rd</sup> in Texas. Several Cab Car FAIs are tentative for August and September. A wheelchair lift demonstration is being planned for mid-August using an IDOT business class car.

The Cab Car Compression Test began July 13 and is ongoing with regular updates being provided. Cab Car Collision and Corner Post testing has been reserved for August in Germany with remote and possible in-person participation being considered. NEC testing for standard coach is complete and the report is accepted by FRA. Caltrans and IDOT 238.111 testing is complete and both reports have been submitted to Amtrak and FRA.

93 cars total are in production or have been produced at Siemens Sacramento Facility. Car deliveries are ongoing to Chicago and Beech Grove for IDOT, and Stockton for Caltrans. IDOT has conditionally accepted 8 coach cars and is preparing for revenue service. The Caltrans cars are being prepared for Conditional Acceptance and revenue service while open items are addressed.

Metro-North Dual Mode Locomotive Equipment as of 7-31-21:

- Metro-North and Siemens continue working through the initial design review process going item by item.

- Amtrak Equipment Procurement Update – as of 7-31-21:

On the CAF cars: The last two cars are being completed.

On the Acela 21: Testing continues – they are looking to get the first trainset “factoried” in August 2021. They are currently going through testing with FRA.

On the Charger Locomotives: the first two are currently in Wilmington for testing.

On the Intercity Passenger Rail trainsets: This week they kicked off the design review process with Siemens.

- Connecticut DOT Rail Car RFP as of 7-31-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGEC members and is posted on the NGEC website.

The next update is anticipated to take place around September 2021.

- Document Control Update - as of 7-31-21:

The focus is on compiling the summary of changes for the DMU Specification Revision.

On 7-27-21, the summary of changes were distributed to the full Technical subcommittee for review and comments. On 8-5-21, the Technical subcommittee will spend time discussion the changes and any comments received and may consider approval if it appears that there is consensus.

If approved at the subcommittee level, the summary of changes will be submitted to the NGEC Executive Board chair who will reconvene the DMU specification Review Panel and direct panel consultant Larry Salci to include these items in his current review and recommendation of the DMU proposed revisions against the NGEC DMU Requirements document for compliance.

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

- Reauthorizing the NGEC as of 7-31-21:

The Senate Committee released their version of Federal Surface Transportation Authorization legislation several weeks ago and it also does not include the NGEC.

Following the last NGEC Executive Board call (7-13-21), John Oimoen, IDOT, informed his Government Affairs office of the issue about the NGEC not yet being in either authorization bill or concerns over future funding. He emphasized the importance of the NGEC and how IDOT and the Mid-West states and others have benefited from the NGEC throughout the procurement process and cited the resulting production and placement into service of the new locomotives and now passenger rail cars.

Steve Hewitt provided him with background information and proposed legislative language (scope and funding), which he gave to his Deputy Secretary, Doug House. Initial conversations with Senator Durbin’s staff were positive, and they were receptive.

This week (7-22-21) IDOT’s Secretary and Deputy Secretary are in DC this week. They are working the Hill and John provided the following email he received from Deputy Secretary Doug House on the issue of the NGEC:

John, Yes, the Secretary and I have followed up with the delegation and personally placed it in the hands of Secretary Buttigieg’s staff Charles Small Government Liaison, Maurice Henderson Senior Advisor. All that can be done is being done! Cross your fingers!

Amtrak Government Relations has also been reached out to from the industry, members of the NGEC and from SPRC. The reaction has been that Amtrak is supportive and believes that there are several ways to go – Reauthorization with funding is the cleaner way, but, if it does not happen, the NGEC is still funded through 9-30-2023, and since there is no sunset in the PRIIA or Fast Act legislation, the NGEC will continue to move forward with its work. The NGEC funding can come from a variety of places: FRA, Amtrak and/or reauthorization of funding followed by an appropriation from Congress.

Several members of the industry continue to make clear their support for the NGEC and for its reauthorization with funding.

#### NGEC Annual Meeting 2022:

As announced previously, the NGEC will hold its 2022 Annual Meeting in-person at the Hyatt Regency, Capitol Hill on February 25, 2022. The meeting will begin at 8:30am and conclude around Noon (Eastern). More details will follow as an agenda is developed and the time for the meeting draws nearer. All NGEC members have been informed of the date and location of the meeting

During the month of August 2021, the Executive Board met once via web conference, on the 10th.

Highlights, decisions, and action items from the month of August 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

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As of 8-31-21 – this item remains in a holding pattern.

- Executive Board review of NGEC documents to ensure there are no holes in the NGEC portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In July 2021, the NGEC the Executive Board approved the TSSSA document as submitted by the Technical subcommittee with some minor edits/corrections. The document is now being finalized with the approved changes and will become a part of the NGEC inventory of documents. It will be distributed to all NGEC members once finalized and will be posted on the NGEC website.

As of 8-31-21, finalizing the TSSSA document remains an open action item.

- Treasurer's Report – 8-31-21:

Balance and Spend Rate

Total Initial Grant Amount: \$1,250,000.

Amount Spent through June 2021: \$811,187.60

Balance remaining: \$ 438,812.40.

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Design review for the standard coach is complete. The Cab Car structure FDR has been approved and other system FDR meetings are complete. Several Cab Car FAIs are tentative for August and September. The Vending Car Interiors FDR occurred on August 3. The IDOT Café Car FDR is the completion stage. The Galley FAI took place in June and open items are being addressed. Several Cab Car FAIs are tentative for August and September. A wheelchair lift demonstration is confirmed for August 18<sup>th</sup> in Sacramento using an IDOT business class car.

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93 cars total are in production or have been produced at Siemens Sacramento Facility. IDOT has conditionally accepted 8 coach cars and is preparing for revenue service. The Caltrans cars are being prepared for Conditional Acceptance and revenue service while open items are addressed.

Metro-North Dual Mode Locomotive Equipment as of 8-31-21:

- Metro-North and Siemens continue working through the initial design review process going item by item.
- Amtrak Equipment Procurement Update – as of 8-31-21:

CAF Cars: The last two sleeper cars under the contract are expected to arrive at the end of the month (August 2021).

Acela: Progress continues on the new Acela. The first produced trainset should be out at the end of August or early September 2021.

ALC 42 (Charger) Locomotives: Two units are in Wilmington, DE. for commissioning.

Intercity Trainsets: Preparations are underway for Design Review.

- Connecticut DOT Rail Car RFP as of 8-31-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGEAC members and is posted on the NGEAC website.

The next update is anticipated to take place around September 2021.

- Document Control Update - as of 8-31-21:

On 8-10-21, Tammy Krause provided the Executive Board with a mid-year (NGEAC year) progress report.

The report was provided as a power point presentation and will be distributed to Board members. The Presentation will also be posted to the NGEAC website in the Executive Board section.

Decisions/Actions:

Tammy to make suggested edits to the presentation and provide to Steve Hewitt for distribution and posting.

Tammy will provide Larry Salci with the Trainset re-write DCRs so that he can prepare a scope and budget for AASHTO for this task order.

It was agreed/clarified that the Trainset DCRS will go through the regular document management process for adoption by the Executive Board.

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGECE members and can be found on the NGECE website.

- Reauthorizing the NGECE as of 8-31-21:

The Senate passed its Infrastructure bill including reauthorization on 8-10-21. It is not believed to have included an amendment to reauthorize the NGECE with funding.

If that is the case, the NGECE will continue its work with the funding included in its current grant which runs through 9-30-2023 and will look for other funding options (FRA/Amtrak) for the future.

NGECE Annual Meeting 2022:

As announced previously, the NGECE will hold its 2022 Annual Meeting in-person at the Hyatt Regency, Capitol Hill on February 25, 2022. The meeting will begin at 8:30am and conclude around Noon (Eastern). More details will follow as an agenda is developed and the time for the meeting draws nearer. All NGECE members have been informed of the date and location of the meeting.

During the month of September 2021, the Executive Board met twice via web conference, on the 7<sup>th</sup> and the 21<sup>st</sup>.

Highlights, decisions, and action items from the month of September 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the technical subcommittee (through its technical working groups) will compare them with the NGECE specifications to ensure compliance and make any necessary changes by utilizing the NGECE DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20 -20, Melissa Shurland, FRA, reported to the technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGECE technical subcommittee informed as the process is completed. As of 9-30-21, nothing new has been reported.

- Executive Board review of NGECE documents to ensure there are no holes in the NGECE portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In July 2021, the NGECE the Executive Board approved the TSSSA document as submitted by the Technical subcommittee with some minor edits/corrections. The document is now being finalized with the approved changes and will become a part of the NGECE inventory of documents. It will be distributed to all NGECE members once finalized and will be posted on the NGECE website.

This task has been completed - the document was adopted in September 2021 by the Executive Board and distributed to all NGECE members and was posted to the NGECE website.

- Treasurer's Report – 9-30-21:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through July 2021: \$812,477.83

Balance remaining: \$ 437,522.17

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$364,246.20

Current Spend Rate per month (as info and used in calculating): \$14,008.24

Estimated Balance at the end of the Extension Period (Contingency): \$73,307.97

- 2021 NGECE two-pager:

The 2021 version of the NGECE two-page backgrounder/educational document remains available electronically or in hard copy by request - contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

To date approximately 575 electronic versions have been distributed.

In September the FASC began its review of the 2021 two-pager and began discussion suggested updates for 2022. Members were asked to provide recommended changes to the document to FASC chair Tim Ziethen and NGECE manager Steve Hewitt by 10-6-21 for discussion on the 10-13-21 FASC call. The goal is to publish/distribute hard copies of the 2022 version during the in-person NGECE Annual Meeting to be held in Washington, DC on 2-25-22.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 9-30-21:

Design review for the standard coach is complete. The Cab Carshell final design has been approved for production. Remaining Cab Car FDRs are in the final submittal and review stage and the cab car Clearance information has been submitted to Amtrak. The IDOT Café Car FDR is in the closeout stage with action items being addressed.

The Cab Car Collision and Corner Post Appendix F testing is in process in Germany and the compression test report is in work. FAls for cab car Engineer's seat and windshield occurred on September 22.

94 cars total are in production or have been produced at Siemens Sacramento Facility. IDOT has conditionally accepted 8 coach cars. The Caltrans cars are being prepared for Conditional Acceptance and revenue service while open items are being addressed.

Metro-North Dual Mode Locomotive Equipment as of 9-30-21:

Metro-North continues to hold their initial design review meetings.

They were scheduled to do an on-site visit of the Siemens factory in Sacramento during the week of 9-20-21. The purpose will be to review some of the systems that will remain the same in the Dual Mode Locomotive as those in the Charger. Next update to the Board is due on 10-5-21.

- Amtrak Equipment Procurement Update – as of 9-30-21:

On the Acela 21 – work continues on qualification and testing.

On the Intercity Passenger Rail Trainset (Amfleet) – it is progressing well. It is in the initial design review stage.

On Long Distance Locomotive – There are two in Wilmington doing testing. Another one is ready to ship, and one is behind that.

- Connecticut DOT Rail Car Procurement as of 9-30-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGEC members and is posted on the NGEC website.

The next update is anticipated to take place at the NGEC Annual Meeting 2-25-22.

- Document Control Update - as of 9-30-21:

When presented with the concerns raised at the Technical subcommittee meeting of 9-16-21, over the proposed changes from Stadler which called for Aluminum car bodies, the Executive Board, on 9-21-21, directed the subcommittee to proceed with the adjudication of the remaining DCRs to advance the DMU update without the changes related to the Aluminum materials - for now. Since it would take a policy change by the Executive Board and a re-write of the specification to include Aluminum the Board may wish to take it up in 2022 but does not want this issue to prevent the current specification from being updated in accordance with current NGEC policy and compliance with the requirements document.

As directed by the Board, Tammy Krause, today, (9-30-21) proceeded to walk through the remaining DCRs in the structural section of the specification rejecting (for now) changes related to Aluminum.

After going through a fairly in-depth discussion on many of the remaining DCRs there were a number of the Stadler proposed changes that needed clarification. Stadler subject material experts for those specific changes were not available to respond to these requests for clarification on today's call. Stadler representatives on the call agreed to have the appropriate subject matter experts on the next call to provide clarification and respond to any questions.

With the allotted time for the meeting having been met, it was agreed that the call would end at this point, and the continuation of the adjudication of the remaining Stadler DCRs would resume on the next Technical subcommittee call (10-14-21).

Tammy Krause was asked by Steve Hewitt to update the DCR summary sheet to the point where the Technical subcommittee left off today (9-30-21) and to provide it to him for distribution in advance of the next call.

Steve Hewitt also suggested, and the Chair agreed, that once the adjudication of all of the proposed DCRs has been completed, Tammy Krause would be asked to prepare a final summary of the DCRs, and the decisions agreed to. Tammy would then send that final summary of changes to Steve Hewitt for distribution in advance of the following call at which point a vote could take place.

- 
- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

- Exploring/confirming funding options beyond 9-30-2023:

Tim Ziethen reported that on the last FASC call a discussion ensued regarding NGEC securing future funding.

Tim noted that it may be covered by the FRA's budget – maybe not as a line item, but within the confines of its budget.



Tim also noted that, in talking with Ken Altman and others at Amtrak, it is apparent that nothing prohibits the NGEC from getting funding from Amtrak through its grant process. The NGEC is listed as one of the possible recipients within the overall Amtrak grant request. He also emphasized that Amtrak is supportive of the work that the NGEC does, but it would be good to get something more concrete from Amtrak.

Steve Hewitt clarified that FRA has not confirmed that it has been provided with funding for the NGEC in its budget, but that House T&I Committee staff (Frances Bourne), when asked about the NGEC not being reauthorized in the House Federal Surface Transportation Authorization Bill, stated "it's been taken care of – its covered in the budget". Arun Rao, Wisconsin DOT, and Chair of the States for Passenger Rail Coalition (SPRC) had the conversation with Frances, and he confirmed this is what she said. Arun added that he had heard nothing further.

Steve Hewitt suggested it would be appropriate and reasonable to get clarification from FRA on whether or not this is correct. Steve asked Jeff Gordon, FRA, if he would look into this with the appropriate FRA office/contact. Jeff agreed to look into it. Tim Ziethen offered to assist Jeff in any way that he could.

Steve Hewitt and Tim Ziethen provided a brief background on past efforts to look at funding options for the NGEC outside of FRA or Amtrak. Steve reported that an NGEC Task Force had looked at various options extensively and concluded that the NGEC and its activities are a federal government responsibility and should be funded through the federal government. The Executive Board at the time, formally adopted the task force recommendations.

Jeff Gordon, FRA, commented that a complete summary of the Task Force activities and its recommendations, and the ultimate Executive Board action is well documented in the NGEC Comprehensive Activities Report that Steve Hewitt has written.

Tim Ziethen agreed that pursuit of other options is not likely and that the best way forward is to pursue clarification from FRA and/or Amtrak.

Ray Hessinger – suggested that the NGEC explore the various grant programs that are available to see if there are grants available that may work for the NGEC. It is understood that Amtrak would likely have to be the applicant in any such grant as the NGEC is not a legal entity.

Ray also mentioned future appropriations requests.

Actions:

Tim will reach out to Ken Altman, Amtrak, for clarification.

Jeff Gordon, FRA, will reach out internally, for FRA clarification.

Explore potential grant opportunities and potential appropriations requests for funding beyond 2023.

NGEC Annual Meeting 2022:

As announced previously, the NGEC will hold its 2022 Annual Meeting in-person at the Hyatt Regency, Capitol Hill on February 25, 2022. The meeting will begin at 8:30am and conclude around Noon (Eastern). More details will follow as an agenda is developed and the time for the meeting draws nearer. All NGEC members have been informed of the date and location of the meeting.

During the month of October 2021, the Executive Board met twice via web conference, on the 5<sup>th</sup> and the 19<sup>th</sup>.

Highlights, decisions, and action items from the month of October 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the technical subcommittee (through its technical working groups) will compare them with the NGECEC specifications to ensure compliance and make any necessary changes by utilizing the NGECEC DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20-20, Melissa Shurland, FRA, reported to the technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGECEC technical subcommittee informed as the process is completed.

As of 10-31-21, nothing new has been reported.

- Treasurer's Report – 10-31-21:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through August 2021: \$823,248.64

Balance remaining: \$ 426,751.36

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$348,834.17

Current Spend Rate per month (as info and used in calculating): \$13,953.37

Estimated Balance at the end of the Extension Period (Contingency): \$77,917.19

Quarterly Grant Agreement Progress Report to FRA was submitted on time on 10-29-21.

- 2021 NGECEC two-pager:

The 2021 version of the NGECEC two-page backgrounder/educational document continues to be available electronically or in hard copy by request - contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com). To date 615 electronic copies have been distributed.

The FASC is in the process of finalizing updates to the two-pager for the 2022 version and will discuss those changes on next week's call (11-10-21).

- Annual By-Law Review/Update:

On 10-13-21, the FASC approved proposed revisions/edits to the NGECEC By-Laws. The proposed changes were provided to the NGECEC Executive Board on 10-14-21. Per the By-Laws, members of the NGECEC Executive Board must have proposed changes in writing at least 30 days prior to taking a vote.

The vote in consideration of the By-Laws revisions is scheduled for 11-16-21 – the next Executive Board meeting/call.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 10-31-21:

Design review for the standard coach is complete. The Cab Carshell final design has been approved and the first cab structures are in production. Remaining Cab Car FDRs are in the final submittal and review stage and the cab car Clearance information has been submitted to Amtrak. IDOT Café Car FDRs are in the closure stage and Galley open items are being addressed.

The Cab Car Collision and Corner Post Appendix F testing is scheduled to resume in November and the compression test report is in work. The FAI for the cab Side Window is occurring this week in Canada.

Ninety-four cars are in production or have been produced at Siemens Sacramento Facility. IDOT and Caltrans cars are being prepared for Conditional Acceptance and revenue service while open items are being addressed.

- Metro-North Dual Mode Locomotive Equipment as of 10-31-21:

Metro-North and Siemens continue with the initial design review of various locomotive components for approval by Metro-North.

- Amtrak Equipment Procurement Update – as of 10-31-21:

On the Acela 21 – The first one should be out of Hornell and in Wilmington, DE. tomorrow (11-3-21) for testing.

On the ACL 42 Locomotive – progress is continuing with the first two being shipped for testing on the corridor. Two others are awaiting resolution of PTC issues.

On the intercity passenger rail trains – they continue to be in the initial design review phase.

- Connecticut DOT Rail Car Procurement as of 10-31-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGECC members and is posted on the NGECC website.

The next update is anticipated to take place at the NGECC Annual Meeting 2-25-22.

- Document Control Update - as of 10-31-21:

Document Control has been focused on the proposed changes to the DMU specification that were proposed by Stadler Rail. At the Technical subcommittee meeting of 10/28/21 the changes were approved by the subcommittee as it voted to send the document to the Executive Board for its consideration.

Steve Hewitt clarifies that the approved changes were sent to the Executive Board chair (Ray Hessinger) and the NGECC DMU Review Panel members and support. Larry Salci, as Review Panel Consultant will now complete his review and prepare a Review Panel Report with recommendations. Following that, the Panel will meet to consider the report and submit it to the Executive Board for its consideration of adoption.

DMU Review Panel members:

Ray Hessinger, NYSDOT – Review Panel Chairman  
Jeff Gordon, FRA  
Brian Beeler II, NNEPRA for Maine DOT  
Gurleen Boparai, Caltrans

Support:

Mike Kraft, Amtrak  
Tammy Krause, Document Control Manager  
Larry Salci, Review Panel Consultant  
Steve Hewitt, NGECC Manager

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGECC members and can be found on the NGECC website.

- Exploring/confirming funding options beyond 9-30-2023:

On 10-5-21, Mike Murray, FRA, reported that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs to follow-up with him on previous discussions that an option could be Amtrak funding the NGEC through its grant. It was the general thinking that this would be a possibility as the NGEC was included as a potential type of recipient in the overall Amtrak grant request. Tim will report back once he hears from Ken Altman.

Ray Hessinger suggested that the FASC follow these issues and keep this on their monthly agenda, and report back to the NGEC Executive Board as more information is forthcoming.

The NGEC will explore potential grant opportunities and potential appropriations requests for funding beyond 2023.

NGEC Annual Meeting 2022:

As announced previously, the NGEC will hold its 2022 Annual Meeting in-person at the Hyatt Regency, Capitol Hill on February 25, 2022. The meeting will begin at 8:30am and conclude around Noon (Eastern). More details will follow as an agenda is developed and the time for the meeting draws nearer. All NGEC members have been informed of the date and location of the meeting.

- Establishing Priorities and developing updated work plan for 2022:

Ray Hessinger has opened an ongoing discussion on establishing priorities in preparation for an updated work plan for 2022. He has asked for Executive Board members and the support team to provide input:

To date only input from Dave Warner has been received. Dave has suggested that the Reference documents (305-800 and 305-900 series) should be reviewed and updated as needed. This should be a key priority. These documents were adopted by the NGEC early on and apply across the Board to all specs. It is important that they are reviewed to ensure that they are up to date. Ray Hessinger believes this should be the first priority for the next round of updates going into 2022.

He would also like to get input from Board members on any upcoming procurements that would identify which vehicle specification should be updated next.

Ray asked Steve Hewitt to keep this as a standing agenda item for the next few calls before figuring out the priorities for 2022.

Members are asked to provide input over the next few weeks.

During the month of November 2021, the Executive Board met three times via web conference, on the 2<sup>nd</sup>, the 16<sup>th</sup> and the 30<sup>th</sup>.

Highlights, decisions, and action items from the month of November 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the technical subcommittee (through its technical working groups) will compare them with the NGEC

specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20-20, Melissa Shurland, FRA, reported to the technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGEC technical subcommittee informed as the process is completed.

As of 11-30-21, nothing new has been reported.

- Treasurer's Report – 11-30-21:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through September 2021: \$834,812.51

Balance remaining: \$ 415,187.49

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$333,925.00

Current Spend Rate per month (as info and used in calculating): \$13,913.54

Estimated Balance at the end of the Extension Period (Contingency): \$81,262.49

- 2021 NGEC two-pager:

The 2021 version of the NGEC two-page backgrounder/educational document continues to be available electronically or in hard copy by request - contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com). To date 615 electronic copies have been distributed.

The FASC is in the process of finalizing updates to the two-pager for the 2022 version and will look to approve changes and send on to the Executive Board on its call on 12-8-21.

- Annual By-Law Review/Update:

On 11-30-21, the Executive Board adopted revisions as proposed by the Finance and Administrative subcommittee on 10-13-21. The adopted revised By-Laws document was distributed to all Executive Board members and to AASHTO for posting to the NGEC website on 12-1-21.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 10-31-21:

Design review for the standard coach is complete. The Cab Carshell final design has been approved and the first cab structures are in production. Remaining Cab Car FDRs are in the final submittal and review stage and the cab car Clearance information has been submitted to Amtrak. IDOT Café Car FDRs are in the closure stage and Galley open items are being addressed.

The Cab Car Collision and Corner Post Appendix F testing is scheduled to resume in November and the compression test report is in work. The FAI for the cab Side Window is occurring this week in Canada.

Ninety-four cars are in production or have been produced at Siemens Sacramento Facility. IDOT and Caltrans cars are being prepared for Conditional Acceptance and revenue service while open items are being addressed.

In November 2021, the Executive Board did not receive an update from California DOT.

- Metro-North Dual Mode Locomotive Equipment as of 11-30-21:

Siemens submitted IDRs for all thirty-nine topics. Metro-North agreed and told them to proceed on thirty-four of the IDRs Siemens submitted four revised IDRs and there is one that remains open.

- Amtrak Equipment Procurement Update – as of 11-30-21:

On the Chargers (ACL 42) – 4 are on the property for testing

On the Acela – testing and qualification processes continue.

On the Intercity Passenger Rail equipment – preliminary Design Review continues.

- Connecticut DOT Rail Car Procurement as of 11-30-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGEC members and is posted on the NGEC website.

The next update is anticipated to take place at the NGEC Annual Meeting 2-25-22.

- Document Control Update - as of 11-30-21:

The DMU review panel meeting will take place on 12-7-21 and the intent is to review and approve the proposed changes/updates and submit them to the Executive Board. The Technical Writer is ready to receive the changes and complete the revisions.

DMU Review Panel members:

Ray Hessinger, NYSDOT – Review Panel Chairman  
Jeff Gordon, FRA  
Brian Beeler II, NNEPRA for Maine DOT  
Gurleen Boparai, Caltrans

Support:

Mike Kraft, Amtrak  
Tammy Krause, Document Control Manager  
Larry Salci, Review Panel Consultant  
Steve Hewitt, NGEC Manager

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

- Exploring/confirming funding options beyond 9-30-2023:

On 10-5-21, Mike Murray, FRA, reported that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs to follow-up with him on previous discussions that an option could be Amtrak funding the NGEC through its grant. It was the general thinking that this would be a possibility as the NGEC was included as a potential type of recipient in the overall Amtrak grant request. Tim will report back once he hears from Ken Altman.

Ray Hessinger suggested that the FASC follow these issues and keep this on their monthly agenda, and report back to the NGEC Executive Board as more information is forthcoming.

The NGEC will explore potential grant opportunities and potential appropriations requests for funding beyond 2023.

#### NGEC Annual Meeting 2022:

As announced previously, the NGEC will hold its 2022 Annual Meeting in-person at the Hyatt Regency, Capitol Hill on February 25, 2022. The meeting will begin at 8:30am and conclude around Noon (Eastern). More details will follow as an agenda is developed and the time for the meeting draws nearer. All NGEC members have been informed of the date and location of the meeting.

- Establishing Priorities and developing updated work plan for 2022:

On 11-30-21, Ray Hessinger noted that this has been a standing agenda item for a while now and it seems that “we are coalescing around updating the reference specifications” and drawing documents (series 800 and 900) and returning to the Trainset and DMU specifications to address the carbody material issue that was raised during the DMU update. Ray stated that, for now, he will “keep these penciled in” as the priorities.

Ray also alerted Tammy Krause, Document Control Manager to be prepared to give a presentation at the Annual Meeting that provides a summary of 2021 activities and an action plan for 2022 which should be based on the aforementioned priorities.

Additionally, Ray noted that he would like to take a look at the organizational changes that Metro-North made to the Dual Mode Locomotive Specification and consider them to be applied across the board to all of the NGEC specifications. They are not technical changes they simply organized the document to be more user friendly and easier to read.

- Preparing for the NGEC 2022 Annual Meeting:

As of 11-30-21, the meeting continues to be planned as in-person at the Hyatt Regency Capitol Hill in Washington, DC and turned to Shayne Gill to confirm that AASHTO’s plans have not changed. Shayne Gill, AASHTO, confirmed that the plans for the meetings the week of 2-21-22 are that they will be held in-person. (The NGEC meeting will be on 2-25-22 from 8:30am to Noon).

Steve Hewitt noted that he and Ray Hessinger have discussed making the NGEC meeting hybrid – in-person with remote capabilities - which is how the SPRC is conducting its meeting earlier that week. The NGEC usually refrains from having remote access, but because of travel limitations due to COVID, it would be reasonable to allow for that access.

Steve Hewitt stated that he will prepare a first DRAFT meeting agenda for discussion with Ray Hessinger next week and following that discussion a DRAFT agenda will be provided to the Executive Board in advance of the next call – 12-14-21.

An organizational/coordination meeting among the participating organization during the week of 2-21-22 (SPRC, SAIPRC, AASHTO, NGEC) is scheduled for 12-13-21.

During the month of December 2021, the Executive Board met twice via web conference, on the 14th and the 28th.

Highlights, decisions, and action items from the month of December 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the technical subcommittee (through its technical working groups) will compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

The comment period on the advanced NPRM which had been extended until July 14, 2020, has ended. As of 8-20-20, the FRA reported that the Access Board is reviewing comments received. On 8-20-20, Melissa Shurland, FRA, reported to the technical subcommittee, "we are in a holding pattern to see what the comments were and what the Access Board's disposition of them will be." Melissa will keep the NGEN technical subcommittee informed as the process is completed.

As of 11-30-21, nothing new has been reported.

This item has been removed as there has been no activity during the 2021 calendar year.

- Treasurer's Report – 12-31-21:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through October 2021: \$850,314.73

Balance remaining: \$ 399,685.27

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$320,610.47

Current Spend Rate per month (as info and used in calculating): \$13,939.59

Estimated Balance at the end of the Extension Period (Contingency): \$79,074 (this would carry the NGEN about 5 months beyond the end of the grant period)

- 2021 NGEN two-pager:

The 2021 version of the NGEN two-page background/educational document continues to be available electronically or in hard copy by request - contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com). To date 615 electronic copies have been distributed.

- 2022 NGEN two-pager:

On 12-28-21, the Executive Board reviewed a mock-up DRAFT of the 2022 NGEN Two-Pager provided by Missouri DOT Graphic Arts. The Board recommended several revisions. Steve Hewitt sent the revisions to MODOT. A revised mock-up will be reviewed by the Executive Board on its call on 1-11-22.

- Annual By-Law Review/Update:

On 11-30-21, the Executive Board adopted revisions as proposed by the Finance and Administrative subcommittee on 10-13-21. The adopted revised By-Laws document was distributed to all Executive Board members and to AASHTO for posting to the NGEN website on 12-1-21.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 12-31-21:

Design review for the standard coach is complete. The Cab Carshell final design has been approved and the first cab structures are in production. Remaining Cab Car FDRs are in the final submittal and review stage and the cab car Clearance information has been submitted to Amtrak. IDOT Café Car FDRs are in the closure stage and Galley open items are being addressed.

The Cab Car Collision and Corner Post Appendix F testing is complete with the test report in work and the cab car compression test report review is nearly complete. FAIs will continue for café and cab car subsystems after the first of the year.

99 cars are in production or have been produced at Siemens Sacramento Facility. IDOT and Caltrans cars are being prepared for Conditional Acceptance and revenue service while open items and relevant FMIs are being addressed.

IDOT has reached final acceptance with Amtrak on four cars and has started on rail testing of Wi-Fi and passenger information systems, along with crew training on those cars.

- Metro-North Dual Mode Locomotive Equipment as of 11-30-21:



Siemens submitted IDRs for all thirty-nine topics. Metro-North agreed and told them to proceed on thirty-four of the IDRs Siemens submitted four revised IDRs and there is one that remains open.

In December 2021 there were no updates presented. Next update 1-11-22

- Amtrak Equipment Procurement Update – as of 11-30-21:

On the Chargers (ACL 42) – 4 are on the property for testing

On the Acela – testing and qualification processes continue.

On the Intercity Passenger Rail equipment – preliminary Design Review continues.

In December 2021 there were no updates presented. Next update 1-11-22

- Connecticut DOT Rail Car Procurement as of 12-31-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGECC members and is posted on the NGECC website.

The next update is anticipated to take place at the NGECC Annual Meeting 2-25-22.

As of 12-31-21, VIA Rail representatives have been invited to the NGECC 2022 Annual meeting to attend and provide an update on their passenger rail vehicle procurements underway. No response has been received to date. A reminder will be sent by Steve Hewitt in January 2022.

- Document Control Update - as of 12-31-21:

Due to the Holidays, there is not much update for Document Control. I have met several times with the Technical Writer, and we have finalized all the non-technical changes to the Trainset specification. The reformatting is almost done and will hopefully be submitted at the next Executive Board meeting.

- DMU Revision A – Status:

Review panel Consultant Larry Salci briefed the Board on the Review panel Report and Recommendations on 12-28-21.

On 12-28-21, the NGECC Executive Board determined that they would consider approval of the Review Panel Report and its recommendations on 1-11-22.

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGECC members and can be found on the NGECC website.

Updates on the Charger Locomotives experience will be provided during the 2022 NGECC Annual Meeting scheduled for 2-25-22 in Washington, DC

- Exploring/confirming funding options beyond 9-30-2023:

On 10-5-21, Mike Murray, FRA, reported that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs to follow-up with him on previous discussions that an option could be Amtrak funding the NGEC through its grant. It was the general thinking that this would be a possibility as the NGEC was included as a potential type of recipient in the overall Amtrak grant request. Tim will report back once he hears from Ken Altman.

Ray Hessinger suggested that the FASC follow these issues and keep this on their monthly agenda, and report back to the NGEC Executive Board as more information is forthcoming.

The NGEC will explore potential grant opportunities and potential appropriations requests for funding beyond 2023.

Nothing new to report as of 12-31-21.

NGEC Annual Meeting 2022:

As announced previously, the NGEC will hold its 2022 Annual Meeting in-person at the Hyatt Regency, Capitol Hill on February 25, 2022. The meeting will begin at 8:30am and conclude around Noon (Eastern). More details will follow as an agenda is developed and the time for the meeting draws nearer. All NGEC members have been informed of the date and location of the meeting.

It has been decided that the meeting will be held in-person and virtually. Steve Hewitt has provided all NGEC members with a DRAFT agenda and the Hotel room block information.

- Establishing Priorities and developing updated work plan for 2022:

On 12-28-21, Chairman Hessinger confirmed the following priorities for 2022:

Review/update NGEC Reference and Drawings series 305-900 and 305-800.

Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IIJA for its western fleet, it makes sense for the NGEC to review and update the Bi-Level car specification.

Review the car body materials issue from a broader perspective for all NGEC equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEC vehicle specifications.

Review "emerging technologies": On the last technical subcommittee call (12-9-21) the topic of emerging technologies for propulsion was raised. Ray believes that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEC and applied across the board to all NGEC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

At the NGEC Annual Meeting, Tammy Krause, Document Control Manager, is asked to provide a progress report on activities and accomplishments from Document Control over the past year and to provide an action plan for the year ahead which should be based on the priorities as identified by the Chair.

During the month of January 2022, the Executive Board met twice via web conference, on the 11th and the 25th.

Highlights, decisions, and action items from the month of January 2022 include:

- Treasurer's Report – 1-25-22:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.  
Amount Spent through October 2021: \$865,727.22  
Balance remaining: \$ 384,272.78  
Estimated spend at current rate for the remaining grant period (through 9-30-23): \$307,193.53  
Current Spend Rate per month (as info and used in calculating): \$13,963.34  
Estimated Balance at the end of the Extension Period (Contingency): \$77,079.25 (this would carry the NGEC about 5 months beyond the end of the grant period)

- 2022 NGEC two-pager:

On 1-11-22, the 2022 NGEC two-page educational document was approved, and distribution has begun. To date 320 electronic copies have been sent out. Hard copies are now available by request sent to Steve Hewitt [shewitt109@aol.com](mailto:shewitt109@aol.com). Hard copies will be distributed to all in-person attendees at the NGEC annual Meeting on w-25-22.

- Annual By-Law Review/Update:

The 2021 Annual Review of the NGEC By-Laws was completed in November 2021 and proposed changes were adopted by the Executive Board. The updated By-Laws were distributed to Board members and posted to the NGEC website.

The 2022 Annual review will be scheduled by the NGEC Finance and Administrative subcommittee.

- Follow ups on developing a plan to increase NGEC awareness as of 1-25-22:

Tim Ziethen reported that he has had another follow-up conversation with Michael Alexis, Amtrak Deputy General Counsel, and an exchange of emails with him.

Michael has been assigned to the NGEC for any legal questions or related issues.

Michael provided Tim Ziethen with guidance on issues related to the NGEC's ability to take steps to increase awareness of the Committee and the work that it does.

In general, the guidance is that posting factual information on the website is permitted providing that the Committee follows Amtrak contractor promotion policies which the Committee has been following. For posting on social media, again, the NGEC would be permitted to do it as long as it follows the Amtrak policies. None of this is new, the NGEC has always lived up to these policies.

Issuing Press releases would also be permissible as long as it transmits simply factual information.

Using paid advertising or attending trade shows would require By-Law changes and there would be an issue of spending funds for these activities as they would need to be paid outside the grant.

As noted previously, the NGEC should not proactively communicate with Congress due to "lobbying" issues but can respond with factual information in compliance with Amtrak contractor promotion policy upon request.

Tim Ziethen will provide Steve Hewitt with a summary of the guidance that Michael Alexis provided to him so that it can be entered into the record.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 1-25-22:

The Cab Carshell final design has been approved and the cab structures are in production. Remaining Cab Car FDRs are in the final submittal and review stage and the cab car clearance information has been submitted to Amtrak. IDOT Café Car FDRs are in the closure stage and Galley open items are being addressed.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the test report is to be submitted in February. The cab car compression test report review is complete, and Siemens is reviewing comments. FAIs will continue for café and cab car subsystems.

102 cars are in production or have been produced at Siemens Sacramento Facility. IDOT and Caltrans cars are being prepared for Conditional Acceptance and revenue service while open items and relevant FMIs are being addressed.

4 cars are in test this month in the Midwest and are attached to current consists. Testing includes IT related items and the passenger information system.

John Oimoen, IDOT, announced that new Venture cars will be put into revenue service for the Lincoln service next week. This is great news!

- Metro-North Dual Mode Locomotive Equipment as of 1-25-22:

Metro-North and Siemens have formally closed the Initial Design Review and Siemens has begun submitting input for the Preliminary Design Review and it is anticipated that this process should conclude in February or early March 2022.

- Amtrak Equipment Procurement Update – as of 1-25-22:

On the Acela: progress is being made for verification from FRA.

On the Long Distance (Charger) Locomotives: two have been conditionally accepted and are in Chicago for testing. Two are in Wilmington and two are shipping to Wilmington today (1-6-22). It is anticipated that the first two could be entered into revenue service in early February 2022.

On the Intercity Trainset: Initial Design Review is underway.

- Connecticut DOT Rail Car Procurement as of 1-25-22:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented.

The next comprehensive update will take place at the NGEAC Annual Meeting 2-25-22. VIA Rail representatives have agreed to attend the NGEAC Annual Meeting virtually and give a presentation on the progress of its passenger rail procurement.

- Document Control Update - as of 12-31-21:

Tammy Krause provided the following update for inclusion in today's minutes (1-25-22):

“I have been continuing to meet weekly with the Technical Writer on the Trainset specification changes and the DMU specification changes. The trainset updated specification is completed and was given to Steve Hewitt for issuing as needed. The DMU changes are currently in process. The current leader of the Electronics on Trains WG is no longer able to fulfill that role. I will be meeting with that WG later today and looking for a replacement.”

Tammy Krause also reiterated that she was participating on the Electronics on Trains working group later today (1-25-22) and was hoping to be able to name a team leader. (David Brabb was no longer available to stay on as team leader.)

- DMU Revision A – Status:

On 1-11-22, the Executive Board accepted the DMU Review Panel's Report and Recommendations and formally adopted 305-009 DMU Specification Revision A. The Technical writer is in the process of finalizing the document with all approved changes.

- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

Updates on the Charger Locomotives experience will be provided during the 2022 NGEC Annual Meeting scheduled for 2-25-22 in Washington, DC

- Exploring/confirming funding options beyond 9-30-2023:

On 10-5-21, Mike Murray, FRA, reported that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs to follow-up with him on previous discussions that an option could be Amtrak funding the NGEC through its grant. It was the general thinking that this would be a possibility as the NGEC was included as a potential type of recipient in the overall Amtrak grant request. Tim will report back once he hears from Ken Altman.

Ray Hessinger suggested that the FASC follow these issues and keep this on their monthly agenda, and report back to the NGEC Executive Board as more information is forthcoming.

The NGEC will explore potential grant opportunities and potential appropriations requests for funding beyond 2023.

On 1-25-22, Mike Murray, FRA, reported that there was no decision forthcoming at this point, but he expected to have one by the Annual Meeting.

- Preparing for the NGEC Annual Meeting 2022:

Review DRAFT agenda – confirm speakers:

Steve Hewitt gave an overview of the current DRAFT Annual Meeting Agenda and asked for confirmation as to who will give the presentations covered under each to agenda item.

Kyle Gradinger confirmed that he will provide the Caltrans update on the Multi state passenger rail car procurement. He was not set on who from Caltrans will provide the update on California's experience with the Charger Locomotive.

George Hull noted that he has not finalized who will give the Amtrak updates, but that Steve Hewitt can leave him listed for now.

Mike Murray let Steve Hewitt know that he hopes to have, by Friday, 1-28-22, the name of the FRA representative who will give the FRA update.

Reaffirm Board member attendance (in-person or virtually)

Steve Hewitt reviewed the registration list and noted that in-person attendance, especially by states is pending travel approval. Currently there are 42 members of the NGEC who intend to participate in person and 23 who intend to participate virtually.

Steve Hewitt also urged members to reserve their hotel room asap as the Room Block closes on 1-31-22. Thus far the list of those who have reserved rooms is very low.

Logistics review

There is a meeting later today with the various organizations meeting in DC the week of 2-22-22 (SPRC, SAIPRC, AASHTO and the NGEC) and anything new will be brought back to the members.

Timeline for presentations to be submitted:

Steve Hewitt asked for presentations to be provided to him by COB on 2-18-22.

#### AV costs

Since this is the first time the NGEC has held a Hybrid meeting, it is difficult to assess the AV costs which are coming in quite high. There simply is not much to compare with it. Steve will be talking to the meeting planner next week and will try to get a better understanding of those costs. In the meantime, Tim Ziethen will look at what the overall costs were the last time the NGEC met in-person.

Ray Hessinger asked Steve Hewitt to set up a “quick” call with the nominating committee (Ray Hessinger, John Oimoen and Mike Jenkins) for next week – either on 2-3-22 or 2-4-22 in between other NGEC calls if possible.

- Establishing Priorities and developing updated work plan for 2022:

On 12-28-21, Chairman Hessinger confirmed the following priorities for 2022:

Review/update NGEC Reference and Drawings series 305-900 and 305-800.

Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IIJA for its western fleet, it makes sense for the NGEC to review and update the Bi-Level car specification.

Review the car body materials issue from a broader perspective for all NGEC equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEC vehicle specifications.

Review “emerging technologies”: On the last technical subcommittee call (12-9-21) the topic of emerging technologies for propulsion was raised. Ray believes that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEC and applied across the board to all NGEC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

At the NGEC Annual Meeting, Tammy Krause, Document Control Manager, is asked to provide a progress report on activities and accomplishments from Document Control over the past year and to provide an action plan for the year ahead which should be based on the priorities as identified by the Chair.

- TRB question regarding future – next generation equipment needs:

Ray Hessinger noted that on the last Technical subcommittee call held on 1-20-22, a member of the industry who is also involved with a TRB committee asked if the NGEC had needs for research for the next generation of equipment.

Ray noted that, at this time the NGEC is looking at possibly updating the primer prepared by the Locomotive Task Force early in the NGEC’s history. Dave Warner will be providing a presentation during the Annual Meeting on zero emissions propulsion – a then and now look, and this should set the stage or kick off that effort.

As for now, as long as the Committee does not move into areas beyond where we have gone before such as higher speed rail, there is no immediate need for additional research. However, he did add “we will see where we go after Dave Warner’s presentation.”

George Hull mentioned updating the trainset specification now that it has been re-formatted consistent with the other PRIIA specifications. Ray responded that the specification is available and

updates through the NGECC DCR process are welcome and is exactly what we want to do as an organization and very appropriate.

During the month of February 2022, the Executive Board met once on the 8<sup>th</sup> and again on the 25<sup>th</sup> for the 12<sup>th</sup> NGECC Annual Meeting.

Highlights, decisions, and action items from the month of February 2022 include:

- Treasurer's Report – 2-25-22 Annual Meeting:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through November 2021: \$887,902.46

Balance remaining: \$ 362,097.54

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$295,967.49

Current Spend Rate per month (as info and used in calculating): \$14,093.69

Estimated Balance at the end of the Extension Period (Contingency): \$66,130.05 (this would carry the NGECC about 5 months beyond the end of the grant period)

- 2022 NGECC two-pager:

The 2022 NGECC two-page educational document was released in January and distribution has begun. To date 370 electronic copies and 125 hard copies have been distributed.

- Annual By-Law Review/Update:

The 2021 Annual Review of the NGECC By-Laws was completed in November 2021 and proposed changes were adopted by the Executive Board. The updated By-Laws were distributed to Board members and posted to the NGECC website.

The 2022 Annual review will be scheduled by the NGECC Finance and Administrative subcommittee.

- Future Funding Discussion

Explore the possibility that funding could be made available through the FRA or alternatively from Amtrak.

Continue to provide educational information on the NGECC to sister agencies (SPRC, AASHTO, Amtrak), the industry, and Congress (when requested).

Explore additional options to increase awareness of the activities and benefits derived from the work of the NGECC. Potential revision of By-Laws to include additional activities to increase public awareness.

Activities would include ongoing review and updating of PRIIA vehicle technical specifications; educational outreach to build awareness and highlight results; monitoring multi-state vehicle procurements; identifying additional lessons learned and ongoing updating of best practices.

Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 2-25-22:

The Cab Carshell final design has been approved and the cab structures are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents have been sent to the FRA for review. IDOT Café Car FDRs are in the closure stage and Galley open items are being addressed.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the test report is in work. The cab car compression test report review is complete, and Siemens is reviewing feedback. FAIs will continue for café and cab car subsystems.

102 cars are in production or have been produced at Siemens Sacramento Facility. Conditional Acceptance activities completed with Siemens & Caltrans for the first 6 cars. IDOT has started revenue service for the first 4 cars.

At the 2-25-22 Annual meeting a comprehensive update was provided. The presentation is available on the NGECC website and was distributed to all NGECC members.

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- Metro-North Dual Mode Locomotive Equipment as of 2-8-22:

Metro-North and Siemens continue with Preliminary Design Review. There have been 31 Preliminary Design Review documents submitted - the others are still under review. Meetings began in January and will run through March 2022.

At the 2-25-22 Annual meeting a comprehensive update was provided. The presentation is available on the NGECC website and was distributed to all NGECC members.

- Amtrak Equipment Procurement Update – as of 2-8-22:

On the Charger Locomotives (ALC 42): The first two Locomotives entered revenue service today (2-8-22)! Two more are expected to roll out next week and throughout the Spring. This is great news – showing great progress!

On the Acela – testing on the prototype continues.

On the Intercity Passenger Rail Trainset – they continue with Design Review.

At the 2-25-22 Annual meeting a comprehensive update was provided. The presentation is available on the NGECC website and was distributed to all NGECC members.

- Connecticut DOT Rail Car Procurement as of 2-28-22:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGECC website and distributed to all NGECC members.

- Document Control Progress Report for 2021 and a Look Ahead to 2022 – 2-25-22:

Working Groups Updates:

- A primer on how to successfully create and implement a TSSSA, Technical Support and Spare Supply Agreement, was created and approved by the TSC and EB on 7/27/2021. It has been renamed the ‘Guidance for Long-term Vehicle Service’.
- Best Practices WG completed the Equipment Acquisition and Ownership Recommended Practices Document #305-200. It was approved by the EB on 2/9/2021.
- Equipment Weight WG was created to determine the appropriate weights for each car type. This group has been meeting regularly.
- The Electronics on Trains WG has been working on Revision A of the DTL Hardware specification #305-919 and will be creating the DTL Software specification #305-920 next.



#### DMU Specifications:

- The DMU Specification Revision A was approved by the EB on 1/11/22.
- The DMU Specification was updated to Rev A with 110 changes that were approved by the Working Groups and Technical Subcommittee.

#### Trainset Specification:

- The Trainset Specification Revision B has been reorganized to the correct format and this version is now available.

#### A Look Ahead:

#### Metro-North Dual Mode Locomotive Specification:

- Review the Metro North Dual Mode Locomotive Specification with respect to the organization of the specification. Consider if these changes should be applied across the family of specifications. This would be an administrative change, not technical.

#### Car Body Materials:

- Review the use of alternate Carbody materials.
- This issue was raised during the update of the DMU specification.
- Adding additional Carbody materials will require additional information being added to the equipment specifications.

#### Emerging Technologies:

- Review “Emerging Technologies” for alternative propulsion options.

#### Review/Update NGENC References and Drawings Series 305-800 and 305-900

- NGENC 2022 Annual meeting (12<sup>th</sup>)

On 2-25-22, the NGENC held its 12<sup>th</sup> Annual Meeting. The meeting was hybrid in that it was attended in-person at the Hyatt Regency Capitol Hill, Washington DC or by webex virtually.

This was the first hybrid meeting held by the NGENC and it was a great success with approximately 109 attendees (70 in-person and 39 virtually).

Presentations were provided by Chairman, the NGENC standing subcommittees, Document Control, VIA Rail, Caltrans, IDOT, WSDOT, Amtrak (all have been distributed and are posted on the NGENC website).

#### NGENC Annual Meeting Special Guest: FRA Administrator Amit Bose:

The NGENC Annual Meeting attendees were very pleased to have FRA Administrator Amit Bose take the time to attend and provide remarks.

The Administrator mentioned that he had previously met with the NGENC Executive Board and that he wanted to stop by today to re-emphasize the importance of the Committee and “all the work you have done over the years.”

He noted that in the recently passed Infrastructure Investment and Jobs Act (IIJA) has a lot of focus on Rail – passenger and Freight.

He commented on the large equipment order by Amtrak that will hopefully get out soon.

He added that there is a lot of interest in the area of passenger rail and new equipment – mentioning that the Venture Cars are beginning to enter into service.

For the Administration – equipment manufacturing is an important part of the overall rail efforts. Per the Law – the key is US manufactured equipment.

The Administrator also discussed the Build Back Better proposal that will “create jobs in the US – union jobs – well- paying jobs – and a sustainable workforce in the community”.

He stressed the importance of a smooth procurement process as a highlight for OEM's and the suppliers. There is an unprecedented opportunity presented to the industry and on time and on budget is critical.

Administrator Bose closed by emphasizing that “the FRA is ready to work with you all” and that these efforts will benefit not only the industry but also the riders.

He expressed his thanks to FRA staff and “to this Committee”.

- 2022 Election of State Board Members of the NGECE Executive Board and the Election of its Officers – Ray Hessinger:

Report/Recommendations from Nominating Committee – Mike Jenkins, Oregon DOT:

During the Annual meeting, Chairman Ray Hessinger reported that the responsibility of the nomination committee (Mike Jenkins, John Oimoen and Ray Hessinger) is to recommend nominations for the State Board Members for election to a two-year term on the Board. All Board Members have agreed that are willing to continue as Board members.

The nominating committee recommended that the current State members of the NGECE Executive Board be nominated to serve new two-year terms.

Ray Hessinger then called for a motion to re-elect the current State Board Members to new two-year terms.

Jason Biggs, Washington State DOT, offered a motion, and it was seconded by Arun Rao, Wisconsin DOT, to re-elect the current State Board members to serve new two-year terms.

Ray called for discussion, with none forthcoming, he called for the yeas and nays and was able to determine that consensus was achieved, and the current State Board Members are re-elected to two-year terms effective immediately.

With the Board established (Amtrak and FRA representation will also remain the same) Ray called for a nomination of the current slate of officers to remain in their current positions for new two-year terms.

On a motion offered by Jason Orthner, North Carolina DOT, and a second by Arun Rao, Wisconsin DOT, and no objections offered, Ray Hessinger determined that consensus had been achieved and the current officers have been elected to new two-year terms effective immediately.

The following State Board Members were re-elected to new two-year terms effective immediately:

Ray Hessinger, NYSDOT  
John Oimoen, IDOT  
Amanda Martin, Iowa DOT  
Jason Orthner, NCDOT  
Ron Pate, WSDOT  
Arun Rao, WisDOT  
Troy Hughes, MODOT  
Kyle Gradingier, Caltrans

Mike Jenkins, Oregon DOT  
Brian Beeler, NNEPRA for Maine DOT

Also continuing as their agencies' representatives are:

Jeff Gordon, FRA  
George Hull, Amtrak  
Tim Ziethen, Amtrak

Election of Officers:

The following Officers were re-elected/re-appointed to serve new two-year terms effective immediately:

Ray Hessinger, Chairman  
George Hull, Vice Chair  
John Oimoen, Secretary  
Tim Ziethen, Treasurer

The terms of office for the Board members and officers begin 2-28-22 and run through the 2024 Annual Meeting.

During the month of March 2022, the Executive Board met once on the 22<sup>nd</sup>, canceling the March 8<sup>th</sup> call due to its proximity to the Annual Meeting held on February 25<sup>th</sup>.

Highlights, decisions, and action items from the month of March 2022 include:

- 2022 Annual Meeting Summary Overview and discussion:

Overview/reactions/comments

Ray Hessinger provided a brief summary of the Annual Meeting stating that the presentations went well, and the meeting was productive and well attended. All reactions he has heard were positive.

Steve Hewitt reported that the 2022 Annual Meeting – the first held as a hybrid - was one of the most well attended in the 12 years the NGECE has been active. There were 70 members in attendance in-person and 41 attending virtually.

A highlight of the meeting was Amit Bose, FRA Administrator, stopping by to address NGECE members. The Administrator mentioned that he had previously met with the NGECE Executive Board and that he wanted to stop by to re-emphasize the importance of the Committee and "all the work you have done over the years."

He noted that the recently passed Infrastructure Investment and Jobs Act (IIJA) has a lot of focus on Rail – passenger and Freight.

He added that there is a lot of interest in the area of passenger rail and new equipment – mentioning that the Venture Cars are beginning to enter into service.

For the Administration – equipment manufacturing is an important part of the overall rail efforts. Per the Law – the key is US manufactured equipment.

Steve also noted that Chairman Hessinger sent a thank you letter to the Administrator expressing his appreciation for his participation at the meeting his expression of support for the committee.

In the meeting there were presentations from the two NGECE standing subcommittees (Technical and Finance and Administration), a Treasurer's report, Chairman's report, update presentations on the ongoing procurements and presentations on how the Charger Locomotives are performing. We also heard from Document control on the year's activities as well as a look ahead with a focus on the Chairman's priorities.

All of the presentations are available on the NGECE website or by request ([shewitt109@aol.com](mailto:shewitt109@aol.com)).

The NGECE Executive Board and its officers were all elected to new two year terms.

Overall, it was a great meeting! The feedback has been all positive. The flow of the meeting and the information provided has been widely complimented, and, of course one of the major highlights was the presence of Administrator Bose!

Action Items – Ray Hessinger:

One of the critical action items coming out of the meeting was the need to seek a source of funding. To date, the FRA has not responded to the NGECE's request for funding out of the FRA budget or any other potential pocket of money.

Given that and the fact that the NGECE has only enough funding to get it about 3 or 4 months past the grant agreement end date of 9-30-23, it is time that the Committee look for another source. One suggestion that came up after the meeting, was a suggestion that the more viable path forward may be for the NGECE to seek a grant in the next round of CRISI. Ray believes that with the partnership the NGECE has with members of the industry, states, Amtrak, and FRA there should be strong support for the Committee to receive a grant under CRISI. The ask is relatively small, and the benefits are huge.

Ray emphasized the point that "absent the FRA coming to us to say yes we will fund you out of some pocket, we need to pursue this path".

Discussion of Next Steps – Ray Hessinger/Steve Hewitt:

Steve Hewitt recommended that the Finance and Administrative subcommittee (FASC) would be the place to look into CRISI and to put together a framework. With Amtrak as the Fund Administrator for our current grant – it would likely also be the applicant for a CRISI grant.

FASC Chair and NGECE Treasurer Tim Ziethen noted that he has reached out to Amtrak grants to discuss the process and timing. He also expressed his concurrence with the thoughts and recommendations expressed by the Chair today.

Ray Hessinger commented that the FASC will be the lead and will come back to the Executive Board with content and "we will go from there".

Tim Ziethen agreed that the FASC will be active and will set the marker.

Steve Hewitt noted that the FASC meets next week (3-30-22) and he will add this item to the agenda for that meeting.

- Treasurer's Report – 3-22-22:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through January: \$912,469.91

Balance remaining: \$ 337,530

Current Spend Rate per month (as info and used in calculating): \$14,257

Estimated Balance at the end of the Extension Period (Contingency): \$52,000

Ray Hessinger would like the NGECE to refresh its website (full discussion below). He was very impressed with the updated States for Passenger Rail Coalition's (SPRC) site and asked Arun Rao, Chair of SPRC, what it cost to do the refresh of the website. Arun did not have the exact number but he and Steve Hewitt both stated that there was a \$10,000 budget for it, and it came in below that.

Tim Ziethen noted that the cost of a website refresh would likely eat into the contingency funds which were hoped to be used to extend the life of the NGEC beyond 9-30-23. If the cost comes in around the \$10,000 range, it is possible to spend that amount and still retain some funding to carry the Committee for a few months beyond 9-30-23.

- Discussion – NGEC Website Refresh:

Ray Hessinger reported that he recently had a need to go to the NGEC website. He found what he was looking for but the “look and feel of the website is stale”. He added that “in light of the States for Passenger Rail Coalition’s (SPRC) recent refresh of its website which looks great, it is appropriate for the NGEC to have a conversation about updating its website”.

Strat Cavros, AASHTO, said they could put out an RFP - leave it open ended - and see what they get back.

Steve Hewitt mentioned that this too, would be a FASC assignment. The FASC has the NGEC Treasurer and manages the budget.

Tim Ziethen agreed the site does need an update and advised Strat Cavros that it would be prudent to mention that the Committee has “limited resources”.

Ray Hessinger also noted that the website is under a broader AASHTO website address – [www.high-speedrail.org](http://www.high-speedrail.org) and he would like to see if it is feasible to have “our” own web address. This would help the NGEC in its efforts to increase awareness. It would raise the NGEC profile. “I don’t know if it will work or not, but it should be something we look into”.

Jason Biggs, WSDOT mentioned that states are technically savvy and may be able to help. In WSDOT they just recently did an overhaul. It is possible that states may have some resources and could partner with the NGEC on its efforts to refresh its website.

Strat Cavros recommended that the NGEC put together a Statement of Work and AASHTO will put out an RFI. He said he already has 3 firms in mind.

- 2022 NGEC two-pager:

The 2022 NGEC two-page educational document was released in January and distribution has begun. To date 425 electronic copies and 125 hard copies have been distributed.

- Annual By-Law Review/Update:

The 2021 Annual Review of the NGEC By-Laws was completed in November 2021 and proposed changes were adopted by the Executive Board. The updated By-Laws were distributed to Board members and posted to the NGEC website.

The 2022 Annual review will be scheduled by the NGEC Finance and Administrative subcommittee.

- Exploring/confirming funding options beyond 9-30-2023:

On 10-5-21, Mike Murray, FRA, reported that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take time. When he has more information, he will let the Board know.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs to follow-up with him on previous discussions that an option could be Amtrak funding the NGEC through its grant. It was the general thinking that this would be a possibility as the NGEC was included as a potential type of recipient in the overall Amtrak grant request. Tim will report back once he hears from Ken Altman.

Mike Murray notified Steve Hewitt and Ray Hessinger prior to the NGEC Annual Meeting that the FRA would not have an answer on this for the Annual meeting.

Steve Hewitt noted that he will keep this item open to see if it is possible that FRA will have a response before the Annual Meeting.

Update/Action – 3-22-22:

One of the critical action items coming out of the meeting was the need to seek a source of funding. To date, the FRA has not responded to the NGECC's request for funding out of the FRA budget or any other potential pocket of money.

Given that and the fact that the NGECC has only enough funding to get it about 3 or 4 months past the grant agreement end date of 9-30-23, it is time that the Committee look for another source. One suggestion that came up after the meeting, was a suggestion that the more viable path forward may be for the NGECC to seek a grant in the next round of CRISI. Ray believes that with the partnership the NGECC has with members of the industry, states, Amtrak, and FRA there should be strong support for the Committee to receive a grant under CRISI. The ask is relatively small, and the benefits are huge.

Ray emphasized the point that "absent the FRA coming to us to say yes we will fund you out of some pocket, we need to pursue this path".

Next Steps:

Steve Hewitt recommended that the Finance and Administrative subcommittee (FASC) would be the place to look into CRISI and to put together a framework. With Amtrak as the Fund Administrator for our current grant – it would likely also be the applicant for a CRISI grant.

FASC Chair and NGECC Treasurer Tim Ziethen noted that he has reached out to Amtrak grants to discuss the process and timing. He also expressed his concurrence with the thoughts and recommendations expressed by the Chair today.

Ray Hessinger commented that the FASC will be the lead and will come back to the Executive Board with content and "we will go from there".

Tim Ziethen agreed that the FASC will be active and will set the marker.

Steve Hewitt noted that the FASC meets next week (3-30-22) and he will add this item to the agenda for that meeting.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 3-22-22:

The Cab Car Shell final design has been approved and the cab structures are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents have been sent to the FRA for review, and the Cab Car Clearance information has been approved by Amtrak. IDOT Café Car FDRs are in the closure stage and Galley open items are being addressed.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the test report has been submitted for review. The cab car compression test report review is complete, and Siemens is preparing responses. FAIs will continue for café and cab car subsystems.

103 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items are being addressed.

- Metro-North Dual Mode Locomotive Equipment as of 3-22-22:

Metro-North and Siemens are still in the Preliminary Design Review phase. They have only a few open items left to resolve, and they continue to move forward.

- Amtrak Equipment Procurement Update – as of 3-22-22:

On the Acela: They continue to work on the qualification efforts with FRA. One trainset is in Philadelphia for APTA's meeting and can be seen there.

On the Intercity Passenger Rail Trainset – they continue with Design Review.

On the Charger Locomotives: Amtrak continues to deliver units. There are two in service between Chicago and Seattle – and things are going well.

- Connecticut DOT Rail Car Procurement as of 3-22-22:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGEC website and distributed to all NGEC members.

- Document Control Progress Report – 3-22-22:

Document Control has been working on the DMU Specification and it will be completed by the end of the month. Tammy Krause, Document Control Manager has put together a proposed timeline to accomplish the tasks for the TSC this year.

The first item is the new revision of the Bi-Level specification. Tammy will be reviewing all the Document Change requests (DCRs) that have been processed since 2016 for applicability to the Bi-Level specification. She also would like everyone to look at the current version and start thinking of any changes that should be made. Tammy would like the Working Groups to be able to review all the Bi-Level DCRs at the same time. She has tried to arrange the timeline so that once the WGs are back to regular meetings, they will be able to continue them.

Tammy (through Steve Hewitt) distributed a proposed timeline and asked that Technical subcommittee members get back to her with any comments.

During the month of April 2022, the Executive Board met once on the 5<sup>th</sup>

Highlights, decisions, and action items from the month of April 2022 include:

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Treasurer's Report and Finance and Administrative Sub-committee update – 4-5-22:

- Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through January: \$912,469.91

Balance remaining: \$ 337,530

Current Spend Rate per month (as info and used in calculating): \$14,257

Estimated Balance at the end of the Extension Period (Contingency): \$52,000

- Status – Developing SOW for Website Refresh

Steve Hewitt has provided Tim Ziethen with a DRAFT Statement of Work which Tim reported that he is reviewing it and will send his edits soon. Tim noted that this could be taken up on the next FASC call 4-27-22. The 4-27-22 call produced discussion with no decision made on the SOW. A forum was not present, and no vote was taken to move it forward.

Note: The FASC did result in some changes to the DRAFT, and it was decided that it could go to the Executive Board as a status update on its call on May 3<sup>rd</sup>. The next step, however, was to set up a call with AASHTO's web group and Steve Hewitt and Ray Hessinger. This is being arranged by Rebecca Anger.

Steve agreed and commented that, if he received Tim's edits soon enough in advance of the next call, it would be possible to send to all FASC members for comments and then on to AASHTO. Either way, it should be finalized at least on the next FASC call on April 27<sup>th</sup> so AASHTO can go out with an RFI.

- Status – Developing Request for NGEC CRISI Grant – Process

Tim Ziethen reported that he has had two calls with the Amtrak Grants Officer. The FRA has not yet released the details for this round, and likely will not for a couple of months. In the meantime, Amtrak Grants and Tim are looking at last year's process, and Tim is waiting for internal confirmation as to whether he can distribute a copy or parts of a copy of an Amtrak submittal from last year to use as an example.

Tim noted that they (Tim and Amtrak Grants Officer) believe it is an appropriate application and process for those funds (CRISI) based on successful Grant applications from last year's program.

Tim noted that since it is a couple of months away before we will see the details, timing is a concern. The program will be highly competitive, and the NGEC has a short window with its existing funds. Therefore, he has asked the Amtrak Grants Office to consider other potential funding opportunities and he asks that FRA also consider other avenues or vehicles – even if only short-term pending the timing of a CRISI Grant.

Shayne Gill, AASHTO, asked who the Grant applicant would be?

Tim responded that it would be Amtrak.

Shayne also asked if FRA would require a non-federal match?

Tim responded that they are asking for clarification on that.

Ray Hessinger responded that if a match were to be required, he believed the NGEC could quantify the significant use of volunteer hours to make up a soft match. This would mean that volunteer hours and the costs would need to be tracked, but it is something that could be considered if a non-federal match is required.

He believes there is significant value emanating from the work of the NGEC, for a minimal amount of federal funding.

Ray also noted that NYSDOT has a similar grant program - "a smaller version of CRISI" - for the state's freight program, so there is some familiarity he has with it.

He added that "the amount of money the NGEC will ask for is a lump of change" in comparison to the million or tens of millions being asked for in most CRISI apps.

Strat Cavros, AASHTO, commented that due to non-federal share in cooperative agreements they are well versed in the area of soft match.

Tim Ziethen added that the new terms for the CRISI Grant Program may not require it.

Ray Hessinger added that it is important to get all of these questions well in hand in advance to be ready to submit.

Tim Ziethen also raised the issue of how much the NGEC would be asking for. Is it simply the amount the Committee uses per year now? (about \$180,000 per year) This would be about \$1 million over five years to carry out the current activities or are we looking for something more to accommodate additional work?

Steve Hewitt asked where the recommendation would come from – the FASC?

Ray Hessinger responded that he believes both the Technical subcommittee and the FASC will need to provide input to the Board as to the amount to be requested.



Tim Ziethen also noted that the application would be required to identify one or more of, he believes, three criteria – two of which are safety and efficiency. There can be more than one, but the NGEC will need to decide on its approach.

- 2022 NGEC two-pager:

The 2022 NGEC two-page educational document was released in January and distribution has begun. To date 425 electronic copies and 125 hard copies have been distributed.

- Annual By-Law Review/Update:

The 2021 Annual Review of the NGEC By-Laws was completed in November 2021 and proposed changes were adopted by the Executive Board. The updated By-Laws were distributed to Board members and posted to the NGEC website.

The 2022 Annual review will be scheduled by the NGEC Finance and Administrative subcommittee.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 4-5-22:

The Cab Carshell final design has been approved and the cab structures are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents have been sent to the FRA for review, and the Cab Car Clearance information has been approved by Amtrak. IDOT Café Car FDRs are in the closure stage and Galley open items are being addressed.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the test report has been submitted for review. The cab car compression test report review is complete, and the revised test report is in review. FAIs will continue for café and cab car subsystems.

103 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items related to Conditional Acceptance are being addressed.

- Metro-North Dual Mode Locomotive Equipment as of 4-5-22:

Metro-North and Siemens are still in the Preliminary Design Review phase. They have only a few open items left to resolve, and they continue to move forward.

- Amtrak Equipment Procurement Update – as of 4-5-22:

On the Acela: They continue to work on the qualification efforts with FRA. One trainset is in Philadelphia for APTA's meeting and can be seen there.

On the Intercity Passenger Rail Trainset – they continue with Design Review.

On the Charger Locomotives: Amtrak continues to deliver units. There are two in service between Chicago and Seattle – and things are going well.

- Connecticut DOT Rail Car Procurement as of 4-5-22:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGEC website and distributed to all NGEC members.

- Document Control Progress Report – 4-5-22:

Document control has almost completed the DMU specification revision. The Technical Writer had a few questions about one of the changes and is now just finishing it up.

The Bi-Level DCR form was sent out to the TSC members, the original was an Adobe pdf that was difficult to manipulate. This form will be easier for the TSC members to use.

The Materials Working Group member request was issued, and I have already had some responses. I am planning on an initial meeting on 4-13-22 to start the groups' activities and hopefully choose a chairperson.

- 2022 Priorities:

Review/update NGEC Reference and Drawings series 305-900 and 305-800.

Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IIJA for its western fleet, it makes sense for the NGEC to review and update the Bi-Level car specification.

Review the car body materials issue from a broader perspective for all NGEC equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEC vehicle specifications.

Review "emerging technologies": On the last technical subcommittee call (12-9-21) the topic of emerging technologies for propulsion was raised. Ray believes that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEC and applied across the board to all NGEC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Tammy Krause has prepared an action plan and timeline for the Chair's priorities and discussed each item on 3-22-22. The timeline was distributed to all Executive Board members.

Action – 4-5-22:

One specific action that is needed in support of the priority of dealing with car body materials is to determine whether a focused working group should be established. This was an agenda item on the 3-31-22 NGEC Technical subcommittee call, and it was determined that a temporary carbody materials working group would be established

Update as of 4-5-22:

The Technical subcommittee has begun work on the priority areas and is following an action plan and timeline as presented by Document Control Manager Tammy Krause.

The carbody materials working group is being organized and will address issues related to carbody materials. Once its work is complete it will present its findings and recommendations to the full Technical subcommittee.

An email has gone out (4-5-22) calling for volunteers to participate on this working group. Responses are being sent to Tammy Krause – and there have been quite a few already.

- APTA Effort on Developing Alternate Fuel Safety Standards:

On 4-5-22, Dave Warner provided an overview on the APTA efforts to develop Alternate Fuel Safety Standards. He also included a PowerPoint presentation that Steve Hewitt distributed prior to the call.

Dave emphasized that “Many PRIIA member organizations are also APTA members, and I encourage you all to participate in this effort. The next meeting is being held on Tuesday, April 19 via Microsoft Teams.”

NGEC members, if you would like the invitation to the April 19<sup>th</sup> meeting or more information, please contact Emeritus Dave at [David.warner@stvinc.com](mailto:David.warner@stvinc.com).

During the month of May 2022, the Executive Board met twice - on the 3<sup>rd</sup> and the 17<sup>th</sup>

Highlights, decisions, and action items from the month of May 2022 include:

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Treasurer's Report and Finance and Administrative Sub-committee:

Due to the Treasurer being out on medical leave there were no updates provided on the Balance and Spend rate. The following reflects the last report provided April 2022:

- Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through January: \$912,469.91

Balance remaining: \$ 337,530

Current Spend Rate per month (as info and used in calculating): \$14,257

Estimated Balance at the end of the Extension Period (Contingency): \$52,000

- Status – Developing SOW for Website Refresh

Steve Hewitt and Ray Hessinger met via Zoom with AASHTO staff on 5-23-22 to discuss the SOW and what was needed to put out the RFP.

Conclusion: The SOW was completed and sent to AASHTO. AASHTO followed up with the RFP asking for additional info:

Not to Exceed amount  
Performance period

Steve Hewitt provided the response – Not to Exceed \$10,000 and a performance period of August 1, 2022 -December 31, 2022.

- Status – Seeking new funding for the NGEC:

Current Status (5-31-22)

The States for Passenger Rail Coalition, Inc. (SPRC) submitted testimony to the Senate Appropriations THUD subcommittee and included an appropriation request for funding the NGEC. The same request was submitted to the House Appropriations THUD subcommittee in letter format.

On May 17<sup>th</sup> NGEC Executive Board member (and Chair of the SPRC) Arun Rao reported to the Board on the request submitted to the Senate and the House and noted that SPRC believes that the work of the NGEC is critical to advancing next generation intercity passenger rail equipment. Developing and maintaining specifications is of utmost importance.

Arun also mentioned that the NGEC Chair (Ray Hessinger) is a member of the SPRC Executive Committee.

Further, Arun reported that the SPRC recently updated its policy principles and will be sending that document to Congress. In the Policy Principles document the NGEC is included. Arun read into the record the NGEC language that is included in the SPRC Policy Principles:

New Funding for the PRIIA 305 Next Generation Corridor Equipment Pool Committee (NGEC): It is critical that new funding is provided to the NGEC to continue the development and maintenance of

standardized next generation passenger rail vehicle specifications, to help lower operating and maintenance costs, extend vehicle life expectancy, reinvigorate the US Rail manufacturing, and supply industry, and enhance workforce development. The new funding will enable the NGEC to continue exploring emerging technologies (such as zero emission/climate friendly propulsion alternatives) and develop additional next generation specifications that cover the full spectrum of intercity passenger rail services in the United States (U.S). Amtrak, States, and private entities all across the US and Canada are using NGEC specifications in procuring new passenger rail equipment. The new Charger Locomotives and Venture passenger rail cars are delivering positive results for the traveling public with enhanced accessibility, modern amenities, and improved reliability.

Steve Hewitt followed Arun's comments to provide a status on the CRISI Grant Application. Nothing more has been done as Tim Ziethen, NGEC Treasurer and FASC Chair has been out on medical leave, and his input is critical to the application. Once he has returned, we will continue the process.

Steve Hewitt also reported that he was informed by FRA that their representatives (Jeff Gordon and Mike Murray) will be recusing themselves from funding discussions in the FASC and Executive Board meetings. They requested that any such funding discussions be put at the end of those meeting agendas so that they can step off the call at that point. This will avoid any perceived conflict of interest issues. This will especially pertain to a potential CRISI Grant as they would likely be a part of the FRA review team once the application has been submitted.

- 2022 NGEC two-pager:

The 2022 NGEC two-page educational document was released in January and distribution has begun. To date 450 electronic copies and 125 hard copies have been distributed.

- Annual By-Law Review/Update:

The 2021 Annual Review of the NGEC By-Laws was completed in November 2021 and proposed changes were adopted by the Executive Board. The updated By-Laws were distributed to Board members and posted to the NGEC website.

The 2022 Annual review will be scheduled by the NGEC Finance and Administrative subcommittee.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 5-17-22:

The Cab Carshell final design has been approved and the cab cars are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents have been sent to the FRA for review, and the Cab Car Clearance information has been approved by Amtrak. IDOT Café Car FDRs are in the closure stage with Galley open items expected to close in June.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the test report is in review with FRA and the states. The revised cab car Compression test report is also in review. The Cab Car Coupler and Carrier FAI is scheduled for June.

108 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items related to Conditional Acceptance are being addressed. IDOT coaches are currently in revenue service and Caltrans plans on a July revenue start.

- Metro-North Dual Mode Locomotive Equipment as of 5-17-22:

Metro-North and Siemens have completed the Preliminary Design Review phase and are entering into the Final Design Review phase.

- Amtrak Equipment Procurement Update – as of 5-17-22:

On the Acela 21: working through the qualification – anticipated revenue service in Fall of 2023.

On the Charger Locomotive: This is going well. There are 6 locomotive in service. 3 are on the Empire Builder and "a couple more will soon be running on the City of New Orleans.

On the Intercity Trainset (ICT): Preliminary Design Review is finished, and work is beginning on Intermediate Design Review. First Article Inspections (FAI's) on several items will begin in the next few months.

- Connecticut DOT Rail Car Procurement as of 5-17-22:

The Connecticut Coach Car procurement is no longer in the cone of silence. Marci Petterson informed Steve Hewitt on 5-12-22 that the original RFP has been rescinded and a new RFP has been released.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGEC website and distributed to all NGEC members.

- Document Control Progress Report – 5-17-22:

The revised DMU specification has been provided to Steve Hewitt. He will now be able to provide the revised version to requestors.

The Technical Writer is currently updating the Document Control Procedures to reflect the new and improved DCR form and the ability to update the Review Panels. I will be sending this to Ray for approval signature as soon as I get it.

The Material Working Group met under the direction of Michael Gill, and he will be scheduling the group meetings going forward.

The Electronics on Trains Working Group is now under the leadership of Ken Martin and their next meeting is 6/14/22 @ 2:00pm.

I am updating the Document List to include the revised version of the DMU specification and the Document Control Procedure.

- 2022 Priorities- Status:

Priority Area: Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IIJA for its western fleet, it makes sense for the NGEC to review and update the Bi-Level car specification.

Action as of 5-17-22: Bi-Level Car Specification Review/Update is underway. A new DCR form has been adopted and is now being used.

Priority Area: Review the car body materials issue from a broader perspective for all NGEC equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEC vehicle specifications.

Action as of 5-17-22: The Carbody Materials Working Group held its first meeting on 5-11-22. The team leader is Michael Gill, SNC Lavalin/Atkins.

Priority Area: Review "emerging technologies": On the last technical subcommittee call (12-9-21) the topic of emerging technologies for propulsion was raised. Ray believes that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Action as of 5-17-22: Dave Warner gave a zero emissions presentation during the Annual Meeting and followed that up with a presentation to the Executive Board on APTA's effort to develop Alternate Fuel Safety Standards

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Priority Area: Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEC and applied across the board to all NGEC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Action as of 5-17-22 -This is included in the DCM action Plan and will likely follow the Bi-Level Car Specification update.

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Priority Area: Review/update NGEC Reference and Drawings series 305-900 and 305-800.

Action as of 5-17-22: This item is on the DCM action plan.

- Priority Area: Exploring Emerging Technologies

Action as of 5-17-22 - APTA Effort on Developing Alternate Fuel Safety Standards:

On 4-5-22, Dave Warner provided an overview on the APTA efforts to develop Alternate Fuel Safety Standards. He also included a PowerPoint presentation that Steve Hewitt distributed prior to the call.

Dave emphasized that "Many PRIIA member organizations are also APTA members, and I encourage you all to participate in this effort. The next meeting is being held on Tuesday, April 19 via Microsoft Teams."

During the month of June 2022, the Executive Board met twice - on the 14th<sup>rd</sup> and the 28th

Highlights, decisions, and action items from the month of June 2022 include:

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Treasurer's Report and Finance and Administrative Sub-committee:

Tim Ziethen continues to be on medical leave, but provided Steve Hewitt with the following update through April 2022:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through April \$912,469.91

Balance remaining: \$ 337,530

Estimated Spend at current rate for balance of the Grant – \$231,522.22

Current Spend Rate per month (as info and used in calculating): \$13,618.95

Estimated Balance at the end of the Extension Period (Contingency): \$106,007.87

Tim Ziethen is expected back July 6<sup>th</sup> and that would mean he should be able to Chair the next FASC call (7-20-22) and a financial update will be provided.

- Status – Developing SOW for Website Refresh

On June 28<sup>th</sup> Steve Hewitt reported to the Executive Board that AASHTO has put out the RFP for the NGEC website refresh.

Responses are due to AASHTO 6-30-22.

This week (Week of June 26, 2022) AASHTO responded to questions from several potential bidders.

The performance period is to be 8-1-22 thru 12-31-22.

- Status – Seeking new funding for the NGEC:

On June 28, 2022, NGEC Executive Board Chair, Ray Hessinger, reported that the States for Passenger Rail Coalition (SPRC) remains a strong advocate for the NGEC recognizing its value to the states.

Funding the NGEC is included in the SPRC Policy Principles which have been sent to congressional staff and is posted on the SPRC website.

SPRC put in a request for a 2023 Appropriations for the NGEC, but, earlier this week, a draft appropriations bill from the House THUD subcommittee did not include funding for the NGEC.

Current SPRC Chair, Arun Rao, plans to reach out to Paul Nissenbaum, FRA, to raise his concerns with the NGEC's lack of funding. While SPRC supports the NGEC's efforts to apply for a CRISI Grant, he is concerned about the timing and also believes the NGEC should be funded through an appropriation or a Grant rather than through the CRISI discretionary grant program.

Ray also noted that Tim Ziethen's extended absence (NGEC Treasurer and Chair of the FASC) over the past several months has delayed efforts for the NGEC to develop a CRISI Grant application. Amtrak will be the applicant, and input from Tim Ziethen and the Amtrak Grants is essential.

On this point, Ray Hessinger noted that he and Steve Hewitt have been talking about the fact that there is no other Amtrak person assigned to the FASC, and with Tim being out two or three months there has been no way to move forward with the work of this subcommittee. Ray and Steve are talking about proposing a By-Laws change that would require that that Amtrak hold the position of Chair and one of the two Vice Chairs of the FASC.

Currently Amtrak holds the position of Chair, but the two Vice Chairs are state representatives. This has proven to work well only when the chair is available.

Steve Hewitt noted that without a second Amtrak representative, the FASC cannot even have a quorum on its calls, so it is even more problematic not having a back up to Tim.

Steve also commented that this is a good time to look at making a change to the By-Laws as it is approaching the time when the FASC would usually start the annual By-Laws review. This year it already expects to recommend a change that would expand the NGEC's approved activities to raise its visibility. Adding in a change regarding FASC officer requirements at this time would be appropriate.

Of course, the issue remains that it is important to have Tim back as the By-Law activities must begin in the FASC.

John Oimoen, NGEC Board Secretary and second Vice Chair of the FASC, suggested that he and Steve Hewitt get together to discuss proposed changes to be developed. John suggested the call take place after the July 4<sup>th</sup> holidays. Steve agreed, and added that the FASC process has been that John and Steve do the initial annual By-Laws review and present recommendations to the FASC including proposed changes.

Steve asked John to provide him with some dates and times he is available for a call and Steve will schedule it.

- 2022 NGEC two-pager:

The 2022 NGEC two-page educational document was released in January and distribution has begun. To date 450 electronic copies and 125 hard copies have been distributed.

- Annual By-Law Review/Update:

The 2021 Annual Review of the NGEC By-Laws was completed in November 2021 and proposed changes were adopted by the Executive Board. The updated By-Laws were distributed to Board members and posted to the NGEC website.

The 2022 Annual review will be scheduled by the NGEC Finance and Administrative subcommittee.

As noted above, this process will begin soon and will include potential changes to allowable activities and a change in the FASC structure.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 6-28-22:

The Cab Carshell final design has been approved and the cab cars are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents have been sent to the FRA for review, and the Cab Car Clearance information has been approved by Amtrak. IDOT Café Car FDRs are in the closure stage with Galley open items expected to close in June.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the test report has been reviewed and Siemens is addressing the final comments. The revised cab car Compression test report has also been reviewed and comments from FRA have been addressed. The Cab Car locking luggage tower FAI is scheduled for week of June 13.

110 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMI's are in progress and open items related to Conditional Acceptance are being addressed. IDOT coaches are currently in revenue service and Caltrans is planning revenue start once necessary agreements are in place.

- Metro-North Dual Mode Locomotive Equipment as of 6-14-22:

Metro-North and Siemens have closed the Preliminary Design Review (PDR) stage, and have moved to Final Design Review (FDR). Siemens has started the process of submitting FDR documents to Metro-North and they are under review.

- Amtrak Equipment Procurement Update – as of 6-14-22:

On the Acela 21: Work continues on testing and vehicle qualifications.

On the Charger Locomotive: Amtrak continues to get units from Siemens. There are 8 in service on the Empire Builder and the City of New Orleans.

On the Intercity Trainset (ICT): Preliminary Design Review is complete, and they are starting on Intermediate Design Review and expect a hard mock-up in July.

- Connecticut DOT Rail Car Procurement as of 6-14-22:

Marci Petterson reported to the Technical subcommittee on 6-9-22 that a Pre-proposal meeting was scheduled for 6-10-22. Marci had previously announced (on 5-12-22) that Connecticut's Initial Coach Procurement RFP was rescinded, and a new RFP was released on 5-11-22.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGEC website and distributed to all NGEC members.

- Document Control Progress Report – 6-28-22:

The Bi-Level Specification proposed update has received no DCRs to date. As a result, Steve Hewitt has sent out several e-mails giving everyone a chance to submit DCRs by 6/30/2022. Tammy will be on vacation until 7-12-22. As a result, the deadline for submitting DCRs has been extended to 7-11-22. On 6-29-22, Steve Hewitt sent a reminder to all NGEC members about getting the DCRs in and announcing the new deadline.



Tammy Krause provided an updated PRIIA documents list to Steve Hewitt, and it has been sent to AASHTO for posting to the website.

Tammy is working with the Technical Writer on the update to PRIIA document 305-100, specifically the specification review groups.

The Carbody Materials working group meeting of June 22 was cancelled and the next meeting is scheduled for July 6. They are continuing to work on Chapter 4 – Carbody, of the Single Level Specification.

The Electronics on Trains working group will be meeting on Tuesday July 12.

Status of 2022 Priorities as of 6-28-22:

Priority Area: Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IIJA for its western fleet, it makes sense for the NGEC to review and update the Bi-Level car specification.

Action as of 6-28-22: Bi-Level Car Specification Review/Update is underway. A new DCR form has been adopted and is now being used. As of 6-28-22, no DCRs have been received. A deadline for DCR submittals had been set for COB 6-30-22. Steve Hewitt will notify NGEC members that this deadline has been extended to COB on 7-11-22.

Priority Area: Review the car body materials issue from a broader perspective for all NGEC equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEC vehicle specifications.

Action as of 6-28-22: The Carbody Materials Working Group held its first meeting on 5-11-22. The team leader is Michael Gill, SNC Lavalin/Atkins. The next meeting is scheduled for 7-6-22.

Priority Area: Review “emerging technologies”: On the last technical subcommittee call (12-9-21) the topic of emerging technologies for propulsion was raised. Ray believes that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Action as of 6-14-22: Dave Warner gave a zero emissions presentation during the Annual Meeting and followed that up with a presentation to the Executive Board on APTA’s effort to develop Alternate Fuel Safety Standards

Update: On 6-28-22, Dave Warner provided the following:

The most recent meeting was held last Tuesday (6/21) as APTA continues work on the whitepaper which is aimed at determining criteria for FRA safety compliance. The hazard analysis of battery-electric requirements has been drafted, and is in the group-editing process. Hazard analysis of hydrogen requirements will begin later this month, focusing on the hydrogen handling and storage and use. All of the battery hazard analyses are also applicable, since a hydrogen fuel cell-powered vehicle is really a battery powered vehicle which carries its fuel.

Members from Sandia National Laboratory have joined the working group to assist with the hydrogen pieces of the puzzle.

The document has been placed under the PRESS program, which should facilitate the administrative efforts. The long-term goal is to develop a standard by 2026.

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Priority Area: Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEC and applied across the board to all NGEC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Action as of 6-14-22 -This is included in the DCM action Plan and will likely follow the Bi-Level Car Specification update.

Priority Area: Review/update NGEC Reference and Drawings series 305-900 and 305-800.

Action as of 6-14-22: This item is on the DCM action plan for 2022 – no activity on reviewing the reference documents per se, but Tammy Krause, Document Control Manager will be working with Jeff Gordon to create a new reference specification to address the Volpe Center information on CEM.

During the month of July 2022, the Executive Board met once - on the 12<sup>th</sup>.

Highlights, decisions, and action items from the month of July 2022 include:

- Treasurer's Report and Finance and Administrative Sub-committee as of 7-31-22:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through May 2022: \$971,410.38

Balance remaining: \$ 278,589.52

Current Spend Rate per month (as info and used in calculating): \$14,285

Estimated Balance at the end of the Extension Period (Contingency): \$50,000

- Status – Website Refresh

The RFP for a website refresh was put out by AASHTO. There was one response proposal received. The documents were distributed to the Executive Board members and on 7-12-22, the Chair called for an electronic vote to consider accepting the proposal submitted by iEngineering. Votes were to be submitted to Ray Hessinger and Steve Hewitt by COB on 7-19-22. The result was that the proposal was accepted by the Executive Board with 12 of 14 votes received and all cast in the affirmative.

On 7-20-22, Steve Hewitt sent an email to Strat Cavros, AASHTO, on behalf of the NGEC Executive Board Chair, Ray Hessinger, NYSDOT and Tim Ziethen, Amtrak – the NGEC Treasurer, stating that the Executive Board had accepted its proposal (Cost and Technical).

AASHTO informed iEngineering and provided them with a draft agreement for their review. The intent is to have the performance period begin on August 1<sup>st</sup> with a completion date of December 31, 2022.

On 7-20-22, Strat Cavros reported that Shayne Gill will be the AASHTO point of contact.

- Status – Seeking new funding for the NGEC:

NGEC Treasurer and Chair of the FASC has returned to work after being out several months. On 7-20-22, the FASC met and Tim reported that he has resumed working with Amtrak Grants to begin the process of applying for a CRISI grant.

Tim is also exploring with Amtrak Grants other potential funding options.

The effort put forth by the States for Passenger Rail Coalition (SPRC) to request an appropriation for the NGEC has thus far been unsuccessful.

- 2022 NGEC two-pager:

The 2022 NGEC two-page educational document was released in January and distribution has begun. To date 455 electronic copies and 125 hard copies have been distributed.

- Annual By-Law Review/Update:

The 2022 Annual review of the By-Laws is beginning at the FASC, and along with the general review, there are two items to be considered initially.

1. Language to describe additional permissible activities that will increase the NGEC's visibility.
2. Potential language developed to ensure that there is a second Amtrak representative named to the FASC subcommittee, at least as an alternate for the Chair.

On 7-20-22, after some discussion, the FASC determined that the answer to the issue of Amtrak representation may be to simply have the chair name an Amtrak representative who can serve as an alternate if the chair is not available. This is similar to the way it works with state representatives. Some of them have named individuals as their alternates in their absence. This would not necessarily require a By-Laws change.

Steve Hewitt and John Oimoen, IDOT will begin the initial review and provide recommendations to the FASC.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 7-21-22:

The Cab Carshell final design has been approved and the cab cars are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents have been sent to the FRA for review, and the Cab Car Clearance information has been approved by Amtrak. IDOT Café Car system level FDRs have been approved except for Galley Refrigeration and Freezer Modules.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the Rev B test report has been submitted for review. FRA comments to the Appendix F and Compression Test reports have been addressed. The Final FAI Cab Carshell Report is in review.

113 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items related to Conditional Acceptance are being addressed. IDOT coaches are currently in revenue service and Caltrans is planning revenue start once necessary agreements are in place.

- Metro-North Dual Mode Locomotive Equipment as of 7-31-22:

Metro-North and Siemens have closed the Preliminary Design Review (PDR) stage, and have moved to Final Design Review (FDR). Siemens has started the process of submitting FDR documents to Metro-North and they are under review.

- Amtrak Equipment Procurement Update – as of 7-12-22:

On the Charger Locomotive:

Progress continues. Amtrak continues to take delivery. 8 units are now in service.

On the Intercity Trainset (ICT):

Intermediate Design Review is underway. There is a hard mock taking place with various groups (states, FRA, the Access Board) meeting in Philadelphia each day beginning today (Tuesday 7-12-22).

On the Acela 21:

They expect to get Trainset #4 out of the factory next week. Testing and qualification continues.

- Connecticut DOT Rail Car Procurement as of 7-7-22:

On 7-7-22, Marci Petterson, CtDOT reported that the Pre-proposal meeting was held on 6-10-22 and that the first round of questions were due 7-11-22.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGEC website and distributed to all NGEC members.

- Document Control Progress Report – 7-21-22:

On 7-21-22, Tammy Krause provided the following update:

The Bi-Level Specification proposed update has started receiving DCRs. I have received 173 from and one person is still working on them. I will organize them to send to the appropriate Technical Subcommittee working groups.

I am working with the Technical Writer on the update to the document 305-100, specifically the specification review groups.

The Carbody Materials working group met earlier today. They are continuing to work on Chapter 4 – Carbody, of the Single Level Specification.

The Electronics on Trains working group met on Tuesday July 12 and there will be a separate discussion about their progress.

On the Electronics on Trains working group there are questions about standardizing DTL and other issues. Ultimately, Tammy Krause agreed to go back and look at the history to understand the full picture. The next meeting of the group is August 9<sup>th</sup>. The group will have a discussion and report back to the Technical Subcommittee on its call on August 18<sup>th</sup>

- NGEC 2023 Annual Meeting:
- The 2023 NGEC Annual Meeting will be held a bit earlier than in past years. This year it will be held on February 3<sup>rd</sup>. The location is, once again, the Hyatt Regency Capitol Hill, Washington, DC Capitol Room B. The time for the meeting will likely be the same as last year (8:00am Registration – Meeting 8:30am – Noon Eastern.

Status of 2022 Priorities as of 6-28-22:

Priority Area: Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IJA for its western fleet, it makes sense for the NGEC to review and update the Bi-Level car specification.

Action as of 7-31-22: Bi-Level Car Specification Review/Update is underway. A new DCR form has been adopted and is now being used. As of 7-21-22, 173 DCRs have been received and the process of working group's review has begun. Additional DCRs are anticipated as well.

Priority Area: Review the car body materials issue from a broader perspective for all NGEC equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEC vehicle specifications.

Action as of 7-31-22: The Carbody Materials Working Group has met several times and is working on Chapter 4 – Carbody, of the Single Level Specification.

Priority Area: Review “emerging technologies”: On the technical subcommittee call of 12-9-21 the topic of emerging technologies for propulsion was raised. Ray Hessinger believed that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Action as of 7-12-22 Dave Warner initially gave a zero emissions presentation during the Annual Meeting and followed that up with a presentation to the Executive Board on APTA's effort to develop Alternate Fuel Safety Standards

Priority Area: Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEC and applied across the

board to all NGEC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Action as of 7-31-22 -This is included in the DCM action Plan and will likely follow the Bi-Level Car Specification update.

Priority Area: Review/update NGEC Reference and Drawings series 305-900 and 305-800.

Action as of 7-31-22: This item is on the DCM action plan for 2022 – no activity on reviewing the reference documents per se, but Tammy Krause, Document Control Manager will be working with Jeff Gordon to create a new reference specification to address the Volpe Center information on CEM.

During the month of August 2022, the Executive Board met twice – on the 9<sup>th</sup> and the 23<sup>rd</sup>.

Highlights, decisions, and action items from the month of August 2022 include:

- Treasurer's Report and Finance and Administrative Sub-committee as of 8-31-22:

Balance/ Spend Rate:

- Total Initial Grant Amount: \$1,250,000.
- Expenses Incurred through June 2022: \$1,017,901.39
- Balance remaining: \$ 232,098.61
- Current Spend Rate per month (as info and used in calculating): \$14,752.19
- Estimated Balance at the end of the Extension Period (Contingency): \$10,815.70

- Status – Website Refresh

iEngineering Corp. was selected as the vendor for the refresh of the NGEC website.

A kick-off meeting with iEngineering took place on 8-23-22. Participants included Steve Hewitt and Ray Hessinger as well as the AASHTO team of Shayne Gill, Strat Cavros, Rebecca Anger and David Dubov and representatives of iEngineering.

iEngineering was given the points of contact (me for the NGEC) and others from AASHTO and have proceeded with their effort. All documents that we post will continue to be posted and those that are on the site currently will remain available. The intent is that the overall organization of the site be improved and navigation made more user friendly. We are excited about this refresh and believe it will help raise visibility for the NGEC if it is attractive to more users.

The website will have its own domain name and will no longer be a part of the AASHTO web domain. This will make it easier to find the NGEC site.

- Status – Seeking new funding for the NGEC:

With Amtrak as the grantee of NGEC funds, it is to be the applicant for a CRISI Grant requesting additional funding for the NGEC. The NGEC has operated for nearly 13 years with a total of \$4 million being appropriated. Although the NGEC – or groups associated with the NGEC - have requested additional funding throughout the years, we have never received a reauthorization or new funding.

After repeated attempts to find options for funding the NGEC beyond the current grant agreement which ends on 9-30-2023, it was decided that applying for a CRISI grant while still looking to Amtrak or FRA for other options was the way to go.

NGEC Treasurer, Tim Ziethen, Amtrak, has prepared an application and it is with the Amtrak committee under review.

Assuming it is submitted, the NGEC cannot advocate for itself, but industry members can as van individual states. Letters in support will be critical to the success of the application. Steve Hewitt will provide status updates as to if and when the application is submitted to FRA.

- 2022 NGEC two-pager:

The 2022 NGEC two-page educational document was released in January 2022. To date 581 copies have been distributed.

The FASC has begun the process of updating the two-pager for its 2-23 version. Missouri DOT has, once again, agreed to provide the graphic arts service to format the 2-23 version and to print the hard copies,

- Annual By-Law Review/Update:

Second FASC Vice Chair John Oimoen, IDOT, and Steve Hewitt presented a couple of recommended changes to the FASC on 8-17-22. They are related to permissible activities of the Committee.

FASC members were asked to review the proposed language between now and September's FASC call, and Tim plans to talk to Amtrak legal to potentially add language regarding permissible (or not) expenditures from grant funds or from outside sources related to members attending trade shows etc.

Steve Hewitt was asked to talk to Chairman Ray Hessinger about the By-Laws discussion and also about a request from FRA to make more liberal use of the electronic voting procedures.

Ray acknowledged that discussion and noted that anytime that it made sense to do so, the electronic vote procedure would be used and noted that it was most recently used for approval of the website refresh proposal from iEngineering.

- Multi-State Rail Car Procurement (provided by Caltrans) as of 8-31-22:

The Cab Carshell final design has been approved and the cab cars are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents have been sent to the FRA for review, and the Cab Car Clearance information has been approved by Amtrak. IDOT Café Car system level FDR reviews are nearly complete.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the Rev B test report has been approved. The second revision of the Cab Car FMECA has been approved. The Sample Car Inspection for cab car is tentative for early 2023.

116 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items related to Conditional Acceptance are being addressed. IDOT coaches are currently in revenue service and Caltrans is planning revenue start once necessary agreements are in place.

- Metro-North Dual Mode Locomotive Equipment as of 8-31-22:

The first session meetings were held in Sacramento, Ca. and in Germany.

Siemens is updating documents based on Metro-North comments.

Metro-North reviewed mock-ups of 2 items: cab control and the emergency exit in the front of the cab.

- Amtrak Equipment Procurement Update – as of 8-31-22:

On the Acela:

They have received Trainset 4 and the next one is expected mid-month (September).

They are continuing to go through the qualification process and preparing to submit to FRA.

On the Charger Locomotives:

Progress continues with 12 of 15 delivered and commissioned into service.

On the Intercity Trainset (ICT):

They are close to done with Intermediate Design Review and are moving on to FDR.

On the GP38 Locomotive – Non-revenue locomotives:

The first one was arriving at the shop on 9-1-22 and the second will arrive shortly.

- Connecticut DOT Rail Car Procurement as of 8-31-22:

As of 8-18-22, CtDOT reported that 137 questions had been received and responses to those questions were set to go out on 9-19-22.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGECC website and distributed to all NGECC members.

- Document Control Progress Report – 8-31-22:

The Document Control Manager, Tammy Krause, has received 173 document change requests for the Bi-level specification. There will be no additional DCRs received. Any new ones will be reviewed for the following revision of the specification. I am currently dividing up the DCRs to send to the appropriate Working Groups. She is working on them, and planned to get them out in the first week of September 2022.

Tammy continues to meet regularly with the Technical Writer about document control. The focus is on the bi-level and proposed changes.

The Materials Working Group has been organized and has several meetings and is focused on Chapter 4.

A Communications Working Group has been formed from the Electronics on Trains Working Group. The focus will be on-car communications.

The sunset of the Digital Hardware Specification and stopping work on the Software specification was approved by the Executive Board on 8-23-22.

- NGECC 2023 Annual Meeting:

The 2023 NGECC Annual Meeting will be held a bit earlier than in past years. This year it will be held on February 3<sup>rd</sup>. The location is, once again, the Hyatt Regency Capitol Hill, Washington, DC Capitol Room B. The time for the meeting will likely be the same as last year (8:00am Registration – Meeting 8:30am – Noon Eastern).

Status of 2022 Priorities as of 8-31-22:

Priority Area: Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IIJA for its western fleet, it makes sense for the NGECC to review and update the Bi-Level car specification.

Action as of 8-31-22: Bi-Level Car Specification Review/Update is underway. A new DCR form has been adopted and is now being used. As of 8-31-22, 173 DCRs have been received and the process of working group's review has begun.

Priority Area: Review the car body materials issue from a broader perspective for all NGEC equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEC vehicle specifications.

Action as of 8-31-22: The Carbody Materials Working Group has met several times and is working on Chapter 4 – Carbody, of the Single Level Specification.

Priority Area: Review “emerging technologies”: On the technical subcommittee call of 12-9-21 the topic of emerging technologies for propulsion was raised. Ray Hessinger believed that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Action as of 8-31-22 Dave Warner initially gave a zero emissions presentation during the Annual Meeting and followed that up with a presentation to the Executive Board on APTA's effort to develop Alternate Fuel Safety Standards

Priority Area: Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEC and applied across the board to all NGEC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Action as of 8-31-22 -This is included in the DCM action Plan and will likely follow the Bi-Level Car Specification update or may begin simultaneously with making updates to that spec.

Priority Area: Review/update NGEC Reference and Drawings series 305-900 and 305-800.

Action as of 8-31-22: This item is on the DCM action plan for 2022 – no activity on reviewing the reference documents per se, but Tammy Krause, Document Control Manager will be working with Jeff Gordon to create a new reference specification to address the Volpe Center information on CEM.

During the month of September 2022, the Executive Board met once – on the 6th.

Highlights, decisions, and action items from the month of September 2022 include:

- Treasurer's Report and Finance and Administrative Sub-committee as of 9-14-22:

Balance/ Spend Rate:

- Total Initial Grant Amount: \$1,250,000.
- Expenses Incurred through June 2022: \$1,017,901.39
- Balance remaining: \$ 232,098.61
- Current Spend Rate per month (as info and used in calculating): \$14,752.19
- Estimated Balance at the end of the Extension Period (Contingency): \$10,815.70
- Balance and Spend Rate:

Strat Cavros, AASHTO reported that the July expenses were around \$3,000.

This would lower the monthly spend rate and increase what the anticipated balance will be. Tim Ziethen will provide an updated report to the Executive Board on 10-4-22.

- Status – Website Refresh

iEngineering Corp. was selected as the vendor for the refresh of the NGEC website.

A kick-off meeting with iEngineering took place on 8-23-22. Participants included Steve Hewitt and Ray Hessinger as well as the AASHTO team of Shayne Gill, Strat Cavros, Rebecca Anger and David Dubov and representatives of iEngineering.

In September, iEngineering, NGEC (Steve Hewitt/Ray Hessinger) and AASHTO (Shayne Gill, Strat Cavros and David Dubov) met twice (9-16 and 9-9-27-22) to discuss and finalize Task I and II based on the recommendations provided by the vendor. On 9-27-22, the NGEC representatives approved



Task I and Task II after selecting from a choice of several recommendations. The vendor will now move on to Task III.

- Status – Seeking new funding for the NGECC:

With Amtrak as the grantee of NGECC funds, it is to be the applicant for a CRISI Grant requesting additional funding for the NGECC. The NGECC has operated for nearly 13 years with a total of \$4 million being appropriated. Although the NGECC – or groups associated with the NGECC - have requested additional funding throughout the years, we have never received a reauthorization or new funding.

After repeated attempts to find options for funding the NGECC beyond the current grant agreement which ends on 9-30-2023, it was decided that applying for a CRISI grant while still looking to Amtrak or FRA for other options was the way to go.

NGECC Treasurer, Tim Ziethen, Amtrak, has prepared an application and it is with the Amtrak committee under review.

In September, the draft application was approved by the Amtrak grants committee and by the Amtrak Executive Leader Team as one of the Amtrak applications to be moved forward. In late September, Tim Ziethen provided Steve Hewitt with the DRAFT narrative for Executive Board review and comment. The Board members were provided with the draft and Steve Hewitt and Ray Hessinger have made some suggested edits. On October 4, 2022, the Executive Board will discuss the draft narrative and next steps.

Once the application has been finalized and submitted to FRA, the NGECC cannot advocate for itself, but industry members can as an individual states. Letters in support will be critical to the success of the application. Steve Hewitt will provide status updates as to if and when the application is submitted to FRA, and what the next steps are for advocating/sending letters of support..

- 2022 NGECC two-pager:

The 2022 NGECC two-page educational document was released in January 2022. To date 625 copies have been distributed.

The FASC has begun the process of updating the two-pager for its 2-23 version. Missouri DOT has, once again, agreed to provide the graphic arts service to format the 2-23 version and to print the hard copies,

- Annual By-Law Review/Update:

Second FASC Vice Chair John Oimoen, IDOT, and Steve Hewitt presented a couple of recommended changes to the FASC on 8-17-22. They are related to permissible activities of the Committee.

FASC members were asked to review the proposed language between now and September's FASC call, and Tim plans to talk to Amtrak legal to potentially add language regarding permissible (or not) expenditures from grant funds or from outside sources related to members attending trade shows etc.

Steve Hewitt was asked to talk to Chairman Ray Hessinger about the By-Laws discussion and also about a request from FRA to make more liberal use of the electronic voting procedures.

Ray acknowledged that discussion and noted that anytime that it made sense to do so, the electronic vote procedure would be used and noted that it was most recently used for approval of the website refresh proposal from iEngineering.

On September 14<sup>th</sup> the FASC met and discussed the proposed changes. Because the attendance at the meeting was low, Chairman Tim Ziethen agreed with a recommendation by Steve Hewitt that a vote on the changes should be tabled until the next call (10-12-22). On that date, the FASC will consider the changes for approval to be sent on to the NGECC Executive Board for its review. The Board will need to have had the changes in writing for 30 days prior to a vote for adoption.

- Multi-State Rail Car Procurement (provided by Caltrans) as of 9-15-22:

The Cab Carshell final design has been approved and the cab cars are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents are in review with FRA, and the Cab Car Clearance information has been approved by Amtrak. IDOT Café Car system level FDR reviews are nearly complete.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the Rev B test report has been approved. The revised Cab Car Compression Test Report is also now approved. The Sample Car Inspection for cab car is tentative for early 2023, and the Vending Car FAI is currently scheduled for September 28.

117 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items related to Conditional Acceptance are being addressed. IDOT coaches are currently in revenue service and Caltrans is planning revenue start once necessary agreements are in place.

- Metro-North Dual Mode Locomotive Equipment as of 9-15-22:

The first session meetings were held in Sacramento, Ca. and in Germany.

Siemens is updating documents based on Metro-North comments.

Metro-North reviewed mock-ups of 2 items: cab control and the emergency exit in the front of the cab.

- Amtrak Equipment Procurement Update – as of 9-15-22:

On the Acela:

They have received Trainset 4 and the next one is expected mid-month (September).

They are continuing to go through the qualification process and preparing to submit to FRA.

On the Charger Locomotives:

Progress continues with 12 of 15 delivered and commissioned into service.

On the Intercity Trainset (ICT):

They are close to done with Intermediate Design Review and are moving on to FDR.

On the GP38 Locomotive – Non-revenue locomotives:

The first one arrived at the shop on 9-1-22 and the second was to arrive shortly.

- Connecticut DOT Rail Car Procurement as of 9-15-22:

As of 8-18-22, CtDOT reported that 137 questions had been received and responses to those questions were set out on 9-19-22.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGEC website and distributed to all NGEC members.

- Document Control Progress Report – 9-15-22:

On 9-15-22 Tammy Krause provided the following update to the NGEC Technical subcommittee:

"My update today is very simple all I have worked on since the last TSC meeting was the Bi-Level DCRs. They have been sent to the Working Group Leaders."

Steve Hewitt asked Tammy if a timeline had been sent for Working groups to complete their work and submit comments or results (reject/accept etc.). Tammy said she did not set a date yet, but would like to set it as 10-15-22. This date was subsequently set and reported in the minutes of 9-15-22.

Asked if she has continued her regular meetings with the technical writer – Cameron Cordell – Tammy said those discussions continue.

Asked by Steve Hewitt the status of incorporating the Metro-North Dual Mode Locomotive specification's format improvements across the PRIIA specifications, as requested by Chairman Hessinger, Tammy noted that "the Dual Mode formatting is being evaluated for how much work it will take to actually implement. Camren and I should have an estimate of the amount of work in a few weeks".

- NGECE 2023 Annual Meeting:

The 2023 NGECE Annual Meeting will be held a bit earlier than in past years. This year it will be held on February 3<sup>rd</sup>. The location is, once again, the Hyatt Regency Capitol Hill, Washington, DC Capitol Room B. The time for the meeting will likely be the same as last year (8:00am Registration – Meeting 8:30am – Noon Eastern.

Status of 2022 Priorities as of 9-30-22:

Priority Area: Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IIJA for its western fleet, it makes sense for the NGECE to review and update the Bi-Level car specification.

Action as of 9-30-22: Bi-Level Car Specification Review/Update is underway. A new DCR form has been adopted and is now being used. As of 8-31-22, 173 DCRs have been received and the process of working group's review has begun. The date for completion of the working group reviews was set for 10-15-22.

Priority Area: Review the car body materials issue from a broader perspective for all NGECE equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGECE vehicle specifications.

Action as of 9-30-22: The Carbody Materials Working Group has about completed its work and will submit its recommendations to the Technical subcommittee in October.

Priority Area: Review "emerging technologies": On the technical subcommittee call of 12-9-21 the topic of emerging technologies for propulsion was raised. Ray Hessinger believed that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGECE.

Action as of 9-30-22 Dave Warner initially gave a zero emissions presentation during the Annual Meeting and followed that up with a presentation to the Executive Board on APTA's effort to develop Alternate Fuel Safety Standards. Dave continues to monitor these activities and will present updates as appropriate.

Priority Area: Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGECE and applied across the board to all NGECE specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Action as of 9-30-22 -This is included in the DCM action Plan and will likely follow the Bi-Level Car Specification update or may begin simultaneously with making updates to that specification. On 9-15-22, Tammy Krause reported that she has been discussing this with the Technical writer and it may be a bit more complicated than thought to make the changes. She will continue working this out.

Priority Area: Review/update NGECC Reference and Drawings series 305-900 and 305-800.

Action as of 9-30-22: This item is on the DCM action plan for 2022 – no activity on reviewing the reference documents per se, but Tammy Krause, Document Control Manager will be working with Jeff Gordon to create a new reference specification to address the Volpe Center information on CEM.

During the month of October 2022, the Executive Board met twice – on the 4<sup>th</sup> and the 18<sup>th</sup>.

Highlights, decisions, and action items from the month of October 2022 include:

- Treasurer's Report and Finance and Administrative Sub-committee as of 10-18-22:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through August 2022: \$1,029,098.11

Balance remaining: \$ 215,629.76

Current Spend Rate per month (as info and used in calculating): \$14,568.59

Estimated Balance at the end of the Extension Period (Contingency): \$26,238.03

The estimated balance will be where the costs for the website refresh will be derived.

- Status – Website Refresh

On 10-18-22, Chairman, Ray Hessinger, shared his screen and to provide an overview of the website refresh mock-up web design.

All Board members were asked to review the mock-up web design and provide comments by COB 10-26 -22 to Steve Hewitt and Ray.

Steve Hewitt reviewed the list of items the vendor wanted feedback on and noted that the FASC had reviewed them and felt that it agreed with the recommendation in item 2 that all documents be converted to PDFs for security reasons.

The FASC also felt that the response to item 3 is that the NGECC does not use social media and currently has no plans to do so. Thus, that link can be removed.

Board member agreed.

As part of your approval, please also provide feedback on the following items:

1. The existing NGECC website does not have webpage text content as the majority of the content is based on downloadable files. We have added text content in the design mockup to make the website provide context to downloadable files. Please review this text content and let us know if any changes are required.
2. The downloadable files on the existing NGECC website are in multiple formats including PDF, Word, Excel, and PowerPoint. For website security, we do not recommend including Microsoft Office (Word, Excel, and PowerPoint) file formats as downloadable files. We recommend all downloadable files be converted into PDF format. If you agree, we will convert all files into PDF as part of the data migration task.
3. We have included links to social media sites in the website footer. Please let us know if you plan to have social media presence so that we can add appropriate social media links. If yes, please provide us with the URLs of the NGECC social media pages. Else, we will remove the social media links from the website footer.

On October 28<sup>th</sup>, Steve Hewitt and Ray Hessinger compiled all comments received from Board members and sent responses to the items iEngineering requested feedback on and provided a redline version of numerous content text changes.

George Hull, Amtrak, will be talking to the marketing team at Amtrak and will provide some pictures of NGECE equipment including exteriors and interiors.

- Status – CRISI Grant application:

On 10-18-22, Tim Ziethen reported that the Grants office at Amtrak has taken the lead in writing the actual grant application. Tim had done a DRAFT narrative which advanced through the Amtrak Leadership Team. This means that the proposed application for an NGECE grant will be a part of Amtrak's grant submittals. Once it advanced through the Leadership team it was sent over to the Grants office. The next step (once the application is completed) would be to submit it to FRA. Tim is in dialogue with Amtrak Legal for clarity as to whether he can share the application with the NGECE Executive Board for review and comment prior to its submittal to FRA.

As the application is submitted, letters of support from the industry and from individual states will be critical. Steve Hewitt agreed to provide Tim Ziethen with the email addresses of the NGECE industry participants and of the NGECE and SPRC state members.

The deadline for submitting the application is December 1, 2022.

- 2022 NGECE two-pager:

The 2022 NGECE two-page educational document was released in January 2022. To date 625 copies have been distributed.

The FASC has begun the process of updating the two-pager for its 2-23 version. Missouri DOT has, once again, agreed to provide the graphic arts service to format the 2-23 version and to print the hard copies.

Steve Hewitt and John Oimoen will provide recommended changes/updates to the FASC on 11-9-22.

- Annual By-Law Review/Update:

The FASC approved proposed changes to the By-laws for submittal to the Executive Board.

The changes are meant to address the advice provided by Amtrak Legal when asked if the NGECE could conduct certain additional activities. The advice was that the activities described would be permissible, if included in the By-Laws.

e. The Executive Board may issue news releases communicating activities or accomplishments of the Committee.

f. The Executive Board may authorize Committee member participation at related meetings, conferences, trade shows, or other similar events to communicate the activities of the Committee or to maintain visibility among stakeholders.

The By-laws changes cannot be brought to the Board for a vote until each Board member has had them in writing for 30 days. Since they were sent to all Board members on 10-13-22, the Board cannot take them up for consideration until the meeting of 11-15-22.

- Multi-State Rail Car Procurement (provided by Caltrans) as of 10-18-22:

The remaining Cab Car FDRs are in the final review stage and the Cab Car dynamic framing representative approach has been submitted to FRA for review. IDOT Café Car system level FDR reviews are nearly approved, and the Complete Car FAI is scheduled for October 26<sup>th</sup>.

- The Cab Car Collision and Corner Post Appendix F testing is complete, and the Rev B test report has been approved and the emergency egress demonstration is scheduled for October 25. The Cab Car Sample Car Inspection for cab car is tentative for early 2023.

- 117 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items related to Conditional Acceptance are being addressed. IDOT coaches are currently in revenue service and Caltrans is planning revenue start once necessary agreements are in place.
- Metro-North Dual Mode Locomotive Equipment as of 10-18-22:  
  
All Final Design Review (FDR) documents have been submitted by Siemens to Metro-North. The documents are now in the review, comment, and comment resolution stages.
- Amtrak Equipment Procurement Update – as of 10-4-22:  
  
On the Charger Locomotives:  
  
The new locomotives continue to be commissioned. There 3 currently at Wilmington numbers 15, 16 and 17 with the balance in service.  
  
On the Acela:  
  
Amtrak continues to work with Alstom on issues with simulation and within the plant.  
  
On the GPR Locomotives:  
  
The first one is in Wilmington and should be commissioned either late this week or early next week.
- Connecticut DOT Rail Car Procurement as of 10-12-22:  
  
On 10-12-22, Marci Petterson reported that they have just finished answering the second round of questions and are now going into the third round. The request for proposals deadline has been extended until January 2023.
- VIA Rail Equipment Procurements:  
  
On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGEC website and distributed to all NGEC members.
- Document Control Progress Report – 10-18-22:  
  
On 10-18-22, Document Control Manager, Tammy Krause reported that all Bi-Level Specification document change requests (DCRs) are with the appropriate technical working group team leaders. The October 15<sup>th</sup> deadline for completing the working group review has been extended until October 31, 2022.  
  
Tammy Krause and the Technical Writer, Camren Cordell have gone through the Metro-North Dual Mode locomotive specification format and have compared it to the PRIIA format. They are now in the process of incorporating the Metro-North Dual Mode Specification's administrative/format changes into the Bi-Level Specification and will do the same for each of the PRIIA specifications as they are updated.
- NGEC 2023 Annual Meeting as of 10-18-22:  
  
The meeting will be held earlier than usual this year it will be held on February 3<sup>rd</sup>. The location is, once again, the Hyatt Regency Capitol Hill, Washington, DC Capitol Room A/B. The time for the meeting will likely be the same as last year (8:00am Registration – Meeting 8:30am – Noon Eastern).  
  
Steve Hewitt has also sent out the hotel room reservation link for the AASHTO rate. It is reprinted below.

Ray Hessinger confirmed that, once again, the meeting will be hybrid, offering virtual meeting capabilities along with in-person attendance. This worked well last year and enabled the meeting to have the largest attendance in many years with over 100 participating.

Steve Hewitt will send a notice to all those who plan to attend to send him an email stating that they are attending and signifying in-person or virtual. This way AASHTO can have an appropriate head count and plan accordingly and can have the appropriate name badges and tent cards printed in advance. Steve would like to have the general attendance (in-person or virtual) registration completed by January 15, 2023. Board members should notify Steve Hewitt and Ray Hessinger of their intention to participate asap so that we can be assured of a quorum.

In the meantime, Steve Hewitt and Ray Hessinger will begin working on a draft agenda to present to the Executive Board.

**Hotel reservation link:**

Attendees can begin booking sleeping rooms here - <https://www.hyatt.com/en-US/group-booking/WASRW/G-RA1L>. Rooms must be booked by Monday, January 9<sup>th</sup>. Room Rate is \$188 per night plus 14.95% tax.

Thank you and let me know if you have any questions.

Kamasha

Kamasha Hendrickson, CMP, CGMP  
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**Status of 2022 Priorities as of 10-18-22:**

Priority Area: Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IIJA for its western fleet, it makes sense for the NGEC to review and update the Bi-Level car specification.

Action as of 10-18-22: Bi-Level Car Specification Review/Update is underway. A new DCR form has been adopted and is now being used. As of 8-31-22, 173 DCRs have been received and the process of working group's review has begun. The date for completion of the working group reviews was set for 10-15-22. On 10-18-22, Tammy Krause reported that the deadline was extended to 10-31-22

Priority Area: Review the car body materials issue from a broader perspective for all NGEC equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEC vehicle specifications.

Action as of 10-18-22: The Carbody Materials Working Group has about completed its work and will submit its recommendations to the Technical subcommittee in November.

Priority Area: Review "emerging technologies": On the technical subcommittee call of 12-9-21 the topic of emerging technologies for propulsion was raised. Ray Hessinger believed that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Action as of 10-18-22 Dave Warner initially gave a zero emissions presentation during the Annual Meeting and followed that up with a presentation to the Executive Board on APTA's effort to develop Alternate Fuel Safety Standards. Dave continues to monitor these activities and will present updates as appropriate.

Priority Area: Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGECC and applied across the board to all NGECC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Action as of 10-18-22 -This is included in the DCM action Plan and will likely follow the Bi-Level Car Specification update or may begin simultaneously with making updates to that specification. On 10-18-22, Tammy Krause reported that she and the Technical Writer, Camren Cordell, have gone through the Metro-North Dual Mode locomotive specification format and have compared it to the PRIIA format. They are now in the process of incorporating the Metro-North Dual Mode Specification's administrative/format changes into the Bi-Level Specification and will do the same for each of the PRIIA specifications as they are updated.

Priority Area: Review/update NGECC Reference and Drawings series 305-900 and 305-800.

Action as of 10-18-22: This item is on the DCM action plan for 2022 – no activity on reviewing the reference documents per se, but Tammy Krause, Document Control Manager will be working with Jeff Gordon to create a new reference specification to address the Volpe Center information on CEM.

During the month of November 2022, the Executive Board met twice – on the 1st and the 15th.

Highlights, decisions, and action items from the month of November 2022 include:

- Treasurer's Report and Finance and Administrative Sub-committee as of 11-15-22:

Balance and Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through September 2022: \$1,047,175.29

Balance remaining: \$ 202,824.71

Current Spend Rate per month (as info and used in calculating): \$14,544.10

Estimated Balance at the end of the Extension Period (Contingency): \$28,295.49

Note: New web site design is authorized, and the cost will be deducted from ending projection shown. The cost of the website will be approximately \$12,000.00.

- Status – Website Refresh

Ray Hessinger reported that there has not yet been a response or a new web design mock-up since extensive content changes and other comments were provided to the vendor.

Ray thanked George Hull, Amtrak, for providing some great photos of NGECC equipment (7 photos of various looks at Surfliners). George stated that he is also going to provide pictures of Mid-West locomotives as well.

Ray asked Steve Hewitt to send the photos on to iEngineering for inclusion on the website. Steve agreed and noted that he will also send pictures he received from IDOT and Caltrans, as well as any additional pictures he receives.

Steve Hewitt will also request a meeting/call with iEngineering for some time during the first two weeks of December to see where they are on making the changes.

- Status – CRISI Grant application:

The Amtrak – NGECC CRISI Grant Application was submitted on time on November 30, 2022.

The request is for \$2 million over 5 years with Amtrak picking up the requires 20% match (\$400,000) from non-federal funds.

The application package had many letters of support from industry, individual states, consultants, and associations such as AASHTO, RPA and SPRC.



- 2022 NGEC two-pager:

The 2022 NGEC two-page educational document was released in January 2022. To date 625 copies have been distributed.

On 11-15-22, Steve Hewitt provided the Executive Board with an overview of recommendations in concept and updates for the 2023 version of the NGEC two-pager.

Steve noted that changes to the front page would include:

Top left corner change [www.305ngec.org](http://www.305ngec.org) to [www.ngec.org](http://www.ngec.org) the new NGEC domain name secured as a part of the web refresh.

On the Timeline (right side of page one): we will update the date for completing the latest Bi-Level update (revision D). We will also update the number of Charger Locomotives and Venture cars currently in service. Today, I received those numbers from IDOT: 82 Chargers and 30 Venture cars.

As for photos: the plan is to try to have 4 new pictures – possibly one interior and 3 exterior including WSDOT, Midwest and Caltrans.

Steve asked that he, Ray, and Tim Ziethen take on the responsibility of working with MODOT graphic arts to select pictures and formatting.

The intent is to get the proposed updates to MODOT by mid-December for formatting.

- Annual By-Law Review/Update:

The FASC approved proposed changes to the By-laws for submittal to the Executive Board.

The changes are meant to address the advice provided by Amtrak Legal when asked if the NGEC could conduct certain additional activities. The advice was that the activities described would be permissible, if included in the By-Laws.

e. The Executive Board may issue news releases communicating activities or accomplishments of the Committee.

g. The Executive Board may authorize Committee member participation at related meetings, conferences, trade shows, or other similar events to communicate the activities of the Committee or to maintain visibility among stakeholders.

The By-laws changes cannot be brought to the Board for a vote until each Board member has had them in writing for 30 days. Since they were sent to all Board members on 10-13-22, the Board cannot take them up for consideration until the meeting of 11-15-22.

The Executive Board intends to take up consideration of adoption of the proposed By-Laws changes on 12-13-22.

- Multi-State Rail Car Procurement (provided by Caltrans) as of 11-15-22:

The remaining Cab Car FDRs are in the final review and closure stage and the Cab Car dynamic framing representative approach has been submitted to FRA for review. IDOT Café Car system level FDR reviews are nearly closed.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the Rev B test report has been approved. The Cab Car emergency egress demo occurred on Tuesday, October 25 with Amtrak, and FRA in attendance. The Cab Car Coupler FAI is scheduled for December 12<sup>th</sup>.

117 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items related to Conditional Acceptance are being

addressed. IDOT coaches are currently in revenue service and Caltrans is planning revenue start once all necessary agreements are in place.

- Metro-North Dual Mode Locomotive Equipment as of 11-15-22:

On 11-1-22, Ray Hessinger, NYSDOT, reported that the timing of his updates based on when he receives them from Metro-North are about a month old. He expects to get the next update soon.

By the beginning of October, Siemens had submitted all FDR documents to Metro-North. There were 33 documents submitted. Of those, 14 topics are closed with 19 under review. A series of meetings were scheduled throughout the month of October to continue the review of the 19 open topics.

- Amtrak Equipment Procurement Update – as of 11-15-22:

On the Charger Long Distance Service (ALC-42) Locomotive:

They are progressing well with an outstanding cab signal issue being worked out. There are 16 units in service and more shipments are planned once the cab signal issue is resolved.

The locomotives in service are being run on the City of New Orleans, California Zephyr, and on the Empire Builder. All-in-all it is going well.

On the new Acela:

They continue to progress qualifications with the FRA and are doing testing to support modeling. Service is anticipated for late 2023 or early 2024.

On the Intercity Trainset (ICT):

Final Design Review (FDR) is progressing well. Amtrak is looking at facilities to support the ICT's as well.

- Connecticut DOT Rail Car Procurement as of 11-15-22:

On 10-12-22, Marci Petterson reported that they have just finished answering the second round of questions and are now going into the third round. The request for proposals deadline has been extended until January 2023.

Nothing new was reported in November 2022.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGEC website and distributed to all NGEC members.

VIA Rail has accepted an invitation to present an update during the NGEC 2023 Annual Meeting on 2-3-22. They will present virtually.

- Document Control Progress Report – 11-15-22:

The minor updates and formatting changes to the Bi-Level Specification are under way. The technical working groups are still reviewing their DCRs, and I am going to ask for their comments back by 11/23/22.

I am also proposing to send the entire list of changes to the entire technical subcommittee for their comments on 11/28/22. I have not put together an entire timeline yet. The goal will be to complete the specification update by the end of the year so it can be signed at the annual meeting.

I have provided some requested information to two working groups and one PRIIA member in the past week, and I also continue to meet with the Technical Writer weekly.

- NGECE 2023 Annual Meeting as of 11-15-22:

The meeting will be held earlier than usual this year it will be held on February 3<sup>rd</sup>. The location is, once again, the Hyatt Regency Capitol Hill, Washington, DC Capitol Room A/B. The time for the meeting will likely be the same as last year (8:00am Registration – Meeting 8:30am – Noon Eastern).

Steve Hewitt and Ray Hessinger reviewed the DRAFT NGECE Annual Meeting agenda and requested input from Board members.

No changes were recommended. The key now will be to fill out the speakers. Steve will provide a clean version of the agenda now to members for use in requesting travel approval.

Mike Murray, FRA, will let Steve Hewitt know who will give the FRA update.

Tim Ziethen and George Hull will let Steve Hewitt know who will provide the Amtrak update.

Kyle Gradinger will reach out to Stadler Rail for a representative to give a presentation on Hydrogen Fuel Cell Multiple Unit Train.

The relevant states who will be presenting will let Steve know who will give the presentation and whether or not the manufacturer will be a part of the presentation.

Steve Hewitt will reach out to VIA Rail to invite them to give an update on their vehicle procurements.

Steve reminded all members to let him know if they are attending and, if so, in-person or virtual.

Hotel reservation link:

Attendees can begin booking sleeping rooms here - <https://www.hyatt.com/en-US/group-booking/WASRW/G-RA1L>. Rooms must be booked by Monday, January 9<sup>th</sup>. Room Rate is \$188 per night plus 14.95% tax.

Thank you and let me know if you have any questions.

Kamasha

Kamasha Hendrickson, CMP, CGMP

Senior Meeting Planner

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Status of 2022 Priorities as of 11-15-22:

Priority Area: Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IJA for its western fleet, it makes sense for the NGECE to review and update the Bi-Level car specification.

Action as of 11-15-22: Bi-Level Car Specification Review/Update is underway. The date for completion of the working group reviews was extended until 11-23-22. The intent is to complete the review by the end of the year for adoption at the Annual meeting.

Priority Area: Review the car body materials issue from a broader perspective for all NGECE equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGECE vehicle specifications.

Action as of 11-15-22: The Carbody Materials Working Group has about completed its work and will submit its recommendations to the Technical subcommittee in November.

The carbody materials working group is scheduled to provide an update to the Technical subcommittee on 12-8-22.

Priority Area: Review “emerging technologies”: On the technical subcommittee call of 12-9-21 the topic of emerging technologies for propulsion was raised. Ray Hessinger believed that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Action as of 11-15-22 Dave Warner initially gave a zero emissions presentation during the Annual Meeting and followed that up with a presentation to the Executive Board on APTA's effort to develop Alternate Fuel Safety Standards. Dave continues to monitor these activities and will present updates as appropriate.

Stadler Rail has been invited to give a presentation on Hydrogen Fuel Cell Multi Unit Train during the NGEC Annual Meeting.

Priority Area: Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEC and applied across the board to all NGEC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Action as of 11-15-22 -This is included in the DCM action Plan and will likely follow the Bi-Level Car Specification update or may begin simultaneously with making updates to that specification.

Tammy Krause and Technical Writer, Cameron Cordell are incorporating the Metro-North Dual Mode Specification's administrative/format changes into the Bi-Level Specification and will do the same for each of the PRIIA specifications as they are updated.

Priority Area: Review/update NGEC Reference and Drawings series 305-900 and 305-800.

Action as of 11-15-22: This item is on the DCM action plan for 2022 – no activity on reviewing the reference documents per se, but Tammy Krause, Document Control Manager will be working with Jeff Gordon to create a new reference specification to address the Volpe Center information on CEM.

No change to this status.

During the month of December 2022, the Executive Board met twice – on the 13th and the 27th.

Highlights, decisions, and action items from the month of December 2022 include:

- Treasurer's Report and Finance and Administrative Sub-committee as of 12-31-22:

Balance and Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through OCTOBER 2022: \$1,060,656.68

Balance remaining: \$ 189,343.42

Current Spend Rate per month (as info and used in calculating): \$14,524.33

Estimated Balance at the end of the Extension Period (Contingency): around \$29,000.00

- Status – Website Refresh

The website refresh is complete and the new site [ngec.org](http://ngec.org) has been deployed. It will officially go live by the end of December 2022.

- Status – CRISI Grant application:

The Amtrak – NGEC CRISI Grant Application was submitted on time on November 30, 2022.

The request is for \$2 million over 5 years with Amtrak picking up the requires 20% match (\$400,000) from non-federal funds.

The application package had many letters of support from industry, individual states, consultants, and associations such as AASHTO, RPA and SPRC.

- 2022 NGEC two-pager:

The suggested changes to the two pager for its 2023 version were sent to MODOT Graphic Arts in the last week of December 2022 and will be addressed during the first week of January. Consideration of approval will likely be on 1-10-23 during the NGEC Executive Board meeting.

- Annual By-Law Review/Update:

On 12-13-22, the NGEC Executive Board adopted the By-Laws Revisions as proposed by the Finance and Administrative Subcommittee. The changes were finalized by Steve Hewitt and distributed to the Executive Board and to AASHTO for posting to the new website.

- Multi-State Rail Car Procurement (provided by Caltrans) as of 12-13-22:

The remaining Cab Car FDRs are in the final review and closure stage and the Cab Car dynamic framing representative approach has been submitted to FRA for review. IDOT Café Car system level FDR reviews are nearly closed.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the Rev B test report has been approved. The Cab Car emergency egress demo occurred on Tuesday, October 25 with Amtrak, and FRA in attendance. The Cab Car Coupler FAI is tentative for December.

117 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items related to Conditional Acceptance are being addressed. IDOT coaches are currently in revenue service and Caltrans is planning revenue start once all necessary agreements are in place.

On 12-13-22, John Oimoen, IDOT, added that a Café car is on its way to the climate testing chamber in Canada.

- Metro-North Dual Mode Locomotive Equipment as of 12-27-22:

Metro-North and Siemens continue with FDR and anticipate vehicle production to begin in January 2023.

- Amtrak Equipment Procurement Update – as of 12-13-22:

On the new Acelas:

They continue to work on qualification and testing.

On the Charger Locomotives (ALC 42):

They are progressing well. Twenty units have been shipped and 16 units are in service.

On the Intercity Trains (ICT):

They continue to progress well and are continuing in the Final Design Review (FDR) Phase and are on-track.

On the G38 yard locomotives:

Two have shipped and two are on their way.

Final Design Review (FDR) is progressing well. Amtrak is looking at facilities to support the ICT's as well.

- Connecticut DOT Rail Car Procurement as of 12-31-22:

On 10-12-22, Marci Petterson reported that they have just finished answering the second round of questions and are now going into the third round. The request for proposals deadline has been extended until January 2023.

Nothing new was reported in December 2022.

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGECC website and distributed to all NGECC members.

VIA Rail has accepted an invitation to present an update during the NGECC 2023 Annual Meeting on 2-3-22. They will present virtually.

- Document Control Progress Report – 12-27-22:

On 12-27-22, Tammy Krause reported that she would provide Steve Hewitt with the Summary of Changes later in the day for distribution to the full Technical subcommittee.

On 1-5-23 during the technical subcommittee call Tammy will review the changes and take questions.

On 1-19-23, during the subcommittee call, the intention would be to consider approval of the summary of changes for submittal to the Executive Board.

On 1-24-23, During the Executive Board call, the Chair will formally reconvene the Bi-Level car specification Review Panel and authorize Larry Salci to prepare a Review Panel Report.

At the Annual Meeting of the NGECC (2-3-23), as a part of her progress report for the year, Tammy will give a status on this specification update with the plan being for the Board to consider its adoption later that month.

- NGECC 2023 Annual Meeting as of 12-31-22:

The meeting will be held earlier than usual this year it will be held on February 3<sup>rd</sup>. The location is, once again, the Hyatt Regency Capitol Hill, Washington, DC Capitol Room A/B. The time for the meeting will likely be the same as last year (8:00am Registration – Meeting 8:30am – Noon Eastern).

A final DRAFT agenda has been approved pending speaker confirmations.

On 12-27-22, Steve Hewitt reminded all members to let him know if they are attending and, if so, in-person or virtual.

Hotel reservation link:

Attendees can begin booking sleeping rooms here - <https://www.hyatt.com/en-US/group-booking/WASRW/G-RA1L>. Rooms must be booked by Monday, January 9<sup>th</sup>. Room Rate is \$188 per night plus 14.95% tax.

Thank you and let me know if you have any questions.

Kamasha

Kamasha Hendrickson, CMP, CGMP

Senior Meeting Planner

American Association of State Highway and Transportation Officials (AASHTO)

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Status of 2022 Priorities as of 12-31-22:

Priority Area: Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IJA for its western fleet, it makes sense for the NGEC to review and update the Bi-Level car specification.

Action as of 12-27-22: Bi-Level Car Specification Review/Update is still with the technical working groups. The technical subcommittee review is expected to take place on 1-5-23 and the intent to have the Revision D updates adopted and signed by the Chair during the Annual Meeting – 2-3-22.

Priority Area: Review the car body materials issue from a broader perspective for all NGEC equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEC vehicle specifications.

Action as of 12-27-22: The Carbody Materials Working Group has about completed its work and will submit its recommendations to the Technical subcommittee in January 2023.

Priority Area: Review “emerging technologies”: On the technical subcommittee call of 12-9-21 the topic of emerging technologies for propulsion was raised. Ray Hessinger believed that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEC.

Action as of 12-27-22: A presentation during the NEC Annual Meeting by Stadler Rail on Hydrogen Fuel Cell Multiple Unit Trains will be requested. Kyle Grading, Caltrans will make the request.

Priority Area: Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEC and applied across the board to all NGEC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Action as of 12-27-22 -This is included in the DCM action Plan and will follow the Bi-Level Car Specification update or may begin simultaneously with making updates to that specification. Tammy Krause and the Technical Writer, Camren Cordell, have gone through the Metro-North Dual Mode locomotive specification format and have compared it to the PRIIA format. They are in the process of incorporating the Metro-North Dual Mode Specification's administrative/format changes into the Bi-Level Specification and will do the same for each of the PRIIA specifications as they are updated.

Priority Area: Review/update NGEC Reference and Drawings series 305-900 and 305-800.

Action as of 12-27-22: This item is on the DCM action plan for 2022 – no activity on reviewing the reference documents per se, but Tammy Krause, Document Control Manager will be working with Jeff Gordon to create a new reference specification to address the Volpe Center information on CEM.

During the months of January and February 2023, the Executive Board met three times on 1-10-23, 1-24, 23 and on 2-21-23. Additionally, the NGEC Annual meeting was held on 2-3-23.

Highlights, decisions, and action items from the months of January and February include:

Balance and Spend Rate:

Total Initial Grant Amount: \$1,250,000.  
Expenses Incurred through December 2022: \$1,084,266.74  
Balance remaining: \$165,733.26.  
Estimated spend at current rate for the balance of the grant: \$130,112.01.  
Current Spend Rate per month (as info and used in calculating): \$14,456.89.  
Estimated Balance at the end of the Extension Period (Contingency): around \$35,621.25.

Tim commented that the balance at the end of the grant period does not yet include the \$12,000. To be paid to iEngineering for the website refresh. After paying that bill, the balance will be around \$23,000.

On 2-21-23, the FASC was assigned the task of doing a critical assessment of the NGEC's remaining funds and the anticipated costs and provide a clear picture for going forward to the end of the current grant period which ends on 9-30-23. The FASC would be meeting on 3-1-23 and will make a recommendation to the Board for consideration on 3-7-23.

- Status – Website Refresh

The website refresh is complete and in January it went live and was introduced formally to the NGEC members at the 2023 Annual Meeting. IEngineering has been paid – the invoice came in under budget at \$10,000.

- Status – CRISI Grant application:

The Amtrak – NGEC CRISI Grant Application was submitted on time on November 30, 2022.

The request is for \$2 million over 5 years with Amtrak picking up the requires 20% match (\$400,000) from non-federal funds.

The application package had many letters of support from industry, individual states, consultants, and associations such as AASHTO, RPA and SPRC.

It is anticipated that the NGEC will hear if the CRISI Grant Application has been approved in the May-June timeframe.

- 2023 NGEC two-pager:

The NGEC 2023 background/educational document was released in January and formally introduced during the Annual Meeting. To date 325 copies have been distributed (hard and soft).

- Multi-State Rail Car Procurement (provided by Caltrans) as of 2-28-23:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Metro-North Dual Mode Locomotive Equipment as of 12-27-22:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Amtrak Equipment Procurement Update – as of 12-13-22:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Connecticut DOT Rail Car Procurement as of 2-28-23:

This procurement has advanced to the “cone of silence” phase.

Nothing new was reported in December 2022.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)



- Document Control Progress Report – 2-28-23:

On 2-21-23 the NGECE Executive Board adopted the changes approved by the technical subcommittee and as revised and recommended by the Bi-Level Specification Review Panel. Revision D of 305-001 is now in the hands of the technical writer to incorporate the approved updates into the spec.

- NGECE 2023 Annual Meeting 2-3-23:

The 13<sup>th</sup> NGECE Annual Meeting was held at the Hyatt Regency Capitol Hill in Washington DC. The meeting was held in-person and virtually. In total there were between 115 and 120 attendees.

Ray Hessinger, NGECE Chair, reported to the Executive Board on 2-21-23 that he thought the meeting went very well. It was great to be able to re-connect with so many colleagues in-person.

Ray commented that the presentations were informative and helped in getting more members and in showing the value that the NGECE brings.

The highlight again this year was the visit by FRA Administrator Amit Bose who dropped in for the second year in a row and gave some remarks to the NGECE members. His engagement with and support of the NGECE's activities is greatly appreciated.

Administrator Bose told the NGECE members that he "dropped by" to say thank you and to "stress how important I view the ongoing work of the Committee and what you have done to date.

"The enthusiasm level is big...your work feeds into that effort...we have the money" now, but the "next five-year bill is not far away...if we can show "on time and on budget" equipment, "the next bill will recognize that."

A thank you letter was prepared and sent on 2-21-23 by Ray Hessinger on behalf of the NGECE.

Steve Hewitt concurred with Ray's comments on the meeting and confirmed that total attendance was around 115-120.

Steve also noted that "we gained three new industry members" following the meeting and that is always a positive sign – especially after 13 years. It shows that interest in the work of the NGECE remains strong and has been sustainable for a very long time.

Steve also agreed that the presentations were informative and certainly demonstrated the NGECE value and the results of the hard work that has been put in over the years by mostly volunteer participation.

Status of 2022 Priorities:

Priority Area: Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IIJA for its western fleet, it makes sense for the NGECE to review and update the Bi-Level car specification.

Action as of 2-28-23: The PRIIA Bi-Level Specification 305-001 Revision D was adopted on 2-21-23 by the Executive Board. Changes approved by the Technical subcommittee were advanced to the Review Panel for the Bi-Level Specification and it provided a report with recommendations to the Executive Board on 2-17-23. On 2-21-23 those recommendations were adopted by the Board. This task is complete.

Priority Area: Review "emerging technologies": On the technical subcommittee call of 12-9-21 the topic of emerging technologies for propulsion was raised. Ray Hessinger believed that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGECE.

Action as of 2-28-23: Caltrans and Stadler Rail provided presentations during the NGEAC Annual Meeting on 2-3-23 on Hydrogen Fuel Cell Multiple Unit Trains. The presentations are posted to the NGEAC website at [www.ngec.org](http://www.ngec.org) under its Meetings section.

Priority Area: Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEAC and applied across the board to all NGEAC specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

Action as of 2-28-23 -These administrative changes will be included in Revision D of the Bi-Level specification as adopted on 2-21-23 and subsequently will be included in all specs as updates are made to them.

Priority Area: Review/update NGEAC Reference and Drawings series 305-900 and 305-800.

Action as of 12-27-22: This item is on the DCM action plan for 2023 – no activity on reviewing the reference documents per se, but Tammy Krause, Document Control Manager will be working with Jeff Gordon to create a new reference specification to address the Volpe Center information on CEM.

During the month of March 2023, the Executive Board met twice on the 7<sup>th</sup> and 21<sup>st</sup>.

Highlights, decisions, and action items from the month of March include:

- Balance/Spend Rate Through December 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through December 2022: \$1,084,266.24

Balance remaining: \$165,733.42.

Estimated spend at current rate for balance of the Grant: \$130,112.01

Current Spend Rate per month (as info and used in calculating): \$14,456.89.

Estimated Balance at the end of the Grant Period: \$35,621.00.

Forecast:

Remaining Funds through December 2022: \$165,733.26

Balance Run Rate: \$35,621.25

Carry Forward Balance: \$15,008.00

Available: \$50,629.25

Expenses Above Run Rate:

Larry Salci: Tech Review: \$19,131.35

Casamar/TLK: \$22,346.30

Website Refresh: \$10,000.00

Annual Meeting Travel/Misc.: \$3,000.00

Forecast Above Run Rate: \$ 54,477.65

- Status – CRISI Grant application:

The Amtrak – NGEAC CRISI Grant Application was submitted on time on November 30, 2022.

The request is for \$2 million over 5 years with Amtrak picking up the requires 20% match (\$400,000) from non-federal funds.

The application package had many letters of support from industry, individual states, consultants, and associations such as AASHTO, RPA and SPRC.

It is anticipated that the NGEAC will hear if the CRISI Grant Application has been approved in the May-June timeframe.

- Path Forward:

On 3-7-23, the Executive Board accepted the FASC Recommendations to:

Continue to monitor the current funding and expenditures closely.

Accept the reduced scope and budget for Casamar through 9-30-23.

Continue to look at alternate funding sources.

Make a hard decision no later than June 2023 based on what happens with the CRISI Grant application.

Request other Amtrak projects sources to fill the gap if there is a shortfall - possibly \$10-\$15,000.

Look for bridge funds or pre-award funding depending on the results of the CRISI Grant application.

- 2023 NGEC two-pager:

The NGEC 2023 backgrounder/educational document was released in January and formally introduced during the Annual Meeting. To date 330 copies have been distributed (hard and soft).

- Multi-State Rail Car Procurement (provided by Caltrans) as of 3-21-23:

The remaining Cab Car FDR submittals are in the final closure stage and the Cab Car dynamic framing representative approach has been submitted to FRA for review, with comments from FRA received. IDOT Café Car system level FDR reviews are nearly closed.

The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car emergency egress demo occurred on October 25 with Amtrak and FRA in attendance. The Car Complete FAI for Cab Car is tentatively scheduled for June or July.

125 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is planning revenue start first half of 2023 once all necessary agreements are in place.

- Metro-North Dual Mode Locomotive Equipment as of 3-21-23:

☐ Siemens is preparing a Change Offer for Bench Test Equipment (BTE) per Metro North's direction.

☐ MNR is reviewing Change Offer COR-10 Maximum Weight Increase – Phase 1 – DEF tank.

☐ FAI execution and planning continued through the month of February with motor and gear box FAI, coming up in March 2023.

☐ Monthly Quality Meeting took place during the face-to-face project meeting on February 22nd.

☐ Metro North and Siemens are planning a pre-FAI current collector shoe review meeting with Schunk in NYC on March 28th and 29th.

☐ System Test progressed with ultra cap rack and alternator start testing.

☐ SMI submitted 34 FDR documents to MNR and received comments back from MNR on all of them, 28 topics are closed.

- Amtrak Equipment Procurement Update – as of 3-21-23:

On the Acela – Work is progressing well with one trainset now in production.

On the Charger Locomotives – There are thirty locomotives – twenty-eight have been shipped. Two are to be shipped in the next few weeks. There are twenty in service. They are operating on the Empire Builder, the City of New Orleans and the Coast Starlight.

On the Airo trainsets– they continue with Final Design Review and the first shell is now in production.

- Connecticut DOT Rail Car Procurement as of 3-31-23:

This procurement has advanced to the “cone of silence” phase.

Nothing new was reported in March 2023.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGECC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Update: As Appropriate

- Document Control Progress Report – 3-21-23:
  - Tammy Krause provided the following timeline for the completion of the technical writing for the Bi-Level Specification update to Revision D.

Timeline to complete Bi-Level technical writing.

I met with Camren and we worked out the following timeline for the completion of the Bi-Level Specification:

| Task                                                  | Hours | Timeframe   |
|-------------------------------------------------------|-------|-------------|
| Prepare Table of all changes to the specification     | 16    | 3/20 – 4/7  |
| Change the Specification per the approved changes     | 50    | 4/8 – 5/19  |
| Review entire specification for any formatting issues | 4     | 5/19 – 5/26 |

This is a time period of 10 weeks for 70 hours of work, there are 129 changes to be completed.

Steve Hewitt asked if she had a plan of action for the remaining 6 months of the current performance period. Steve mentioned that he and the Chair had discussed the fact that we do not stop progressing the work of the committee. Yes, we need to be cognizant of the budget, but much of the work that is done – particularly by the technical working groups is in-kind service.

Steve noted that in her presentation at the Annual Meeting, Tammy had provided a list of items to be completed in 2023. Steve had reprinted those in the agenda asking that Tammy provide a plan of how she intends to proceed. (See below – excerpt from the Document Control Annual Meeting presentation).

Steve stressed the point that it is important to continue to move forward with the work and that starts with the technical working groups. They will need direction from the Document Control Manager (Tammy Krause) to proceed with what she deems as the most important work that will advance the NGECC's efforts while awaiting solutions to funding beyond 9-30-2023.

Tammy Krause said that she would rather take this up with the Technical subcommittee on its next call. Steve Hewitt said that is fine, but they will need her direction and recommendations as to what is the next priority – especially in updating specifications.

Ray Hessinger agreed that this can be taken up on the Technical subcommittee call next week. He noted that priority in specification updates should be based on what may be coming up for procurement in the near future.

Ray also agreed with the points made by Steve Hewitt, that the work of the committee should not stop. Yes, the funding is what it is currently, but work should proceed through the working groups and should be prioritized. This work should be based on prioritization while not incurring additional costs.

Excerpt from Annual Meeting Presentation - below:

- Continue to review the APTA PRESS Standards and Recommended Practices for updates that may require changes to our specifications.
- Update the Single Level Specification. It is currently at Revision B2, dated 1/12/2019.
- Update the Diesel Electric Locomotive Specification. It is currently at Revision B, dated 6/20/2017.
- Review "Emerging Technologies" for alternative propulsion options.

Carry over from 2022:

Priority Area: Review/update NGEN Reference and Drawings series 305-900 and 305-800.

On this item – Tammy noted costs would need to be incurred in developing drawings unless Amtrak would take that up.

On the other items above, Tammy will address those with the Technical subcommittee and make assignments to the technical working groups.

Action: On the 3-30-23 Technical subcommittee call, Tammy Krause will address with the Technical subcommittee issues related to prioritizing work going forward through the end of the current grant performance period. Following the discussion and input from members Tammy will make assignments to the technical working groups. The intent is to move forward and be in position to complete updates with technical writing and technical review once new funding is in place.

During the month of April 2023, the Executive Board met twice on the 4<sup>th</sup> and 18<sup>th</sup>.

Highlights, decisions, and action items from the month of April include:

Balance/Spend Rate Through February 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through January 2023: \$1,129,071.67

Balance remaining: \$120,928.33.

Estimated spend at current rate for balance of the Grant: \$102,642.88

Current Spend Rate per month (as info and used in calculating): \$14,663.27.

Estimated Balance at the end of the Grant Period: \$18,285.45

Forecast:

Remaining Funds through January 2023: \$120,928.33

Balance Run Rate: \$18,285.45

Carry Forward in Balance: \$15,008.00

Available: \$33,293.45

Expenses Above Run Rate:

Larry Salci: Tech Review: \$19,131.35

Casamar/TLK: \$17,346.30

Website Refresh: iEngineering has been paid.

Annual Meeting Travel/Misc.: Some Annual Meeting costs – travel have been received and accounted for.

Forecast Above Run Rate: \$ 36,477.65

Balance Favorable/Unfavorable: \$ (3,184.20)

Gap Funding and Bridge Funding – Status of discussions:

Tim noted that there is a management risk going forward in that billing is usually running 60 days behind, and will, therefore, go past the performance period (9-30-23).

Tim reported that he had a productive conversation last week with Jeff Gordon and Mike Murray, FRA, including the fact that the CRISI Grant process being further out than initially expected and resulting in

announcements not coming until possibly early Fall 2023 and the end of the year for funding availability if a Grant is awarded.

As part of the conversation, Jeff and Mike shared with Tim that given all of the information regarding the CRISI process, it may be that Amtrak could fill in with bridge funds while waiting for CRISI Grant or other funding options.

Tim had several clarification questions regarding potential funding sources/ funding from secondary sources.

Tim met with the Amtrak Grants office and they are going through the process with the internal "folks" about what Amtrak could do and confirm if there is an be an option how to do it.

Once funding is resolved, the issue then becomes the need for a vehicle for that funding.

The Grants office is looking at the possibility of submitting for FRA approval, another no-cost extension of the current Grant Agreement for one year. This could serve as the vehicle to expend funds beyond the current performance period and could be a vehicle for bridge funding if it is found. Amtrak will submit for a possible interim measure while also looking at other potential funding options.

Tim added "there are a lot of housekeeping questions taking place behind the scenes."

Tim added that he is also reaching out to Amtrak Legal regarding the legal aspects of possible options.

"There are a lot of moving parts...my message is - no change, be ready to ramp down quickly, if need be, but I remain optimistic that something will happen."

Tim asked Jeff Gordon if he had anything to add to Tim's summary of their conversation. Jeff stated that Tim had expressed it well and clearly. Jeff only added that "I have nothing to say about the same or new Grant or bridge part."

- 2023 NGEC two-pager:

The NGEC 2023 backgrounder/educational document was released in January and formally introduced during the Annual Meeting. To date 330 copies have been distributed (hard and soft).

- Multi-State Rail Car Procurement (provided by Caltrans) as of 4-18-23:

On 4-18-23, Jodi Lehmkuhl, Caltrans, reported that the remaining Cab Car FDR submittals are in the final closure stage and the Cab Car dynamic framing representative approach has been submitted to FRA for review, with comments from FRA under review. IDOT Café Car system level FDR reviews are nearly closed.

The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car Complete FAI for Cab Car is tentatively scheduled for July, to be followed by the FRA Sample Car Inspection.

127 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is targeting revenue start in first half of 2023 once all necessary agreements are in place.

On 4-18-23, John Oimoen, IDOT, added that the Mid-West had achieved an important milestone last week (week of 4-10-23), 44 cars were accepted into revenue service – this means that they have completed one half of the 88 car order! This is great news and shows major progress as they are experiencing issues with the legacy cars and welcome the new Venture cars. John noted that by the end of this week 6 more will be entered into revenue service for a total of 50. A great achievement!

- Metro-North Dual Mode Locomotive Equipment as of 4-18-23:

On 4-18-23, Ray Hessinger reported that production on car shells one and two is progressing ahead of schedule with car shell one being ready for first FAI inspection.

Metro-North and Siemens closed the FDR on third rail current collection.

- Amtrak Equipment Procurement Update – as of 4-18-23:

On the new Acela:

Work continues on completing qualification and acceptance. Trainset #6 is to be delivered to Amtrak property this week.

On the Charger Locomotives:

Twenty-two are available for service and six are ready to come from the factory.

There was good news on issues related to the ATC cab signal and they will be able to begin operating on additional service lines (currently on the Empire Builder, City of New Orleans, and the Coast Starlight).

On the Airo trainset:

Final Design Review (FDR) has begun.

The first car shell is complete.

- Connecticut DOT Rail Car Procurement as of 4-30-23:

This procurement has advanced to the “cone of silence” phase.

Nothing new was reported in April 2023.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEAC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Update: As Appropriate

- Document Control Progress Report – 4-18-23:

On 4-18-23, Steve Hewitt reported that Tammy Krause will be out until early May. She anticipates that she will next be available for the 5-2-23 Executive Board call.

In her absence, she provided an update/work plan for Steve Hewitt to report to the technical subcommittee.

On the Bi-level specification update (technical writer’s incorporation of the adopted changes):

The timeline for completion remains on schedule for May 2023.

On the work plan for the next six months:

The PRIIA sub specifications – reference specs/drawings (305-900 and 305-800 series) are all going to be reviewed by the technical working groups. Tammy planned to send them out to the working group team leaders by the end of the day on 4-13-23. She has set 5-20-23 as the deadline for comments from the working groups after their review and has asked that they use the DCR form for submitting their comments.

After these are reviewed, she planned to send out the APTA standards for review. However, following the technical subcommittee call on 4-13-23, industry member Paul Jamieson contacted Steve Hewitt

to volunteer to give some time to review of the APTA PRESS standards in relation to the PRIIA specs. Steve welcomed Paul's willingness to begin the review and sent a message to Tammy to let her know. Therefore, work on both items can begin simultaneously. Although the working groups will not receive them until after they review the 305-900 and 305-800 series)

- Discussion: Review of changes made to PRIIA specs used by other entities – Steve Hewitt

The subcommittee had a discussion revolving around the need to review changes made to PRIIA specs used by various entities as a baseline.

Some entities using PRIIA specs as a baseline: Amtrak, Brightline, VIA Rail, Connecticut DOT, Metro-North, the Mid-West states, Caltrans, WSDOT, NCDOT and others.

Steve Hewitt noted that he is sure some were missed, but emphasized the point that PRIIA specs have been in high demand and were provided to entities upon request - for free. There should be a willingness to share the changes with the NGEC as initially intended.

The subcommittee agreed that the first step is to develop a plan to follow-up with those entities.

It was suggested that a starting point may be to get the Amtrak Charger spec as a first cut. The tech subcommittee work plan identified the Charger as being the next one in the queue for an update – so it makes sense to start there.

It was also noted that the NGEC program placed the responsibility on the entity using the spec to note what changes have been made, and the NGEC, through its document management procedures (305-100) would compare those changes to the PRIIA spec and update where it is deemed to be appropriate. Changes submitted by the entities should be using the DCR form.

This will take time and the effort should come under Document Control/Management. Tammy Krause is the NGEC Document Control Manager. She is not available until early May, but efforts should begin in developing a plan which should utilize the NGEC Document Management Procedures (305-100).

Joe Paul appreciated the comments and the good discussion and concluded that this is a conversation that needs to continue and should be on the agenda for the next meeting. It is not “an overnight event” but it is a way to take advantage of what has already been done.

- Developing a work plan that incorporates the PRIIA Document Management Process - Steve Hewitt  
It was agreed that this will be an agenda item on the next subcommittee call, and future calls are most likely to develop a work plan and timeline to accomplish the task.

More than likely this will need to be included in the SOW for the new grant agreement if a CRISI Grant is awarded or if other federal funds are allocated. It is not an effort that will be completed before the end of the current performance period.

Joe Paul and Ray Hessinger concurred with Steve Hewitt's summary. Joe adding that there was a long discussion on the subcommittee call and that Steve Hewitt had covered a lot of it.

During the month of May 2023, the Executive Board met three times - on the 2<sup>nd</sup>, 16<sup>th</sup> and 30<sup>th</sup>.

Highlights, decisions, and action items from the month of April include:

Balance/Spend Rate Through March 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through March 2023: \$1,161,003.14

Balance remaining: \$89,996.85.

Estimated spend at current rate for balance of the Grant: \$89,307.93

Current Spend Rate per month (as info and used in calculating): \$14,884.66.

Estimated Balance at the end of the Grant Period: (\$311.07)



Pending:

As of 5-31-23:

Casamar:\$9,546.30 TLK: \$7,425.00

Casamar/TLK: original estimate \$17,346.30 - updated estimate: \$16,971.30

Path Forward:

On 5-30-23, Tim Ziethen reported that Amtrak is in the process of developing a no-cost extension of the current grant agreement to allow for the expenditure of funds beyond the current grant period ending date of 9-30-23.

While the Treasurer's report notes that the NGEC expenses are landing awfully close to what was expected and could break awfully close to even, the report does not include the remaining expenditures for TLK and Casamar. Tim did state that some of those costs are built in to the historical spend rate so the exact shortfall is not clear yet. but it will be close.

Tim added that "the no-cost extension submittal, if approved by FRA, will allow us to exhaust every bit of the funds."

Tim also noted that Amtrak is planning to submit a request to fund the NGEC as a part of the Annual Operating Plan. He has a meeting scheduled with FRA to discuss what the options are.

Tim added that he has also asked Amtrak Legal "what do we need to change in the NGEC By-Laws to reflect a new funding source" and whether it (the NGEC) "can continue to operate under the same structure and By-Laws (with a possible minor change)."

Tim emphasized that the request to be included in the Amtrak Operating Plan (AOP) still needs to be firmed up. Currently the request is expected to be "a keep the lights on request for about \$200,000 for one year."

The hope is still for the CRISI Grant to be approved, but the request is to be submitted as a fall back. It is subject to approval and there could be changes as well.

The action that is still needed is for the NGEC to come up with/define a Statement of Work (SOW) and estimated costs that should be in the area of \$200-300,000. The SOW needs to be prepared quickly as there is a deadline for Amtrak to complete its AOP and submit it to FRA.

Tim Ziethen also noted that there is internal discussion at Amtrak over whether the NGEC can be capitalized or whether it should be a part of the operating plan. This decision is important as it would change the approach. Tim is taking a conservative approach assuming that it will be placed under Operating. If it is capitalized it would change the process and would require specific FRA approval. Tim will follow-up with accounting on this.

Discussion:

Discussion revolved around what would be included in the SOW – where to start in preparing it, what the estimated costs would be, and what the timeframe was.

Ultimately it was agreed that the starting point would be the SOW that was included in the CRISI grant application with a more granular approach in describing a plan for 12-month "bridge" funding.

The SOW and cost estimates would begin from the current baseline activities and the current monthly run rate of around \$15,000. Added to this would be work on the Charger Locomotive update which would include efforts to incorporate changes to the PRIIA specification made by entities that used the spec. This will take additional work by the technical writer and the document control manager as well as estimating costs for the Review Panel Report that would follow the development and adjudication of DCRs via NGEC Document Management Procedures (305-100).

Acquiring information from the entities that used the PRIIA specs as a baseline will take some time, as will incorporating the changes into DCRs.

Doing a "back of the envelope" estimate – the costs would be \$180,000 for the current baseline activities and at most an additional \$5,000 a month - \$60,000 over 12 months - for the additional work (updating the Charger specification) and somewhere in the vicinity of \$20,000 for paying off the overage in the current grant agreement. Adding these broad estimates together – the total request could be around \$260,000.

Action items:

It was agreed that Tammy Krause will provide a work plan and cost estimates for the additional work on the Charger update and provide it to Steve Hewitt, Ray Hessinger, and Tim Ziethen asap (either the end of this week or early next week), and from there it will go to the Executive Board members for discussion and consideration of approval on 6-13-23.

Tim Ziethen will follow-up with Steve Hewitt and the Executive Board on what he learns from Legal on what would need to be changed in the By-Laws if there is a new funding source. (Steve Hewitt reminded Tim that any changes to the NGEC By-Laws need to be in the hands of Board members in writing for 30 days before a vote can be taken.)

Tim will also follow-up on the issue of capitalizing the NGEC or funding it from the AOP.

- 2023 NGEC two-pager:

The NGEC 2023 backgrounder/educational document was released in January and formally introduced during the Annual Meeting. To date 333 copies have been distributed (hard and soft).

- Multi-State Rail Car Procurement (provided by Caltrans) as of 5-30-23:

The remaining Cab Car FDR submittals are in the final closure stage with nearly all subsystems ready for approval. The Cab Car dynamic framing representative approach has been submitted to FRA, and additional requested simulations are now complete. IDOT Café Car system level FDR reviews are nearly closed.

The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car Complete FAI is tentatively scheduled for June or July, to be followed by the FRA Sample Car Inspection.

129 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is targeting revenue start in first half of 2023 once all necessary agreements are in place.

- Metro-North Dual Mode Locomotive Equipment as of 5-16-23:

Siemens and Metro-North have closed all Final Design Review items and are performing FAIs on various components such as brakes, air compressors, and roofs. Car shells are scheduled to be done in the May-June timeframe.

Car Shells 301 and 302 are ready for blasting and are way ahead of schedule.

Ray also noted that they have identified the fact that Pueblo has no under running third rail so they cannot test third rail there. They are looking at options for testing the locomotive in third rail mode.

- Amtrak Equipment Procurement Update – as of 5-30-23:

On the new Acela:

Work continues on testing and modeling for submittal for acceptance.

On the Charger Locomotives:

They are progressing well with thirty units delivered. They are waiting on documentation and should be able to expand to run them on additional service routes. They are currently running on the City of New Orleans, the Empire Builder, Coast Starlight.

On the Airo trainset:

They are progressing well, with the first car shell is nearly completed. Final Design Review (FDR) is finishing up. Overall, the Procurement is on track.

- Connecticut DOT Rail Car Procurement as of 5-31-23:

This procurement continues to be in the “cone of silence” phase.

Nothing new was reported in May 2023.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Update: 2024 NGEC Annual Meeting

- Document Control Progress Report – 5-30-23:

As reported by Document Control Manager Tammy Krause on 5-30-23:

The Bi-Level specification update is still on track to be completed this month. The cover sheet was signed by Mr. Hessinger (NGEC Executive Board Chair). I will send the specification to Steve Hewitt and have the revision listed on the website as soon as I receive it from the Technical Writer.

At the last Executive Board meeting (5-16-23), I brought up the topic of evaluating EN Aluminum welding standards. The Materials Working Group felt they needed to evaluate these standards. After discussing this with the Executive Board, the decision was made to let the Technical Subcommittee decide.

Michael Gill, leader of the Materials Working Group, joined the Technical Subcommittee meeting of May 25 to discuss this and answer questions. The points made were:

- The use of EN standards will apply to the Car shell/primary structure only. Intention is that the EN standards will not apply to reservoirs and bolt on components.
- The Working Group requested to evaluate the standards only and will look at how they relate to testing and identify any issues.

The Technical Subcommittee agreed that the Materials Working Group should perform this evaluation and they are going to report back to the Technical Subcommittee at the June 22 meeting.

- NGEC 2024 Annual Meeting:

The NGEC Annual meeting for 2024 is scheduled for 2-2-24 at the Hyatt Regency Hotel Capitol Hill, Washington, DC.

Details to follow.

During the month of June 2023, the Executive Board met two times - on the 13th and the 27<sup>th</sup>.

Highlights, decisions, and action items from the month of June include:

Treasurer's Update as of 6-27-23:

#### Balance/Spend Rate Through April 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through April 2023: \$1,173,648.37

Balance remaining: \$76,351.67.

Estimated spend at current rate for balance of the Grant: \$74,281.54

Current Spend Rate per month (as info and used in calculating): \$14,856.31.

Estimated Balance at the end of the Grant Period: 2,070.13

Tim added that there are a couple of outstanding invoices which "might push it over a bit...but should not be a problem."

Status – 6-month no-cost current grant agreement extension:

Amtrak has submitted a 6 month no-cost GARF to FRA which is now under review. The GARF extends the period of performance and "allows us to draw down expenses in the grant until exhausted."

Update: NGEC 12-month Interim funding Proposal:

In regard to funding, Tim reported that he had met with Mike Murray and Jeff Gordon, FRA, and he has "great news!" FRA reviewed the Amtrak proposal to fund the ongoing work of the Committee out of its Annual Grant that it receives through Appropriations. He noted "we have the green light to move forward with what we have proposed." Tim added that they are still looking at whether it will be identified as a Capital Project or an operating expense. He termed this as "more of an accounting question."

He added that the is "super news!"

Tim Ziethen further reported that he is still putting together the Exell spreadsheet "to lay out for all of you to see" that would include the AASHTO expenses, Casamar TLK, etc. He noted that he will be contacting Steve Hewitt to discuss the spreadsheet as he still has a few questions.

Tim also noted that there "is a placeholder for this in the AOP (Amtrak Operating Plan) with George Hull and Amtrak's support.

- 2023 NGEC two-pager:

The NGEC 2023 backgrounder/educational document was released in January and formally introduced during the Annual Meeting. To date 334 copies have been distributed (hard and soft).

- Multi-State Rail Car Procurement (provided by Kyle Grading, Caltrans) as of 6-27-23:

The remaining Cab Car FDR submittals are in the final closure stage with nearly all subsystems approved. The Cab Car MCAT simulation report has been submitted to Amtrak for review and transfer to FRA with clarifications made. IDOT Café Car system level FDR reviews are nearly closed.

The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car Complete FAI is scheduled for July 18, to be followed by the FRA Sample Car Inspection on July 27.

129 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is targeting revenue start in 2023. Progress on agreements has been made with signatures expected in July.

Following his formal update, Kyle Grading added "we are getting close to revenue service in California."

- Metro-North Dual Mode Locomotive Equipment as of 6-13-23:

Ray Hessinger, NYSDOT, provided the following update for inclusion in today's minutes (6-13-23):

Metro North confirmed finalization of the Final Design Review (FDR) Phase on May 8th.

Production for Metro-North Charger #301 and #302 is progressing ahead of DCS schedule. Carshells for both locomotives have completed Q14 (ready for blast) and have been put into storage until finishing begins.

Sub-assembly has started in May as the DCS and Final Assembly is on track to start in July 2023.

First Article Inspection (FAI) for the MNR carshell has been successfully completed with zero open items.

FAI for truck frame welding has been successfully completed.

- Amtrak Equipment Procurement Update – as of 6-22-23:

On the new Acela:

Work continues on the qualification requirements.

On the Airo Trainsets:

Final Design Review continues.

On the Charger Locomotives:

29 are in-house, 28 and 29 will be commissioned this week. Service on the Capital between Washington and Chicago has begun. Silver Service in Washington is scheduled to begin on 6-29-23 as the ATC hurdle was passed.

- Connecticut DOT Rail Car Procurement as of 6-31-23:

This procurement continues to be in the “cone of silence” phase.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Update: 2024 NGEC Annual Meeting

- Document Control Progress Report – 5-30-23:

As reported by Document Control Manager Tammy Krause on 5-30-23:

Tammy Krause provided the following update to the Technical subcommittee on 6-22-23.

“I have received ten comments on the PRIIA sub specs and I will be creating DCRs from them and submitting them to the entire Technical Subcommittee (TSC) for review. The next group of documents to be reviewed are the APTA Standards and Recommended Practices.

The Materials Working Group has not completed their review of the EN Welding Standards yet but will give a report/summary to the TSC when they do.”

On 6-13-23, the NGEC Executive Board approved the 12-month SOW and Budget for Document Control and Technical Writing for the period beginning on 10-1-23 through 9-30-24.

- NGEC CRISI Grant Application Status:

On 12-13-22, Tim Ziethen reported that the CRISI Grant for funding for the NGEC was submitted on time (early). He thanked the Board for its feedback – especially in light of the short turnaround time.

The timeline for announcing which CRISI Grant applications are approved is August-September 2023.

- NGECE 2024 Annual Meeting:

The NGECE Annual meeting for 2024 is scheduled for 2-2-24 at the Hyatt Regency Hotel Capitol Hill, Washington, DC.

More details to follow.

- During the month of July 2023, the Executive Board met two times - on the 11th and the 25<sup>th</sup>.

Highlights, decisions, and action items from the month of July include:

Treasurer's Update:

Balance/Spend Rate Through May 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through May 2023: \$1,198,774.76

Balance remaining: \$51,225.24.

Estimated spend at current rate for balance of the Grant: \$59,938.74

Current Spend Rate per month (as info and used in calculating): \$14,984.68.

Estimated Balance at the end of the Grant Period: (8,713.50) over target.

Status – 6-month no-cost current grant agreement extension:

Amtrak has submitted a 6 month no-cost GARF to FRA which is now under review. The GARF extends the period of performance and will allow the NGECE to draw down expenses in the grant until they are exhausted. On 7-25-23, Tim reported that he still has not heard from FRA. He assumes it is working its way through the process.

Update: NGECE 12-month Interim funding Proposal (7-25-23):

NGECE Chair Ray Hessinger asked Tim Ziethen to review the proposed budget – which was sent to all Board members just prior to today's call. Ray asked if there were changes from the last budget proposal.

Tim walked through the spreadsheet and explained that he had "re-aligned it and cleaned it up to make it easier to read." Tim met with Strat Cavors, AASHTO, to confirm the AASHTO anticipated costs and he noted there was no additional charge for website posting – it was included in the AASHTO professional service line.

Overall, the final number was adjusted down slightly to an even \$260,000.

Jason Biggs, WSDOT asked what the \$10,000 possible carry over was. Tim responded that, as of now, it is projected that the current grant will end with an \$8,700 negative balance and if that happens, Amtrak will pick it up "through this mechanism". Tim has allowed \$10,000 as a contingency.

With no other discussion forthcoming, Ray Hessinger noted that on the 7-11-23 Executive Board call, FRA requested that the NGECE Executive Board go into Executive Session on this call to discuss the proposed interim budget.

Ray stated that to go into Executive Session it would take a motion and a second and a stated purpose.

Tim Ziethen stated that, as he understood it, the purpose was to allow discussion without contractors present as a part of the discussion to review and possibly revise the budget and consider it for approval.

Ray Hessinger asked for either a motion to go into Executive Session or to simply approve the budget as presented.

- Executive Session: 7-25-23:

Jeff Gordon, FRA, offered a motion to go into Executive Session for the purpose as stated by Tim Ziethen previously - to allow discussion without contractors present on the call before approving the proposed budget. The motion was seconded by Troy Hughes, MODOT, and, with no objections offered, the Executive Board agreed to go into Executive Session for the purpose as described above.

At 11:59 am, all contractors left the call and Steve Hewitt transferred the WebEx meeting control to Chairman Hessinger.

At the conclusion of the Executive Session – Chairman Hessinger sent the following email to Steve Hewitt:

Steve,

The results of the executive session are as follows:

The 2024 Budget is approved as presented today by unanimous voice vote.

The Executive Board and both Subcommittees are to review and update, as appropriate, their meeting cadence. Please add that issue to the agenda for the next meeting for each.

Ray

Steve Hewitt will follow-up as noted.

Along with the transmittal of the draft minutes from today's call, Steve will distribute the approved budget.

- 2023 NGEC two-pager:

The NGEC 2023 backgrounder/educational document was released in January and formally introduced during the Annual Meeting. To date 336 copies have been distributed (hard and soft).

- Multi-State Rail Car Procurement (provided by Caltrans) as of 7-20-23:

The remaining Cab Car FDR submittals are in the final closure stage with nearly all subsystems approved. The Cab Car MCAT simulation report has been submitted to Amtrak for review and transfer to FRA with clarifications made. IDOT Café Car system level FDR reviews are nearly closed and the requested MCAT simulation is in work.

The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car Complete FAI occurred on July 18, and the FRA Sample Car Inspection is scheduled for July 27.

131 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is targeting revenue start in 2023. Progress on agreements has been made with signatures expected in July or August.

- Metro-North Dual Mode Locomotive Equipment as of 7-11-23:

Production for Metro-North Charger #301 and #302 is progressing ahead of DCS schedule. Carshell for Metro North Charger #301 completed the finishing process and entered Final Assembly on June 30th.

Sub-assembly started in May and Final Assembly is on track to start in July 2023.

Metro North approved FAI #one carshell as well as FAI #five truck frame welded.

Payment milestone P1 carshell #1 was paid by MNR.

Siemens has notified Metro North via project letters of two potentially Excusable Delays for alternator supplier insolvency as well as supplier Lutze's global supply shortages for semiconductor parts.

- Amtrak Equipment Procurement Update – as of 7-20-23:

On the Charger Locomotives – Amtrak continues to take delivery of additional units.

On the new Acela – Work continues on qualification items.

On the Airo Trainset – the first car shell is almost complete and Final Design Review (FDR) continues.

- Connecticut DOT Rail Car Procurement as of 7-31-23:

This procurement continues to be in the “cone of silence” phase.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Update: 2024 NGEC Annual Meeting

- Document Control Progress Report – 7-25-23:

From Tammy Krause – Document Control Manager – 7-25-23:

“I am working with the Technical Writer on identifying the Amtrak fleet references in the sub specifications. Mr. Warner reminded me that we also need to remove references to the two specs that we are sunsetting, 305-911 “Replacement of Copper Waste Piping” and 305-919 “Digital Trainline Hardware”.

The APTA PRESS Electrical Working Group has been asked to work with the NGEC on the Digital Trainline spec. I let them know that we were no longer working on that and would not be updating 305-919 in the future. I offered to send them a copy of 305-919. They have been asked about DTL by some Commuter Railroads.

There were sixteen changes proposed for the PRIIA sub specifications, four of them were addressed at the last TSC meeting. The remaining twelve are located in the marked-up version of the 305-901 Intercom Systems. This document has been provided to the TSC and will be voted on at the August 3rd meeting.”

- NGEC CRISI Grant Application Status:

On 12-13-22, Tim Ziethen reported that the CRISI Grant for funding for the NGEC was submitted on time (early). He thanked the Board for its feedback – especially in light of the short turnaround time.

The timeline for announcing which CRISI Grant applications are approved is August-September 2023.

- NGEC 2024 Annual Meeting:



The NGEC Annual meeting for 2024 is scheduled for 2-2-24 at the Hyatt Regency Hotel Capitol Hill, Washington, DC.

More details to follow.

- During the month of August 2023, the Executive Board met once- on the 8th

Highlights, decisions, and action items from the month of August include:

Treasurer's Report – 8-8-23:

- On 8-8-23, Tim Ziethen reported no changes to his last report:

Balance/Spend Rate Through May 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through May 2023: \$1,198,774.76

Balance remaining: \$51,225.24.

Estimated spend at current rate for balance of the Grant: \$59,938.74

Current Spend Rate per month (as info and used in calculating): \$14,984.68.

Estimated Balance at the end of the Grant Period: (8,713.50) over target.

Tim believes this is close to how it will end up and that Amtrak has agreed to pick up the balance if there is minimal overage.

Status – 6-month no-cost current grant agreement extension:

Amtrak has submitted a 6 month no-cost GARF to FRA which is now under review. The GARF extends the period of performance and will allow the NGEC to draw down expenses in the grant until they are exhausted. On 8-8-23, Tim reported that he still has not received a final response from FRA on this.

Status: NGEC 12-month Interim funding:

In July, the budget was approved (as submitted) during the Executive Session held on 7-25-23. Amtrak has said that it would fund the NGEC from its AOP for the 12-month period beginning on 10-1-23 through 9-30-24. The budget was approved for just over \$260,000. Amtrak also agreed that this funding would be provided even if Congress has not resolved the 2024 appropriations or issues a CR.

Status: 3<sup>rd</sup> Quarter Grant Progress Report to FRA:

The Quarterly Report was submitted to FRA on time.

The next report for the fourth quarter 2023 is due to FRA by October 31, 2023.

Steve Hewitt distributed the report with the DRAFT minutes from 8-8-23.

- Executive Session: 7-25-23:

Jeff Gordon, FRA, offered a motion to go into Executive Session for the purpose as stated by Tim Ziethen previously - to allow discussion without contractors present on the call before approving the proposed budget. The motion was seconded by Troy Hughes, MODOT, and, with no objections offered, the Executive Board agreed to go into Executive Session for the purpose as described above.

At 11:59 am, all contractors left the call and Steve Hewitt transferred the WebEx meeting control to Chairman Hessinger.

At the conclusion of the Executive Session – Chairman Hessinger sent the following email to Steve Hewitt:

Steve,

The results of the executive session are as follows:

The 2024 Budget is approved as presented today by unanimous voice vote.

The Executive Board and both Subcommittees are to review and update, as appropriate, their meeting cadence. Please add that issue to the agenda for the next meeting for each.

Ray

Steve Hewitt followed-up as noted and distributed the approved budget.

- 2023 NGEC two-pager:

The NGEC 2023 backgrounder/educational document was released in January and formally introduced during the Annual Meeting. To date 338 copies have been distributed (hard and soft).

- Multi-State Rail Car Procurement (provided by Caltrans) as of 8-31-23:

The remaining Cab Car FDR submittals are in the final closure stage with nearly all subsystems approved. The Cab Car MCAT simulation report has been submitted to FRA via Amtrak with additional clarifications provided. IDOT Café Car system level FDR reviews are complete and the requested MCAT simulations are in review for submittal.

The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car Complete FAI occurred on July 18 and the FRA Sample Car Inspection was completed on July 27. Open items from both are being addressed to prepare the cab car for PTC and 238 testing.

137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is targeting revenue start in 2023 pending completion of final agreements.

- Metro-North Dual Mode Locomotive Equipment as of 8-17-23:

Production of Locomotives #301 and 302 remain on schedule – car shells are completed.

CtDOT executed their option for additional locomotives.

FAIs for an alluminum roof were approved.

Siemens is working with Metro-North on delay issues.

Upcoming work includes scheduling of additional of FAIs.

- Amtrak Equipment Procurement Update – as of 8-17-23:

On the new Acela – Work continues on qualification items. Trainset #8 should be in by the end of the month.

On the Charger Locomotives – There are forty units thus far with thirty units in service. Overall, it's going very well.

On the Airo Trainset – the first car shell is almost complete and Final Design Review (FDR) and FAIs continue.

On the Long -Distance Procurement – they are in the second round of RFI and working toward an RFP by the end of the year.

- Connecticut DOT Rail Car Procurement as of 8-17-23:

CTDOT's contract was awarded to Alstom on 8/3/23. The base order is for sixty cars – 19 cabs and 41 trailers. There are options for up to an additional 272 cars. CTDOT is expecting a prototype 4-car consist in mid-2026. The delivery rate is expected to be 4 cars per month. Manufacturing is in Sahagun, Mexico.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEAC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Update: 2024 NGEAC Annual Meeting 2-2-24

- Document Control Progress Report – 8-31-23:

Discussion – review of comments/updates to PRIIA Reference (sub-spec) 305-901:

Dave Warner shared the updated document with comments included, on his screen. Steve Hewitt pointed out that all Tech subcommittee members had been provided this same version on Monday 8-28-23.

Dave briefly scrolled through the comments noting that they were primarily “de-Amtrak” (or removal of referring to Amtrak) to clean up the document. He also pointed out that the document format had been revised as well so that this reference spec matches the format of the PRIIA Vehicle specifications.

George Hull asked if there were any questions or comments. Hearing none, George called for a motion to approve 305-901 as revised to send it to the Executive Board for its review and consideration.

Consideration of Approval of DCRs for the 305-901 Reference (sub-spec):

On a motion by Art Peterson, for IDOT, a second by Curtis McDowell, for NCDOT, and with no objections forthcoming, Chairman Hull determined that consensus had been achieved, and the updated version of 305-901 was approved by the technical subcommittee for submittal to the Executive Board.

It was agreed that Steve Hewitt should transmit this version, with the comments included, to the Executive Board in advance of its next meeting (9-5-23). The comments will remain in order to let Board members see the changes that have been made.

On 12-13-22, Tim Ziethen reported that the CRISI Grant for funding for the NGEAC was submitted on time (early). He thanked the Board for its feedback – especially in light of the short turnaround time.

The timeline for announcing which CRISI Grant applications are approved is August-September 2023.

As of 8-31-23 – The NGEAC was not aware of any announcements being made.

- NGEAC 2024 Annual Meeting:

The NGEAC Annual meeting for 2024 is scheduled for 2-2-24 at the Hyatt Regency Hotel Capitol Hill, Washington, DC.

More details to follow.

- During the month of September 2023, the Executive Board met once- on the 5<sup>th</sup>.

Highlights, decisions, and action items status updates from the month of September include:

Treasurer's Report – 9-5-23:

- On 9-5-23, Tim Ziethen reported no changes to his last report:

Balance/Spend Rate Through June 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through June 2023: \$1,233,509.83.

Balance remaining: \$16,490.17.

Estimated spending, at current rate, for balance of the Grant: \$45,685.55.

Current Spend Rate per month (as info and used in calculating): \$15,228.52.

Estimated Balance at the end of the Grant Period: (\$29,195.38) over target.

Tim stated that the June invoice was particularly heavy and, although the next few months are usually light, there still remains three months in the performance period (July, August, September). It is not clear what the ending balance will be, but it is clear there will be an overage at the end of the grant. Tim added that Amtrak has agreed to cover any overage as a part of the 12-month interim finding plan for the NGEC.

Note: On 9-13-23 on the Finance and Administrative Subcommittee call, Tim provided an updated Balance and Spend report that covered invoices through July 2023. As anticipated July was a light month and brought the anticipated overage down to \$16,356.17. (See FASC report within this document for full update as of 9-13-23)

Status – 6-month no-cost current grant agreement extension:

As of this 9-13-23, Amtrak had not yet received the final word from FRA on the no-cost current grant agreement extension which would allow NGEC expenses incurred during the grant period to be paid beyond the 9-30-23 performance period.

Tim did not foresee this being a problem. There were some minor word changes that were being addressed and he was awaiting final execution of the agreement.

Status: NGEC 12-month Interim funding:

In July, the budget was approved (as submitted) during the Executive Session held on 7-25-23. Amtrak has said that it would fund the NGEC from its AOP for the 12-month period beginning on 10-1-23 through 9-30-24. The budget was approved for just over \$260,000. Amtrak also agreed that this funding would be provided even if Congress has not resolved the 2024 appropriations or issues a CR.

On 9-5-23, Tim Ziethen reported that the 12-month interim funding plan for the NGEC remains as a request within the Amtrak AOP for the coming federal fiscal year. The amount requested is just over \$260,000.

Tim noted that it remained contingent upon the Appropriations process. Currently Congress has not passed many of the appropriations bills and it is unknown whether a CR will be passed while they continue to work on passing those appropriations. Amtrak's funding is tied to appropriations. The federal fiscal year ends on 9-30-23. It is anticipated that funding will continue – even if through a CR, but there is the possibility of a temporary government shutdown.

This situation makes for some uncertainty for Amtrak, but there remains full support internally for the NGEC funding; it is simply unknown when or how the appropriations process will be resolved. Will there be a CR? Or will there be a stop gap funding of some sort?

As of the drafting of this activities report (9-27-23) there has been no resolution to the funding issue. Congress had not come to terms on a CR or on appropriations. The NGEC remains in limbo as its

current grant agreement expires on 9-30-23. The Executive Board will meet as scheduled on 10-3-23 and this issue will be a primary agenda item.

- CRISI Grant Application Status:

On 9-23-23, the 2022 CRISI Grant Awards were announced by FRA. The Amtrak application for NGECE funding was not one of the applications awarded a grant.

As of 9-30-23, the NGECE has no funding formally committed to it. It has the Amtrak commitment to fund the NGECE for 12-months (which is included in its AOP for 2024) – but this is dependent upon the 2024 Appropriations process. Transportation Appropriations is one of the Appropriations bills that has not been passed as of this date.

Note: On 9/30/23 the Congress approved a six-week Continuing Resolution (CR) to fund the government beginning on 10/1/23.

On 10-3-23, the NGECE Executive Board will have NGECE funding as a key agenda item for discussion.

Status: 3<sup>rd</sup> Quarter Grant Progress Report to FRA:

The Quarterly Report was submitted to FRA on time.

The next report for the fourth quarter 2023 is due to FRA by October 31, 2023.

Steve Hewitt distributed the 3<sup>rd</sup> Quarter report with the DRAFT minutes from 8-8-23.

Added to the end of this monthly report are the milestones achieved through 9-30-23. These are used as a basis for the Quarterly Report – due at the end of October. Additional information will likely be required to complete the report with the closeout of the current Grant agreement.

- Executive Session: 7-25-23:

Jeff Gordon, FRA, offered a motion to go into Executive Session for the purpose as stated by Tim Ziethen previously - to allow discussion without contractors present on the call before approving the proposed budget. The motion was seconded by Troy Hughes, MODOT, and, with no objections offered, the Executive Board agreed to go into Executive Session for the purpose as described above.

At 11:59 am, all contractors left the call and Steve Hewitt transferred the WebEx meeting control to Chairman Hessinger.

At the conclusion of the Executive Session – Chairman Hessinger sent the following email to Steve Hewitt:

Steve,

The results of the executive session are as follows:

The 2024 Budget is approved as presented today by unanimous voice vote.

The Executive Board and both Subcommittees are to review and update, as appropriate, their meeting cadence. Please add that issue to the agenda for the next meeting for each.

Ray

Steve Hewitt followed-up as noted and distributed the approved budget.

No change to this item in September 2023.

- 2023 NGEC two-pager:

The NGEC 2023 background/educational document was released in January and formally introduced during the Annual Meeting. To date 338 copies have been distributed (hard and soft).

Note: On 9-13-23 the FASC set a process and schedule for updating the NGEC two-pager for the 2024 version. The intent is to have it ready for distribution at the NGEC's Annual Meeting scheduled for 2-2-24.

- Multi-State Rail Car Procurement (provided by Caltrans to Steve Hewitt on 9-25-23:

The remaining Cab Car FDR submittals are in the final closure stage with all subsystems approved and final submittals are in the works. The Cab Car MCAT simulation report has been submitted to FRA via Amtrak additional clarifications provided. IDOT Café Car system level FDR reviews are complete and the requested Café Car MCAT simulations have also been submitted to the FRA for review.

The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car Complete FAI occurred on July 18 and the FRA Sample Car Inspection was completed on July 27. Open items from both are being addressed to prepare the cab car for PTC and 238 testing tentative for January.

137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is targeting revenue start in October pending completion of final open items.

- Metro-North Dual Mode Locomotive Equipment as of 9-27-23:

Ray Hessinger reported on 8-8-23 that he has not yet received the July report from Metro-North, so he tabled the update until the October Board Meeting. The Metro-North updates lag a month and are usually provided to NYSDOT around the second week of the month.

As of 9-27-23, there has been no update provided to the NGEC for September.

- Amtrak Equipment Procurement Update – as of 9-5-23:

On the new Acela: work continues on qualification issues with FRA for testing.

On the Charger Locomotives: Amtrak continues to progress deliveries – and they are doing well.

On the Airo trainsets: They are finishing Final Design Reviews (FDRs) and working on the car shell production. Things are moving along on schedule.

- Connecticut DOT Rail Car Procurement:

On 8-17-23, Marci Petterson, CtDOT, provided the following update to the technical subcommittee. On 9-5-23, Steve Hewitt read it into the record:

“CTDOT’s contract was awarded to Alstom on 8/3/23. Base order is for sixty cars – 19 cabs and forty-one trailers. There are options for up to an additional 272 cars. We are expecting a prototype 4-car consist in mid-2026. The delivery rate is four cars per month. Manufacturing is in Sahagun, Mexico.”

Marci specifically thanked the NGEC for the use of the NGEC Specification as a baseline for this procurement.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Update: 2024 NGEC Annual Meeting 2-2-24

- Document Control Progress Report – 9-5-23:

Dave Warner, on behalf of Document Control Manager Tammy Krause, summarized the revisions/updates to PRIIA 305-901 as approved by the Technical Subcommittee on 8-31-23.

After the initial review of the updates provided general agreement in the Technical Subcommittee, a cleaner version with comments showing what had changed was distributed and additional comments were provided by several members of the subcommittee a new version was produced and was approved by the subcommittee on 8-31-23.

Board members received the updated/approved version with comments remaining so the changes would be easily seen.

In closing the overview, Dave noted the goal of this effort was to seek approval of the updated 305-901 document.

- Consideration of adoption of the updated 305-901 Reference Spec as approved by the tech subcommittee:

On 9-5-23, following Dave Warner's summation, NGECH Chair Ray Hessinger asked if there were any questions or comments from Board members. Hearing none, he called for a motion to adopt PRIIA Reference Specification 305-901 Revision A as approved out of the Technical Subcommittee.

A motion to adopt was offered by Richard Kedzior, WisDOT and was seconded by John Oimoen, IDOT.

Steve Hewitt called the roll of voting members present or represented with the following results:

Ray Hessinger, NYSDOT – aye  
George Hull, Amtrak – aye  
John Oimoen, IDOT – aye  
Tim Ziethen, Amtrak – aye  
Mike Murray, FRA – aye  
Amanda Martin Iowa DOT – aye  
Amanda Martin as proxy for Troy Hughe, MODOT – aye  
Mike Jenkins, Oregon DOT – aye  
Mike Jenkins as proxy for Jason Biggs, WSDOT-aye  
Richard Kedzior, Wisconsin DOT – aye  
Jason Orthner, NCDOT – aye  
Brian Beeler II, for Maine DOT – aye

With a quorum having been established and all votes having been cast in the affirmative, Ray Hessinger determined that consensus had been achieved and the motion was approved.

The document will be cleaned up and the cover page will be circulated for the signatures of Tammy Krause, Document Control Manager, George Hull, Technical Subcommittee Chair and Ray Hessinger, NGECH Executive Board Chair.

Once finalized the document will be added to the (00 series as 901 Revision A and available upon request from Steve Hewitt.

Due to a tight budget, Steve Hewitt suggested that technical writing wait until the new funding begins – hopefully on 10-1-23. It was later determined that there was enough budget in the Technical Writer's budget to complete the incorporation of the revisions to 305-901 before the end of the current grant agreement and the document technical writing is complete.

- Filling Review Panels Vacancies:

On 9-5-23, the Review Panel vacancies were discussed. Both IDOT and Caltrans have vacancies on one or more of the Review Panels. IDOT is resolving internal staffing issues and will provide a name for its vacancy as soon as possible.

Caltrans was not represented on the last two Executive Board calls, so the discussion of filling their vacancies was tabled until the October Executive Board meeting.

- NGECE 2024 Annual Meeting:

The NGECE Annual meeting for 2024 is scheduled for 2-2-24 at the Hyatt Regency Hotel Capitol Hill, Washington, DC.

During the month of October 2023, the Executive Board met twice - on the 3<sup>rd</sup> and the 31<sup>st</sup>.

Highlights, decisions, and action items status updates from the month of October include:

Treasurer's Report – 10-31-23:

- On 10-31-23, Tim Ziethen reported:

Balance/Spend Rate Through August 2023

Total Initial Grant Amount: \$1,250,000.

Expenses incurred through August 2023: \$1,247,141.37

Balance remaining: \$2,858.63.

Estimated spending, at current rate, for balance of the Grant: \$15,025.80

Current Spend Rate per month (as info and used in calculating): \$15,025.80.

Estimated Balance at the end of the Grant Period: (\$12,167.17) over target.

Status updates provided by Tim Ziethen on 10-31-23:

- Amtrak submitted the 4<sup>th</sup> Quarter NGECE 305 Committee report to the FRA.
- Amtrak has extended the period of performance under contract with AASHTO – Strat is point of contact.
- Financials – Grant is exhausted (accrual basis) however Amtrak needs to submit past invoices for reimbursement using normal process.
- Amtrak AOP budget (\$260,000) is approved for NGECE 305 Committee – continued work funded per work plan.
- CRISI grant not awarded – Amtrak will request feedback from FRA.
- 6 mos. No-Cost extension approved – allowing billing driven by delay in invoicing (normal).
- Update to By-Laws

Previously confirmed no changes needed from Amtrak Legal – waiting for final confirmation.

Status – Contract Modifications for the Sub-Contractors:

Tim also noted that once the PO is executed between Amtrak and AASHTO, the contract modifications extending the sub-contractor agreements through 9-30-24 can be executed by AASHTO.

- 2023 NGECE two-pager:



The NGEC 2023 background/educational document was released in January and formally introduced during the Annual Meeting. To date 354 copies have been distributed (hard and soft).

- The FASC has begun the process of developing the 2024 version of the two-pager and is reviewing recommendations provided by John Oimoen, IDOT, and Steve Hewitt, NGEC Manager. On 11-8-23 further changes recommendations will be discussed by the FASC.

- Multi-State Rail Car Procurement as of 10-31-23 (provided by Caltrans):

The remaining Cab Car FDR items are in the closure stage with all subsystems approved and final submittals in work. The Cab Car MCAT simulation report has been approved by the states and the FRA. IDOT Café Car system level FDR reviews are complete and the requested Café Car MCAT simulations have also been submitted to the FRA for review.

The Cab Car Complete FAI and FRA sample car inspection occurred in July with open items in review and closure.

137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is preparing for crew familiarization and shakedown testing of the first trainset pending completion of maintainer safety training.

- Metro-North Dual Mode Locomotive Equipment as of 10-12-23:

Ray Hessinger presented the following update to the Executive Board as previously reported to the Technical Subcommittee on 10-12-23:

Metro North and Siemens conducted a First Article Inspection for the energy storage cubicle, the switchgear-and 3rd rail cubicle, the battery rack and 4 delta FAIs for changed cabinets on-site in Sacramento.

Metro North and Siemens agreed upon test values for a shock & vibration test for the 3rd rail current collector shoe mechanism.

MNR locomotive #301 is ready for low voltage cable tray installation (Q23) and is progressing in Final Assembly and MNR locomotive #302 is progressing per the DCS.

The FAI for the MNR traction converter was performed and the component was dispositioned as allowed to ship with minor open items.

- Amtrak Equipment Procurement Update – as of 10-31-23:

On the new Acela:

Amtrak continues to work on various approvals with FRA.

On the Charger Long-Distance Locomotives:

Amtrak continues to take delivery – with 36 units currently in service – and this procurement is on track.

On the Airo trainsets:

There are 10 car shells in production and the initial rabbit car is beginning testing. This procurement is proceeding on track.

- Connecticut DOT Rail Car Procurement:

On 10-12-23, Marci Petterson reported to the Technical Subcommittee that the kick-off meeting was held and they have begun pre-design meetings.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Planned Update: 2024 NGEC Annual Meeting 2-2-24

- Document Control Progress Report – 9-5-23:

Tammy Krause reported that on 10-26-23, the Technical Subcommittee approved the proposed work plan for document control. She emphasized that the specification reviews are starting now and that she will continue to provide updates on this at each Technical Subcommittee call. She also noted, “this is the first time we will be working on two specifications at a time”.

Below, is the work plan as approved on 10-26-23. The associated budgets were previously approved by the Executive Board.

Technical Subcommittee Approved Document Control Work Plan for FFY 2024:

1. Updating the Dual Mode Locomotive Specification (305-11)

- Request DCRs by 1/4/24
- Submit DCRs to the Propulsion WG by 1/18/24.
- Propulsion Group review the DCRs and return by 2/29/24.
- Submit to the Entire TSC 3/14/24 with comments due 3/28/24.
- Review with the TSC 4/11/24
- Vote on the acceptance of the proposed changes 4/25/24
- Submit to the EB 4/25/24.

2. Updating the Single Level Car Specification (305-003)

- Request DCRs by 2/1/23
- Submit DCRs to the appropriate WGs by 2/15/24.
- WGs to review the DCRs and return by 4/11/24.
- Submit to the entire TSC 4/25/24 with comments due 5/9/24.
- Review with the TSC 5/23/24
- Vote on the acceptance of the proposed changes 6/6/24
- Submit to the EB 6/6/24.

3. Continue De-Amtrakizing the PRIIA Subspecifications

- Complete the changes at a rate of 1 Subspecification every 3 weeks.

- Filling Vacancies:

NGEC Executive Board – Specification Review Panels/Members: 2023

Ray Hessinger, once again, reported on several Review Panels that have vacancies. The vacancies are seats that have always been filled by IDOT and Caltrans, and still should be.

Ray also reported that Jeff Gordon, FRA, announced last week to the Technical Subcommittee that he is retiring at the end of this calendar year. With the impending retirement of Jeff Gordon, FRA will have a vacancy on each of the Review Panels beginning 1-1-24.

Jeff Gordon acknowledged he is retiring at the end of December 2023, and provided the following:

Mike Murray will be FRA's representative on the Executive Board and the FASC and Melissa Shurland will be the FRA rep on the Technical Subcommittee and as team leader of the Mechanical Working Group. Jeff added that he had not talked with Melissa specifically about the Review Panels, but he believes she is the right fit as they are technical working groups. Jeff will discuss this with Melissa and let Steve Hewitt know.

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci  
NGEC Support – Steve Hewitt  
Technical Support – Tammy Krause  
Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair  
Vacant Caltrans  
Amanda Martin, Iowa DOT  
Jeff Gordon, FRA

Locomotive Review Panel:

Ray Hessinger, NYSDOT – Chair  
Vacant Caltrans  
Vacant - IDOT (to be vacant)  
Jason Biggs, Washington State DOT  
Jeff Gordon, FRA

Trainset Review Panel:

Ray Hessinger, NYSDOT – Chair  
Ed Engle, Iowa DOT  
Jason Biggs, Washington State DOT  
Jeff Gordon, FRA

Single Level Rail Car Review Panel:

Ray Hessinger, NYSDOT -- Chair  
Ed Engle, Iowa DOT  
Jason Biggs, WSDOT  
Jeff Gordon, FRA

DMU Review Panel Members:

Ray Hessinger, NYSDOT -- Chair  
Jeff Gordon, FRA  
Brian Beeler, for Maine DOT  
Vacant - Caltrans

Kyle Gradinger, Caltrans, will discuss Review Panel representation with Momo Tamaoki and ask for her recommendations as to Caltrans representation. He did note that Caltrans would want to remain on those panels but was not sure who would be the right person. He will get back to Steve Hewitt and Ray Hessinger.

- NGEC 2024 Annual Meeting:

The NGEC Annual meeting for 2024 is scheduled for 2-2-24 at the Hyatt Regency Hotel Capitol Hill, Washington, DC.

On 10-31-23, Ray Hessinger and Steve Hewitt provided an initial DRAFT agenda and asked that Board members review and comment on it by the 11-28-23 Executive Board meeting.

- Status – NGEC By-Laws Annual Review/Update NGEC two-pager:

Steve Hewitt reported that the By-Laws are under review by the FASC with recommendations expected to come out of the subcommittee after it meets next week (11-8-23).

The NGEC two-pager is also under FASC review with several recommendations being considered by its members. MODOT has, once again, agreed to take on the formatting and printing of the new version at no cost to the NGEC. (Thank you Troy and Laura).

- Considering the question of changing web-conference service provider from WebEx to Teams:

Based on input from both FRA and Amtrak and no concerns expressed by the Technical Subcommittee members or the Executive Board, Ray Hessinger determined that the preference seems to be to switch from WebEx to Teams. Steve Hewitt will research costs and report to the Board before moving to Teams.

During the month of November 2023, the Executive Board met once – on the 28th.

Highlights, decisions, and action items status updates from the month of November include:

Treasurer's Report – 11-30-23:

Balance/Spend Rate Through September 2023

Total Initial Grant Amount: \$1,250,000.

Expenses incurred through September 2023: \$1,257,530.66

Balance remaining: (\$7,530.66).

Current Spend Rate per month (as info and used in calculating): \$15,150.97.

Estimated Balance at the end of the Grant Period: (\$7,530.66).

Amtrak will pick up the overage as noted previously.

Status: 6-month no-cost grant agreement extension:

The 6-month no-cost agreement has been approved and will allow a drawdown for any additional expenses that may come in against the prior grant for 6-months.

Strat Cavros, AASHTO, confirmed that he has received and signed the 6-month no-cost extension.

Prior Grant Agreement Close-out items – actions:

Tim Ziethen reported that there will be certain close out actions required by the end of March 2024, and that he is working with the Amtrak grants office to identify what those actions are.

Status – Contract Modifications for the Sub-Contractors:

Tim Ziethen reaffirmed that the Amtrak AOP budget (\$260,000) is approved for NGEC 305 Committee – continued work funded per work plan. Tim also noted that the PO language has been sent to AASHTO and once executed, between Amtrak and AASHTO, the contract modifications extending the sub-contractor agreements through 9-30-24 can be executed by AASHTO.

Strat Cavros stated that there was some language that needed to be ironed out and that he and Tim should discuss. Once the language is resolved he will formally issue the sub-contractor modification/extension.

Seeking Long-Term Funding – discuss next steps/options:

Tim Ziethen reported that there still needs to be discussions of long-term funding. He noted that another CRISI NOFO will be coming out next year and Amtrak could, again, apply for funding for the NGEC through that program. Tim also noted that Amtrak and FRA are planning to meet to discuss other potential funding options.

Status: Requesting a Debrief with FRA on the previous CRISI Grant Application:

Tim also reported that Amtrak had its debrief with FRA on the CRISI grant application submitted for NGEC funding. FRA stated that there were no issues with the application it was well done and

provided the right information, it was simply a matter of the requests coming in out-weighed the funds available, and FRA had to make decisions on which applications to award with limited funds available. Tim noted that they were encouraged to apply again in the next round as well as continue to discuss other potential options.

#### By-Laws Annual Review – FASC Recommendation

Tim reported that the FASC is recommending no changes to the By-Laws are needed at this time.

Steve Hewitt provided a summary of the steps in the review process that led to the decision by the FASC to recommend no changes after completing the annual review. He also pointed out that no formal action was required, unless Board members felt there were changes needed. If that were the case a Board member would be able to submit proposed changes at any time in writing. After being in their possession for 30-days, the Board could bring the proposed changes up for consideration of adoption.

With no additional comments forthcoming, the Board accepts the FASC recommendation and Steve Hewitt will note that the Annual Review took place and no formal action was required as no changes were recommended.

#### NGEC two-pager updates for 2024 version – FASC Recommendations:

On 11-28-23, Steve Hewitt walked through the FASC recommendations for updating the two-pager for 2024:

##### FASC Recommendations for updates to the two-pager for 2024:

On Page one:

- Insert a new photo.
- Change date to 2024 in the upper right-hand corner.
- Update the Timeline column by including current numbers of Charger Locomotives and Venture cars in service. (John Oimoen, provided updated numbers (64 in service 68 by year's end) but Steve has not received numbers on the Chargers. Steve will ask Joe Paul, Amtrak, if he has updated numbers.)
- Troy Hughes that on the timeline the updating of the 305-900 NGEC Reference specification series be included so as to show that there were activities during 2023.

Action: Joe Paul agreed there are 68 IDOT Venture cars in service today (11-28-23) and that he will provide updated numbers on the Chargers as well.

On Page two:

- Update the photos. Steve noted there are three currently on Page two and refreshing them would be good to do. (John Oimoen sent photos of the interiors and Art Peterson sent new exterior pictures. These were all forwarded to the FASC prior to this call – 11-8-23).
- Steve Hewitt noted that he was aware of one additional entity - Utah Transit Authority (UTA)- that was using the NGEC specs. All other listed under Realization on the second page continue to be relevant. He asked members of FASC to let him know if there are others.
- Troy Hughes commented on the GOALS stated on page two and was concerned that it is inaccurate as the cost savings have not necessarily been realized. Steve Hewitt suggested that while it may not have happened yet, the goal to get there still exists. He suggested the line below the stated goal be removed for accuracy.

Action: John Oimoen has additional – more of a broader interior view – photos of the café car which would be “more representative of what it looks like”. John will get the photos to Steve Hewitt.

Members are asked to provide any photos they may want to include for consideration as well as any additional comments or suggestions beyond those recommended by the FASC. Steve Hewitt noted that the review and information requested should be completed by the December meeting of the Executive Board to allow MODOT graphic arts time to format and produce the 2024 version.

- Multi-State Rail Car Procurement as of 11-28-23 (provided by Caltrans):

The remaining Cab Car FDR items are in the closure stage with final submittals in work. The Cab Car MCAT simulation report has been approved by the states and the FRA. IDOT Café Car system level FDR reviews are complete and the requested Café Car MCAT simulations have also been submitted to the FRA for review.

The Cab Car Complete FAI and FRA sample car inspection occurred in July with open items in review and closure.

137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is preparing for crew familiarization and shakedown testing of the first trainset pending completion of maintenance items and necessary training.

On 11-28-23, Kyle Grading, Caltrans, added that they were starting the maintenance and training today and expect to begin revenue service by the middle of next week (week of 12-3-23).

- Metro-North Dual Mode Locomotive Equipment as of 11-28-23:

Ray Hessinger reported that he has not received an update from Metro-North for October and therefore did not have much to provide beyond what was previously reported. Primary focus has been on FAIs on many types of components and everything has been proceeding on schedule.

- Amtrak Equipment Procurement Update – as of 11-28-23:

On the new Acela:

Work continues on various qualifications.

On the Charger Locomotives:

Amtrak continues to take delivery of units and add routes where they are in service. All is moving along well.

On the Airo trainsets:

There are car shells in production and they are finalizing FAI's.

On the Long-Distance procurement – an RFP should be out by the end of the year.

- Connecticut DOT Rail Car Procurement:

On 10-12-23, Marci Petterson reported to the Technical Subcommittee that the kick-off meeting was held and they have begun pre-design meetings.

There was no update provided in November.

Next Planned Update: 2024 NGEC Annual Meeting 2-2-24 (invited)

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Planned Update: 2024 NGEC Annual Meeting 2-2-24 (invited)

- Document Control Progress Report – 11-28-23:

Update Specification 305-901 is ready to be signed except I need to remove the signature line for Amtrak's CMO. Should be with Ray Hessinger this week for his signature.

The Materials Working Group (WG) continues to meet and work their way through the Single Level Specification. This week they worked on Dissimilar Metals, Aluminum Corrosion Protection and Aluminum Finishing.

Tammy is updating the WG Member Lists and I will be sending them to the WG Leaders. Melissa Shurland will replace Jeff Gordon on the Mechanical WG, and the Weigh WG will hopefully finish their tasks before Jeff retires.

- Filling Vacancies:

On 11-28-23, Ray Hessinger discussed several Review Panels that have vacancies. The vacancies are seats that have always been filled by IDOT and Caltrans, and still should be. It was previously agreed that these seats will remain with those two states – but neither has named their representative. There will also be a change in representation by FRA on each of the Review Panels with the year end retirement of Jeff Gordon.

NGEC Executive Board – Specification Review Panels/Members: 2023

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci

NGEC Support – Steve Hewitt

Technical Support – Tammy Krause

Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair

Vacant Caltrans

Amanda Martin, Iowa DOT

Melissa Shurland, FRA

Locomotive Review Panel:

Ray Hessinger, NYSDOT – Chair

Vacant Caltrans

Vacant - IDOT (to be vacant)

Jason Biggs, Washington State DOT

Melissa Shurland, FRA

Trainset Review Panel:

Ray Hessinger, NYSDOT – Chair

Ed Engle, Iowa DOT

Jason Biggs, Washington State DOT

Melissa Shurland, FRA

Single Level Rail Car Review Panel:

Ray Hessinger, NYSDOT -- Chair

Ed Engle, Iowa DOT

Jason Biggs, WSDOT

Melissa Shurland, FRA

DMU Review Panel Members:

Ray Hessinger, NYSDOT -- Chair

Jeff Gordon, FRA Melissa Shurland, FRA

Brian Beeler, for Maine DOT

Vacant - Caltrans

Kyle Gradinger, Caltrans will discuss Review Panel representation with Momo Tamaoki and ask for her recommendations as to Caltrans representation. He did note that Caltrans would want to remain on those panels but was not sure who would be the right person. He will get back to Steve Hewitt and Ray Hessinger.

John Oimoen, IDOT stated that he is still in the process of filling the vacancy left by Jennifer Bastian leaving IDOT, and he currently does not have anyone to take her place on these panels. He agreed that IDOT should retain its seat on the panels it has been on but may not have a name until after the Annual Meeting.

Jeff Gordon, FRA, stated that he would suggest that Melissa Shurland, who will take his place on the Technical subcommittee when he retires at the end of the year, be named as the FRA's Review Panels representative at least for the time being.

Steve Hewitt has made the FRA representation change and will await word from Caltrans and IDOT.

- NGEN 2024 Annual Meeting:

The NGEN Annual meeting for 2024 is scheduled for 2-2-24 at the Hyatt Regency Hotel Capitol Hill, Washington, DC.

On 11-28-23, Ray Hessinger and Steve Hewitt presented an updated DRAFT agenda and asked that the members inform ray and Steve as to who will be their presenters on specific agenda items. Some speakers were confirmed on 11-28-23, but additional speakers still need to be named.

This year the Officers will be elected to new two year terms as will the states. States were asked to let Steve Hewitt and Ray Hessinger know if they intend to remain on the Board and to confirm representation.

On 11-29-23, George Hull, Amtrak, informed Steve Hewitt, and Ray Hessinger that he is appointing his Deputy CMO as Chair of the Technical subcommittee and to take his place as Vice Chair of the NGEN Executive Board.

Ray Hessinger appointed a nominating committee (per the By-Laws) to present nominees for the slate of officers and for state Executive Board members.

As for the officers, both Ray Hessinger, NYSDOT (Chair) and John Oimoen, IDOT (Secretary) have expressed their interest in remaining in their current roles. The Vice Chair is always a representative from the Amtrak CMO office and the Treasurer is also an Amtrak representative.

Below is an updated link for the 2024 Winter Rail Meeting provided by Kamasha Hendrickson, AASHTO Senior Meeting Planner:

The per diem rate is now \$193 per night (single/Double rooms).

<https://www.hyatt.com/en-US/group-booking/WASRW/G-HTO4>  
Cut-Off Date: January 5, 2024

- Considering the question of changing web-conference service provider from WebEx to Teams:

Based on input from both FRA and Amtrak and no concerns expressed by the Technical Subcommittee members or the Executive Board, Ray Hessinger determined that the preference is to switch from WebEx to Teams. Steve Hewitt has researched costs and reported to the Board that moving to Teams requires a minimal expense and he will absorb the cost.

During the month of December 2023, the Executive Board met once – on the 19th.

Highlights, decisions, and action items status updates from the month of November include:

Treasurer's Report – 12-31-23:

- Balance/Spend Rate Through September 2023 – end of prior Grant:

Total Initial Grant Amount: \$1,250,000.  
Expenses incurred through September 2023: \$1,257,530.66  
Balance remaining: (\$7,530.66).



Current Spend Rate per month (as info and used in calculating): \$15,150.97.  
Estimated Balance at the end of the Grant Period: (\$7,530.66).

Amtrak is seeking reimbursement for funding the overage in September.

On the new "interim" 12-month funding, Tim will be providing Steve Hewitt with the Balance and Spend rate info. The amount budgeted for the 12-month period is \$260,000. The current run rate continues to be about \$15,000 per month.

Prior Grant Agreement Close-out items – actions:

There will be certain close out actions required by the end of March 2024. Tim is working with the Amtrak grants office to identify what those actions are.

Status – Contract Modifications Amtrak/AASHTO and AASHTO/Sub-Contractors:

Tim is working with AASHTO and may need to do a new contract with them rather than a simple extension. Seems to be a difference of opinion about the funding levels with the actual amount being more than what AASHTO understood (this is a good thing – in that there is more actually available rather than less). The \$260,000 budgeted should leave the NGECC in a positive balance at the end of the period.

Seeking Long-Term Funding – discuss next steps/options:

Tim Zithen reported that there still needs to be discussions of long-term funding. He noted that another CRISI NOFO will be coming out next year and Amtrak could, again, apply for funding for the NGECC through that program. Tim also noted that Amtrak and FRA are planning to meet to discuss other potential funding options. He added that the FASC will begin discussions of alternate funding sources as well on the next call – 1-4-24.

By-Laws Annual Review – FASC Recommendation

In December, the Executive Board accepted the FASC recommendation that no changes be made to the By-Laws for 2023.

NGECC two-pager updates for 2024 version – FASC Recommendations:

The Executive Board has accepted the changes recommended by the FASC and has asked Steve Hewitt and Ray Hessinger to finalize choice of photos and provide Laura Seabaugh, MODOT with the recommended changes and photos for formatting and finalizing the 2024 version.

Joe Paul, Amtrak agreed to provide updated numbers on the Chargers. He has agreed that 68 is the correct number for the Venture Cars in service.

- Metro-North Dual Mode Locomotive Procurement – Ray Hessinger, NYSDOT:

Ray Hessinger provided the following update:

Metro-North (MNR) has picked up options for 8 additional locomotives (Base is 19), CTDOT picked up options for an additional 6 locomotives.

Metro-North (MNR) and Siemens conducted the FAI for the truck completely assembled (with pre-series Schunk current collector installed) in the Siemens factory in Sacramento on 11-29-23.

On 11-29-23, Siemens and Metro-North performed the data maintenance demonstration of truck and collector assemblies.

MNR Locomotive #301 completed low voltage cable tray installation and is progressing towards machine room complete and ready for install.

MNR Locomotive #302 completed car shell painted and ready for final assembly and is progressing according to schedule in sub-assembly.

MNR, LIRR and Siemens started technical design clarification meetings and agreed on a monthly meeting going forward.

All FDRs are finalized and closed.

- Multi-State Rail Car Procurement as of 12-19-23 (provided by Caltrans):

The remaining Cab Car FDR items are in the final closure stage. The Cab Car MCAT simulation report has been approved by the states and the FRA. IDOT Café Car system level FDR reviews are complete, and the requested Café Car MCAT simulations have also been approved by FRA.

The Cab Car Complete FAI and FRA sample car inspection occurred in July with open items in review and closure.

137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans and Amtrak have completed shakedown testing of the first trainset, with revenue service pending some final maintenance items.

Kyle added – good news – that they expect to have a “quiet rollout” of the first trainset beginning Thursday, 12-20-23, with a bigger event with the governor involved after 30 days of being failure free.

- Amtrak Equipment Procurement Update – as of 12-31-23:

On the Charger Locomotive:

57 of 125 units have been delivered or are in progress and 42 are in active service and are expanding to more routes.

On the Airo Trainset:

There are 22 vehicles in production – 20 railcars and 2 locomotives.

On the Acela:

Waiting on FRA to finish review of Test Plan – anticipated by next Wednesday (12-27-23).

On the Long Distance Fleet:

The release of the RFP is expected to occur shortly.

On the Long-Distance procurement – an RFP should be out by the end of the year.

- Connecticut DOT Rail Car Procurement:

On 10-12-23, Marci Petterson reported to the Technical Subcommittee that the kick-off meeting was held and they have begun pre-design meetings.

No update provided in December.

Next Planned Update: 2024 NGEC Annual Meeting 2-2-24 (CtDOT invited)

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

Next Planned Update: 2024 NGEC Annual Meeting 2-2-24 (VIA Rail has accepted the invite to provide an update presentation “virtually” during the NGEC 2024 Annual Meeting.

- Document Control Progress Report – 12-19-23:

Update Specification 305-901 has been signed by Ray Hessinger; it is currently with George Hull for signature.

I have updated the WG Member Lists and sent them to the WG Leaders. I did have a few additions and will be sending a revised member list to Steve Hewitt.

- Filling Vacancies:

NGEC Executive Board – Specification Review Panels/Members: 2024

Ray Hessinger, once again, reported on several Review Panels that have vacancies. The vacancies are seats that have always been filled by IDOT and Caltrans, and still should be.

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci

NGEC Support – Steve Hewitt

Technical Support – Tammy Krause

Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair

Vacant Caltrans

Amanda Martin, Iowa DOT

Melissa Shurland, FRA

Locomotive Review Panel:

Ray Hessinger, NYSDOT – Chair

Vacant Caltrans

Vacant - IDOT

Jason Biggs, Washington State DOT

Melissa Shurland, FRA

Trainset Review Panel:

Ray Hessinger, NYSDOT – Chair

Ed Engle, Iowa DOT

Jason Biggs, Washington State DOT

Melissa Shurland, FRA

Single Level Rail Car Review Panel:

Ray Hessinger, NYSDOT -- Chair

Ed Engle, Iowa DOT

Jason Biggs, WSDOT

Melissa Shurland, FRA

DMU Review Panel Members:

Ray Hessinger, NYSDOT -- Chair

Melissa Shurland, FRA

Brian Beeler, for Maine DOT

Vacant - Caltrans

Action:

Kyle Grading is still working on determining who will be Caltrans representative on the various Review Panels but agreed that Caltrans does want to remain on those panels. John Oimoen had previously stated that IDOT was filling vacancies internally and would not have a name for filling the Review Panel seat until the internal vacancies are filled. The seat will be held for IDOT.

Note: John Oimoen, IDOT announced his retirement effective 12-31-23. On 12-30-23, John provided Steve Hewitt with the names of those who will fill the various seats John held with the NGEC: Melina Perez will be IDOT's representative on the Executive Board and the Finance and Administrative Subcommittee and Todd Poppish will be the alternate.

Art Peterson will remain as the IDOT rep on the Technical Subcommittee.

No one has yet been named to serve for IDOT on the Review Panels.

- NGEC 2024 Annual Meeting:

Steve Hewitt is focused on the need for getting speakers named for the various agenda items.

FRA Update: Jeff Gordon suggested Mike Murray be named to provide FRA's update, although he is likely going to split the update into two presentations. For now, Steve Hewitt will list Mike.

Steve Hewitt will reach out again to CTDOT to ascertain their interest in giving presentations on their procurements.

Ray Hessinger reached out again to Metro-North after the call and MN agreed to give the update on the Dual Mode Locomotive procurement but they have not named the presenter yet.

Caltrans, IDOT and Washington State are asked to confirm speakers for their presentations on their procurements and/or experiences with the Chargers and Venture Cars. Still TBD.

Steve Hewitt will send a check list to Kyle Grading on Caltrans topics in need of speakers. Caltrans will give their presentations virtually.

Tim Ziethen will get an Amtrak Government Affairs person for the Amtrak update and let Steve Hewitt know.

Below is the updated link for the 2024 Winter Rail Meeting provided by Kamasha Hendrickson, AASHTO Senior Meeting Planner:

The per diem rate is now \$193 per night (single/Double rooms).

<https://www.hyatt.com/en-US/group-booking/WASRW/G-HTO4>

Cut-Off Date: January 5, 2024

- Considering the question of changing web-conference service provider from WebEx to Teams:

Based on input from both FRA and Amtrak and no concerns expressed by the Technical Subcommittee members or the Executive Board, Ray Hessinger determined that the preference is to switch from WebEx to Teams. Steve Hewitt has researched costs and reported to the Board that moving to Teams requires a minimal expense and he will absorb the cost.

The move to Teams will take place at some point after the first of the year (2024).

Officers & State Executive Board Member Elections – Ray Hessinger:

Ray Hessinger noted that the election of officers and State Board members will take place at the Annual Meeting in February (2-2-24).

Steve Hewitt walked through the process and asked that State members confirm, on the next call, if their State would like to remain on the Executive Board and to confirm their representative.

Two officer positions will be up for election – Chair (Ray Hessinger) and Secretary (John Oimoen). These are State positions. The Vice Chair and Treasurer, by precedent, are Amtrak representatives – currently George Hull as Vice Chair and Tim Ziethen as Treasurer.

On 11-28-23, Ray Hessinger confirmed his interest in staying on for another two-year term as Chair.

On 11-29-23, George Hull informed Ray Hessinger and Steve Hewitt that he is naming his deputy CMO, Dan Ruppert, as the Vice Chair of the NGEC Executive Board and Chair of the Technical Subcommittee beginning after the Annual Meeting.

On 12-19-23, Tim Ziethen confirmed that he will stay on as Treasurer and Chair of the FASC.

On 12-19-23, John Oimoen, IDOT, announced his retirement at the end of the year. This will leave a vacancy for NGEC Board Secretary and for the 2<sup>nd</sup> Vice Chair position on the FASC.

John Oimoen, in announcing his retirement, commented that the NGEC was one of the more rewarding parts of his career. This committee from the outset, dating back to Bill Bronte has accomplished so much in developing specs that are now used across the country and in advancing passenger rail in the US. John also noted that he had the unique experience of serving on the NGEC from two States – initially Wisconsin and most recently for IDOT. He thanked everyone for the opportunity to represent his agency and to serve as Secretary of the NGEC Executive Board and Vice Chair of the Finance and Administrative Subcommittee. He believes the NGEC has played an integral part in moving passenger rail forward and he hopes it is able to continue doing so.

Steve Hewitt, Ray Hessinger, and Kyle Gradinger each thanked John Oimoen for all he has done for the NGEC and for passenger rail in the US. John has been an active member of the NGEC (from two states) and as an officer for several terms on the Executive Board. John has been an invaluable resource and asset and will be greatly missed.

On 12-19-23, Chairman Hessinger appointed Mike Jenkins Oregon DOT, to the Nominating Committee to fill the slot vacated by the retirement of John Oimoen.

Nominating committee:

Amanda Martin, Iowa DOT  
Mike Jenkins, Oregon DOT  
Troy Hughes, MODOT

Actions:

States are again asked to inform Steve Hewitt as to their interest in remaining on the Board and to confirm who their representative to the Board will be.

Steve Hewitt has set up a call with the nominating committee members for 1-9-24 to discuss what their role is.

Mike Jenkins will talk to Jason Biggs, WSDOT, to see if he would be interested in being nominated for NGEC Secretary.

Steve Hewitt asked members and support to let him know if they plan to attend the Annual Meeting and, if so, if they will attend in person or virtually.

During the month of January 31, 2024, the Executive Board met once – on the 23rd.

Highlights, decisions, and action items status updates from the month of January 2024 include:

- Treasurer's Report – 1-31-24:

Balance/Spend Rate Through November 2023

Total Initial Grant Amount : \$1,510,000 (using the current budgeted amount along with the prior grant funds)

Expenses incurred through November 2023: \$1,281,798.13

Balance remaining: \$228,187.

Current Spend Rate per month \$14,904.

Status – Contract Modifications Amtrak/AASHTO and AASHTO/Sub-Contractors:

Tim reported that he had sent Strat Cavros, AASHTO, a notice of what to use for authorization on what is a valid and open purchase order and that he has asked Amtrak Procurement to re-issue the Purchase Order using the budgeted amount. (Strat confirmed receipt of the notice).

Tim noted that this should enable AASHTO to officially extend the contract with all of the sub-contractors as previously approved in the budget.

Seeking Long-Term Funding:

The intent is to continue to seek long-term funding for the NGECC. The interim funding being provided by Amtrak for FY 2024 is not intended to be long-term rather a stop-gap to keep the NGECC going while it explores funding options. Amtrak intends to apply again in the next round of CRISI Grant funding and will look into other potential options.

By-Laws Annual Review – FASC Recommendation

The 2023 review resulted in no changes being recommended. The By-Laws will next be reviewed in the Fall of 2024.

NGECC two-pager updates for 2024 version – FASC Recommendations:

The NGECC 2024 Background and Educational document has been finalized and will be distributed in hard copy at the Annual Meeting (2-2-24) and electronically to all members of the NGECC.

Thank you to Missouri DOT Graphic Arts (Laura Seabaugh) for once again formatting and printing the new version.

- Metro-North Dual Mode Locomotive Procurement:

Metro-North (MNR) has picked up options for 8 additional locomotives (Base is 19), CTDOT picked up options for an additional 6 locomotives.

Metro-North (MNR) and Siemens conducted the FAI for the truck completely assembled (with pre-series Schunk current collector installed) in the Siemens factory in Sacramento on 11-29-23.

On 11-29-23, Siemens and Metro-North performed the data maintenance demonstration of truck and collector assemblies.

MNR Locomotive #301 completed low voltage cable tray installation and is progressing towards machine room complete and ready for install.

MNR Locomotive #302 completed car shell painted and ready for final assembly and is progressing according to schedule in sub-assembly.

MNR, LIRR and Siemens started technical design clarification meetings and agreed on a monthly meeting going forward.

Metro-North will provide a detailed update during the Annual Meeting on 2-2-24.

- Multi-State Venture Rail Car Procurement:

The remaining Cab Car FDR items are in the final closure stage. The Cab Car MCAT simulation report has been approved by the states and the FRA. IDOT Café Car system level FDR reviews are complete, and the requested Café Car MCAT simulations have also been approved by FRA.

TCab Car complete FAI and FRA sample car inspections have occurred with final open items in review and closure.

137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service. The first Caltrans trainset is now in service on the Amtrak San Joaquins.

Caltrans will provide a detailed update on the Venture Rail Car procurement and its experience with both the Charger locomotive and the Venture Rail Car during the Annual Meeting 2-2-24.

- Amtrak Equipment Procurement Update:

On the Charger Locomotive:

63 with 59 active of the state units are in active service. 39 ACL 42's are active. George Hull to confirm these numbers and follow-up with Steve Hewitt)

On the Airo Trainset:

There are 24 vehicles in production – 22 railcars and 2 locomotives - and it is on track.

On the Acela:

Waiting on FRA to finish review of Test Plan – expecting to begin re-testing next week.

Amtrak will provide a detailed presentation on its vehicle procurements, and experience with those that are in service during the NGEC Annual Meeting on 2-2-24.

- Connecticut DOT Rail Car Procurement:

On 10-12-23, Marci Petterson reported to the Technical Subcommittee that the kick-off meeting was held and they have begun pre-design meetings.

No update provided in January.

CtDOT will provide a more detailed presentation on its procurement during the Annual Meeting on 2-2-24.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

VIA Rail will provide a detailed presentation on its procurement program during the NGEC Annual Meeting on 2-2-24.

- Document Control Progress Report:

The Materials Working Group met on 1-22-24 and are continuing their work on car body materials. Yesterday's discussion concerned bolt shear strength and slip resistant connections.

The Weight Working Group has submitted a document for review and approval by the technical subcommittee. Several last-minute comments on the Vehicle Weight specification were received at last Thursday's Technical subcommittee meeting.

The technical subcommittee voted to have the Vehicle Weight Working Group take additional time to evaluate the comments. The additional work will begin after the Annual Meeting. There is no estimate of a completion date because this is such a weighty matter.

Tammy Krause, Document Control Manager for the NGEC will provide a detailed presentation with a look at 2023 and a look ahead to what activities will be undertaken in 2024.

- Filling Vacancies:

IDOT has named Melina Lopez as its representative to the NGEN Executive Board and the NGEN FASC, effective 1-1-24. Todd Popish will be IDOT's alternate on both the Board and the FASC.

Art Peterson will remain as the IDOT rep on the Technical Subcommittee.

Specification Review Panels/Members: 2024

As of 1-31-24, these vacancies remain:

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci

NGEN Support – Steve Hewitt

Technical Support – Tammy Krause

Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair

Vacant Caltrans

Amanda Martin, Iowa DOT

Melissa Shurland, FRA

Locomotive Review Panel:

Ray Hessinger, NYSDOT – Chair

Vacant Caltrans

Vacant - IDOT

Jason Biggs, Washington State DOT

Melissa Shurland, FRA

Trainset Review Panel:

Ray Hessinger, NYSDOT – Chair

Ed Engle, Iowa DOT

Jason Biggs, Washington State DOT

Melissa Shurland, FRA

Single Level Rail Car Review Panel:

Ray Hessinger, NYSDOT -- Chair

Ed Engle, Iowa DOT

Jason Biggs, WSDOT

Melissa Shurland, FRA

DMU Review Panel Members:

Ray Hessinger, NYSDOT -- Chair

Melissa Shurland, FRA

Brian Beeler, for Maine DOT

Vacant - Caltrans

No one has yet been named to serve for IDOT on the Review Panels.

- NGEN 2024 Annual Meeting:

The NGEN 2024 Annual meeting will be held on 2-2-24 at the Hyatt Regency Hotel, Capitol Hill, Washington, DC. It will, once again, be held in conjunction with other rail-related meetings being held that week including SPRC, SAIPRC and AASHTO CORT.

AASHTO has provided the hotel link for the rail meetings to be held during that week. As always, the NGEN is a part of several meetings held in conjunction with AASHTO's Council on Rail Transportation.

On 1-23-24, most speakers were confirmed with a few yet to be resolved.



All presentations were to be sent to Steve Hewitt by 1-29-24 and were asked to utilize the new NGEC PowerPoint Template as sent around recently by Steve Hewitt. As of 1-31-24, Steve Hewitt had received nearly all presentations.

- Considering the question of changing web-conference service provider from WebEx to Teams:

The move to Teams began with the 1-23-24 NGEC Executive Board meeting.

Officers & State Executive Board Member Elections:

The nominating committee met on 1-9-24 and coming out of the meeting, Amanda Martin, Iowa DOT has agreed to be nominated for Secretary of the NGEC Executive Board and second vice chair of the FASC.

Process:

The nominating committee will first nominate the states to be re-elected to the Executive Board.

After that, per NGEC By-Laws, the elected Board members elect the officers. A representative of the nominating committee will offer a slate of officers for nomination. The slate will include the Amtrak Reps appointed by the CMO – George Hull - to serve as vice chair of the NGEC Executive Board and chair of the Technical subcommittee (Dan Ruppert) and the reappointment of Tim Ziethen as Treasurer of the NGEC and chair of the FASC.

States, and the representatives to be nominated during the NGEC Annual meeting to new two-year terms as members of the NGEC Executive Board are:

New York State Department of Transportation  
Representative: Ray Hessinger  
[raymond.hessinger@dot.ny.gov](mailto:raymond.hessinger@dot.ny.gov) – 518 457-8075

Iowa Department of Transportation  
Representative: Amanda Martin  
[amanda.martin@iowadot.us](mailto:amanda.martin@iowadot.us) 515 239-1653

Illinois Department of Transportation  
Representative: Melina Lopez  
[Melina.lopez@illinois.gov](mailto:Melina.lopez@illinois.gov)

Missouri Department of Transportation  
Representative: Troy Hughes  
[troy.hughes@modot.mo.gov](mailto:troy.hughes@modot.mo.gov)

North Carolina Department of Transportation  
Representative: Jason Orthner  
[jorthner@ncdot.gov](mailto:jorthner@ncdot.gov) –

Washington Department of Transportation  
Representative: Jason Biggs  
[BiggsJr@wsdot.wa.gov](mailto:BiggsJr@wsdot.wa.gov)

Wisconsin Department of Transportation  
Representative: Richard Kedzior  
[Richard.kedzior@dot.wi.gov](mailto:Richard.kedzior@dot.wi.gov)

California Department of Transportation  
Representative: Kyle Gradingier  
[kyle.gradingier@dot.ca.gov](mailto:kyle.gradingier@dot.ca.gov)

Oregon Department of Transportation  
Representative: Michael Jenkins

[Michael.I.jenkins@odot.state.or.us](mailto:Michael.I.jenkins@odot.state.or.us)

Maine Department of Transportation  
Representative: NNEPRA - Brian Beeler II  
[brian@nnepra.com](mailto:brian@nnepra.com) – c. 207 899-6089 p.207-780-1000 ext. 102

The full slate of officers to be nominated is:

Chair: Ray Hessinger, NYSDOT  
Vice Chair: Dan Ruppert, Amtrak  
Treasurer: Tim Ziethen, Amtrak  
Secretary: Amanda Martin, Iowa DOT

Nominating committee:

Amanda Martin, Iowa DOT  
Mike Jenkins, Oregon DOT  
Troy Hughes, Missouri DOT

During the month of February 2024, the Executive Board met once – during the Annual Meeting held on 2-2-24.

Highlights, decisions, updates from the Annual Meeting:

The NGEC Annual meeting was held on 2-2-24. There were around 50 in-person attendees and 40-45 virtual attendees at this year's meeting. This number is down somewhat from the 2023 Annual Meeting, but still a significant number which shows that there is continued strong interest in the work of the NGEC.

Speaker presentations were some of the best, most informative that have been given since the start of the NGEC in January 2010. As more work is getting done and vehicles are being produced and put into service, the presentations have more detail and tell a story of success and growth in intercity passenger rail and the procurement of new vehicles using NGEC specifications as the base spec. The presentations and a detailed set of minutes of the Annual Meeting can be viewed on the NGEC website at [www.ngec.org](http://www.ngec.org).

At the meeting, elections were held and the current State members of the Executive Board were elected to new two-year terms. All ten of the states that have been on the Board remained – some with new representation due to retirements or other changes. Officers were also elected or appointed to new two-year terms effective at the conclusion of the meeting.

The officers of the NGEC are:

Ray Hessinger, NYSDOT – Chair  
Dan Ruppert, Amtrak – Vice Chair and Chair of the Technical subcommittee  
Tim Ziethen, Amtrak – Treasurer and Chair of the Finance and Administrative subcommittee (FASC)  
Amanda Martin, Iowa DOT – Secretary and Second Vice Chair of the FASC

Full Executive Board Voting member list as of 2-2-24:

State Members:

New York State Department of Transportation  
Representative: Ray Hessinger  
[Raymond.hessinger@dot.ny.gov](mailto:Raymond.hessinger@dot.ny.gov).

Iowa Department of Transportation  
Representative: Amanda Martin  
[amanda.martin@iowadot.us](mailto:amanda.martin@iowadot.us)

North Carolina Department of Transportation  
Representative: Jason Orthner

[jorthner@ncdot.gov](mailto:jorthner@ncdot.gov)

Washington Department of Transportation  
Representative: Jason Biggs  
[Biggsjr@wsdot.wa.gov](mailto:Biggsjr@wsdot.wa.gov)

Wisconsin Department of Transportation  
Representative: Richard Kedzior  
[Richard.kedzior@dot.wi.gov](mailto:Richard.kedzior@dot.wi.gov)

Missouri Department of Transportation  
Representative: Troy Hughes  
[Troy.Hughes@modot.mo.gov](mailto:Troy.Hughes@modot.mo.gov)

California Department of Transportation  
Representative: Kyle Gradinger  
[kyle.gradinger@dot.ca.gov](mailto:kyle.gradinger@dot.ca.gov)

Oregon Department of Transportation  
Representative: Michael Jenkins  
[Michael.I.jenkins@odot.state.or.us](mailto:Michael.I.jenkins@odot.state.or.us)

Maine Department of Transportation  
Representative: Brian Beeler II, NNEPRA – designated by Maine DOT  
[brian@nnepra.com](mailto:brian@nnepra.com) – c. 207 899-6089 p.207-780-1000 ext. 102

Illinois Department of Transportation  
Representative: Melina Lopez  
[Melina.lopez@illinois.gov](mailto:Melina.lopez@illinois.gov)

AMTRAK:

Representative: Dan Ruppert  
[Rupperd@amtrak.com](mailto:Rupperd@amtrak.com)

Representative: Tim Ziethen, Amtrak  
[Ziethet@amtrak.com](mailto:Ziethet@amtrak.com)

Federal Railroad Administration:

Representative: Mike Murray  
[Michael.murray@dot.gov](mailto:Michael.murray@dot.gov)

Ongoing items as of 2-29-24:

- Treasurer's Report:

- 

Balance/Spend Rate Through December 2023 – end of prior Grant:

Total Initial Grant Amount: \$1,510,000.

Expenses incurred through December 2023: \$1,283,740.13

Balance remaining: \$ 226,759.87.

Current Spend Rate per month (as info and used in calculating): \$14,749.89.

Estimated Balance at the end of the Grant Period: \$ 94,010.89

Status: Amtrak/AASHTO and AASHTO/Sub-Contractor Extensions as of 2-28-24:

On 2-28-24, Tim Ziethen reported that AASHTO and Amtrak have rectified the discrepancies they had with regard to the amount available with the new funding. The next step is to extend the sub-contractors in line with the current funding period.

Strat Cavros, AASHTO, stated that in a few days, he will send Steve Hewitt a contract amendment to extend his prior agreement through 9-30-24. He asked about the Krause and Casamar agreements. Steve Hewitt said that they usually would submit a scope of work and budget for the 12-month period to AASHTO and the two parties would then execute the agreements. Steve will reach out to Camren Cordell (Casamar) and to Tammy Krause and ask that they submit the SOW and budget to AASHTO with the work having begun on 10-1-23 and would run through 9-30-24. Steve added that the NGEC budget for both the technical writer and document control manager had been approved in October and was based on the work plan and budget submitted by both at that time. This is what should be the basis for what is to be submitted to AASHTO. He noted that they are already working and have been since the start of the new performance period.

Strat added that Larry Salci's work will be handled per task as it has been in the past. Larry submits a scope of work and budget each time he is asked to perform a Review Panel Report.

Clarifying Casamar Invoice FY23 overage:

Tim Ziethen reported that the Casamar invoice discrepancy has not yet been resolved and he has asked Tammy Krause to contact Casmar and get it clarified.

After some discussion, it was agreed that Steve Hewitt will reach out to Tammy and Camren and ask for a scope of work and budget for the 12-month period beginning on 10-1-23 and ending on 9-30-24.

As for the Casamar issue, Strat Cavros stated that the invoice submitted was through work performed into December 2023 and the overage was \$1015. AASHTO and Casamar had signed a modification for an additional \$9000 as approved by the Board during the prior grant period to get to the end of that period. Steve noted that if the invoice includes work performed after 9-30-23, it should be a part of the new agreement under the current funding source.

Steve will ask for a clarification from Camren on this as well as the new SOW and budget. He noted "the work was done". It seems that maybe the charges need to be allocated to the prior grant up to the \$1,015 and a second invoice charging against the new funding may be needed.

Seeking Long-Term Funding:

The intent is to continue to seek long-term funding for the NGEC. The interim funding being provided by Amtrak for FY 2024 is not intended to be long-term but rather a stop-gap to keep the NGEC going while it explores funding options. Amtrak intends to apply again in the next round of CRISI Grant funding and will look into other potential options.

By-Laws Annual Review – FASC Recommendation

The 2023 review resulted in no changes being recommended. The By-Laws will next be reviewed in the Fall of 2024.

NGEC two-pager updates for 2024:

The NGEC 2024 Backgrounder and Educational document has been released and remains available by request from Steve Hewitt @ [shewitt109@aol.com](mailto:shewitt109@aol.com).

As of 2-29-24, 460 copies have been distributed (hard copies and electronic). The document is also available on the NGEC website.

- Metro-North Dual Mode Locomotive Procurement:

Metro-North's January update:

All FDRs are closed. Final Design of the locomotive is in process. Locomotive 301 is complete with testing anticipated around June 2<sup>nd</sup>. Locomotive 302 is ready for engine installation. Metro-North and Siemens are coordinating FAI testing and inspection process for shock and vibration collection assembly for third rail.

- Multi-State Venture Rail Car Procurement as reported by Caltrans on 2-29-24:

The Cab Car FDR is now approved, and all FDR stages are complete. The Cab Car and Café Car MCAT simulation reports have been approved by the states and the FRA.

The Cab Car Complete FAI and FRA sample car inspections have occurred with final open items in review and closure. The Cab Car 238.111(b) test plan is being revised based on recent comments for return to Amtrak and subsequent submittal to FRA. The first cab car and café car are being prepared for shipment.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are currently in revenue service and additional cars are being added as they are commissioned and accepted.

- Amtrak Equipment Procurement Update as of 2-29-24:

On the Acela:

Staging and testing continues – they are about halfway through Stage 1 and are optimistic that it can be wrapped up in a month or two and move on to stage 2.

On the Airo trainset: Progress is strong – there are 34 in production – 32 coaches and 2 locomotives. Final FAIs and FDRs are taking place on open items on the café cars. The first trainset is anticipated to be on the corridor for testing in 2025 – there is a lot of optimism.

On the ALC 42:

They continue to get units in Wilmington for final testing. Thus far 48 have been accepted into service. 10 have been commissioned and are in the transit process. 67 are continuing in production. Dan added that there has been an improvement in the performance of the equipment and that the FAIs have had a positive impact.

On the GP38 Acquisition:

There continues to be a bit of a struggle with the vendor in getting it into service.

On the Long-Distance Trainsets:

An RFP went out in December 2023 and this is an active procurement.

- Connecticut DOT Rail Car Procurement:

On 2-2-24, Marci Petterson provided a detailed presentation on the CtDOT Rail Car procurement.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update -2-29-24:

- The Materials WG continues to meet regularly, their last meeting was 2/19 and their next meeting is 3/4.
- The Weight WG is planning to have one final meeting to review the DCRs that were received on their spec. The meeting will be held at a time to be determined by the

availability of the DCR submitters. Dave wants them all on the meeting call so that the document can be finalized.

- I am working with the Technical Writer to create the DCRs for the single level document that are based upon previously submitted and approved DCRs for other specs that may apply to the single level.

A complete 2023 progress report and work plan for 2024 can be found on the NGECC website.

- Filling Vacancies:

Vacancies exist on the Specification Review Panels  
Current status as of 2-29-24:

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci  
NGEC Support – Steve Hewitt  
Technical Support – Tammy Krause  
Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair  
**Vacant Caltrans**  
Amanda Martin, Iowa DOT  
Melissa Shurland, FRA

Locomotive Review Panel:

Ray Hessinger, NYSDOT – Chair  
**Vacant Caltrans**  
**Vacant - IDOT**  
Jason Biggs, Washington State DOT  
Melissa Shurland, FRA

Trainset Review Panel:

Ray Hessinger, NYSDOT – Chair  
Ed Engle, Iowa DOT  
Jason Biggs, Washington State DOT  
Melissa Shurland, FRA

Single Level Rail Car Review Panel:

Ray Hessinger, NYSDOT -- Chair  
Ed Engle, Iowa DOT  
Jason Biggs, WSDOT  
Melissa Shurland, FRA

DMU Review Panel Members:

Ray Hessinger, NYSDOT -- Chair  
Melissa Shurland, FRA  
Brian Beeler, for Maine DOT  
**Vacant - Caltrans**

During the month of March 2024, the Executive Board met once – on 3-19-24.

Highlights, decisions, updates from the NGECC during the month of March 2024:

- Treasurer's Report as of 3-27-24:

Balance/Spend Rate Through January 2024 - new funding (Amtrak AOP):

Amtrak AOP Funding - \$260,000  
Invoiced through January – 57,343.07  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.

Invoiced and Accrual Expenses to date – 87,343.07.  
Remaining funds (including 60 day forecast for billing) - \$172,656.93.  
Estimated full year (YTD + FC + remaining months at Avg Spend TD) - \$162,061.69.  
Current Average Monthly Spend - \$12,453.10

Strat Cavros, AASHTO, reported that he is about to submit the invoice for February in the amount of approximately \$16,488.

Tim noted that amount would keep the monthly spend rate right around the anticipated trend of around \$15,000. Tim will update the report once the invoice has been received from AASHTO.

Seeking Long-Term Funding – next steps:

FRA published its NOFO on 3-28-24. Tim Ziethen has been in communication with the Amtrak grants office to coordinate the application process.

Tim and the grants office will look at the application that was submitted last year to see where it can be strengthened. It was considered a very good application, so finding ways to improve it will not be easy. Tim will look for input from NGEC/FASC members as well. He does not want to simply re-submit the same app – rather submit a new application with improvements over the last one.

Status – Contract Extensions as of 3-27-24:

Steve Hewitt's contract extension has been executed between him (Hewitt Consulting) and AASHTO.

Tammy Krause's (TLK) contract extension has been executed with AASHTO.

Casamar has submitted its Scope of Work and Not to Exceed budget for the Technical Writer contract extension to AASHTO. It is expected to be executed soon.

By-Laws Annual Review – FASC Recommendation

The 2023 review resulted in no changes being recommended. The By-Laws will next be reviewed in the Fall of 2024.

NGEC two-pager updates for 2024:

The NGEC 2024 Backgrounder and Educational document has been released and remains available by request from Steve Hewitt @ [shewitt109@aol.com](mailto:shewitt109@aol.com).

As of 3-31-24, 460 copies have been distributed (hard copies and electronic). The document is also available on the NGEC website.

- Metro-North Dual Mode Locomotive Procurement:

Metro-North's February update:

Locomotive 301 factory tests are complete. 302 has the engine and roof installed. Siemens is talking with Long Island Railroad (LIRR) about their options for additional locomotives. There has been lots of back and forth over the 3<sup>rd</sup> rail shoe with various testing and evaluation on accommodating over and under rail shoe.

- Multi-State Venture Rail Car Procurement as reported by Caltrans on 2-29-24:

(There were no updates provided by Caltrans in March 2024)

The Cab Car FDR is now approved, and all FDR stages are complete. The Cab Car and Café Car MCAT simulation reports have been approved by the states and the FRA.

The Cab Car Complete FAI and FRA sample car inspections have occurred with final open items in review and closure. The Cab Car 238.111(b) test plan is being revised based on recent comments for return to Amtrak and subsequent submittal to FRA. The first cab car and café car are being prepared for shipment.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are currently in revenue service and additional cars are being added as they are commissioned and accepted.

- Amtrak Equipment Procurement Update as of 3-28-24:

On the Acela:

Testing and valuation continues in phase one.

Alstom and FRA to confirm testing process moving forward. There have been a few delays. The timeline was tight to begin with and some weather issues caused some delays with a decrease in evening testing. FRA is being kept up to speed on oscillation issues and mitigation. Overall the procurement is moving forward.

Trainsets: 10 Trainsets are largely completed – 6 are in the Penn Coach Yard and 2 are in Hornell or Alstom. Work on FMI is complete. Good progress overall.

On the Airo trainset: Progress is strong – there are 37 in production – 35 coaches and 2 locomotives. The first Locomotive is in the paint stage. Working on Cab cars. Some FAIs still need to be completed. The first trainset is anticipated to be on the corridor for testing in the Spring of 2025.

On the ALC 42:

They continue to get units delivered. Thus far 48 are in service. 6 are in commissioning or transit. 21 are in production and 50 are to be started.. Dan added that performance has been significantly improved. There were some train killer events but those are diminishing as they learn more and develop FMI to correct issues with component failures. Overall, moving in the right direction.

On the GP38 Acquisition:

There has been some improvement as they continue to work with the vendor. 19 are in production and a few are in transit. 15 have been conditionally accepted

On the Long-Distance Fleet:

It is in the middle of procurement. Bidders are working with the acquisition team on preliminary bids within the RFP process. They are looking at the end of this year or early next year for the award.

- Connecticut DOT Rail Car Procurement as of 3-28-24:

Preliminary Design Review (PDR) has begun. CTDOT will provide ongoing updates monthly to the NGECE Technical subcommittee.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGECE during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update -3-28-24:

The Materials Working Group (WG) continues to meet regularly, their last meeting was 3-4-24 and their next meeting is 4-2-24. Please contact Michael Gill ([Michael.Gill@atkinsrealis.com](mailto:Michael.Gill@atkinsrealis.com)) if you are interested in joining.



The Communications WG will be meeting on 4-2-24. Please contact Ken Martin ([kmartin@sharma-associates.com](mailto:kmartin@sharma-associates.com)) if you are interested in joining.

Tammy Krause is working with the Technical Writer to create the DCRs for the single level document and will then submit them to the WGs.

Vehicle Weight Working Group update from Team Leader, Dave Warner on 3-28-24:

"The Vehicle Weight Working Group met on Monday, March 11, 2024. There were three DCRs to be discussed, covering four topics. We came to an agreement on three of the four topics. The fourth, dealing with the amount of lateral and longitudinal imbalance to be allowed on a PR11A vehicle is going to take a bit of time to resolve. What is in the current proposed document is definitely not correct, and finding the correct language is more complicated than simply changing one number. We had good carbuilder and technical expertise present in the meeting, and we've a plan in place with a goal of developing the correct language by the beginning of the summer."

- Filling Vacancies:

Vacancies exist on the Specification Review Panels  
Current status as of 3-31-24:

Consultants/ Technical Support to the Review Panels:  
Review Panel Consultant – Larry Salci  
NGEC Support – Steve Hewitt  
Technical Support – Tammy Krause  
Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:  
Ray Hessinger, NYSDOT – Chair  
**Vacant Caltrans**  
Amanda Martin, Iowa DOT  
Melissa Shurland, FRA

Locomotive Review Panel:  
Ray Hessinger, NYSDOT – Chair  
**Vacant Caltrans**  
**Vacant - IDOT**  
Jason Biggs, Washington State DOT  
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Trainset Review Panel:  
Ray Hessinger, NYSDOT – Chair  
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Jason Biggs, Washington State DOT  
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Single Level Rail Car Review Panel:  
Ray Hessinger, NYSDOT -- Chair  
Ed Engle, Iowa DOT  
Jason Biggs, WSDOT  
Melissa Shurland, FRA

DMU Review Panel Members:  
Ray Hessinger, NYSDOT -- Chair  
Melissa Shurland, FRA  
Brian Beeler, for Maine DOT  
**Vacant - Caltrans**

During the month of April 2024, the Executive Board met once – on 4-16-24.

Highlights, decisions, updates from the NGEC during the month of April 2024:

Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through February – 103,831.34  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$156,168.66.  
Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) -  
\$170,132.02.  
Current Average Monthly Spend - \$13,260.14

Status – Contract Extensions:

All sub-contractor contract extensions have been executed.  
Status – Completing Prior Grant Close Out documents:

Tim is working with Steve Hewitt on these documents. Tim has also had a discussion with FRA. Due by the end of the month with QPR (Quarterly Progress Report) as per usual.

Steve noted he had sent Tim a lot of information in response to the questions to be answered on the close out documents. He asked Tim to let him know if there was anything further that he needed from him or any questions he may have.

New CRISI Grant Application – steps/timeline:

The CRISI Grant NOFO has been released. Tim is working with Amtrak Grants on filing a new application. He will update the NGEC Exec Board on the application and timeline on the next call.

Other potential funding opportunities:

Tim commented that there was some discussion with the FRA, (while meeting about the close out of the prior grant), on possible other ways to align a federal grant with the current budget process.

Funding Discussion:

Dan Ruppert asked Tim Ziethen what the ramifications would be if they are unsuccessful in securing a CRISI Grant.

Tim responded that he is having discussions on other options with FRA - possibly pointing funding in a different direction. He noted that there is no obvious answer and that he will pull Dan into the ongoing conversation with FRA. Tim added that it was not the quality of the last CRISI grant application that caused it to not be awarded. It seems that there was simply too little funding for too many projects as well as prioritization. This will likely still be the challenge.

Dan added that there is some question and concern (internally) about Amtrak's appetite to continue this (funding) going forward.

Tim agreed and noted that the Amtrak funding through its AOP this fiscal year was not meant to be incremental – it was considered bridge funding until more long-term funding could be secured. It basically bought time but was not seen as a long-term solution. If the next CRISI Grant is not successful or another funding option is not found the NGEC would cease to exist once these funds are exhausted.

Steve Hewitt added, and Tim agreed, that this would result in the specification's created by the NGEC becoming obsolete.

Ray Hessinger added that another potential option – longer shot than CRISI - is through the FY25 appropriations process. He added that States for Passenger Rail and AASHTO both have funding the NGEC in their policy principles. "We" need to press that route as well. This group as a whole cannot lobby, but individually states and industry members can.

First Quarterly Report under current funding source – due (internally) 4-30-24:

Likely to be the same or similar to the previous reports provided during prior grant. Tim will look at the milestone information that Steve Hewitt provided in the March Monthly Activities Report and let him know if he needs anything more.

#### By-Laws Annual Review – FASC Recommendation

The 2023 review resulted in no changes being recommended. The By-Laws will next be reviewed in the Fall of 2024.

#### NGEC two-pager updates for 2024:

The NGEC 2024 Backgrounder and Educational document has been released and remains available by request from Steve Hewitt @ [shewitt109@aol.com](mailto:shewitt109@aol.com).

As of 4-30-24, 460 copies have been distributed (hard copies and electronic). The document is also available on the NGEC website.

- Metro-North Dual Mode Locomotive Procurement:

As reported on 4-25-24:

Locomotive 301 completed factory testing and completed FAIs on March 20<sup>th</sup>.

The procurement is moving along well and they should have the Dual Mode Locomotive out of Siemens for testing in the near future.

- Multi-State Venture Rail Car Procurement as reported by Caltrans on 4-25-24:

The Cab Car FDR is approved, and all FDR stages are complete. The Cab Car and Café Car MCAT simulation reports have been approved by the states and the FRA.

The Cab Car Complete FAI and FRA sample car inspections are complete. The Cab Car 238.111(b) test plan has been submitted to FRA and the first two cab cars have been shipped to Stockton in preparation for testing.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are currently in revenue service and additional cars are being added as they are commissioned and accepted.

- Amtrak Equipment Procurement Update as of 4-25-24:

On the Acela: Amtrak is working with FRA on QP2 testing – trying to move to the final steps. They are having multiple daily calls/updates with the OEM and FRA. This procurement is heading in the right direction. Trainsets are being delivered to various locations as reported previously with #12 moving to Penn Coach yard. The remaining units will be stored at Alstom until they are placed into service. Worker force training is taking place with Alstom at two of three sites – with training at the third site -Sunnyside yard - starting soon.

On the Airo trainset: This procurement is moving full speed ahead. They are closing out design efforts. Working on FAIs and wrapping up work on various systems. 40 vehicles are in production – 4 Locomotives and the rest (36) are coaches.

The first will go on the Pacific Northwest for testing – and 12 months later into service.

They are building out a commissioning facility for Airo and others.

Overall, this procurement is progressing “pretty well”.

On the ALC 42: Work on this equipment is progressing steadily with 50+ units in service. The total to be purchased is 125. Performance has steadily improved -working Amtrak with the OEM has been successful.

On the Long-Distance Fleet: This is an active procurement. Amtrak continues to respond to questions from the carbuilders within the RFP process.

On the Long-Distance Fleet:

It is in the middle of procurement. Bidders are working with the acquisition team on preliminary bids within the RFP process. They are looking at the end of this year or early next year for the award.

- Connecticut DOT Rail Car Procurement as of 4-25-24:

PDRs are continuing. The project team and Transportation representatives from CTDOT's service providers, Amtrak and TASI, are in Montreal this week at Alstom's Prototype center to review the Low Fidelity Cab Mock Up and provide comments as to layout and design assumptions.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update -4-16-24:

The Materials Working Group continues to meet regularly, their last meeting was 4-1-24.

The Communications Working Group held a meeting on 4-15-24.

Tammy Krause is working with the Technical Writer to create the DCRs for the single level document and we will then be submitting them to the Working Groups.

On 4-25-25 Dave Warner, Weight WG Team Leader, reported that he hoped to have a revised draft by the end of April and will schedule the next meeting thereafter. He recently sent out a reminder to working group members.

- Filling Vacancies:

Vacancies exist on the Specification Review Panels

Current status as of 4-30-24:

ON 4-16-24, the following discussion took place:

Ray Hessinger noted that Caltrans is the "elephant in the room" as the vacancies are primarily seats that have always been held by Caltrans and it is important that they remain on those panels. There is no urgency at the moment as none of the panels are expected to be convened in the near term, but they should be fully staffed to be ready when a product comes out of the Technical Subcommittee.

Steve Hewitt noted that IDOT has one seat that was vacated when John Oimoen retired and that John had intended to have IDOT keep. He was going to try to fill that vacancy before he retired but was unable to do so. Melina Lopez, IDOT, appreciated the information and will come back to the Board next month with an answer regarding IDOT representation on the panel (Locomotive).

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci

NGEC Support – Steve Hewitt

Technical Support – Tammy Krause

Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair

**Vacant Caltrans**

Amanda Martin, Iowa DOT  
Melissa Shurland, FRA

**Locomotive Review Panel:**

Ray Hessinger, NYSDOT – Chair

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**Vacant - IDOT**

Jason Biggs, Washington State DOT  
Melissa Shurland, FRA

**Trainset Review Panel:**

Ray Hessinger, NYSDOT – Chair

Ed Engle, Iowa DOT

Jason Biggs, Washington State DOT

**Vacant Caltrans**

Melissa Shurland, FRA

**Single Level Rail Car Review Panel:**

Ray Hessinger, NYSDOT -- Chair

Ed Engle, Iowa DOT

Jason Biggs, WSDOT

**Vacant Caltrans**

Melissa Shurland, FRA

**DMU Review Panel Members:**

Ray Hessinger, NYSDOT -- Chair

Melissa Shurland, FRA

Brian Beeler, for Maine DOT

**Vacant - Caltrans**

During the month of May 2024, the Executive Board met once – on 5-14-24.

Highlights, decisions, updates from the NGEC during the month of May 2024:

Balance/Spend Rate Through February 2024

Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.

Invoiced + Accrual Expenses to date (through February – 103,831.34

Amtrak AOP Funding - \$260,000

Remaining funds (total available less Invoiced + Accrual) - \$156,168.66.

Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) - \$170,132.02.

Current Average Monthly Spend - \$13,260.14

Strat Cavros reported to the Board on 5-14-24 that invoiced expenses for March – reported in April - were \$15, 095.72. The invoice will be forthcoming soon to Amtrak.

Status – Completing Prior Grant Close Out documents:

On 5-22-24, Tim Ziethen reported to the Finance and Administrative Subcommittee (FASC) that one of the items yet to be finalized is the summary document reporting on accomplishments and providing an overview. Steve Hewitt and Tim have worked on this together. Tim noted it is to be reviewed for any final edits by the Amtrak Grants office. The draft will be sent to Steve Hewitt for his final review and after that it will be completed for submittal. It is expected that it will be sent to FRA within about two weeks. The final report, which will include the summary and a financial report, is not due until July 2024, but it will be sent as soon as it is read. The final QPR that was completed previously.

New CRISI Grant Application – steps/timeline:

On 5-22-24, during the FASC meeting, Tim Ziethen walked through key areas of the previous grant application for NGEF funding submitted in the last round. The one to be submitted in this round will not change much as the NGEF mission is not changed. It is being reviewed by Tim, Steve Hewitt and Meghan Hestand Amtrak Grants. The intent is to update it where needed and to make sure that it is improved by some additional benefits and future activities being included in the application.

Tim asked that any FASC member that has suggested items that should be included provide them to Steve Hewitt by Friday 5-24-24. (No comments were provided as of 5-31-24)

Steve Hewitt noted that a few items that he believes should be included would be a line referring to connecting communities as a benefit. He added that an update of lessons learned through the many procurements that have taken place should be developed and included in the Equipment Acquisition and Ownership Recommended Practices Document which was adopted as a living document.

Steve added that developing specifications for CCTV and wayside monitoring systems should be a part of the NGEF's future activities if granted funding. Generating specifications utilizing alternate propulsion or other emerging technologies should also be included in the application.

Tim Ziethen noted that he has a request into the grants office about distributing the draft to FASC or Board members is ok. Presently, they are keeping it close because of the expectation of confidentiality. Tim is also asking if the previous submittal can be distributed so that members can look at it and provide suggested improvements.

In the meantime, Tim asks that the FASC members think about what the NGEF should be doing going forward and what it has accomplished and provide any suggestions to Steve Hewitt.

Steve Hewitt added that he has provided the TSSSA document, the two-pager backgrounder for 2024, and the Recommended Practices document to Tim Ziethen as part of the application packet. Steve is also providing some newer pictures previously submitted for either the website or the 2024 backgrounder to be added to the new application.

On 5-23-24, after reviewing the Draft application, Steve Hewitt provided edits, additional info and updates to it and submitted it to Tim Ziethen and Meghan Hestand (Amtrak Grants) .

Tim Ziethen confirmed receipt of Steve's edits and noted that they were included in the final draft along with additional edits from Tim. The draft was sent to Meghan Hestand for finalizing and submittal by the due date – 5-28-24.

First Quarterly Progress Report (QPR) under current funding source – due (internally) 4-30-24:

Tim Ziethen confirmed that he has completed the internal QPR, with the assistance of Steve Hewitt, and will provide the final copy to Steve for distribution to the NGEF Executive Board members. This internal document mirrors the prior grant QPRs that were submitted to FRA.

By-Laws Annual Review:

The 2023 review resulted in no changes being recommended – and that decision was noted on the By-Laws that were distributed and posted to the website. The By-Laws will next be reviewed by the FASC in the Fall of 2024.

NGEF two-pager updates for 2024:

The NGEF 2024 Backgrounder and Educational document has been released and remains available by request from Steve Hewitt @ [shewitt109@aol.com](mailto:shewitt109@aol.com).

As of 5-31-24, 462 copies have been distributed (hard copies and electronic). The document is also available on the NGEF website.

- Metro-North Dual Mode Locomotive Procurement:

As reported on 4-25-24:

Locomotive 301 completed factory testing and completed FAIs on March 20<sup>th</sup>.

The procurement is moving along well and they should have the Dual Mode Locomotive out of Siemens for testing in the near future.

- Multi-State Venture Rail Car Procurement as reported by Caltrans on 5-23-24 to the Technical Subcommittee:

The Cab Car FDR is approved and closed, and all coach-type FDR stages are complete. The Cab Car and Café Car MCAT simulation reports have been approved by the states and FRA.

The Cab Car Complete FAI and FRA sample car inspections are complete. The Cab Car 238.111(b) test plan has been submitted to FRA and the first two cab cars have been shipped to Stockton in preparation for testing. Prerequisite-type tests are being completed at Stockton and Oakland in advance of PTC testing, followed by 238.111 testing on the corridor.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are currently in revenue service and additional cars are being added as they are commissioned and accepted.

- Amtrak Equipment Procurement Update as of 5-23-24:

On 5-23-24, Dan Ruppert reported the following to the Technical Subcommittee:

On the new Acela: Work continues on qualification for revenue service. Testing continues. Dan noted that there is capital work being done on the railroad – being busy is good – it does slow the testing down a bit. Still, overall, progressing well.

On the ALC42: There are 52 currently in service with 7 more in transit. The initial order of 75 will wrap up later this year. Option orders will begin in FY2025.

On the Airo: 43 are in production, 39 coach and 4 ALC42E's. Various FAI's are in process.

On the Long-Distance Fleet: This is an open procurement and they are progressing with the RFP.

- Connecticut DOT Rail Car Procurement as of 5-23-24:

PDRs are continuing.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update as of 5-23-24:

On 5-23-24, Tammy Krause provided the following update to the Technical Subcommittee:

1. Updating the DCRs for the Single Level Specification – I am putting together the table format of the received DCRs for the Single Level and the DCRs that were approved for the other specifications. This will be sent to the working groups by the 22<sup>nd</sup>.
2. I am working with the Technical Writer on the Amtrak sub-specs to remove the Amtrak references. This is ongoing and we will submit them for approval when we finish.
3. I have attached a revised timeline/work list for the TSC. This will have the TSC completing the Single Level Specification Revision by /9/24 and the Dual Mode Locomotive by 8/5/24.

Steve Hewitt pointed out that the dates on the revised timeline do not match the dates that the Technical subcommittee will be meeting.

Following the meeting, Tammy took another look at the timeline and revised it with corresponding dates matching up with the NGEN Technical subcommittee's schedule.

- Filling Vacancies:

Vacancies exist on the Specification Review Panels

Current status as of 5-31-24:

Vacancies still exist on certain Review Panels. On 5-14-24, Melina Lopez, IDOT placed her name in the interim to fill a vacancy on the Locomotive Review Panel. Remaining vacancies are all slated for Caltrans. Steve Hewitt has had several email conversations with Kyle Grading, Caltrans, regarding the vacancies. Caltrans wishes to remain on the Panels but has yet to determine who will serve.

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci

NGEC Support – Steve Hewitt

Technical Support – Tammy Krause

Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair

Vacant Caltrans

Amanda Martin, Iowa DOT

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Locomotive Review Panel:

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Melina Lopez, IDOT

Jason Biggs, Washington State DOT

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Trainset Review Panel:

Ray Hessinger, NYSDOT – Chair

Ed Engle, Iowa DOT

Jason Biggs, Washington State DOT

Vacant Caltrans

Melissa Shurland, FRA

Single Level Rail Car Review Panel:

Ray Hessinger, NYSDOT -- Chair

Ed Engle, Iowa DOT

Jason Biggs, WSDOT

Vacant Caltrans

Melissa Shurland, FRA

DMU Review Panel Members:

Ray Hessinger, NYSDOT -- Chair

Melissa Shurland, FRA

Brian Beeler, for Maine DOT

Vacant - Caltrans

- NGEN website issues:

On 5-14-24, Steve Hewitt raised the issue of the NGEN website crashing, and asked AASHTO to provide the Board members with a summary of what had happened and a status.

Shayne Gill explained that all of AASHTO's websites were attacked and, like any big corporation, it was a large-scale cyber-attack and will take time to get all of the sites up to date. He urged patience



and complimented Barley Fields for working so diligently to get the NGECE up and running and current.

Steve Hewitt acknowledged Barley for all her efforts in a difficult situation and noted that he wanted the Board to be aware because the cyber-attack did impact the NGECE website – in case they went on it – or an industry member went on and was looking for information. Only a snapshot back to 2022 was recovered and all of the 2023 and 2024 information needs to be up-loaded. Steve thanked Barley for her work on this and understands it will take time. Steve also noted that he had briefly mentioned the attack to the Technical Subcommittee members on the 5-9 and 5-23-24 meetings as information.

During the week of 5-26-24, Steve Hewitt responded to several requests from Barley Fields as she works her way through the website.

- 2025 NGECE Annual Meeting:

Over the past few months, AASHTO has been searching for a home for the 2025 Rail Winter Meeting. They searched the DC and Virginia area and found a home in Crystal City, VA at the [Renaissance Arlington Capital View](#). This is not in our usual location but the hotel does offer easy access to Reagan National Airport (DCA) and DC via the Metro for those who really want to go into the city. They were unable to use the Hyatt Regency as another group is booked in the large ballroom and thus, we wouldn't be able to continue to increase our meeting size.

AASHTO feels that the hotel is an upgrade for us in terms of look and feel and amenities. The hotel has renovated sleeping rooms, offer lots of natural light in the meeting foyer space as well as a shuttle to and from DCA as well as to the Crystal City metro.

The Rail Meeting Date: January 28-30 with the NGECE meeting taking place on Thursday 1-30-25 in the afternoon. The exact times and further info will follow over the next few months.

During the month of June 2024, the Executive Board met once – on 6-11-24.

Highlights, decisions, updates from the NGECE during the month of May 2024:

- Treasurer's Report and status update on NGECE Funding:

Balance/Spend Rate Through March 2024

Total Invoiced/Incurred (Including Carryover) - \$88,927.06  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through March) – 118,927.06  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$141,072.94.  
Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) - \$173,191.33.  
Current Average Monthly Spend - \$13,566.07

Strat Cavros reported that invoiced expenses for April came in at \$13,990. The invoice will be forthcoming soon to Amtrak.

Status – Completing Prior Grant Close Out documents:

The due date for submittal to FRA is August 2024, but Tim Ziethen anticipates finalizing and sending the documents to FRA earlier than that.

New CRISI Grant Application:

The CRISI Grant Application for funding the NGECE was submitted on time to the portal. It included many letters of support. Tim did not have the exact number, but it was a good representation. It is not too late to send in support letters. They should be sent to Tim Ziethen and Meghan Hestand, Amtrak Grants.

Tim commented that Steve Hewitt was instrumental in helping to update the metrics and provide additional information for the application. Tim worked with Amtrak Grants and it was finalized and submitted to the portal.

Other potential funding opportunities:

On 6-11-24, Tim Ziethen reported that there is nothing new to add on potential funding options and reiterated that there is no perfect other option. He reminded members that the current funding from the Amtrak AOP was never meant to be ongoing – there needs to be a more permanent solution. As of now, the best option seems to be to seek a CRISI Grant.

Second Quarterly Progress Report (QPR) under current funding source – due (internally) 7-31-24:

Steve Hewitt will prepare the milestones narrative as a part of the June monthly activities report. Tim will complete the other sections and the report will be distributed internally by 7-31-24.

By-Laws Annual Review:

The 2023 review resulted in no changes being recommended – and that decision was noted on the By-Laws that were distributed and posted to the website. The By-Laws will next be reviewed by the FASC in the Fall of 2024. In July – the FASC will begin the process and set the timeline - with the intent of presenting any potential changes to the Executive Board by November 2024.

NGEC two-pager updates for 2024:

The NGEC 2024 Backgrounder and Educational document has been released and remains available by request from Steve Hewitt @ [shewitt109@aol.com](mailto:shewitt109@aol.com).

As of 6-30-24, 463 copies have been distributed (hard copies and electronic). The document is also available on the NGEC website.

In July, the FASC will set a timeline and begin the process for developing the 2025 version of the two-pager.

- Metro-North Dual Mode Locomotive Procurement:

As reported on 6-20-24 to the NGEC technical subcommittee:

Siemens is continuing type testing on a variety of components.

A big milestone was reached in May with Locomotives #301 and #302 having been shipped from Siemens to Pueblo for continued type testing.

- Multi-State Venture Rail Car Procurement as reported by Caltrans on 6-20-24 to the Technical Subcommittee:

All coach type FDR stages are complete, including Cab Car and Café Car. The Cab Car and Café Car MCAT simulation reports have been approved by the states and the FRA.

The Cab Car Complete FAI and FRA sample car inspections are complete. The Cab Car 238.111(b) test plan has been submitted to FRA and the 238 consist has completed all clearance and trainline testing and is now awaiting a window for corridor testing.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are currently in revenue service and additional cars are being added as they are commissioned and accepted.

- Amtrak Equipment Procurement Update as reported on 6-20-24 to the technical subcommittee:

On the new Acela:

Stage 1 testing continues and work continues on qualification for revenue service.

On the Airo Trainsets:

Progress continues to go well. There are 48 in production – 44 coach cars and 4 locomotives. Testing is going well and “progressing nicely”.

On the ALC42:

53 have now been accepted into service and several are in transit with seven currently in production. No real significant issues. Things are proceeding on a nice steady pace.

On the Long-Distance Fleet:

This is an open procurement and not a lot can be shared at this point. Some dates have been shuffled and they are working with the vendors and car suppliers. Progressing well over all.

- Connecticut DOT Rail Car Procurement as reported to the technical subcommittee on 5-23-24:

We are working with Alstom to close out open items from PDR. The proposed truck design needed modification, due to some tight clearances. We believe that we now have sufficient clearance info to proceed on the truck design.

Please ask the NGE members if they have input that they can provide on their experience with King Air from China HVAC systems to please email me.

There was no update provided in June 2024.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGE during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update as reported to the technical subcommittee on 6-20-24:

The next revision of the Single Level Specification has 131 proposed changes. Of these DCRs, 114 of them came from the Bi-Level Specification Revision D that was completed in February of last year, and 14 are from the Trainset Revision B that was completed in October of 2019. There are 3 DCRs that are new. The Leaders of the Mechanical, Interiors, Electrical and VTI Working Groups have received the DCRs for their respective areas. The master list of DCRs will be sent to the entire TSC at the end of next week.

I have received no DCRs for the Dual Mode Locomotive. Can someone please send me the latest version of the specification that was used by Metro North to purchase Dual Modes and I will use that to create DCRs.

I continue to meet with the Technical Writer to review the PRIIA Subspecifications for De-Amtrak.

- Filling Vacancies:

Vacancies exist on the Specification Review Panels

Current status as of 6-30-24:

As of 6-30-24, the only remaining vacancies are all slated for Caltrans. Steve Hewitt has had several email conversations with Kyle Grading, Caltrans, regarding the vacancies. Caltrans wishes to remain on the Panels but has yet to determine who will serve.

Consultants/ Technical Support to the Review Panels:  
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DMU Review Panel Members:  
Ray Hessinger, NYSDOT -- Chair  
Melissa Shurland, FRA  
Brian Beeler, for Maine DOT  
**Vacant - Caltrans**

- NGEC website issues:

As of 6-30-24, AASHTO has about completed its efforts to re-post all of the information that was lost when AASHTO had a cyber-attack which affected its website and the NGEC's as well. Steve Hewitt has been providing information for the uploads as needed.

- 2025 NGEC Annual Meeting:

The 2025 Annual Meeting will be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

- Technical Subcommittee/FRA research topic presentations:

On 6-20-24, Dr. Phani Raj, FRA Office of Safety presnted: "FRA's Requirements and Approval Procedures for New Technology Use in Rail Operations" to the technical subcommittee.

The order of the other items on the FRA list will be determined based on FRA staff availability. The intent is to have one topic covered each month.

For Executive Board members not on the Technical subcommittee please feel free to attend whatever presentations you are interested in. Let Steve Hewitt know if you want to attend a particular meeting and he will send a meeting invite.

During the month of July 2024, the Executive Board met once – on 7-9-24.

Highlights, decisions, updates from the NGEC during the month of July 2024:

- Treasurer's Report and status update on NGEC Funding:

Balance/Spend Rate Through April 2024

Total Invoiced/Incurred (Including Carryover) - \$102,923.49  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through April) – \$127,076.51  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$127,076.51  
Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) - \$173,806.13.  
Current Average Monthly Spend - \$13,627.55

Status - CRISI Grant Application – Support Letters status:

The CRISI Grant Application for funding the NGEC was submitted on time to the portal. It included many letters of support. Tim did not have the exact number, but it was a good representation. It is not too late to send in support letters. They should be sent to Tim Ziethen and Mehgan Histan, Amtrak Grants.

Tim added that the application is in the FRA review phase along with other submittals. CRISI Grant awards will not be announced until the October/November timeframe.

Status - CRISI Grant Application – Support Letters status:

The CRISI Grant Application for funding the NGEC was submitted on time to the portal. It included many letters of support. Tim did not have the exact number, but it was a good representation. It is not too late to send in support letters. They should be sent to Tim Ziethen and Mehgan Histan, Amtrak Grants.

Tim added that the application is in the FRA review phase along with other submittals. CRISI Grant awards will not be announced until the October/November timeframe.

Other potential funding opportunities other than a CRISI Grant:

Tim commented that there is not much to add on other potential funding options and reiterated that there is no perfect “other” option. Over the years there have been discussions establishing fee or subscription-based funding, but, while possible, there are many terms and conditions that would need to be “talked through”. The easiest and cleanest source of funding would be through the appropriations process which is how the NGEC was initially funded, but that has not gained much traction over the years.

Next Steps if not funded – or if funded:

Ray Hessinger asked if the Amtrak AOP funds that have been allocated to the NGEC for FY 24 are available until expended or do they go away at the end of the fiscal year – 9-30-24.

Tim Ziethen responded that in normal instances, the funding is for the current fiscal year only and is a “use it or lose it” situation. He noted that with regard to the NGEC, he is asking Amtrak Finance for clarification.

Ray Hessinger emphasized that clarification is needed because in only a few months “we” will be in FY 25 and that is before CRISI Grant awards are even scheduled to be announced. Once announced, there is anticipated to be about a 6-month period before the CRISI funds are obligated and available.

So – either way, it is important to understand what happens at the end of this fiscal year. If the NGEC is not awarded a CRISI Grant and begins the process of closing down it will also need time and funding during that transition.

Ray also noted that there is a sense of urgency for the Board to have some answers because it is scheduled to meet only twice more after today's meeting prior to the end of FY 24. Ray cited that sub-contractors are also impacted as their contracts end on 9-30-24.

Tim Ziethen commented that he “understands the dilemma” and that he is hoping to get all of the questions resolved or answered as soon as possible. Once he gets answers, he will inform Steve Hewitt so that he can send the information out to Board members.

Steve Hewitt reminded Tim that there is an NGEC Finance and Administrative Subcommittee (FASC) meeting next week (9-17-24) and many Board members are participants. He suggested that would be a good opportunity for further discussion if answers are forthcoming.

Dave Warner suggested that the Board move to two meetings a month for the time being.

Ray Hessinger commented that he has not ruled out increasing Executive Board meeting frequency temporarily but was not there yet. He agreed the FASC meeting next week could be helpful.

Mike Murray, FRA, commented that he did not see this as being an emergency situation. Amtrak has operating funds for the NGEC for this year. Mike added that for the last three years he has had many discussions back and forth with Amtrak, within FRA, with lawyers/finance etc. trying to figure out sustainable funding for the NGEC. Mike noted that once October 1<sup>st</sup> comes along and if there is no new funding in place, he does not see it as an emergency. It will not impact the specifications or the work of the NGEC even though he understands there are some monthly costs. He does not think it is something that the FRA should be asked to fix and that it can't be an emergency.

Ray Hessinger responded that at this time there is no commitment to fund the NGEC in 2025 from Amtrak or FRA. So – while it may not be an emergency – it is “pretty urgent” with no known funding source to continue to fund the work of the Committee.

Mike Murray added that Amtrak used the NGEC Specifications as basis for their new equipment procurement and “it is reasonable as a sustainable path – to have Amtrak allocate resources to the NGEC...it's like an FTE per year.”

Tim Ziethen commented that he agrees that it is not an emergency, but there is a sense of urgency and that “we need to figure it out”. There is “no long-term strategy” for funding the NGEC. It was previously funded through two appropriations and then the one-year of funding provided from the Amtrak AOP. Tim emphasized that this “was not necessarily meant to be long-term”. Tim added that there are a “lot of balls in the air” and “we need to keep working at it”. Tim also noted, “absent an appropriation we will keep having this problem and we need creative solutions”. Further, Tim commented “there is no drama, but we are trying to be good stewards.”

Mike Murray responded that in equipment acquisitions, “Amtrak has taken a lead role in the last procurement with engagement with states and stakeholders...Amtrak has, and is, providing support.” He noted that this is reasonable and sustainable. “We” are looking for flexibility to possibly use Amtrak capital rather than operating funds for the NGEC especially pertaining to long-distance equipment.

Jason Biggs, WSDOT, noted that, as a take away, he is hearing that Amtrak would have to ask for funding for the NGEC. He also noted the need to keep building on the lessons learned document as there has been so many more procurements since the original document was developed by the NGEC (NGEC 305-200 Equipment Acquisition and Ownership Recommended Practices). There is a great deal of additional information to share with entities looking to procure equipment, “if Amtrak is amenable to it”.

Mike Murray added that they are still talking about what the full scope of activities and deliverables should be. He noted that the “specs are the value/product” expected to be seen from funding the NGEC. Other activities are not the critical part of it.

Steve Hewitt noted that in the CRISI Grant application, the ongoing development of the Equipment Acquisition and Ownership Recommended Practices "living document" is included. It is an integral part of the proposed activities/deliverables.

Ray Hessinger added, as the discussion closed, that he agrees there needs to be some decisions made, but it needs to be understood that "we are on a limping-along budget pending long-term funding". Without such funding, the NGEAC cannot take on any major new activities or deliverables.

Status – Completing Prior Grant Close Out documents:

Tim Ziethen reported that the prior grant close out documents are under final review by Amtrak Grants and Finance. Tim expressed his thanks to Steve Hewitt for his help in filling out the details.

Tim anticipates that the documents will be submitted to FRA within a week of two.

By-Laws Annual Review:

The 2023 review resulted in no changes being recommended – and that decision was noted on the By-Laws that were distributed and posted to the website. The By-Laws will next be reviewed by the FASC in the Fall of 2024. In July – the FASC began the review process and set the timelines - with the intent of presenting any potential changes to the Executive Board by November 2024.

NGEC two-pager updates for 2024:

The NGEAC 2024 Backgrounder and Educational document has been released and remains available by request from Steve Hewitt @ [shewitt109@aol.com](mailto:shewitt109@aol.com).

As of 7-31-24, 488 copies have been distributed (hard copies and electronic). The document is also available on the NGEAC website.

In July, the FASC set a timeline and began the process for developing the 2025 version of the two-pager.

- Metro-North Dual Mode Locomotive Procurement:

As reported on 7-9-24 to the Executive Board:

Locomotives #301 and #302 have arrived at Pueblo for testing which is now under way.

Metro-North and Siemens have approved various FAI's. Siemens, Metro-North and LIRR are negotiating exercising options for LIRR.

- Multi-State Venture Rail Car Procurement as reported by Caltrans on 7-18-24 to the Technical Subcommittee:

All coach type FDR and FAI stages are complete, including Cab Car and Café Car. The Cab Car and Café Car MCAT simulation reports have been approved by the states and the FRA.

The Cab Car Complete FAI and FRA sample car inspections are complete. The Cab Car 238.111(b) test plan has been submitted to FRA and testing is expected to begin on July 17. The first café cars have been shipped to Chicago and are being prepared for revenue service.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are currently in revenue service and additional cars are being added as they are commissioned and accepted.

- Amtrak Equipment Procurement Update as reported on 7-18-24 to the technical subcommittee:

On the new Acela:

Qualification testing continues – meetings are taking place every day between Amtrak, Alstom and FRA. Working through QTP test plan with the intent to resolve final QTP Qualification plan soon. They are preparing for the rollout of facility improvements in preparation for new Acela trainsets.

On Airo:

Several are in production and wrapping up FDR and FAI's on a variety of components. There are 52 vehicles in production - 48 coach cars and 4 locomotives. Food and Cab cars working through quality gates. The expectation is to have the first trainset out for testing next year with revenue service beginning early the following year. Overall, it is going well and on schedule for testing next year.

On the ALC 42:

There are 55 in service. A number are in transit or in commissioning. 6 or 8 are en route for testing on the corridor. A variety of FAIs on software updates and other items are proceeding nicely. The total to be produced is 125 including option orders.

On the GP38:

17 are in service. There will be a total of 36. Working successfully with OEM on expected quality issues.

On the Long-Distance Trainsets:

Continues to be an open procurement. It is moving along well with Amtrak working with carbuilders in the RFP process. Not much else can be reported due to this being an active RFP.

- Connecticut DOT Rail Car Procurement as reported to the technical subcommittee on 7-18-24:

Marci Petterson. CTDOT, reported that they are progressing well on the PDR on some systems. Truck clearance was ok'd by Metro-North which was good news.

Marci noted that she has been getting some requests for information that she needs to get from Amtrak. She will be reaching out to Dan Ruppert.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGECC during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update as reported by Tammy Krause to the technical subcommittee on 7-18-24:

The complete (Single Level Car Spec) DCR list is going to be sent to the entire Technical Subcommittee, (TSC) except for 3 new DCRs still waiting evaluation. The DCRs in the master list have all been approved and incorporated in previous specifications. If anyone has any comments, please send them to me. The final 3 DCRs will be submitted to the TSC after they are evaluated by the proper WG.

Steve Hewitt asked the team leader for the Mechanical working group, Melissa Shurland, FRA, if there was a date for the group to meet to discuss these 3 DCRs. Melissa said they are scheduled to meet on 8-13-24. With the date set for the working group to discuss and, hopefully, adjudicate the 3 DCRs, Steve noted that he would expect there to be no vote from the Technical subcommittee until the 8-29-24 meeting. This is assuming that the working group makes its recommendations, and they are sent to the technical subcommittee in time for review, discussion and a vote on all of the DCRs (summary sheet for the initial master list is included with these DRAFT minutes distribution).

- Filling Vacancies:

Vacancies exist on the Specification Review Panels



Current status as of 7-31-24:

As of 7-31-24, the only remaining vacancies are all slated for Caltrans. Steve Hewitt has had several email conversations with Kyle Grading, Caltrans, regarding the vacancies. Caltrans wishes to remain on the Panels but has yet to determine who will serve.

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci

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- NGEC website issues:

As of 7-31-24, AASHTO has about completed its efforts to re-post all of the information that was lost when AASHTO had a cyber-attack which affected its website and the NGEC's as well. Steve Hewitt has been providing information for the uploads as needed.

- 2025 NGEC Annual Meeting:

The 2025 Annual Meeting will be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

- Technical Subcommittee/FRA research topic presentations:

On 7-18-24, Melissa Shurland, FRA, provided a presentation to the technical subcommittee entitled:

**“Rail Decarbonization: Overview of FRA Research on Advancing Clean Energy Technologies for Rail”**

Melissa Shurland gave an excellent presentation on the topic noted above. The presentation will be distributed to all NGECC Technical subcommittee members along with the DRAFT minutes from this meeting.

This is the second in a series of presentations to be given over the next several months by FRA. The presentations will be held monthly with a pause in August due to schedule conflicts including vacation time. The presentations will resume in September.

Dan Ruppert thanked Melissa for the presentation and noted that there is “great information here”. He added, “On the Amtrak side there is a lot of energy (pun intended) around alternative sources.”

Ron Lammerts asked if the presentation would be available. Melissa responded that she would send it to Steve Hewitt with the video section removed and a link to it in its place so as not to make the presentation too large to transmit.

Dan Ruppert commented that these are important topics for the NGECC to get a foundation of information to provide for passenger rail.

During the month of August 2024, the Executive Board met once – on 8-6-24.

Highlights, decisions, updates from the NGECC during the month of August 2024:

- Treasurer’s Report and status update on NGECC Funding:

Balance/Spend Rate Through May 2024

Total Invoiced/Incurred (Including Carryover) - \$126,828.75

Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.

Invoiced + Accrual Expenses to date (through March) – \$156,828.75

Amtrak AOP Funding - \$260,000

Remaining funds (total available less Invoiced + Accrual) - \$103,171.25

Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) – not provided.

Current Average Monthly Spend – just under \$15,000.

Status - CRISI Grant Application – Support Letters status:

The CRISI Grant Application for funding the NGECC was submitted on time to the portal. It included many letters of support. Tim did not have the exact number, but it was a good representation. It is not too late to send in support letters. They should be sent to Tim Ziethen and Meghan Hestand, Amtrak Grants.

The application is in the FRA review phase along with other submittals. CRISI Grant awards will not be announced until the October/November timeframe.

Completing Prior Grant Close Out documents:

All of the requirements for completing the closeout were met. The NGECC specifications were uploaded to FRA along with the technical white paper. Tim Ziethen expressed thanks to Steve Hewitt for his help in this process. He also noted that he informed FRA that reference documents were also available to be uploaded if they are needed.

Next Steps if not funded – or if funded:

On 8-6-24, Tim Ziethen reported that Amtrak continues to have internal discussions and is talking with FRA on how to “handle this” and whether it will be part of the Amtrak annual grant. Tim is talking with Amtrak grants and Amtrak accounting.

Tim asked Mike Murray, FRA if he could set up some time to discuss an open question on issues related to using capital funds or general funds and, in general, "how it can all work". Mike Murray agreed and said he will share times with Tim that work for him. Tim noted "sooner is better".

Tim emphasized that he is not sending signals to stop NGEC activities – it is not an emergency – and they are continuing to look for a way forward.

Tim added that he hopes to have it resolved within the next one or two weeks. He recommended that "we keep moving forward and hopefully we will figure it out shortly."

#### By-Laws Annual Review:

The 2023 review resulted in no changes being recommended – and that decision was noted on the By-Laws that were distributed and posted to the website. The By-Laws will next be reviewed by the FASC in the Fall of 2024. In July – the FASC began the review process and set the timelines - with the intent of presenting any potential changes to the Executive Board by November 2024. No change to this process in August – ongoing.

#### NGEC two-pager updates for 2024:

The 2024 version of the two-page educational flyer remains available electronically or in hard copy by request from Steve Hewitt. It is also posted on the NGEC website [www.ngec.org](http://www.ngec.org).

To date: 488 copies have been distributed.

The process for updating the two-pager for 2025 has begun within the FASC.

- Metro-North Dual Mode Locomotive Procurement:

Locomotives 301 and 302 are at Pueblo for type testing which is progressing well.

Locomotive 302 is in final assembly at the Siemens plant.

- Multi-State Venture Rail Car Procurement as reported by Caltrans on 7-18-24 to the Technical Subcommittee:

All coach type FDR and FAI stages are complete, including Cab Car and Café Car. The Cab Car and Café Car MCAT simulation reports have been approved by the states and the FRA.

The Cab Car Complete FAI and FRA sample car inspections are complete. The Cab Car 238.111(b) test plan has been submitted to FRA and testing is expected to begin on July 17. The first café cars have been shipped to Chicago and are being prepared for revenue service.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are currently in revenue service and additional cars are being added as they are commissioned and accepted.

- Amtrak Equipment Procurement Update:

On the new Acela:

Qualification testing continues – with meetings are taking place between Amtrak, the OEM and FRA.

QPT 2 testing has restarted.

Dan noted that there is a "real strong relationship between FRA, Amtrak and the car builder" and there is a "light at the end of the tunnel".

On Airo:

This procurement is progressing well. There are 55 cars in production - 51 coach cars and 4 locomotives. A and B battery car shell testing was successful.

The intent is to have the first trainset on the corridor in the spring of 2025.

On the ALC 42:

Dan reported that they are progressing well with an average of 2 locomotives accepted per month (some months there will be 1 and the next month there may be 3).

Overall, this procurement is in a "steady state". Several tests are getting wrapped up on FMI's and things like PTC to put in the equipment.

On the Long-Distance Trainsets:

Continues in the RFP process. It is moving along well with Amtrak working with carbuilders with a target of issuing the RFP by the end of this year or early next year.

Connecticut DOT Rail Car Procurement as reported to the technical subcommittee on 7-18-24:

Marci Petterson, CTDOT, reported that they are progressing well on the PDR on some systems. Truck clearance was ok'd by Metro-North which was good news.

Marci noted that she has been getting some requests for information that she needs to get from Amtrak. She will be reaching out to Dan Ruppert.

Nothing new reported in August 2024.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGECC during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update:

Document Control is waiting on the Mechanical Working Group to finish reviewing a few DCRs. They are planning a call this week. As soon as I have their decision on the DCRs I will submit them to the entire TSC.

Tammy is continuing to meet with the Technical Writer to work on de-Amtrakizing the PRIIA sub-specs.

- Filling Vacancies:

Vacancies exist on the Specification Review Panels

Current status as of 8-31-24:

As of 8-31-24, the only remaining vacancies are all slated for Caltrans. Steve Hewitt has had several email conversations with Kyle Gradinger, Caltrans, regarding the vacancies. Caltrans wishes to remain on the Panels but has yet to determine who will serve.

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci

NGECC Support – Steve Hewitt

Technical Support – Tammy Krause

Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair

**Vacant Caltrans**

Amanda Martin, Iowa DOT  
Melissa Shurland, FRA

**Locomotive Review Panel:**

Ray Hessinger, NYSDOT – Chair

**Vacant Caltrans**

Melina Lopez, IDOT  
Jason Biggs, Washington State DOT  
Melissa Shurland, FRA

**Trainset Review Panel:**

Ray Hessinger, NYSDOT – Chair  
Maria Hobbs, Iowa DOT  
Jason Biggs, Washington State DOT

**Vacant Caltrans**

Melissa Shurland, FRA

**Single Level Rail Car Review Panel:**

Ray Hessinger, NYSDOT -- Chair  
Maria Hobbs, Iowa DOT  
Jason Biggs, WSDOT

**Vacant Caltrans**

Melissa Shurland, FRA

**DMU Review Panel Members:**

Ray Hessinger, NYSDOT -- Chair  
Melissa Shurland, FRA  
Brian Beeler, for Maine DOT

**Vacant - Caltrans**

- 2025 NGEC Annual Meeting:

The 2025 Annual Meeting will be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

- Overview of FRA presentation to the Tech SC on 7-18-24 by Melissa Shurland – Dan Ruppert:

“Rail Decarbonization: Overview of FRA Research on Advancing Clean Energy Technologies for Rail”

Dan Ruppert gave a brief overview of the presentation given by Melissa Shurland, FRA to the Technical subcommittee on 7-18-24. Dan asked Steve Hewitt if he had sent the presentation out – and Steve replied he had but would send it out again. After the meeting, Steve re-sent the presentation and found that it was too large a file for the Amtrak server so it had been rejected). Most states were able to receive it and AASHTO has posted it on the NGEC website.

Dan also reported that he felt the participation was high and resulted in good response from members (especially those from the industry) for this presentation and the efforts to bring more information on technology efforts. In general, it was very well received and there was good engagement during the meeting and after.

Steve Hewitt concurred and noted that attendance for the meeting was strong and that the overall program of receiving a presentation a month from the FRA is getting great response and is creating another area of interest for subcommittee members.

Steve noted that there will be a one month pause in the presentation schedule (August) due to vacations. The next presentation will take place in September on either the first or second bi weekly meeting of the subcommittee that month.

Overview: NGE/SPRCDC Fly-in – Ray Hessinger:

Ray Hessinger reported that he participated in a Washington, DC “Fly-in” as a member of the Executive Committee of the States for Passenger Rail Coalition (SPRC). The NGE/ was not the “main purpose of the meetings that day, but it did come up in a meeting with staff from Senator Welch’s office (Vermont). The Senator has introduced legislation to require baby changing stations on-board all new passenger rail equipment. Ray was able to point out that the NGE/ specifications already call for this and are on the “Venture” Cars and will be on the Airo trains as well. Ray noted that it would be fine if they chose to codify this in law. The information was “very well appreciated” as a part of the conversation between SPRC and the Senator’s staff.

During the month of September 2024, the Executive Board met twice – on 9-3-24 and 9-17-24. (The 9-17-24 meeting was a special - one issue.)

Highlights, decisions, updates from the NGE/ during the month of September 2024:

- Treasurer’s Report and status update on NGE/ Funding:

Balance/Spend Rate Through June 2024

Total Invoiced/Incurred (Including Carryover) - \$154,892.18  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through March) – \$184,892.18  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$75,107.82  
Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) – 201,265.68.  
Current Average Monthly Spend – just under \$16,373.50.

With this type of funding, a balance does not carry-over from one fiscal year to another.

Status - CRISI Grant Application:

The CRISI Grant Application for funding the NGE/ was submitted on time to the portal. It included many letters of support. It is not too late to send in support letters. They should be sent to Tim Ziethen and Meghan Hestand, Amtrak Grants.

Next Steps if not funded – or if funded:

Minutes excerpted from 9-17-24 special Board meeting:

Funding Discussion - Tim/George/Ray:

The purpose of this special Executive Board meeting was to address the issues related to funding the NGE/ beyond the end of its current performance period (9-30-24) when the Amtrak stop-gap 12-month funding period expires.

Background:

Amtrak, on behalf of the NGE/ has, for a second year in a row, applied for a CRISI Grant to fund the NGE/ long-term. In 2023, the NGE/ had applied, through Amtrak, for a CRISI Grant but was unsuccessful. Amtrak, at the time, agreed to fund the NGE/ for 12 months (FY24) as a part of its Annual Operating Program (AOP) in the amount of \$260,000. The NGE/ has been judicious in spending the stop-gap money and operated under a “bare-bones” budget and work plan – prioritizing the maintenance of its current specifications.

With the CRISI awards under the current round of funding not due to be awarded until October or November and requiring about 6 months to be implemented, the NGE/ is once again facing a point where it’s funding will cease on 9-30-24 unless another option can be found.

During the last Executive Board meeting, held on 9-3-24, it was agreed that the Board would hold a special meeting with only a focus on funding on the agenda. George Hull, Amtrak CMO, attended the 9-3-24 meeting and had expressed the view that the NGE/ work is important and that Amtrak and

FRA have been in discussions on how to fund it through Amtrak. George expressed on 9-3-24, the need for FRA to mandate or at least provide a request in writing asking Amtrak to fund the NGEC – potentially out of some source other than its AOP. AOP funding is “use it or lose it” and ends at the conclusion of the fiscal year. It clearly is not a practical way to continue funding the NGEC.

George Hull understood that there were discussions between Amtrak and FRA legal and grants and it could take some time to determine what would need to happen and where the funding (internal Amtrak) would come from. George also noted that if Amtrak were to take on the NGEC, its By-Laws would need to be revised as the scope of work and mission is written is too broad and contains activities that have never come to fruition including the NGEC procuring equipment. With the understanding that these issues will take time to resolve, George stated on 9-3-24 that he would fund the NGEC on a month-to-month basis for the short term while details for long-term stable funding for the NGEC and recommended By-Law changes were considered.

Since AASHTO manages sub-contractor agreements as well as the web-site and annual meeting support, and no one from AASHTO was on the 9-3-24, it was agreed that Steve Hewitt and Tim Ziethen would hold a separate call with AASHTO to brief them on where things stood and discuss the concept of month-to-month contract/sub-contractor agreements.

The call with AASHTO was held on 9-5-24, and AASHTO (Strat Cavros) stated that AASHTO would have great difficulty doing month-to-month agreements but would be able to do 90-day agreements, provided that Amtrak send it a note authorizing the extension of its agreement with Amtrak for up to 90 days and subsequently AASHTO would do the same with the NGEC contractor/sub-contractors.

#### Discussion:

Tim Ziethen opened the discussion by stating that internal conversations had been held about potential changes that would enable Amtrak to pick up “some of the costs” for the NGEC, and that they continue to look at options.

George Hull interjected by stating that the “NGEC is out of money and we are looking at how to continue funding the effort”. George went on to say that “FRA has asked Amtrak to fund it (NGEC) and we are looking at how to do that.” Should it be an OPEX (Operating Expense) hit to his budget or “some other mechanism”. One such mechanism being looked at is PRIIA Section 209.

George also noted that the current NGEC By-Laws would need to be revised to be clearer in scope so he knows “what I’m on the hook for”. Some of the primary functions of the NGEC (procuring/owning equipment) are not being done so the By-Laws would need to be cleaned up for a new era of the NGEC.

Tim Ziethen added that he has some “broad brushes” of ideas as to where to reduce costs. One area or conversation “we” had (internally) is that there is there is a mechanism “I believe that some or all of the costs from 305 (PRIIA Section 305 established the NGEC) could be picked up under the Section 209-billing process.” There would need to be a “fixed fee or something or a proportion...maybe something there that could handle some or all of it.”

Tim went on to note that he still needs to get a legal opinion internally at Amtrak to see if this is doable. He does, however, see this as “a more promising option for a more permanent – or in perpetuity – solution”. This is all being discussed with legal and the 209 states would need to agree. The NGEC Board would also need to weigh in on this and approve the move.

As for the By-Law changes, Tim said he would work up a rough draft initially and then work with Steve Hewitt to make the modifications that would make sense. The one area that needs to be addressed is that the mission calls for financing and procuring equipment – and this “would be easy to take out” as it is not something that the NGEC has been able to do or intends to do going forward.

If 209 cost sharing is not an option, “we may need to manage our costs” The annual meeting which is hybrid – in-person and virtual – may need to change to have members attending in-person to pay for their own travel and Amtrak could potentially take on the document control aspects of the specifications and drawings. The intent would be to keep the mission going and keep the specifications viable while focusing on the “core mission”. This would include keeping the specs up to date and tighten-up the mission statement within the By-Laws.

Ray Hessinger, NGEC Chair, commented that if there is consideration of 305 funding going through the 209 process, there is a face-to-face meeting of SAIPRC (States-Amtrak Intercity Passenger Rail Committee) next week in Norfolk, Va. Ray asked that he be provided with a 10,000-foot summary of what is being discussed so he can get it in front of the SAIPRC Board and members.

Ray added that going forward “we would need a methodology to allocate costs among the states”. Ray thinks this concept is “possible” but needs some thought. There would need to be a 209-policy amendment so that SAIPRC would be added as a reimbursable cost”.

Ray also noted that the NGEC By-Laws did not change with regard to the procurement and financing aspect because it is in the statute that established the Section 305 NGEC. “With no federal funding being provided we would not be wed to the 305 language”. He added “it’s up to the lawyers to confirm”. Ray added that he doubts “we will ever own the equipment – since we are not a legal entity so we can’t own anything. There are obstacles for some states (NY included) if the NGEC were to be incorporated. “Ownership/procurement is not in our future”.

Jon Dees for NCDOT agreed with Ray Hessinger about eligibility today. It would take manipulation of costs and benefits to figure it out. He added that the “NGEC is important for planning for growth...there is a gap in the fleet between what we plan to use and or could use”. Jon went on to say there is a role but there would need to be a “tight case” presented as to who would pay, why we would pay, and how to divide up the costs. He also noted that “we are looking at 6 months or more to get it up and running and are likely looking at FY2026.

Tim Ziethen that “our spend rate – all in- is less than \$200,000 annually”. If spread over all agencies it would be something like a \$10,000 membership fee or allocation. Tim added that there still needs to be a legal OK and an OK from FRA as well as this Executive Board and SAIPRC would also need to agree to make modifications.

Mike Murray, FRA, added “Amtrak would take a share as well.”

Tim responded – “Yes, we haven’t totally figured it out with any details...without making any substantial changes to what we (NGEC) do today.” All members of the NGEC could get this done at about \$1000 a month.

Shayne Gill, AASHTO, asked about how other organizations or entities that used the NGEC specs – how would they be brought in without charging people using the specs.

Ray Hessinger responded that the specs are considered public documents and are to be available to the public. Changing that could cause a higher likelihood of proprietary impacts.

George Hull noted that if the NGEC is funded out of his Operating costs which are federal funds - the documents would still be public. Making the specs available to the public was supposed to be a part of the benefit – and core principles.

Brian Beeler II raised the issue of the requirements for states to use the 305 specs.

Ray Hessinger provided a background on the PRIIA legislation in 2008 which created the state supported routes and established the 305 Committee for the development of standardized specifications. Following that, ARRA was signed into law and provided \$9 billion. The appropriators provided language that entities using ARRA funds must use NGEC specifications.

Since then, with AARA funds expended there is no longer a requirement for states to use the NGEC specs when procuring equipment. Ray emphasized that he believes there should not be such a requirement. It is better to make the specs available than to mandate them.

Ray noted that, to his knowledge, NGEC specifications have been used as a base spec for every intercity passenger rail procurement in the US including Venture Cars and the Charger locomotives. If there was a mandate, to use the specification, every time a change was proposed to the specification during the procurement process it would have to come back to the NGEC and that would put a tremendous work load on the NGEC and would be far too burdensome.

Brian Beeler added that he is fully supportive of the specifications and having them not be mandated-but maintained and updated by the NGEC as is the case now. Brian added that he believes it “will be hard to get states to pay”.



Ray Hessinger, getting back to the amount needed to fund the NGECE, reminded members that the current budget for FY 2024 was “as bare bones as we can make it” and there is more work that the NGECE should be taking on. “We want to do more ... I am not sure \$200,000 annually works.” He added that updating one spec a year under the current budget is about all we can do – it is a “limp along budget”.

George Hull commented that if using the specs are not mandated or required – what is the sense – may as well put them on a shelf.

Ray responded – “certainly every procurement has used these specifications – they are very cost effective for the states and/or entities to use our specs as the base for their procurement”. Otherwise, they would be on their own and starting from scratch – paying all the costs to develop the spec.

Mike Murray, FRA, noted that “the FRA take is when it comes to requiring the use of the specs, we agree with Ray”. He added that it would not make sense to make everyone go through updating or making changes through the NGECE process in the middle of the design phase in order to be complying.

Mike went on “As relating to funding options, having discussed a grant for funding this – the appetite for the bureaucracy around it offsets the benefit to support the effort.” Mike added “this is the reason why we asked Amtrak to take this on – from an efficiency point of view”. He also noted that “209 is an interesting idea - there is a mechanism for states make 209 payments.” Mike continued, “As far as having FRA managing a discretionary grant, it ends up taking up as much resources as it is to provide the amount of funding the NGECE needs.”

Richard Kedzior, Wisconsin, asked “could we ask the manufacturers to contribute?”

Steve Hewitt provided an overview/background on discussions that were very similar to today’s in looking at ways to fund the NGECE – through membership fees, incorporation, charging a fee on the use of specifications etc. There was a task force established to determine what the NGECE would be “when it grows up”. In 2014, this task force determined that funding the NGECE was a federal responsibility. The Executive Board at that time accepted that recommendation and adopted a resolution to that effect. This argument, except for the 209 discussion, has been ongoing for a very long time with no solution forthcoming beyond the conclusion that it should be a federal responsibility.

Larry Salci, NGECE Technical consultant, commented that charging manufacturers a fee could create a conflict. The original concept was for the NGECE to develop specifications that would result in “standardization and interoperability and not rule out any of the manufacturers...The language allowed for competition – plug and play” was the intent. This would result in “more reliable and maintainable standardized specifications.”

October 1<sup>st</sup> – immediate next steps:

Ray Hessinger moved the discussion to what to do at the end of the month when the funds run out. “We need a plan for October 1<sup>st</sup>”. How do we pay for the activities underway – there are costs to AASHTO and to the few contractors to continue their work while the options for the long-term future is determined.

Strat Cavros, AASHTO, noted that he has submitted a 90-day spend plan to Amtrak (Tim Ziethen) and he would need a response from Amtrak authorizing him to engage in contracting with the contractors for 90 days.

Tim Ziethen commented that the intent is to “keep things going while considering other options”, and he added that Amtrak was willing to consider continuing with the current terms – for 90 days or month-to-month. “There is no intent to stop the committee’s work.”

Strat reiterated – “we need authorization”.

George Hull weighed in stating “I agree with that – it can’t be forever...it would need to be date certain – say – by the end of the year.”

Ray Hessinger stated that this makes sense – 3 months out or to the end of the year – give or take 90 days should work. “By that time, we should know if we get a CRISI award.” He added, “we should

have a path forward by the end of the month to bring something to SAIPRC – to get them talking about it.”

Ray asked Steve Hewitt if a vote needs to be taken for him to present the general concept to SAIPRC at their quarterly meeting next week.

Steve responded that a vote would not be necessary at this time, because it is a very high-level concept at this point and the NGEC Chair should certainly be able to give SAIPRC a “heads-up” that this concept is being discussed and maybe get a general sense of their reaction to it.

In order to formally move forward beyond the 10,000-foot concept level, the NGEC Executive Board would need to confirm its support. There will need to be a level of support from the NGEC Executive Board that the “209” approach makes sense. For now, making SAIPRC aware is reasonable.

George Hull asked, “are the states willing to contribute, and if so then FRA needs to require Amtrak to continue funding the NGEC”.

Ray agreed to put it before the SAIPRC states during their September quarterly meeting and he reminded NGEC members that not all of the SAIPRC states are members of the NGEC.

Ray asked if the state members are comfortable with him talking to SAIPRC at a high level. Brian Beeler II responded from his perspective “we need to try something...but no answer by the end of the year is likely”.

Ray added that the NGEC, relatively soon, would need to make a proposal to SAIPRC. He added, “If we see light at the end of the tunnel by 12-31-24, we will need to be very tight on the use of the funding”.

No other state offered a response.

Scheduling Meetings beginning October 1, 2024:

Steve Hewitt raised the fact that the current meeting schedule ends on 9-30-24. No meetings are scheduled for the Board or the two standing subcommittees. Steve will set up new meetings and send out calendar appointments ending on 12-31-25. However, due to the urgency to resolve funding for the NGEC and to identify a path forward over the next 3-months, Steve recommended that the Executive Board resume a bi-weekly meeting schedule rather than the current schedule of once every 4 weeks. He also recommended that the Technical subcommittee schedule remain bi-weekly and the FASC remain at the frequency of once every four weeks – all ending on 12-31-24.

Ray Hessinger agreed, and hearing no objections, Steve Hewitt will set up the meetings as noted and schedule through Teams via Outlook.

Next steps/actions as of 9-17-24:

- Amtrak (through the CMO George Hull) agreed to fund the NGEC for 90 days beginning on 10-1-24 until 12-31-24.
- Amtrak (Tim Ziethen) will provide AASHTO with an authorization to execute the 90-day spend plan as submitted by AASHTO to Amtrak.
- Following authorization from Amtrak, AASHTO will execute extensions to the sub-contractor agreements for the same period beginning on 10-1-24 through 12-31-24.
- Amtrak (Tim Ziethen) will work up a rough draft of proposed By-Law changes and work with Steve Hewitt to make the modifications that would make sense. A primary area that needs to be addressed is where the mission calls for financing and procuring equipment.
- Amtrak (Tim Ziethen) will work on a more detailed proposal for some (or all) of the costs from 305 (PRIIA Section 305 established the NGEC) to be picked up under the “209” billing process and will

endeavor to provide Ray Hessinger with a rough “10,000 ft” level overview of the proposal to give the SAIPRC (209 committee) Board and members a “heads-up”, with more detail to follow.

- Ray Hessinger will put the 10,000-foot level concept before the SAIPRC states during their September quarterly meeting.
- The NGECE Executive Board will meet bi-weekly over the 10-1-24 through 12-31-24 period, in order to continue discussions and look at all potential options – most prominently the “209 cost-sharing” proposal and changes to the By-Laws to better define what the NGECE mission is or has become.
- Steve Hewitt will set up the meeting schedules for the next three months for the Executive Board and its standing subcommittees as noted above and schedule them as Teams Meetings via Outlook.
- Amtrak and NGECE members will continue to monitor the CRISI Grant awards which are expected to occur in October or November 2024. If awarded a CRISI grant the NGECE will look to that as the long-term solution option, while continuing to look at short term options due to the time it takes to implement a CRISI grant.

#### By-Laws Annual Review:

The 2023 review resulted in no changes being recommended – and that decision was noted on the By-Laws that were distributed and posted to the website. The By-Laws will next be reviewed by the FASC in the Fall of 2024. In July – the FASC began the review process and set the timelines - with the intent of presenting any potential changes to the Executive Board by November 2024. No change to this process in August – ongoing.

Note: As of 9-17-24, this effort is on-hold waiting for Amtrak proposed changes to as noted in the funding discussion. This will be an agenda item for the FASC on 10-10-24.

#### NGECE two-pager updates for 2024:

The 2024 version of the two-page educational flyer remains available electronically or in hard copy by request from Steve Hewitt. It is also posted on the NGECE website [www.ngec.org](http://www.ngec.org).

To date: 488 copies have been distributed.

Note: The process for updating the two-pager for 2025 had begun within the FASC. This item is also on hold - awaiting decisions related to future funding of the NGECE.

- Metro-North Dual Mode Locomotive Procurement:

Locomotives 301 and 302 are at Pueblo for type testing which is progressing well.

Locomotive 302 is in final assembly at the Siemens plant.

- Multi-State Venture Rail Car Procurement as reported by Caltrans on 8-15-24 to the Technical Subcommittee:

All coach type FDR and FAI stages are complete, including Cab Car and Café Car.

The Cab Car FAI and FRA sample car inspections are complete, and the first cars are being prepared for conditional acceptance. The Cab Car 238.111(b) testing is complete, and the test report is in work. The first café cars have been shipped to Chicago and are being prepared for revenue service.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are currently in revenue service and additional cars are being added as they are commissioned and accepted.

- Amtrak Equipment Procurement Update as of 9-3-24:

On the new Acela:

Qualification testing continues. All parties are working well together (Amtrak, the OEM and FRA). Multiple meetings are being held each week, some as frequently as daily. The hope is to have them all completed in the next few weeks.

All in all, the project continues to progress and the schedule is in line for arrival in Wilmington for testing next spring. With around 12 months of testing – hope to have revenue service by the following year.

On Airo:

This procurement is progressing well and is on schedule. There are 59 cars in production - 55 coach cars and 4 locomotives. A variety of FAls are progressing – closing out some.

The intent is to have the first trainset on the corridor in the spring of 2025.

On the ALC 42:

Dan reported that they are progressing well with an average of 1-2 locomotives accepted per month.

Overall, this procurement is in a “steady state”. Qualifying some FMIs and adjusting for PTC.

There is a significant amount of on-corridor testing when the corridor is available. A lot of work on the corridor -and track time is needed for a variety of other reasons which can cause some slow-downs but still progressing well towards completing the initial 75 base order with the 50-option order after.

On the GP38:

Progressing well – 19 in service with several on-site for conditional acceptance in Wilmington and Albany. “Moving along well.”

On the Long-Distance Trainsets:

Continues in the RFP process. It is moving along well with Amtrak working with carbuilders – with questions back and forth. One on ones are taking place as bids are being prepared.

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGECC during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update:

The Mechanical WG met on Aug 13 to review the DCRs proposed for the single-level specification. They have not made a decision as of yet on those DCRs but they have agreed to meet every two weeks to review and decide on the DCRs. I do not have an approval from the Aug 27 meeting but hopefully they will come to decision in their Sept 10 meeting. Also, during this review, the working group realized the door section in the single-level spec is not as detailed as the bi-level spec. it was decided that a smaller task force would review the two specs and update the door section in the single level spec. Door experts are encouraged to volunteer for the task force.

The Communications Working Group is continuing their work on the DTL specs to be included in the various equipment specifications. They have completed a version of the DTL spec for inclusion in the trainset spec but holding off on submission until they see the final version for the single level spec as they are very similar. They are currently working on a version of the DTL specification for inclusion in the bi-level specification. This was just recently started and won't be complete for at least a few months.

The Materials WG has had a slow summer with little activity. However, the draft of the structural section for aluminum is nearly complete and the materials section will be mostly derivative from the

requirements in the structural section so a draft will be easily assembled. The plan is to start meetings back up in September with a goal to finish the single car spec drafts by the end of November.

Tammy has continued to meet weekly with the Technical Writer to work on the de-Amtrakking the PRIIA specs.

- Filling Vacancies:

Vacancies exist on the Specification Review Panels

Current status as of 8-31-24:

As of 9-30 -24, the only remaining vacancies are all slated for Caltrans. Steve Hewitt has had several email conversations with Kyle Gradinger, Caltrans, regarding the vacancies. Caltrans wishes to remain on the Panels but has yet to determine who will serve.

Note: Caltrans has now appointed Ryan Sharpe to the Single Level Rai Car Spec Review Panel.

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci

NGEC Support – Steve Hewitt

Technical Support – Tammy Krause

Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair

Vacant Caltrans

Amanda Martin, Iowa DOT

Melissa Shurland, FRA

Locomotive Review Panel:

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Trainset Review Panel:

Ray Hessinger, NYSDOT – Chair

Maria Hobbs, Iowa DOT

Jason Biggs, Washington State DOT

Vacant Caltrans

Melissa Shurland, FRA

Single Level Rail Car Review Panel:

Ray Hessinger, NYSDOT -- Chair

Maria Hobbs, Iowa DOT

Jason Biggs, WSDOT

Ryan Sharpe, Caltrans

Melissa Shurland, FRA

DMU Review Panel Members:

Ray Hessinger, NYSDOT -- Chair

Melissa Shurland, FRA

Brian Beeler, for Maine DOT

Vacant - Caltrans

- 2025 NGEC Annual Meeting:

The 2025 Annual Meeting will be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

Note: Due to the unresolved funding issues – planning for the Annual Meeting is on hold. The deadline for letting AASHTO know what the NGECC plans to do is 11-15-24.

FRA Presentation to NGECC Technical subcommittee 9-26-24:

The September FRA R&D presentation will be Sep 26, 2024. Steve Hewitt encouraged members of the Executive Board who are not on the Technical subcommittee to join the meeting on 9-26-24 if they can.

Topic: The Locomotive Crashworthiness Research Program

Presenter: Patricia Llana, Mechanical Engineer, Structures & Dynamics Division

The presentation will feature an overview of the Train Occupant Protection Research Program on crashworthiness. A series of tests were completed that successfully developed and verified a crash energy management system (CEM) that can be retrofit onto existing locomotives. Through extensive computer simulations validated by multiple full-scale dynamic impact tests, the program has demonstrated that employing CEM on locomotives greatly reduces the propensity for derailment and override, while absorbing collision energy in a controlled, predictable manner.

See Technical subcommittee section of this report for an overview of the 9-26-24 presentation.

During the month of October 2024, the Executive Board met three times – on 10-1-24, 10-15-24 and 10-29-24.

Highlights, decisions, updates from the NGECC during the month of September 2024:

- Treasurer's Report and status update on NGECC Funding:

Total Invoiced/Incurred (Including Carryover) - \$170,040.93  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through August 2024) – \$200,040.93  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$59,959.07  
Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) – 185,267.27.  
Current Average Monthly Spend – \$14,773.66.

Note: With this type of funding, a balance does not carry-over from one fiscal year to another.

Status - CRISI Grant Application:

On 10-29-24, the official award announcements were released and Amtrak's application for a CRISI Grant to fund the NGECC was unsuccessful.

Next Steps if not funded by a CRISI Grant:

One-page White paper:

Tim Ziethen reported that he has spoken to Amtrak Government Affairs, and they requested a "white paper" on the NGECC. In response to this request, "Steve Hewitt wrote an outstanding summary of what the NGECC is, what it has done, and what it is planning to do". Tim has forwarded the "white paper" to Government Affairs and it will be sent "on up the line". Tim also added that he included the 2024 NGECC two-pager educational document to what he sent to Government Affairs.

Tim noted that Amtrak leadership is in NY for an Executive Summit and he believes both George Hull and Dan Ruppert are a part of it and that is why they are not participating in this meeting today.

Tim added that he does not expect to get immediate feedback because of the summit but all information requested by Government Affairs has been submitted and an internal review will take place and then “we will see about next steps” following that review.

Tim specifically thanked Steve Hewitt for the work he did on the “white paper” and, again noted that it was an “outstanding” summary.

Potential funding sources absent CRISI grant:

Ray Hessinger reported that the award announcements for CRISI Grants was released “today” and in looking through the list of awardees he did not see the Amtrak NGEC on it. “It was not successful.”

Tim commented that he had not seen the list and the news is “disappointing”.

Tim reiterated that George Hull had committed to funding the NGEC through December 2024 , so now knowing about the Grant application not being successful, the next step will be for Government Affairs to “take it and escalate it to the senior level for a decision” and he expects “discussions to take place this week with a resolution forthcoming soon”. This is a critical decision and a priority.

Tim also raised the issue of the Annual Meeting tentatively scheduled for 1-30-25, but on hold for now. He asked what the drop-dead deadline for AASHTO is as far as an in-person meeting.

Ray Hessinger responded that the deadline that the AASHTO Meeting Planner gave to him and Steve Hewitt is 11-15-24 – which is only around two-weeks from now.

Tim asked AASHTO if there is any flexibility in that deadline.

Strat Cavros, AASHTO responded “If our planer said 11-15-24, then that is the deadline”.

Steve Hewitt concurred that the impression he got from Kamasha Hendrickson, AASHTO’s Meeting Planner was 11-15-24 is definitely the absolute drop-dead date. Steve added, “it’s kind of a drop-dead date for us too. We have not prepared an agenda. We have not contacted speakers or planned presentations, or even promoted the meeting to the industry, so – we are running out of time as well.”

Ray Hessinger agreed and added “the Annual Meeting is the single largest expense we have and I have a hard time seeing it beyond this year and with the CRISI Grant being unsuccessful, I am leaning towards taking a regular call (Teams Meeting) and designating it as the Annual Meeting.

Steve Hewitt noted that “right now there would be no funding for the meeting as the Amtrak commitment at the moment is through December 2024. The 2024 Annual Meeting has already been held and the next one would be in 2025 – so we do not know if we will still exist at that time”. He added that, if the funding is extended or a further commitment from Amtrak is resolved, holding even a virtual meeting (if that was decided) it would not be on the scheduled date of 1-30-25, as members attending the other rail meetings that week in Crystal City, Va. would be traveling home that afternoon if there is not an in-person meeting.

Ray Hessinger added that since the Executive Board will meet again on 11-12-24, this will be the “go-no-go date” for an in-person Annual Meeting.

Tim Ziethen added “I expect to have and I am optimistic we will get (internally) to a decision point quickly”.

Overview of potential By-Law changes:

Tim noted that on 10-23-24, he had provided the Finance and Administrative Subcommittee (FASC) with suggested edits or changes to the NGEC By-Laws based on input previously provided by George Hull.

Steve Hewitt reviewed the process for approving By-Law changes and noted the FASC meets on 11-6-24 (next week) and all members have received the suggested edits Tim had made and they have

been asked to provide any comments to Tim Ziethen and Steve Hewitt by 11-4-24. It is possible that the FASC will be able to approve the changes for submittal to the Executive Board during the 11-6-24 meeting. If approved, they would be transmitted to the Executive Board via the NGEC Chair Ray Hessinger and could be discussed on the 11-12-24 Board meeting but no vote can take place until the Board members have had the changes in their possession – in writing – for 30 days. This would mean that the soonest the Executive Board could vote on the By-Law changes during a meeting would be on 12-10-24. (An electronic vote could take place, if necessary, right after the 30-day period – which would be 12-6-24.)

At this point, Tim Ziethen gave a brief preview/heads-up to the Executive Board of the nature of the changes or edits being proposed:

The edits are making some things “optional” by adding the word “may” in place of “shall”, based on George thinking it is possible that some of the technical updates could be taken over by Amtrak.

There is also “may” in reference to contract language with AASHTO. This would make it optional rather than a requirement. Tim noted that this would also include the program manager – currently contracted through AASHTO as well as other sub-contractor agreements that AASHTO manages for the NGEC.

Tim emphasized he is not “telegraphing intent” simply providing options.

There is no change suggested to the management of the website - (Currently handled by AASHTO).

As for the Annual Meeting, the “scope of what the Annual Meeting would look like” includes “language that focuses on travel expenses be borne by members and that it could be held at an Amtrak facility”. Tim added “ there are no primary objections...but this would provide flexibility...and introduce the option to change things around. It does not require anything to change...it leaves the ability to expand – depending on scope and funding,”

Tim also noted that there is no change to the NGEC mission, just some re-prioritizing. For example, in the scope of work for Subcommittees, items have been re-ordered based on prioritization.

NGEC two-pager updates for 2024:

The 2024 version of the two-page educational flyer remains available electronically or in hard copy by request from Steve Hewitt. It is also posted on the NGEC website [www.ngec.org](http://www.ngec.org).

To date: 488 copies have been distributed.

Note: The process for updating the two-pager for 2025 had begun within the FASC. This item is also on hold - awaiting decisions related to future funding of the NGEC.

- Metro-North Dual Mode Locomotive Procurement:

Locomotives 301 and 302 are at Pueblo for type testing which is progressing well.

Locomotive 302 is in final assembly at the Siemens plant.

On 10-29-24, Ray Hessinger reported that the first two units left testing at Pueblo last week and were en route to Croton on Hudson to Metro-North.

- Multi State Venture Car Procurement as of 10-10-24:

All coach type FDR and FAI stages are complete, including Cab Car and Café Car.

The Cab Car FAI and FRA sample car inspections are complete, and the first cars have been conditionally accepted. The Cab Car 238.111(b) testing is complete, and the test report is nearly complete. The IDOT café cars are being shipped to Chicago and placed into revenue service as available.



All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are being added to revenue service as they are commissioned and accepted.

- Amtrak Equipment Procurement Update as of 10-1-24:

On the new Acela:

QTP2 testing has been completed and they are working on the report. Workshops are being planned with the builder, FRA and Amtrak.

All in all, the project continues to progress well and there is a sense of “optimism”.

On Airo:

This procurement is progressing well and is on schedule. There are 70 cars in production - 66 coach cars and 4 locomotives.

They are wrapping up FAIs.

The intent is to have the first trainset on the corridor for one year of testing in the spring of 2025.

On the ALC 42:

Dan reported that this procurement continues in a “steady state” of progress with one or two per month entering into service.

On the Long-Distance Trainsets:

Continues as an active RFP. It is moving along well with Amtrak working with carbuilders – with questions going back and forth with Amtrak “hoping to award the contract sometime next year”.

On the GP38:

Progressing well – 19 in service with several on-site for conditional acceptance in Wilmington and Albany. “Moving along well.”

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update:

The Mechanical Working Group (WG) met on September 24<sup>th</sup> and they are down to their last DCR. They have reached out to the AAR with a question about this DCR and will meet again to discuss it after they receive the information. I mentioned last month that they are forming a smaller task force for working on the door section in the single-level spec.

The Communications Working Group is continuing their work on the DTL specs to be included in the various equipment specifications. Their next meeting will be on November 12, 2024.

I have continued to meet weekly with the Technical Writer to work on the de-Amtrakking the PRIIA specs.

- Filling Vacancies:

Vacancies exist on the Specification Review Panels

Current status as of 10-31-24:

Caltrans has appointed Ryan Sharpe to the Single Level Rail Car Spec Review Panel. No representative from Caltrans has been named to the other panels as of yet.

Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci  
NGEC Support – Steve Hewitt  
Technical Support – Tammy Krause  
Amtrak Technical Support – Mike Kraft

Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair  
**Vacant Caltrans**  
Amanda Martin, Iowa DOT  
Melissa Shurland, FRA

Locomotive Review Panel:

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Ryan Sharpe, Caltrans  
Melissa Shurland, FRA

DMU Review Panel Members:

Ray Hessinger, NYSDOT -- Chair  
Melissa Shurland, FRA  
Brian Beeler, for Maine DOT  
**Vacant - Caltrans**

- 2025 NGEC Annual Meeting:

The 2025 Annual Meeting is scheduled to be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

Note: Due to the unresolved funding issues – planning for the Annual Meeting is on hold. The deadline for letting AASHTO know what the NGEC plans to do is 11-15-24.

FRA monthly presentation to the NGEC Technical subcommittee – October:

Presentation: "Overview of Planned Sled Testing with Autonomous Wheelchair Securement Systems & ATD Restraint"

Presenter: Kristine Severson, Volpe:

Kristine Severson, Volpe provided an excellent and quite comprehensive presentation "Overview of Planned Sled Testing with Autonomous Wheelchair Securement Systems & ATD Restraint".

The presentation is rather large to distribute, but the plan is to provide Steve Hewitt, Dan Ruppert and Joe Paul access to it on the Volpe website and Steve will ask AASHTO to post it.

Once again, we thank Melissa Shurland for arranging this presentation - the fourth is a series - and we thank Kristine Severson for giving the presentation.

During the month of November 2024, the Executive Board met twice – on the 12<sup>th</sup> and 26<sup>th</sup>.

Highlights, decisions, updates from the NGEC during the month of November 2024:

- Treasurer's Report and status update on NGEC Funding:

Balance/spend rate through September 2024:

Total Invoiced/Incurred (Including Carryover) - \$176,756.44  
Accrual Amount to Reflect Billing Lag 60 days – \$7,530.66  
invoiced + Accrual Expenses to date (through September 2024) – \$184,287.10  
Amtrak AOP Funding - \$260,000  
Average Monthly Spend – \$14,729.70.

This closes out the FY24 funding provided by Amtrak Operating Expenses (AOP) Funding balance does not carry over year to year.

Funding committed to the NGEC and allocated by Amtrak Finance is \$100,000 for FY25. This funding will take the NGEC through 3-31-25 based on its average spend-rate.

Next Steps in looking for additional funding long and short-term for the NGEC:

Status: Internal Amtrak Discussions on Future Funding for the NGEC:

On 11-26-24, Tim Ziethen, Amtrak, provided a brief overview of efforts and results to date for obtaining funding for the NGEC from Amtrak for FY25.

George Hull, Amtrak CMO, secured \$100,000 from Amtrak Finance for FY25. This will take the Committee through 3-31-25 at the current spending rate.

Tim continues to work with Amtrak Government Affairs about the possibility of there being other options for funding the NGEC at least in the short term. Those discussion follow-ups are expected to take place soon and Tim hopes to have some answers and hopefully a resolution to the funding issues soon.

If Amtrak Government Affairs is not able to secure additional Amtrak funding for the NGEC, the next step would be further discussions with FRA.

Status: What if no further Amtrak funding – outreach to FRA:

Tim Ziethen and Mike Murray, FRA, will have a discussion in the near future to determine what options may be available and/or who within the FRA Tim should be talking to.

Overview – FASC discussions 11-20-24:

- Revising By-Laws:

The FASC determined that revising the By-laws with the edits suggested by Amtrak is premature and should be held off until further understanding of whether there will be funding beyond 3-31-25 and where it will come from. By-Law changes can be addressed at that time if needed. Amtrak is proposing some tightening up of proxies, some tweaking in the language to de-emphasize some of the items that the Committee has yet to take on (ownership etc.) and flexibility by changing language in certain cases from shall to may.

- Potential source for Long-Term funding - discussions:

Ray Hessinger reminded Tim that the FASC discussed the possibility of obtaining long-term funds for the NGECC by adding a "take down" to grants FRA provides for passenger rail equipment. A minimal amount of ½ or ¼ of 1 percent of one grant would fund the NGECC very well. This would be a new twist on getting funding "from the powers that be".

Tim agreed and added that there is precedence as there is a "hold-back" in grants that Amtrak receives that would go for certain requirements. Taking this kind of approach for NGECC funding seems reasonable. Tim added that a "capping clause" could be included to align funding with the work or mission of the NGECC.

- Virtual Annual Meeting:

The FASC discussed the fact that there is to be a virtual Annual Meeting, it should include the full NGECC membership as was done during COVID. It should not be scheduled until the future (beyond 3-31-25) of the NGECC is determined.

In closing the discussion, Tim added that he has asked Amtrak Procurements to reach out to AASHTO and provide an extension of the current agreement to run through 3-31-25. (It currently runs through 12-31-24). Tim will check to see if this has occurred. Once it has, it would be anticipated that AASHTO would do the same with the various sub-contractors.

NGECC two-pager updates for 2024:

The 2024 version of the two-page educational flyer remains available electronically or in hard copy by request from Steve Hewitt. It is also posted on the NGECC website [www.ngecc.org](http://www.ngecc.org).

To date: 488 copies have been distributed.

Note: The process for updating the two-pager for 2025 had begun within the FASC. This item is on hold - awaiting decisions related to future funding of the NGECC.

- Metro-North Dual Mode Locomotive Procurement:

As of 11-21-24, the first two Locomotives had been delivered to Metro-North at Croton Harmon, NY in late October 2024 and were starting the process of inspection for acceptance.

- Multi State Venture Car Procurement as of 10-10-24:

All coach type FDR and FAI stages are complete, including Cab Car and Café Car.

The Cab Car FAI and FRA sample car inspections are complete, and the first cars have been conditionally accepted. The Cab Car 238.111(b) testing is complete, and the test report is nearly complete. The IDOT café cars are being shipped to Chicago and placed into revenue service as available.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are being added to revenue service as they are commissioned and accepted.

There were no updates provided by Caltrans in November.

- Amtrak Equipment Procurement Update as of 11-7-24:

On the new Acela:

All is moving along at a steady rate – they are working on final qualification testing and going forward with training.

On Airo:

This procurement is progressing well and is on schedule for spring 2025 for testing the first trainset on the corridor. There are 72 coach cars and 7 locomotives in production.

On the ALC 42:

Dan reported that this procurement continues at a steady state – averaging one or two a month. There are 64 in service out of a base order of 75. There will be a little slower rate going forward as they turn to the option order of 50.

On the Long-Distance Trainsets:

Continues as an active RFP. Amtrak is continuing to work with carbuilders with a goal of an award next year.

On the GP38 – 10 are in production, 5 are on site and 21 of 36 have been conditionally accepted. (Nothing new reported on this procurement on 11-7-24.)

- VIA Rail Equipment Procurements:

A detailed update presentation was provided to the NGECC during the Annual Meeting on 2-2-24.

The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Document Control Update:

On 11-26-24, Tammy Krause provided the following update:

Due to the current unknown future of PRIIA, I am working on determining what can be approved by the EB by the end of March.

The Technical Writer and I believe that we should be able to finish de-Amtrakizing all of the subspecs before March.

The Single-Level specification will be completed as soon as the Mechanical WG can finish their last DCR. They are waiting on some information from AAR. This should be completed by March.

The Vehicle Weight WG is working to expedite their recommendations before March. I still need to determine the timelines for the Communications and Materials WGs.

- Filling Vacancies:

Vacancies exist on the Specification Review Panels

Current status as of 11-30-24:

Caltrans has appointed Ryan Sharpe to the Single Level Rail Car Spec Review Panel. No representative from Caltrans has been named to the other panels as of yet.

Consultants/ Technical Support to the Review Panels:

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DMU Review Panel Members:  
Ray Hessinger, NYSDOT -- Chair  
Melissa Shurland, FRA  
Brian Beeler, for Maine DOT  
**Vacant - Caltrans**

- 2025 NGEC Annual Meeting:

Due to the unresolved funding issues, the NGEC in-person Annual Meeting scheduled for 1-30-25 has been CANCELED. If the funding issue is resolved the Annual Meeting will take place as a virtual meeting at a date yet to be determined.

- FRA Research Presentation Series:

The November presentation was given on 11-7-24 to the Technical Subcommittee by Anand Prabhakaran, Sharma and Associates on:

“Overview of FRA's Glazing Retention Research”

The PowerPoint presentation from 11-7-24 will be provided to Steve Hewitt and distributed to members and to AASHTO for posting to the NGEC website.

Next Presentation : Second Tech SC meeting in January 2025.

***During the month of December 2024, the Executive Board met once – on the 10th.***

***Highlights, decisions, updates from the NGEC during the month of December 2024:***

- ***Treasurer's Report and status update on NGEC Funding:***

***Balance/spend rate through September 2024:***

***Total Invoiced/Incurred (Including Carryover) - \$176,756.44***  
***Accrual Amount to Reflect Billing Lag 60 days – \$7,530.66***  
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***Amtrak AOP Funding - \$260,000***  
***Average Monthly Spend – \$14,729.70.***

*This closes out the FY24 funding provided by Amtrak Operating Expenses (AOP). Funding balance does not carry over year to year.*

*Funding committed to the NGEC and allocated by Amtrak Finance is \$100,000 for FY25. Based on the average spend rate, this funding should take the NGEC through 3-31-25. The \$100,000, however, is available until expended.*

*Next Steps in looking for additional funding long and short-term for the NGEC:*

*Status: Internal Amtrak Discussions on Future Funding for the NGEC – Amtrak Gov’t Affairs/Legal:*

*Tim Ziethen reported that he has had internal discussions with Government Affairs and Legal to resolve the issue of what funding, if any, is available beyond the \$100,000 provided thus far by Amtrak Finance.*

*Tim added that he had hoped to get this done before calling FRA to discuss several potential funding options – and, in particular, the concept of a set-aside or “hold-back” of funds from Capital grants for the NGEC.*

*Holidays have made it more difficult to have the internal discussions – but Tim is hopeful that he will get more information this week.*

*NGEC two-pager updates for 2024:*

*The 2024 version of the two-page educational flyer remains available electronically or in hard copy by request from Steve Hewitt. It is also posted on the NGEC website [www.ngec.org](http://www.ngec.org).*

*To date: 488 copies have been distributed.*

*Note: The process for updating the two-pager for 2025 had begun within the FASC. This item is on hold - awaiting decisions related to future funding of the NGEC.*

*- Metro-North Dual Mode Locomotive Procurement:*

*As of 11-21-24, the first two Locomotives had been delivered to Metro-North at Croton Harmon, NY in late October 2024 and were starting the process of inspection for acceptance.*

*Reports for December were tabled so as to allow the Executive Board to focus on funding and priority document management.*

*- Multi State Venture Car Procurement as of 10-10-24:*

*All coach type FDR and FAI stages are complete, including Cab Car and Café Car.*

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*On the new Acela:*

*All is moving along at a steady rate – they are working on final qualification testing and going forward with training.*

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*This procurement is progressing well and is on schedule for spring 2025 for testing the first trainset on the corridor. There are 72 coach cars and 7 locomotives in production.*

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*Dan reported that this procurement continues at a steady state – averaging one or two a month. There are 64 in service out of a base order of 75. There will be a little slower rate going forward as they turn to the option order of 50.*

*On the Long-Distance Trainsets:*

*Continues as an active RFP. Amtrak is continuing to work with carbuilders with a goal of an award next year.*

*On the GP38 – 10 are in production, 5 are on site and 21 of 36 have been conditionally accepted. (Nothing new reported on this procurement on 11-7-24.)*

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*- VIA Rail Equipment Procurements:*

*A detailed update presentation was provided to the NGEC during the Annual Meeting on 2-2-24.*

*The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)*

*- Status: Document Control – priority efforts:*

*Due to the current unknown future of PRIIA, I am working with the Tech Writer to de-Amtrak as many sub-specs as possible that can be completed in time to be approved by the TSC and EB by the end of March.*

*The Single-Level specification will be completed as soon as the Mechanical WG can finish their last DCR. They are waiting on some information from AAR. This should be completed by March 2025.*

*The Vehicle Weight WG should have their document approved in the WG by Thursday. It will then be submitted to the Technical Subcommittee.*

*- Filling Vacancies:*

*Vacancies exist on the Specification Review Panels*

*Current status as of 12-31-24:*

*Caltrans has appointed Ryan Sharpe to the Single Level Rai Car Spec Review Panel. No representative from Caltrans has been named to the other panels as of yet.*

*Consultants/ Technical Support to the Review Panels:*

*Review Panel Consultant – Larry Salci*

*NGEC Support – Steve Hewitt*

*Technical Support – Tammy Krause*

*Amtrak Technical Support – Mike Kraft*

*Bi-Level Car Review Panel:*



*Ray Hessinger, NYSDOT – Chair*  
*Vacant Caltrans*  
*Amanda Martin, Iowa DOT*  
*Melissa Shurland, FRA*

*Locomotive Review Panel:*  
*Ray Hessinger, NYSDOT – Chair*  
*Vacant Caltrans*  
*Melina Lopez, IDOT*  
*Jason Biggs, Washington State DOT*  
*Melissa Shurland, FRA*

*Trainset Review Panel:*  
*Ray Hessinger, NYSDOT – Chair*  
*Maria Hobbs, Iowa DOT*  
*Jason Biggs, Washington State DOT*  
*Vacant Caltrans*  
*Melissa Shurland, FRA*

*Single Level Rail Car Review Panel:*  
*Ray Hessinger, NYSDOT -- Chair*  
*Maria Hobbs, Iowa DOT*  
*Jason Biggs, WSDOT*  
*Ryan Sharpe, Caltrans*  
*Melissa Shurland, FRA*

*DMU Review Panel Members:*  
*Ray Hessinger, NYSDOT -- Chair*  
*Melissa Shurland, FRA*  
*Brian Beeler, for Maine DOT*  
*Vacant - Caltrans*

- **2025 NGEAC Annual Meeting:**

*Due to the unresolved funding issues, the NGEAC in-person Annual Meeting scheduled for 1-30-25 has been CANCELED. If the funding issue is resolved the Annual Meeting will take place as a virtual meeting at a date yet to be determined.*

- **FRA Research Presentation Series:**

**Next Presentation : Second Tech SC meeting in January 2025.**

**Technical subcommittee:**

From the outset of the S305 NGEAC, the Technical subcommittee had been tasked with the most immediate responsibilities. It successfully met the Board's directive of completing the first set of standardized specifications for bi-level cars by July 31, 2010. On August 31, 2010, the Executive Board approved the PRIIA Bi-level specification as developed by the subcommittee.

The subcommittee began its work shortly after the first meeting of the Executive Board and held weekly conference calls over the first few months. The subcommittee is comprised of members from 9 state DOTs, Amtrak, and FRA as its core team; and has enjoyed extensive participation from the rail manufacturing and supply industry as well, with over one hundred (135) participants active in the work of the subcommittee.

The subcommittee held an in-person meeting in Chicago, April 22, 2010, which included the Technical subcommittee core team members and over 100 members of the industry. At this Meeting, the subcommittee established seven subgroups and assigned a leader to each team and membership that included industry and core team volunteers. The subgroups were: Locomotive, Mechanical, Car Manufacturers, Structural, Interiors, Electrical, and VTI. Each subgroup, with a focus on components related to their topic, met regularly via conference call. Many subgroups met weekly. The Technical subcommittee, since that initial in-person

meeting, has continued to meet, with all industry participants invited; on a bi-weekly basis. The focus of the calls was, and still is, to receive reports from the subgroups on their specification development progress. The subgroups adhered to tight timelines and presented recommendations for standardization specs to the Technical subcommittee core team on June 16, 2011.

On July 1, 2010, the Technical subcommittee approved its voting procedures (attached) without exception or dissent – 9 states members present and FRA and Amtrak - all voted Aye for approval.

On July 22, 2011, the specifications as compiled, with recommended changes, were distributed to all Technical subcommittee members (core team and industry) for review and comment, and a meeting of the whole, was scheduled for Chicago July 29-30, 2010.

The final Bi-level specification review meeting of the subcommittee was held July 29-30 in Chicago. Attending the meeting were approximately 100 members of the subcommittee, including; Amtrak, FRA, the states and industry participants. On July 29, 2010, the Technical subcommittee unanimously approved the Bi-level specification document and submitted it to the S305 NGEC Executive Board for its consideration. The Board provided the document to the Executive Review Panel with instructions to review the specification against the previously approved requirements document, and to file a report and recommendation with the members of the Executive Board by August 20, 2010.

The Review Panel conducted its review and provided a detailed report, with a recommendation for approval, to the Executive Board on August 20, 2010, as scheduled. The Executive Board met, in person, in Washington, DC on August 31, 2010 and unanimously approved the first set of PRIIA specifications – the PRIIA Bi-level car specification.

After the Executive Board meeting of August 31, 2010 which revised the priority order for the Technical subcommittee to develop its next sets of specifications; and, subsequently, on September 15, 2010, again revised the priority order to the original mandate of single level standalone cars (and simultaneously diesel-electric locomotives) next with trainset specifications to follow; the Technical subcommittee re assessed its timeline schedule for completion. On its regularly scheduled call of September 16, 2010, the Technical subcommittee reviewed the timelines as originally defined. In light of the change in priorities; Chairman Bergeron asked subgroup leaders to review the timeline to determine whether or not they remain achievable. Subgroup leaders were asked to advise the Chair, through the Support Services Manager, Steve Hewitt, of their ability to meet the timelines and/or provide a description of any issues or concerns if they believe they cannot meet the timelines. By September 24, 2010, all five subgroups working on the car specification had reported to Steve Hewitt that they believed they would be able to meet the timeline as defined. Each team leader noted that the schedule is tight but appears doable.

The subcommittee followed the same general procedures for specification development and approval as used for the Bi-level specification, and the timeline called for a final review meeting of the subcommittee in mid December. Following that meeting at which the subcommittee would vote to approve the diesel-electric locomotive specification and the single level standalone cars specification; the specifications were to be submitted to the Chair of the Executive Board and he would, subsequently, transmit each specification to one of two Review Panels (one for each specification) for review and recommendation. The Review Panels will submit their reports and recommendations to the Board for consideration during the February 15, 2011 NGEC Annual Meeting

The subcommittee held a two day in-person meeting for the purpose of finalizing and approving the single level standalone cars specifications and the diesel-electric locomotive specifications. The meeting(s) took place in Arlington, Virginia on December 15 and 16, 2010. Over 100 members of the subcommittee (Amtrak, states, FRA and industry participants) attended the meetings. In the end, both specifications were approved by the Technical subcommittee with consensus being achieved (unanimously). The final versions were posted on the website and transmitted to the two Review Panels for comparison against the requirements documents. A report and a recommendation on each will be submitted to the Board by February 1, 2011. (See summary of review panel timelines)

With work completed on the single level standalone cars specifications and the diesel-electric locomotive specifications; the subcommittee has begun work on developing the single level trainsets specifications as agreed at the Emergency Executive Board conference call meeting of September 15, 2010. A proposed schedule and timeline for completion of the trainsets specification is currently under review by the subcommittee members. On January 20, 2011, during the Technical subcommittee conference call, the

subgroup leaders provided input received from their team members concerning the timelines and schedule. Concerns were expressed by some members that the timeline was too aggressive and that there was a lack of clarity in the definition of trainsets. Concerns regarding market demand and anticipated procurement volume were also expressed. The subcommittee will address these concerns and a potential extension of the timelines and schedule on the next Technical subcommittee conference call. (February 8, 2011)

A "draft" scope of work, and budget for the Technical subcommittee for the upcoming year – April 1, 2011 through March 31, 2012, was submitted to the Executive Board for its review on January 28, 2011. As noted earlier in this report, the proposed budget and work plan will be reconciled during the week of January 31, 2011, (along with the Finance subcommittee and the Administrative task force and AASHTO support services submittals) and further discussions took place during the February 10, 2011 Executive Board Conference call.

At the February 15, 2011, Annual Meeting of the NGEAC, the Executive Board approved the Technical subcommittee's scope of work/work plan and budget, as presented.

The subcommittee met via conference call on February 24, 2011 and began to implement the standardization process recommendations presented to the Board by Rob Edgcumbe on behalf of the standardization working group; and subsequently approved by the Board as a part of the Technical subcommittee's work plan.

On February 24, 2011, the subcommittee achieved consensus (without objection) and approved the revised Diesel-electric locomotive specification. The specification was then transmitted to Board Chair, Bill Bronte and to the Diesel-electric locomotive review panel for its consideration. The panel will file its report and recommendations with the Executive Board approximately one week to ten days prior to the March 16, 2011 Board meeting. At that meeting it is anticipated that the Board will consider the recommendations of the review panel and vote on approval of the revised specification.

The Technical subcommittee, on February 24, 2011, also approved a revised timeline and schedule for completion of the trainset specification currently under development. The new timeline targets subcommittee approval on or around June 20, 2011.

The subcommittee continues to progress the trainset specification development and has set the final specification review and subcommittee approval meeting for June 22, 2011 in Chicago, Illinois. The meeting will be held at the Holiday Inn Market Place.

The approved Locomotive Technology Task Force has developed a work plan/statement of work to progress the tasks defined at the March 16, 2011 Board meeting, and a call for volunteers will be sent out prior to the next Technical subcommittee conference call (May 5, 2011). Dave Warner, Amtrak is coordinating the task force.

The Document Management Control Pilot is underway. Bi-weekly progress reports will continue to take place on the Technical subcommittee conference calls.

The Standardization process approved by the Board on February 15, 2011, is moving forward with the development of a work plan for implementation. A status update was provided on the May 19, 2011 subcommittee conference call. Michael Burshtin, Amtrak has been named as the Standardization coordinator.

The subcommittee continues to meet via bi-weekly conference call. In May the subcommittee met on May 5, 2011 and May 19, 2011, and in June it met on June 2, 2011, June 16, 2011. The subcommittee also met in-person, in Chicago, on June 22, 2011. In July, the subcommittee met on July 14 and July 28, 2011. In August it met on August 11 and August 25, 2011. In September it met on September 8 and 22, 2011. In October, 2011, the Technical subcommittee met, via conference call, on October 6 and October 20, 2011. In November, 2011, the Technical subcommittee met, via conference call, on November 3 and 17, 2011. In December, 2011, the Technical subcommittee met, via conference call, on December 1 and December 15, 2011. In January the Technical subcommittee met, via conference call, on January 12 and January 26, 2012. In February, 2012, the Technical subcommittee met, via conference call, on February 9, 2012. (The regularly scheduled February 23<sup>rd</sup> call was cancelled in deference to the NGEAC Annual Meeting). In March, 2012, the Technical subcommittee met, via conference call, on March 15 and 29, 2012. In April, 2012, the subcommittee held conference calls on April 12 and 26, 2012. In May, 2012, the subcommittee held conference calls on May 10 and May 24, 2012. In June, 2012, the Technical subcommittee held a conference call on June 7, 2012 and a face to face meeting in Boston, MA, on June 14, 2012. In July, 2012 the Technical subcommittee held conference call meetings on July 5 and 19, 2012. In August, 2012 the subcommittee met, via conference call,

on the 16<sup>th</sup>. In September, 2012, the subcommittee met, via conference call, on September 13 and 27, 2012. In October, 2012 the subcommittee met, via conference call, twice – on the 11<sup>th</sup> and 25<sup>th</sup>. In November, the subcommittee met, via conference call on November 15, 2012. In December, the subcommittee met, via conference call, on December 6 and 20, 2012. In January, 2013 the subcommittee met, via conference call, on the 17<sup>th</sup> and 31<sup>st</sup>. In February, 2013, the subcommittee met, via conference call, on the 14<sup>th</sup> and the 28<sup>th</sup>. In March, 2013 the subcommittee met, via conference call on the 14<sup>th</sup> and the 28<sup>th</sup>. In April, 2013 the subcommittee met, via conference call, on the 11<sup>th</sup> and 25, 2013. In May, 2013 the subcommittee met, via conference call on May 9 and 23, 2013. In June, 2013, the Technical subcommittee met, via conference call, on the 6<sup>th</sup> and 20<sup>th</sup>. In July, the Technical subcommittee met once, via conference call, on July 18, 2013. In August, the Technical subcommittee met three times, via conference call, on the 1<sup>st</sup>, 15<sup>th</sup>, and 29<sup>th</sup>. In September, the Technical subcommittee met once, via conference call, on the 12<sup>th</sup>. In October, 2013, the Technical subcommittee met twice, via conference call, on the 10<sup>th</sup> and the 24<sup>th</sup>. In November, 2013 the subcommittee met once on the 7<sup>th</sup>. In December, 2013, the subcommittee met on the 5<sup>th</sup> and the 19<sup>th</sup>. In January, 2014, the subcommittee met on January 16 and 30<sup>th</sup>. In February, 2014, the subcommittee met on the 13<sup>th</sup> and 27<sup>th</sup>. In March, 2014, the subcommittee met on the 13<sup>th</sup> and 27<sup>th</sup>. In April, 2014, the subcommittee held one conference call – on April 24<sup>th</sup>. In May, 2014, the subcommittee held two conference calls – on the 8<sup>th</sup> and 22<sup>nd</sup>. In June, 2014, the subcommittee held two conference calls – on June 5 and 19. In July, 2014, the subcommittee held one conference call – July 17<sup>th</sup>. In August, 2014, the subcommittee met twice, via conference call, on the 14<sup>th</sup> and the 28<sup>th</sup>. In September, 2014, the subcommittee met twice on the 11<sup>th</sup> and 25<sup>th</sup>. In October, 2014, the subcommittee held one conference call – on the 9<sup>th</sup>. In November, 2014 the subcommittee met twice, via conference call, – on the 6<sup>th</sup> and the 20<sup>th</sup>. In December, 2014, the subcommittee met twice, via conference call – on the 4<sup>th</sup> and 18<sup>th</sup>. In January, 2015 the Technical subcommittee met twice via conference call – on the 15<sup>th</sup> and 29<sup>th</sup>. In February, 2015, the Technical subcommittee met once, via conference call – February 12, 2015. In March, 2015, the Technical subcommittee met twice, via conference call – on the 12<sup>th</sup> and the 26<sup>th</sup>. In April, 2015, the Technical subcommittee met twice, via conference call – on the 9<sup>th</sup> and 23<sup>rd</sup>. In May, 2015, the Technical subcommittee met once on May 7<sup>th</sup>. In June, 2015, the subcommittee met twice – on the 4<sup>th</sup> and 18<sup>th</sup>. In July, 2015, the Technical subcommittee met twice – on the 16<sup>th</sup> and 30<sup>th</sup>. In August, 2015, the Technical subcommittee met twice – once via conference call on August 13<sup>th</sup>, and once face to face on the 19<sup>th</sup>, in Albany, NY, to approve the Dual Mode (DC3rd Rail) Locomotive Specification. In September, 2015, the subcommittee met twice, via conference call – On the 10<sup>th</sup> and the 24<sup>th</sup>. In October, 2015, the subcommittee met once, via conference call – on the 8<sup>th</sup>. In November, the subcommittee met twice, via conference call - on the 5<sup>th</sup> and the 19<sup>th</sup>. In December, the subcommittee met, via conference call twice – on the 3<sup>rd</sup> and 17<sup>th</sup>. In January, 2016, the subcommittee met, via conference call, twice – on the 14<sup>th</sup> and 28<sup>th</sup>. In February, 2016, the Technical subcommittee met, via conference call, once – on the 11<sup>th</sup>. In March, 2016, the subcommittee met, via conference call, twice – on the 10<sup>th</sup> and the 24<sup>th</sup>. In April, 2016, the subcommittee met twice via conference call – on the 7<sup>th</sup> and 21<sup>st</sup>. In May, 2016, the subcommittee met once via conference call – on May 19<sup>th</sup>. In June, 2016, the subcommittee met twice, via conference call – on the 16<sup>th</sup> and the 30<sup>th</sup>. In July, 2016, the subcommittee met twice, via conference call – on the 14<sup>th</sup> and the 28<sup>th</sup>. In August, 2016, the Technical subcommittee met twice, via conference call – on the 11<sup>th</sup> and the 25<sup>th</sup>. In September, the Technical subcommittee met twice, via conference call – on the 8<sup>th</sup> and 22<sup>nd</sup>. In October 2016, the Technical subcommittee met once, via conference call – on the 6<sup>th</sup>. In November 2016, the Technical subcommittee met twice, via conference call – on the 3<sup>rd</sup> and the 17<sup>th</sup>. In December 2016, the Technical subcommittee met once, via conference call – on the 15<sup>th</sup>. In January 2017, the subcommittee met on the 12<sup>th</sup> and 26<sup>th</sup> – via conference call. In February 2017, the subcommittee met on 2-9-17 – via conference call and participated during the NGEA 7<sup>th</sup> Annual Meeting on 2-24-17 in Washington, DC. In March 2017, the subcommittee met on 3-9 and 3-23-17, via conference call. In April 2017, the subcommittee met once, via conference call, on 4-20-17. In May, the subcommittee met twice, via conference call, on 5-4 and 5-18-17. In June, the subcommittee met once – on 6-1-17. In July 2017, the subcommittee met once – on 7-13-17. In August 2017, the subcommittee met twice – on the 10<sup>th</sup> and the 24<sup>th</sup>. In September 2017, the subcommittee met once on the 7<sup>th</sup>. In October 2017, the subcommittee met once – on 10-5-17. In November 2017, the subcommittee met three times, via conference call, on 11-2, 11-16, and 11-30-17. In December 2017, the subcommittee met once, via conference call, on 12-14-17. In January 2018, the subcommittee met twice via conference call on the 11<sup>th</sup> and the 25<sup>th</sup>. In February 2018, the Technical subcommittee met on 2-8-18 and provided a full progress report during the NGEA Annual Meeting on 2-23-18. In March 2018, the subcommittee met via conference call on the 8<sup>th</sup> and 22<sup>nd</sup>. In April 2018, the Technical subcommittee met once, via conference call on the 19<sup>th</sup>. In May 2018, the subcommittee met three times – on the 3<sup>rd</sup>, 17<sup>th</sup> and 31<sup>st</sup>. In June 2018, the Technical subcommittee met twice – on the 14<sup>th</sup> and 28<sup>th</sup>. In July 2018, the Technical subcommittee met on the 12<sup>th</sup> and 26<sup>th</sup>. In August 2018, the Technical subcommittee met on August 9<sup>th</sup> and 23<sup>rd</sup>. In September 2018, the Technical subcommittee met on September 6<sup>th</sup> and 20<sup>th</sup>. In October 2018, the Technical subcommittee met on October 4<sup>th</sup> and 18<sup>th</sup>. In November 2018, the subcommittee met three times – on the 1<sup>st</sup>, 15<sup>th</sup> and 29<sup>th</sup>. In December 2018, the subcommittee met once – on the 13<sup>th</sup>. In January 2019, the

subcommittee met on the 10<sup>th</sup> and 24<sup>th</sup>. In February 2019, the subcommittee met on 2-7-19 and participated in the NGEAC Annual Meeting on 2-22-19 in Washington, DC. In March 2019, the subcommittee met twice, via conference call, on the 7<sup>th</sup> and 21<sup>st</sup>. In April 2019, the subcommittee met twice, via conference call, on the 4<sup>th</sup> and 18<sup>th</sup>. In May 2019, the subcommittee met three times, via conference call, on the 2<sup>nd</sup>, 16<sup>th</sup> and 30<sup>th</sup>. In June the subcommittee met twice, via conference call, on the 13<sup>th</sup> and the 27<sup>th</sup>. In July 2019, the subcommittee met twice – on the 11<sup>th</sup> and the 25<sup>th</sup>. In August 2019, the subcommittee met twice – on the 8<sup>th</sup> and the 22<sup>nd</sup>. In September 2019, the subcommittee did not meet formally due to schedule conflicts. In October 2019, the Technical subcommittee met three times – on the 3<sup>rd</sup>, 17<sup>th</sup> and 31<sup>st</sup>. In November 2019, the Technical subcommittee met once – on the 14<sup>th</sup>. In December, the Technical subcommittee met once – on the 12<sup>th</sup>. In January 2020 the subcommittee met twice - on the 9<sup>th</sup> and 23<sup>rd</sup>. In February 2020, the subcommittee met on the 6<sup>th</sup> and as a part of the Annual meeting – on 2-21-20. In March 2020, the Technical subcommittee met twice, via conference call, on the 5<sup>th</sup> and 19<sup>th</sup>. In April 2020, the Technical subcommittee met three times, via conference call, on the 2<sup>nd</sup>, the 16<sup>th</sup> and on the 30<sup>th</sup>. In May 2020, the Technical subcommittee met twice, via conference call, on the 14<sup>th</sup> and the 28<sup>th</sup>. In June 2020, the Technical subcommittee met twice, via conference call, on the 11<sup>th</sup> and the 25<sup>th</sup>. In July 2020, the Technical subcommittee met twice, via conference call on the 9<sup>th</sup> and the 23<sup>rd</sup>. In August 2020, the Technical subcommittee met twice, via conference call, on the 6<sup>th</sup> and the 20<sup>th</sup>. In September 2020, the Technical subcommittee met twice, via web conference, on the 3<sup>rd</sup> and the 17<sup>th</sup>. In October 2020, the Technical subcommittee met three times – on the 1<sup>st</sup>, 15<sup>th</sup> and 29<sup>th</sup>. In November 2020, the Technical subcommittee met once – on the 10<sup>th</sup>. In December 2020, the subcommittee met on 12-10-20. The 12-24-20 call was canceled due to the Christmas holiday. In January 2021, the subcommittee met twice, on the 7<sup>th</sup> and 21<sup>st</sup>. In February 2021, the subcommittee met on 2-4-21 and again participated in the 2-23-21 NGEAC Annual Meeting. In March 2021, the subcommittee met once – on the 18<sup>th</sup>. In April 2021, the subcommittee met twice – on the 1<sup>st</sup> and 29<sup>th</sup>. In May 2021, the subcommittee met twice – on the 13<sup>th</sup> and the 27<sup>th</sup>. In June 2021, the subcommittee met twice – the 10<sup>th</sup> and the 24<sup>th</sup>. In July the subcommittee met twice on the 1<sup>st</sup> and the 22<sup>nd</sup>. In August, 2021 the subcommittee met once on the 5<sup>th</sup>. In September 2021, the subcommittee met three times - on the 2<sup>nd</sup>, 16<sup>th</sup> and 30<sup>th</sup>. In October 2021, the subcommittee met twice – on the 14<sup>th</sup> and the 28<sup>th</sup>. The subcommittee did not meet in November 2021, due to Veterans Day and Thanksgiving Day landing on the Technical subcommittee meeting dates. The subcommittee met twice in December 2021 on the 9<sup>th</sup> and the 23<sup>rd</sup>. The subcommittee met twice in January 2022 on the 6<sup>th</sup> and the 20<sup>th</sup>. The subcommittee met on February 3, 2022 and participated in the NGEAC Annual Meeting on 2-25-22. The subcommittee met on March 17<sup>th</sup> and 31<sup>st</sup> 2022. The subcommittee met on April 14<sup>th</sup> and 28<sup>th</sup>, 2022. The subcommittee met once in May – on the 12<sup>th</sup>. The subcommittee met once in June 2022– on the 9<sup>th</sup>. The subcommittee met twice in July 2022 – on the 7<sup>th</sup> and the 21<sup>st</sup>. The subcommittee met twice in August 2022 – on the 4<sup>th</sup> and the 18<sup>th</sup>. The subcommittee met twice in September 2022 – on the 1<sup>st</sup> and the 15<sup>th</sup>. The subcommittee met twice in October 2022 – on the 13<sup>th</sup> and 27<sup>th</sup>. The subcommittee met twice on November 1<sup>st</sup> and 15<sup>th</sup>. In December 2022, the Technical subcommittee met once, on December 8<sup>th</sup>. In January 2023, the subcommittee met on the 5<sup>th</sup> and the 19<sup>th</sup>. In February 2023, the subcommittee met on 2-3-23 as a part of the NGEAC Annual Meeting. In March 2023, the Technical subcommittee met twice on the 2<sup>nd</sup> and 30<sup>th</sup>. In April 2023, the subcommittee met on the 13<sup>th</sup> and 27<sup>th</sup>. In May 2023, the subcommittee met twice – on the 11<sup>th</sup> and 25<sup>th</sup>. In June 2023, the subcommittee met twice – on the 8<sup>th</sup> and the 22<sup>nd</sup>. In July 2023, the subcommittee met twice – on the 6<sup>th</sup> and the 20<sup>th</sup>. In August the subcommittee met once on the 17<sup>th</sup>. In September 2023, the subcommittee met once on the 14<sup>th</sup>. In October 2023, the subcommittee met twice- on the 12<sup>th</sup> and 26<sup>th</sup>. In November 2023, the subcommittee met once – on the 9<sup>th</sup>. In December 2023, the Subcommittee met once – on the 8<sup>th</sup>. In January 2024 the subcommittee met twice – on the 4<sup>th</sup> and 18<sup>th</sup>. In February 2024, due to the NGEAC Annual Meeting taking place on 2-2-24, the subcommittee met formally only once – on the 29<sup>th</sup>. In March 2024, the subcommittee met once on the 28<sup>th</sup>. In April 2024, the Technical subcommittee met once, on the 25<sup>th</sup>. In May 2024, the Technical subcommittee met twice – on the 9<sup>th</sup> and 23<sup>rd</sup>. In June 2024, the Technical subcommittee met twice – on the 6<sup>th</sup> and the 20<sup>th</sup>. In July 2024, the subcommittee met once – on the 18<sup>th</sup>. In August 2024 the subcommittee met once – on the 15<sup>th</sup>. In September 2024, the subcommittee met twice – on the 12<sup>th</sup> and 26<sup>th</sup>. In October 2024, the subcommittee met once – on the 10<sup>th</sup>. In November 2024, the subcommittee met on the 7<sup>th</sup> and the 21<sup>st</sup>. ***In December 2024, the subcommittee did not meet due to the holiday schedule.***

On the June 2, 2011 and June 16, 2011 conference calls, the subcommittee finalized the plans for the June 22, 2011 in-person meeting. The primary purpose of the meeting was to do a final review of the Trainset specification and to vote on its approval.

In June 2011, the subcommittee also continued to develop a Dual Mode Locomotive Requirements document. The intent is to consider approval of the document at the next conference call meeting of the subcommittee following the June 22, 2011 meeting. (The next call is scheduled for July 14, 2011)

The Locomotive Technology Task Force has been constituted and meeting regularly.

The Document Control Management Pilot is underway and making progress. The Document Control team is expected to provide a final report in September 2011.

At the June 22, 2011 meeting of the Technical subcommittee, the Trainset specification was approved by the subcommittee. As noted by Technical Subcommittee Chairman Mario Bergeron in his report to the Executive Board on June 23, 2011, "This specification was different from the first three specs" that the subcommittee had developed and approved, in that it was "the first one without unanimous approval".

The subcommittee did approve the Trainset specification, but had to go to a block vote, as called for in the voting procedures when the Chair determines that consensus has not been achieved.

The FRA was the dissenting vote, not because it disapproved of the Trainset specification, as a whole, but because of the rejection of their request that the language pertaining to Crash Energy Management (CEM) be changed.

At the June 22, 2011 Technical subcommittee meeting, Kevin Kesler had, on behalf of FRA, stated, "The FRA desires that, where present in the trainset specification, the requirement for crash energy management (CEM) feature be denoted as optional". Further, Kevin proposed that the language in the specification be revised to state, "The design of the trainset must be compliant with FRA's regulations or consistent with Engineering Task Force Guidance, (ETF) and it may, as an option, incorporate Crash Energy Management (CEM) features."

Mr. Bergeron pointed out that the current language calling for CEM is contained in the previous specifications adopted by the Executive Board, and was contained in the Board's Requirements document for the Trainset specification.

Mr. Bergeron explained that we (the subcommittee) "take our mandates from the Executive Board through a Requirements document approved by the Board." He elaborated that the "CEM modification would have moved us from the Requirements document. The Technical subcommittee could not send to the Executive Board "a specification that is not aligned with its (the Board's) Requirements document."

Ultimately, the Trainset specification was approved by the subcommittee, and the CEM issue has been" brought to the Board for progression". All Specifications and Requirement documents include CEM. We can't let CEM "get in the way of procurements" – we are, therefore, "seeking the Board's input on this issue."

Kevin Kesler noted that the FRA has agreed to Mario's request, as Chair of the Technical subcommittee, to submit "a written explanation of our dissent and to do it quickly – we do not want to hold up procurements."

Also, at the Board meeting of June 23, 2011, John Tunna, FRA, commented "To clarify our position, FRA will approve equipment that meets CFR requirements or the Engineering Task Force Tier 1 waiver guidance for alternatively designed equipment. Whether or not to go above the minimum is a matter for the States to decide, and for that reason we believe it should be an option in the specification."

Kevin Kesler noted that, at the subcommittee meeting, some states expressed concern that states," if given the option will not put in CEM, due to costs."

Various other comments had been made at the subcommittee meeting, including liability concerns. The intent is that the FRA's position paper will address both technical and legal issues related to this requested change, and the issue will be a standing agenda item on future Board meetings to keep the Board apprised of progress being made on the position paper.

As for the Trainset specification, it has been submitted to Executive Board Chairman Bill Bronte and provided to the Trainset Review Panel. The Panel will provide a report with recommendations to the Executive Board two weeks prior to a scheduled August 2, 2011 webinar meeting of the Executive Board during which the Trainset specification will be considered for adoption. If it is adopted, it will be the fourth PRIIA specification to have been developed and approved by the S305 NGEC in approximately 18 months – a significant accomplishment!

On July 14, 2011, the subcommittee met via conference call. During this call, the subcommittee, via block vote, with FRA dissenting, approved the Dual Mode (DC) Locomotive Requirements Document version 1.3 as presented. The dissenting vote by FRA was, once again, regarding the Requirements Document including CEM language consistent with the previously approved Requirements Documents and PRIIA adopted specifications. It was agreed that, in transmitting the Dual Mode (DC) Locomotive Requirements Document to the Board for its consideration; Steve Hewitt would note the CEM issue as the cause of the FRA dissent; and ask that the Board not consider approval of the Requirements Document until the FRA had submitted its position paper, the Board had reviewed it, and a final decision on CEM has been made.

It was agreed that the Locomotive Technology Task Force will provide a summary report on the industry search on technology to the subcommittee by the end of August. The LTTF also intends to issue a draft report in regards to the issue of 110-125 mph by late August.

Once the LTTF has completed its work, and depending on the subcommittee's capacity, a Car Technology Task Force will be considered for establishment within the subcommittee.

The subcommittee, on July 14, 2011, established an ADA Technical Working Group to be led by Melissa Shurland, FRA. Steve Hewitt will send out a solicitation for volunteers to express their interest in participating on this working group. (As of July 25, approximately 18 volunteers have come forward, and the first conference call is scheduled for August 3, 2011)

On July 28, 2011, the subcommittee met, via conference call. During this call, the subcommittee received an update on the Document Control Pilot (Bi-Level spec) which is progressing quite well with 55 Document Control Requests (DCRs) submitted and 38 adjudicated thus far. Revision A is expected to be completed sometime in September, 2011 and submitted to the subcommittee for review and on to the Board for approval.

The LTTF continues to move forward on its two assigned tasks and on target as described on July 14<sup>th</sup>.

The ADA Working Group will hold its "kick off" conference call on August 3, 2011. Steve Hewitt has asked AASHTO to add a page to the website dedicated to the work of this group.

Larry Salci, consultant to the Trainset Review Panel provided an overview of the activities of the Review Panel, and gave a summary of its report to the Executive Board. (see review panel section of this report) The panel is recommending that the Board approve the Trainset specification, as submitted, but with a note in regard to resolving the CEM issue raised by the FRA.

On August 11, 2011 the subcommittee met, via conference call, with Dale Engelhardt (subcommittee Vice Chair) facilitating the meeting.

Dale Engelhardt reported that the Trainset specification was adopted by the Executive Board on August 2, 2011 during its webinar/conference call meeting. Larry Salci, consultant, provided the Board with an overview of the Review Panel report and its recommendation for approval. Due to their ongoing concerns over the CEM language in the specification, the FRA abstained from voting for adoption of the Trainset specification. All other Board members voted in favor.

Kevin Kesler summarized, for the Technical subcommittee, the reason for the abstention. The FRA is concerned that with the CEM language in the specification, there are, essentially, two definitions in two places. (The Engineering Task Force, working with RSAC, and the NGECE) "The concern is that we are building two tracks at the same time". FRA would prefer that the NGECE "adopt what's been done by RSAC".

Steve Hewitt reminded Kevin that there was also discussion at the Board meeting of the development of a disclaimer statement by the FRA, as a part of the CEM position paper they are preparing. The issue is that if the FRA votes to approve a specification with language (such as the CEM requirement), when regulations have not yet been written, then the NGECE, could be perceived as modifying the current FRA regulations. A member of the Board recommended that a resolution to the problem may be to propose a disclaimer statement that clarifies that there is no intent to modify regulations. FRA had agreed to include a proposed disclaimer statement in its position paper for Board consideration as a possible remedy for this issue.

Other key actions/decisions coming out of this meeting included:

- The DMU specification remained an open issue – industry representatives were asked to contact Dave Warner and Steve Hewitt, to express their interest in assisting in the development of a 305 DMU specification. The Executive Board ultimately will determine if a DMU specification is to be developed and, if so, will direct the Technical subcommittee to begin the work.
- The Standardization working group is working towards a goal of having standardization candidates for its pilot program by the end of August, 2011.
- The Locomotive Technology Task Force (LTTF) will provide its two assigned reports to Steve Hewitt for distribution. The reports will be posted once a disclaimer statement has been developed by the Administrative task Force.
- Dale asked the LTTF to look at fuel consumption issues in relation to 110-125 mph speeds and Tier III and IV.
- The ADA Working group continues to make progress.
- The Buy America survey has been completed – follow up calls are taking place between survey respondents and the FRA and a briefing of the results will be presented to the USDOT Secretary and the FRA Administrator. Once finalized and approved the survey results report will be presented to the Technical subcommittee and the Executive Board in a webinar meeting. Kevin Kesler will work with Steve Hewitt on making those arrangements.

On August 25, 2011, the subcommittee held its bi-weekly conference call with the following decisions/action items resulting:

- The Standardization Working Group will have 2 to 3 candidate items for Board consideration by mid-September. The candidates will be brought to the subcommittee prior to going to the Board.
- New Technical subcommittee members will be solicited to become involved in the various subgroups that have been established by the subcommittee. The subgroups are: Mechanical, Electrical, VTI, Structural, Interiors and Locomotive.
- The subcommittee approved the Diesel-electric locomotive requirements document to reflect a top speed of 110 mph. The revised document has been sent to the Executive Board. (As FRA's Technical subcommittee representative was not present on this call- he will be given an opportunity to weigh in prior to a Board vote).
- Dale Engelhardt will begin developing a DMU Requirements document using input from a document submitted by US railcar, as well as input from other manufacturers and the Mechanical sub group. The results of the two surveys of interest in having the NGEC develop a DMU specification were: 11 states expressed interest in a DMU spec and 9 members of the industry volunteered to assist in the effort. Pending final approval by the Executive Board (decision – August 30th) the subcommittee will move forward in anticipation that it will be directed to develop a DMU specification. (as reported under the Executive Board section of this activities report – the Board agreed on August 30, 2011 that the NGEC will develop a 305 DMU specification).

Dale will present a draft DMU requirements document to the Technical subcommittee on its September 22, 2011 conference call.

The Document Control Task Force has completed the “change summary” and the subcommittee intends to vote on its approval on September 8, 2011. If approved, it will go to the Executive Board for consideration.

Key decisions and action items resulting from the September calls of the Technical subcommittee were:

- The Standardization Working Group (SWG) continues to progress the pilot process. On its next call, the working group will do an assessment of the process – look at lessons learned, and make suggestions for improving the process going forward. A presentation on the activities and issues related to the SWG will be on the agenda for the Executive Board call on September 27, 2011.



- As the SWG develops lists of standardization components – the DCR process will be used to handle the administrative aspects of Standardization.
- The Bi-level change summary Revision A was approved by the subcommittee on September, 2011, and submitted to the Executive Board. The Board, on September 15, 2011, formed a Review Panel to review Revision A against the Bi-level Requirements document and the Board, on September 27, 2011 accepted the Review Panel's recommendation that Revision A be accepted.
- It was agreed that the deadline for submissions for DCRs for inclusion in the Bi-level cars Revision B is October 14, 2011.
- In regards to the DMU requirements document, Dale Engelhardt will take the feedback received, in reference to the draft requirements document presented to the subcommittee on September 22, 2011, and will prepare a revised version. Version 2 will be presented to the subcommittee on October 6, 2011 (its next call) with the intent to vote it out of the subcommittee. If it is approved, it will be sent to the Executive Board for its consideration on its October 11, 2011 call.
- FRA has sent out its Buy America survey results presentation. Steve Hewitt distributed it to the subcommittee members and the Executive Board. Subcommittee chair, Mario Bergeron has asked that it be included as an agenda item on October 6, 2011.
- The ADA WG continues its efforts and will be conducting a survey of wheel chair providers to get a better understanding of "real world" needs.
- As part of the Systems Engineering process, clones have been created of existing Amtrak specifications, and assigning them PRIIA numbers. Disclaimers are being placed on both the Amtrak and PRIIA versions that mention their "parentage", and requesting Amtrak/PRIIA contact each other if a change is made to one. For drawings, a disclaimer is being placed on the PRIIA clone to not change the drawing without getting Amtrak's approval. Dave Warner continues to lead this effort.

In October, the activities of the Technical subcommittee resulted in the following decisions and action items:

- The subcommittee, on October 6, 2011, approved the 305 DMU requirements document and submitted it to the Executive Board Chairman, Bill Bronte. It was subsequently adopted by the Executive Board on October 11, 2011.
- On October 20, 2011, the Technical subcommittee directed Dave Warner to work with the technical subgroup leaders to draft a proposed structure and schedule with timelines and milestones for developing the S305 DMU specification. The proposal will be presented to the Technical subcommittee on its first November conference call (November 3, 2011).
- With Revision A of the Bi-level car specification having been approved and posted, Revision B is in the process of being completed. 59 Document Control Revisions (DCRS) have been submitted. Document Control Manager, Dave Warner, will update the subcommittee on the status of Revision B on November 3, 2011. Expectations are that by the November 17, 2011 subcommittee call, Revision B will be ready to be considered for Technical subcommittee approval.
- The ADA WG lead, Melissa Shurland provides bi-weekly reports to the subcommittee on the working group activities. On October 20, 2011, Melissa was asked to provide the subcommittee with a schedule with milestones. This was provided to Steve Hewitt and distributed to the subcommittee. It will be part of the ADA WG update on November 3, 2011.
- The Document Management Process Procedures was adopted by the Executive Board on October 25, 2011, having been approved by the Technical subcommittee on October 20, 2011.
- Dave Warner and Steve Hewitt are working with AASHTO on recommended web site improvements for easier navigation and accessibility to specification "clones", as well as setting up an NGEC document repository.

- The Standardization Working Group Pilot will undergo an outside assessment – this activity was approved by the Executive Board on October 25, 2011. Plans are being formulated to include this activity in the Technical subcommittee budget and work plan.
- The Buy America industry survey has been completed – a presentation was provided to all subcommittee members (as well as the Board) and a summary briefing given by Kevin Kesler, FRA, took place on the October 6, 2011 subcommittee call.
- Dale Engelhardt has been charged with developing a budget and scope of work for the subcommittee for the period beginning 4-1-2012 through 3-31-13. The subcommittee will also look at modifications that may be needed to reflect current activities within the current grant agreement through 3-31-12.

In November, 2011, the Technical subcommittee activities resulted in the following decisions and action items:

- Bi-Level Car Revision B was approved by the Technical subcommittee and submitted to Executive Board Chairman Bill Bronte. It is now being reviewed by the Bi-Level Car Review Panel and a report with recommendations will be presented to the Board for its consideration on December 6, 2011.
- The group tasked with developing recommendations for change management during procurement has produced a preliminary report and a revised report. The revised report is under review with the lead procuring state (California). Once finalized, the revised report will be presented to the Technical subcommittee and the Board for approval.
- A timeline, schedule, and structure for developing the 305 DMU specification were approved by the Technical subcommittee on November 17, 2011. The structure to be used follows that of the previous specifications developed by the subcommittee. There will be 6 working or sub groups, each with a team leader. The sub groups and their leaders are:

Mechanical – Jeff Gordon, FRA

Structural – Anand Prabhakaran, Sharma Associates

Electrical – Tammy Krause, Amtrak

Propulsion – Jack Madden, NYSDOT

Interiors – Andrew Wood, Amtrak

VTI – Brian Marquis, Volpe

The overall lead for the specification development is Dave Warner, Amtrak.

The schedule calls for a face-to-face meeting of the subcommittee for final review of the specification around the end of May, 2013

- The subcommittee has determined that the Standardization pilot should have an outside assessment – and the Board has agreed to have AASHTO contract with consultant Larry Salci to take on this task.
- The ADA Working Group continues to meet on a regular basis and is developing recommendations to present to the subcommittee and then to the Executive Board.

In December, 2011, the Technical subcommittee met, via conference call, on December 1 and December 15. Key decisions and action items resulting from these meetings included:

- With the FRA-CEM disclaimer statement having been approved by the Executive Board, and the Dual Mode Locomotive Requirements Document having been subsequently adopted by the Board, Steve Hewitt will distribute the Dual Mode Locomotive Requirements Document and disclaimer statement to AASHTO for posting and to all subcommittee members.

- The DMU specification development technical subgroups have been organized and are ready to begin working on the specification development. Dave Warner, who coordinates/manages the specification development, will distribute a strawman DMU document to all subgroup leaders by next week (week of December 19, 2011) and the subgroups will get down to work.
- Subgroup leaders for the DMU specification development are:
 

Andrew Wood, Amtrak – Interiors

Tammy Krause, Amtrak – Electrical

Jeff Gordon, FRA – Mechanical

Brian Marquis, Volpe – VTI

Anand Prabhakaran, Sharma Associates – Structural

Jack Madden, NYSDOT - Propulsion
- The ADA working group will now be called the Accessibility Working Group. Steve will report this change in the minutes and to the Executive Board, and will change future agendas to reflect the change as well. He will also ask AASHTO to change the website to reflect the new name.
- The December 29, 2011 meeting of the Technical subcommittee is cancelled. The next call is January 12, 2012 and will be held, as usual, every other Thursday at 3:00pm Eastern throughout 2012.
- The contract between AASHTO (on behalf of the NGECC) and consultant Larry Salci to perform an outside assessment of the Standardization Pilot is expected to be executed in early January, 2012.
- Stan Hunter will provide an update on the next subcommittee call on the status of the change management during procurement procedures. At this point Caltrans legal is still reviewing the procedures.
- The PRIIA Reference Documents and Drawings (previously Amtrak references and specifications) have been posted to the AASHTO NGECC website and can be found on the Documents/Specifications page. To request a copy, interested parties are instructed to click on the link, and an email request automatically opens. Include the requested information, hit send, and the email will go to Steve Hewitt.

The Technical subcommittee conference calls held in January (12 and 26), 2012 resulted in the following key decisions/action items:

- After receiving the mandate from the executive Board as described in its January 24, 2012 motion, the Technical subcommittee determined the following actions:
  - o The FRA will prepare draft DCRs by next Tuesday – January 31, 2012.
  - o The Accessibility Working Group will hold a conference call on Wednesday, February 1, 2012 and will prepare a recommendation that will be submitted to the Executive Board by Monday, February 6, 2012
  - o If the Executive Board agrees with the recommendations the DCRs will then go through the full DCR process for inclusion in Revision C.
  - o It was also agreed that the items to be addressed to fulfill the mandate include items 1 through 6 of the AWG document discussed earlier and distributed prior to today's call.
- Jeff Gordon, FRA, will develop a revised change management during procurement procedure document based on discussions held among Tammy Krause, Amtrak, Stan Hunter, Caltrans, and Dave Warner Amtrak and the Document Control Coordinator for the NGECC. Once the document has been revised and reviewed/approved by Jeff, Dave, Tammy and Stan, it will be presented to the Executive Board for its consideration on February 7, 2012.

- All industry representatives are asked to notify Kevin Kesler and/or Jeff Gordon as to whom and how many from their company will be attending the National Institute for Standards and Technology Manufacturing Extension Partnership (NIST/MEP) forums to be held in Sacramento and/or Chicago-February 8<sup>th</sup> and 14<sup>th</sup> respectively. They are also asked to provide contact information so that Kevin and Jeff can reach out in advance. These forums are designed to provide the opportunity for suppliers to meet carbuilders – even suppliers not currently in the passenger rail business, but looking to get involved.
- The PRIIA DMU specification development effort continues to progress and appears to be on schedule to meet the timeline for final review by the end of May, 2012. The DMU Technical Subgroup leaders provide a status report to the full subcommittee during each bi-weekly call.

The Technical subcommittee conference call held on February 9, 2012 resulted in the following key decisions/action items:

- The Technical subcommittee call schedule was be modified so that it meets prior to the bi-weekly Executive Board calls, as was the case previously. The next call of the subcommittee will take place on March 1, 2012 and will continue from there on every other Thursday at 3:00pm Eastern.
- The PRIIA DMU specification continues to progress – subgroup leaders bi-weekly reports indicate that progress is on schedule in accordance with the timelines established.
- The Accessibility Working Group will continue to develop additional recommendations for consideration by the subcommittee and the Executive Board.
- The Executive Board has received the revised Change management During Procurement Procedures for its consideration. It will likely be an agenda item for the Board on March 6, 2012.
- Bi-Level Rev C will include the DCRs resulting from RFI comments and 12 additional DCRs for Accessibility modifications as agreed by the subcommittee and the Executive Board. Once Rev C has been completed and approved by the subcommittee, it will be reviewed by the Review Panel and compared against the bi-level requirements document (revised by the Executive Board on February 14, 2012). The Review Panel will submit its recommendations to the Executive Board for its consideration.

During the month of March, 2012 the Technical subcommittee held conference calls on the 15<sup>th</sup> and 29<sup>th</sup>. The key decisions and action items resulting from those calls included:

- The subcommittee approved the March 28, 2012 Revision C summary by the unanimous consent of all voting members present on the March 29, 2012 conference call. Revision C has now been approved by the Review Panel and Technical subcommittee. The next step is for the Executive Board to consider the Review Panel report and recommendation for approval, and vote to adopt Bi-level Car Revision C. This is expected to occur on April 3, 2012.
- On March 29, 2012, the Technical subcommittee agreed with a recommendation from AASHTO that the DMU specification final technical review meeting take place in Boston, Ma. And that it will be held on June 14, 2012.
- On March 30, 2012, Steve Hewitt sent out a request to subcommittee members and industry participants asking that those planning to attend the DMU technical review meeting inform him so that he can provide AASHTO with an accurate head count for securing a meeting room of an appropriate size.
- During the March 29, 2012, Technical subcommittee call, Melissa Shurland, FRA, reported that the FRA, the Access Board and OST had met to discuss the AWG recommendations for accessibility improvements moving forward. Melissa reported that the Access Board is pleased with the work the AWG has done, but wants it to do more. The FRA reported that lines of communication have opened up between the Access Board and the AWG so that regular interaction can take place (monthly), and no last-minute surprises should occur as was the case with the bi-level cars.

- Melissa Shurland, FRA, will provide Steve Hewitt with a document/conversation email that confirms or provides the interpretation that it is normal practice to revert to building standards in the absence of a transportation regulation. Melissa will also provide Steve Hewitt with the attendance list of those who participated in the March 20, 2012 meeting with FRA, the Access Board and the OST, and will provide any minutes that were taken during that meeting. Steve will send these items out to all subcommittee members once he has received them.
- By March 30, 2012 the information requested (above) has been distributed to the Executive Board, and the Technical subcommittee has been provided the information as described. The issue in regards to reverting to Building standards on rolling stock when a transportation standard is absent remains open.

During the month of April, 2012, the Technical subcommittee held conference calls on the 12<sup>th</sup> and 26<sup>th</sup>. The key decisions and action items resulting from those calls included:

- The FRA has notified the Technical subcommittee that there will be two additional NIST/MEP Rail forums to be held May 3 and May 8 in Kansas City and Orlando. Jeff Gordon provided details on the forums to Steve Hewitt for distribution to all subcommittee members and industry participants.
- The DMU specification chapters have been completed, reviewed, and posted for comments on the AASHTO NGEN website. Comments are to be submitted to Dave Warner using a Change Request Form that is posted in conjunction with the chapters. The deadline for comments is midnight (Eastern) May 11, 2012.
- The subcommittee members agreed to hold an electronic vote for consideration for approval of two procedure DCRs 100-101 and 100-102. The electronic vote was to be completed by 4:00pm on Friday, April 13, 2012. The electronic vote took place, and the DCRs were unanimously approved by all voting members of the Technical subcommittee. The Executive Board subsequently adopted them on April 17, 2012.
- The June 14, 2012 DMU review meeting is scheduled for Boston, MA. It will take place at the Boston Park Plaza Hotel. Anyone who intends to come to the meeting should let Steve Hewitt know asap. Approximately 50 members have registered to attend thus far, and a meeting room that will hold up to 80 has been reserved. A block of rooms at the Boston Park Plaza Hotel has been reserved for Technical subcommittee core team members and a "shadow block" has been reserved for industry members. The room reservation information was sent out to the core members and industry participants on Friday, April 27, 2012. The blocks of rooms are available beginning April 30, 2012.
- Dave Warner, Camren Cordell and Stan Hunter met to determine a solution to the issue of the individual Rev C chapters not having an identifier showing Rev C. On the April 26, 2012 call, they made the recommendation to the subcommittee that the individual chapters are not to be posted so as to avoid any confusion or issues of concern. The full Revision C specification is posted.

During the month of May, 2012, the Technical subcommittee held conference calls on the 10<sup>th</sup> and 24<sup>th</sup>. The key decisions and action items resulting from those calls included:

- During the May 24, 2012 conference call of the Technical subcommittee, it was agreed that the previously proposed procedures for handling accessibility DCRs would be revised to include suggestions provided by Kevin Kesler, FRA, and would then be sent to voting members for consideration electronically. On May 31, 2012, the electronic vote concluded, and the results were unanimous for approval with all voting members casting a vote in favor. Having, therefore, achieved consensus, the Accessibility DCR Procedures will be finalized, as approved, and will be sent to the Executive Board for consideration during its next conference call – June 12, 2012.
- Melissa Shurland, leader of the AWG, reported that the AWG has not met since she last reported to the subcommittee, so there was nothing to report out at this time. She did say that the FRA, Access Board, and OST met with the National Association of the Deaf to discuss communications issues. Melissa also noted that FRA and OST went to Union Station and looked at the accessibility restrooms on the Acela and a single level northeast regional train. Their perspective on this, and the communications issue, will be "disseminated to the AWG as early as next week". (week of 5-28-12)

- The FRA Chief Counsel is reviewing the Amtrak legal interpretation in regard to building codes and Railcar standards. As soon as they have formed an opinion, Melissa Shurland will inform the AWG and the Technical subcommittee of that opinion. This will remain an open action item until resolved.
- Dave Warner provided Steve Hewitt with new PRIIA “clones” (drawings and specs) to hold, for distribution upon request, and an updated “clone” list for posting on the AASHTO website.
- It was agreed on May 24, 2012, to include Amtrak public affairs in the strategy discussion in regards to 305 PR. Jeff Gordon, FRA has been tasked with this assignment and had a meeting scheduled for May 25, 2012 with the AASHTO communications director and his counterpart at FRA. Jeff will follow up with Amtrak’s official following the May 25, 2012 meeting. The intent is to develop an NGEC PR strategy for moving forward. Jeff will report on the status of these efforts on the June 7, 2012 Technical subcommittee conference call
- The final DMU specification review meeting is scheduled for June 14, 2012 at the Boston Park Plaza Hotel, Boston, MA. AASHTO has reserved a block of rooms for both industry members and core team members. The cutoff for both blocks was May 23, 2012 however, since rooms remain available, it was extended until May 29, 2012. As of the date of this report (May 31, 2012) there are 47 registered attendees. The final attendee list is due to AASHTO COB June 1, 2012.
- On May 24, 2012, Steve Hewitt reported that members had been asked on the May 10, 2012 call to review the web site and provide him with any changes they would like to see to the site. To this point, no comments have been received. This item will be removed as a standing action item for bi-weekly review, but the site will continue to be updated and revisions or improvements will be made as the 305 efforts continue to evolve and grow.

During the month of June, 2012, the Technical subcommittee met on June 7, 2012, via conference call, and on June 14, 2012 in a face to face meeting for a final review of the DMU specification. The key decisions and actions of the Technical subcommittee during the month of June, 2012, included:

- On June 7, 2012 – an issue with regard to Axle painting was raised on the call. Kevin Kesler, FRA, will do additional research on the issue and report back to the subcommittee.
- On June 7, 2012, it was agreed that Melissa Shurland, AWG leader, will request a meeting among FRA, OST and Amtrak legal prior to FRA issuing guidance on the issue of counter top heights and building code regulations.
- Jeff Gordon, on June 7, 2012, reported to the subcommittee on the status of efforts to get a coordinated PR strategy among AASHTO, Amtrak and FRA. On May 25, 2012, a conference call was held, facilitated by Jeff Gordon, among the three entities. It was agreed that monthly calls will take place, and Jeff Gordon will provide NGEC fact sheets to the group prior to each call, and following each call, will provide a summary briefing to the Board.
- On June 14, 2012, the Technical subcommittee held a face to face meeting in Boston, MA, for a final technical review of the DMU specification. At this meeting the DMU specification was approved by the Technical subcommittee unanimously.
- Following the meeting, the DMU specification was sent to NGEC Chair Bill Bronte and he was asked to reconvene the DMU Review Panel. The Panel, supported by consultant Larry Salci, will prepare a report with recommendations and submit it to the Board in time for its consideration on July 10, 2012.
- The June 21, 2012 call of the subcommittee was cancelled and the next call was scheduled for July 5, 2012.

During the month of July, 2012, the Technical subcommittee met on July 5 and 19, via conference call. The key decisions and actions of the Technical subcommittee during the month of July, 2012, included:

- Revision A of the Diesel-Electric Locomotive Requirements Document and Specification was adopted by the Board on July 10, 2012, and posted to the PRIIA Documents and Specification web page. At the same time, the superseded versions of these two documents, plus the Review Panel Report and the DCR Summary Sheet for the revision were placed in the Repository.

- The Technical subcommittee is beginning to develop a plan and schedule for developing the Dual Mode Locomotive specification. The subgroup leaders will weigh in on a proposed plan developed by Dave Warner and Dale Engelhardt. Dale and Dave will then present the plan to the full Technical subcommittee.
- On July 19, 2012, Melissa Shurland, team leader of the Accessibility Working Group (AWG), following up on the matter of the FRA issuing guidance on the issue of counter top heights and building code regulations, reported that guidelines are not in the purview of FRA, but are the responsibility of the Office of General Counsel in the Office of the Secretary. Amtrak's legal interpretation has been sent to the General Counsel along with the request for a meeting as described in the action item. Melissa will report back when she hears from the General Counsel's office.
- As a follow up to the June 14, 2012 meeting of the subcommittee in Boston, MA, each subgroup met and formally agreed that all current subgroup leaders would continue to serve in that capacity. The Technical subcommittee chair and all members greatly appreciate the work of all subgroup members, especially the leaders, and are very pleased that each one has agreed to continue to serve as a subgroup leader.

During the month of August, 2012, the Technical subcommittee met on the 16th, via conference call. The key decisions and actions of the Technical subcommittee during the month of August, 2012, included:

- A summary sheet of DCRs for the Single Level Cars specification was sent out on July 31, 2012, by Steve Hewitt. All voting members of the Technical subcommittee were asked to review the summary sheet and be prepared to vote on it on the next subcommittee call (September 13, 2012). Once approved, the summary sheet will go to the Single Level Car Review Panel for its review and then, onto the Board with the Review Panel Report and recommendation.
- On the August 16, 2012 subcommittee call, Kevin Kesler reported on a proposed meeting that is being organized to update APTA Standards and to determine if the NGECE Standards are applicable. Kevin is encouraging participation from subcommittee members and will keep the subcommittee apprised as this effort moves forward.
- Melissa Shurland, on August 16, 2012, reported to the subcommittee that a DOE/FRA research workshop to develop a list of options for natural gas technology is being organized. The workshop will be two half day sessions. Melissa will keep the subcommittee informed once the dates are finalized.
- On August 16<sup>th</sup> the subcommittee agreed to the plan prepared by Dave Warner and Dale Engelhardt for moving forward with the development of the Dual Mode Locomotive specification. Writing the specification will not begin until after the release of the RFP for the Diesel-electric Locomotive procurement currently being progressed by the NGECE and the mid-west states, Washington, and California.
- Melissa Shurland has requested the meeting (reported previously) among FRA, OST and Amtrak legal prior to the Office of General Counsel issuing guidance on the issue of counter top heights, and building code regulations. She has also provided the General Counsel with the Amtrak Legal interpretation. Melissa will report back to the subcommittee when she receives a response from the General Counsel.
- Steve Hewitt, on August 16, 2012 reported that, as previously noted, the Diesel-electric Locomotive RFI was released, by the NGECE, on July 6, 2012 to a comprehensive industry list, and was posted on the website on July 9, 2012 in two locations to ensure wide spread notification. Responses were due on July 20, 2012. On August 9, 2012, the RFI Response Review Team (a subset of the JPTF) met to review the responses received and will report back to the full JPTF, which, will, in turn, report to the Executive Board with its findings and recommendations. (See Executive Board activities section of this update)

During the month of September, 2012, the Technical subcommittee met on the 13<sup>th</sup> and 27<sup>th</sup>, via conference call. The key decisions and actions of the Technical subcommittee during the month of September, 2012, included:

- On September 13, 2012, the Single Level Revision A Summary Sheet was approved by the Technical subcommittee. Steve Hewitt sent it to Bill Bronte and, in turn, Bill re-convened the Single Level Car Review Panel on September 20, 2012.
- On September 13, 2012, Melissa Shurland, FRA, reported that the DOE and FRA workshop for Research of Natural Gas options for locomotive propulsion will be held on October 2-3, 2012. By September 28<sup>th</sup>, an agenda was sent out to all who has expressed interest in participating and to Steve Hewitt for broader dissemination to the NGEC industry participants.
- On September 27, 2012, Melissa Shurland reported that she will let the subcommittee know when a decision has been made and released by the Chief Counsel on the issue of using architectural standards. She will also look into the possibility of informing Amtrak legal prior to the announcement.
- Melissa also reported, on September 27, 2012, that the AWG is finalizing a SOW to bring in an outside consultant to assist in assessing the implications of the pending Accessibility related DCRs related to communications. She will keep the subcommittee informed as this moves forward within the AWG, and once a decision is made on the DCRs it will come before the Technical subcommittee following current DCR process.
- In regard to the update of APTA standards and the potential for using PRIIA approved standards, Kevin Kesler reported that he is assisting in developing an agenda and will send it to Steve Hewitt once it is finalized.
- Updating ECP Standards: On September 27, 2012, Paul Jamieson reported that this effort is moving forward with Amtrak engaged as well as members of the NGEC. A preliminary agenda has been developed and Paul provided it to Steve Hewitt who distributed it to members of the subcommittee.
- It was, on September 27, 2012, as directed by the Executive Board, decided that the review of the current Accessibility features of the DCR process in regard to policy vs. technical would be undertaken with Dave Warner, Amtrak, as the lead, tasked to develop a proposal. Dave plans to have a draft ready for AWG review within two weeks. Once approved by the AWG, it will go to the Technical subcommittee for its consideration.

During the month of October, 2012, the Technical subcommittee met on the 11<sup>th</sup> and 25<sup>th</sup>, via conference call. The key decisions and actions of the Technical subcommittee during the month of October, 2012, included:

- A review of the current Accessibility features of the DCR process in regard to policy vs. technical (twin loop) has moved forward. On October 25, 2012, the AWG approved the "twin loop" proposal developed by Dave Warner. On October 26, 2012 Dave Warner created a DCR to make this change to the process. The DCR has been distributed to all subcommittee members and will be voted on during the November 8, 2012 subcommittee conference call.
- In regard to updating ECP Standards, on October 25, 2012, Paul Jamieson reported that the first meeting of this group took place October 23 and 24 with 20 and 24 participants respectively. The working group was divided into two subgroups for technical and administrative matters. It is expected that the process will take about 18 months to complete.
- Melissa Shurland, FRA, will let the subcommittee know when a decision has been made and guidance has been released by the Chief Counsel on the issue of using architectural standards. She will also look into the possibility of informing Amtrak legal prior to the announcement.
- Language for Dual Mode communication is being developed and Melissa Shurland is polling AWG members to determine if DCRs for communications are warranted. If so, the DCRs will go through the current process within the AWG and then on to the Technical subcommittee. Final disposition within the AWG is expected by the end of next week (November 2, 2012).
- In regard to the update of APTA standards, Kevin Kesler, FRA, and Martin Schroeder, APTA, are preparing meeting information and should have a call announcement shortly.
- Steve Hewitt will continue to keep subcommittee members apprised as logistics for the 3<sup>rd</sup> Annual NGEC meeting are firmed up. All of those who are interested in attending the meeting should



register their intention with Steve Hewitt by December 1, 2012, so that he has an accurate head count to provide to AASHTO.

- Kevin Kesler, FRA, will keep the subcommittee informed as the process for procuring the diesel-electric locomotives moves forward.
- At an appropriate time after the Board has reviewed and discussed its members' vision statements for the future of the NGECC, Chairman Bergeron will have an agenda item on a subcommittee call to provide Board feedback on the vision statements to subcommittee members.
- On October 25, 2012, Eric Curtit, chair of the SFTF, provided the technical subcommittee with an update on the activities of the task force including progressing the effort to develop Section 6 – fleet deployment plans for procuring states and a blueprint for future procuring states.

During the month of November, 2012, the Technical subcommittee met once – on November 15, 2012 via conference call. The key decisions and actions of the Technical subcommittee during the month of November, 2012, included:

- A review of the current Accessibility features of the DCR process in regard to policy vs. technical changes (twin loop) has moved forward. On October 25, 2012, the Accessibility Working group (AWG) approved the "twin loop" proposal developed by Revision Control Coordinator Dave Warner. On October 26, 2012 Dave Warner created a DCR to make this change to the process. The DCR has been distributed to all subcommittee members. On November 15, 2012, the subcommittee agreed to table consideration of the proposed DCR until the next call – December 6, 2012.
- In regard to updating ECP Standards, on November 15, 2012, Paul Jamieson, Wabtec, reported that the technical working group met on November 2 and developed a plan to address the review of the AAR S-4200 series documents to be used as the basis for the passenger ECP documents. AAR documents 4200, 4210, 4220 and 4250 will be reviewed. The system performance document will be in draft form in March 2013. Amtrak committed to define the 26C control emulation requirements by early January 2013 to allow the main performance document to be finalized.

The administrative group continues to work on coordination with the FRA regarding 49 CFR part 229 subpart E locomotive electronic requirements and updating the FMECA that support the freight ECP system requirements. The administrative group will be inviting labor participation in this standard development process to assure balance is maintained for the actual voting that will occur on each document brought forward for final approval."

- Melissa Shurland, FRA, team leader for the AWG, will let the Technical subcommittee know when a decision has been made and guidance has been released by the Chief Counsel on the issue of using architectural standards. She will also look into the possibility of informing Amtrak legal prior to the announcement.
- Language for Dual Mode communication is being developed within the AWG. As of November 15, 2012, no clarity on the next steps was provided. The Technical subcommittee Electrical subgroup is reviewing and is going to propose alternative language soon. The AWG will then reassess, and if necessary, resubmit.
- In regard to the update of APTA standards and the effort of determining which PRIIA standards can be utilized for commuter rail as well, Kevin Kesler, FRA, and Martin Schroeder, APTA, are preparing meeting information and should have a call announcement shortly.
- Steve Hewitt, NGECC Support Services Manager, will continue to keep Technical subcommittee members apprised as logistics for the 3<sup>rd</sup> Annual NGECC meeting are firmed up. All of those who are interested in attending the meeting should register their intention with Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) by December 1, 2012, so that he has an accurate head count to provide to AASHTO. It should be noted that the location for the meeting has been changed to the 20<sup>th</sup> F Street Conference Center, Washington, DC (just around the corner from the Washington Court Hotel where it was expected to be held).

- Kevin Kesler, FRA, will keep the subcommittee informed as the process for procuring the diesel-electric locomotives moves forward. On November 27, 2012, the FRA reported to the Executive Board that there was nothing finalized yet in regard to a lead state for this procurement, but progress is being made and, hopefully, a resolution will be forthcoming by the next Executive Board call on December 11, 2012.
- At an appropriate time after the Board has reviewed and discussed its members' vision statements for the future of the NGECC, Technical subcommittee chair Mario Bergeron will dedicate an agenda item on a subcommittee call to provide Board feedback on the vision statements to subcommittee members.

During the month of December, 2012, the Technical subcommittee met twice – on December 6 and 20, 2012 via conference call. The key decisions and actions of the Technical subcommittee during the month of December, 2012, included:

- In regard to the long open issue of Building code regulations acceptability, on December 6, 2012, the General Counsel's (OST) released its guidance document. Steve Hewitt distributed it to all subcommittee members just prior to the December 6<sup>th</sup> call. Questions and/or comments on the guidance are to be submitted to Melissa Shyrland, FRA (leader of the AWG).
- AWG Actions agreed to on December 6, 2012, in regard to the General Counsel's guidance document are as follows:
  - o Define the gaps in 49CFR part 38 – defining when the architectural standards apply to supplement 49 CFR part 38
  - o define the effort to get there
  - o define the help "we'll" need
  - o provide a skeleton of the framework
- On December 20, 2012 the AWG reported that it has formed a core team to look at applicability – primarily on part 38. A report will be completed by January 21, 2013, and the Technical subcommittee will receive a briefing and an opportunity to review it on the February 2, 2013 conference call of the Technical subcommittee. If approved, it will be presented to the Executive Board at the February 21, 2013 Annual Meeting.
- Volunteers are being sought for technical support to the AWG for assessment of accessibility recommendations, especially in interior design and layout. Volunteers should reply to Melissa Shyrland, based on the statement of need that has been circulated.
- The Twin Loop DCR proposal (version dated December 11, 2012) was approved by the Technical subcommittee on December 11, 2012. Steve Hewitt immediately submitted it to the Executive Board and asked for it to be considered on its next call - January 8, 2013.
- On December 6 and 20, 2012 Steve Hewitt reminded Technical subcommittee members that the 3<sup>rd</sup> Annual NGECC meeting will take place on February 21, 2013 at the 20<sup>th</sup> F Street Conference Center, Washington, DC. The Hyatt Regency Hotel has a block of rooms reserved for attendees. Information on the block of rooms was sent out previously. The cutoff date for reserving a room at the block rate is January 11, 2013. For purposes of having a head count, it is important that members register their intentions to attend the meeting by emailing Steve Hewitt.

During the month of January, 2013, the Technical subcommittee met twice – on January 17<sup>th</sup> and 31<sup>st</sup> via conference call. The key decisions and actions of the Technical subcommittee during the month of January, 2013 included:

- The AWG has developed a rough draft of a review of part 38 and its applicability with ADAAG – all members have received this draft, and are asked to review and send any comments or questions to Melissa Shyrland at [Melissa.shyrland@dot.gov](mailto:Melissa.shyrland@dot.gov)
- In regard to spatial constraints within rolling stock – using architectural standards, it was noted that FRA Chief Counsel Linda Martin has said that if you find that you cannot meet the guidance in the

design of your car, you should contact FRA. The FRA will work with entities to make accessibility possible within the rolling stock designed.

- In regard to acquiring electronic drawings, Amtrak has provided PDF drawings, but detail is lost when trying to transfer. If, in a few weeks, they are unable to get the drawings they need, Melissa Shurland will get together with LTK to see what can be done.
- On January 17<sup>th</sup>, 2013, Dave Warner, Amtrak, reported that Trainset Revision A is underway. Michael Burshtin, Amtrak, will provide Technical Working Group Leaders with the summary sheet first – and if a group wishes to take a closer look at a specific DCR that group will contact Michael. Dave Warner will keep the Technical subcommittee apprised of progress being made on Revision A.
- Steve Hewitt continues to remind all members of the Technical subcommittee (including industry participants) to send him an email of their intentions to attend the NGEAC Annual meeting scheduled for February 21, 2013.
- In regard to updating ECP Standards, on January 31, 2013, Paul Jamieson, Wabtec, provided the following update:

The APTA PRESS ECP working held the status conference call on Friday, January 25<sup>th</sup> with 23 participants in attendance. The main topics discussed were:

- The performance standard work is progressing with a draft document available by the end of March.
- Amtrak 26C performance requirements as developed for the Amfleet cars is available and will be used for establishing the ECP performance requirements.
- FRA discussions were productive with a follow up meeting scheduled for mid-February
- AAR standard and recommended practice usage had not been initiated. Subsequent to the meeting an email response was received and a discussion will be initiated shortly. The initial AAR response was positive in regards to cooperating with APTA.
- FRA and APTA are working out the best method to have the AAR S4200 FMECA document updated. AN FRA grant to APTA is one of the solutions being explored.
- Document format will be established and may be modified based on the AAR discussions in terms of how the S4200 series can be utilized by APTA.
- AAR S4210 cables, connectors and junction boxes standard mark up for passenger service was review. A straw man APTA document will be prepared based on this review.
- Committee members were asked to establish a MyAPTA account to access the working group website."

The next teleconference will take place March 8, 2013 at 9:00 AM EST

On January 31, 2013, in regard to the Metrolink locomotive procurement, it was agreed that Dave Warner, Jack Madden, and Bobby Doyle will draft a summary of the similarities and differences of the specification used by Metrolink and that of PRIIA spec 305-005 within the next 4-6 weeks.

During the month of February, 2013, the Technical subcommittee met twice – on the 14<sup>th</sup> and 28<sup>th</sup> - via conference call. The key decisions and actions of the Technical subcommittee during the month of February, 2013 included:

- On February 28, 2013 an update was provided on the effort to review APTA standards and determine compatibility with NGEAC standards. Any member interested in assisting Kevin Kesler, FRA, in this effort

are asked to send Kevin an email at [kevin.kesler@dot.gov](mailto:kevin.kesler@dot.gov). Kevin will report on the next subcommittee call on this topic and will provide a date for the kickoff conference call.

- On February 28, 2013 it was also announced that the Access Board deadline for naming members to the advisory committee is April 1, 2013. Those interested should go to the link provided previously and submit your name.
- The ongoing AWG review of part 38 and ADAAG continues. Any comments that a subcommittee has on the initial draft review of part 38 and ADAAG should be sent to Melissa Shurland at [Melissa.shurland@dot.gov](mailto:Melissa.shurland@dot.gov).
- Regarding the Metrolink locomotive procurement: Dave Warner, Jack Madden, and Bobby Doyle had previously agreed to draft a summary of the similarities and differences of the specification used by Metrolink and that of PRIIA spec 305-005 within the next 4-6 weeks. As of February 28, 2013, Dave Warner anticipated having a draft ready for review prior to the March 14, 2013 subcommittee call.
- On February 14, 2013, it was agreed that as soon as the report from the Natural Gas Needs conference is released, Melissa Shurland, FRA, will provide it to Steve Hewitt for distribution to the subcommittee members. As of February 28, 2013, Melissa reported that the report is near completion and should be coming out "shortly".
- It was also noted on February 28, 2013 that the Background documents remain available. Those interested in receiving a quantity of hard copies for distribution are encouraged to send their request through Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) along with a mailing address.
- On February 14, 2013, Dave Warner, Amtrak, reported that the Technical Working Groups are working on Revision A to the Trainset Specification to bring it up to the same level of revisions as Revision C of the Bi-Level Specification. DCR responses are due back to Document Control Coordinator Michael Burshtin by March 1, 2013.
- The status of LTK efforts in regard to Drawings, Melissa Shurland reported that LTK is going to proceed with developing the drawings themselves since they have not been able to obtain electronic CAD drawings thus far. Fran Nelson, LTK, said the designer will take a typical single level (PRIIA) car and start from there. They will start begin with the highest priority car, and make changes to the design to update it within 40 hours. It will then be submitted to the smaller AWG subgroup for comments.

During the month of March, 2013, the Technical subcommittee met twice – on the 14<sup>th</sup> and 28<sup>th</sup> - via conference call. The key decisions and actions of the Technical subcommittee during the month of March, 2013 included:

- On March 14, 2013, Kevin Kesler, FRA, announced that the effort to review of APTA and NGEC Standards will proceed even though the APTA PRESS Committee had chosen not to participate. The first/kickoff call was scheduled for March 27, 2013 at 3:00PM EDT. Steve Hewitt agreed to send out a meeting notice to the NGEC Technical subcommittee members and provide a call in number. Kevin Kesler agreed to notify APTA members.
- On the March 28, 2013 Technical subcommittee call, Kevin Kesler provided a summary overview of the "kickoff" meeting of the APTA-NGEC Standards review effort.
- It was agreed on March 14<sup>th</sup> that Kevin Kesler, FRA, will continue to keep the full Technical subcommittee apprised of the progress of the locomotive procurement. This will be a standing agenda item.
- On March 14<sup>th</sup> Melissa Shurland reported that the report from the Natural Gas Needs conference should be ready shortly. Once it is released she will provide it to Steve Hewitt for distribution to the subcommittee members.

- The review of ADAAG and its applicability to Part 38 is being finalized by the smaller sub group of the Accessibility Working Group (AWG). On March 14<sup>th</sup> it was agreed that the process to be followed would be to bring it forward to the Technical subcommittee after the AWG has approved it.
- On March 14<sup>th</sup>, Dave Warner, Amtrak, reported that the Trainset Revision A Summary Sheet will be ready for distribution shortly. When ready, Dave Warner will send it to Steve Hewitt for distribution to the full Technical subcommittee.
- On March 14<sup>th</sup> Paul Jamieson provided the following status update on the efforts of the ECP Standards working group:
  - o Technical sub working group will finalize the performance standard prior to the 31 March deadline. The standard will be distributed to the full working group for review at the 19 April teleconference.
  - o The AAR will be meeting in early April to review changes to all the S4200 series ECP standards. The technical sub working group has members from both manufacturers and is coordinating the AAR revisions with the APTA standard development.
  - o The technical sub working group is considering further 26C performance testing to assure that the ECP equipment will function as intended with mix consist of 26C and ECP equipped cars.
  - o Stan Hunter - Caltrans raised some concerns at the full APTA PRESS meeting regarding the usage of the ECP cable database and other communications buses to be implemented on the NGECC Bi-level cars. A separate call has occurred and the concerns have been addressed. (Note: Stan Hunter was on today's Tech SC call and agreed that they now have an understanding)
  - o APTA has contacted and the AAR has agreed to discuss a MOU regarding the usage of the AAR standards for ECP. A full report will be given at the next ECP Standard working group status call. A method must be established to keep the two documents in harmony while allowing the technology to move forward.
  - o For the safety analysis, draft SOW and sole source contacting documents are being reviewed to allow this work to be outsourced.
  - o A draft format of the cabling standard (similar to AAR S-4210) has been reviewed by the full working group with some minor revisions required. This draft will serve as a basis for all other standard formats. The performance standard is following this format as well.
  - o The next FRA update session (session #3) will occur in late May."

During the month of April, 2013, the Technical subcommittee met twice – on the 11<sup>th</sup> and 25<sup>th</sup> - via conference call. The key decisions and actions of the Technical subcommittee during the month of April, 2013 included:

- In April, 2013, it was agreed that the review of APTA Standards and the potential use of NGECC specification's standardized features, (not an official NGECC effort) will continue with Kevin Kesler, FRA, in the lead. Interested participants who have not received the spreadsheet should contact Kevin Kesler at [kevin.kesler@dot.gov](mailto:kevin.kesler@dot.gov) . Input from the first call (held March 27, 2013) should also be sent to Kevin Kesler, and any one who was not on the first call, but is interested in getting involved should contact Kevin. A follow-up call will take place probably around the third week in May. Kevin Kesler will let Steve Hewitt know so he can send out a notice.
- As soon as the report from the Natural Gas Needs conference is released, Melissa Shurland, FRA, will provide it to Steve Hewitt for distribution to the subcommittee members. As of April 25, 2013, the report is still under review by the industry, but should be completed shortly.
- The Trainset Revision A Summary Sheet should be ready for distribution to the Technical subcommittee in early May, 2013. The Bi-level Car Revision D is underway, and will go to the Technical working groups as soon as Trainset Revision A has gone to the Technical subcommittee.

- The AWG has developed guidelines in regard to Part 38 and its applicability to ADAAG. The guidelines were distributed to the Technical subcommittee on April 24, 2013. All members were asked to review the guidelines and to send any questions or comments to Melissa Shurland. Melissa will compile them and send them to Steve Hewitt and Mario Bergeron prior to the May 10<sup>th</sup> call. Once received, Steve Hewitt will distribute to the subcommittee members. On May 10<sup>th</sup> Melissa Shurland will provide a more in depth/formal presentation to the subcommittee.
- Steve Hewitt will submit a proposed agenda item for the April 30, 2013 Executive Board call to Bill Bronte in regards to updating the Board on the part 38/ADAAG applicability review.
- In regard to the issue of Restroom configuration, Melissa Shurland is reviewing with FRA counsel a non-disclosure agreement, which once signed, will enable Amtrak to release some drawings to the AWG for this effort. LTK continues to develop a single level drawing to be used if it is determined that FRA cannot sign a disclosure agreement.
- Digital trainline communication: This is a new topic for Technical subcommittee action. Dale Engelhardt, Amtrak will own the action and report on progress on every other call of the subcommittee. Steve Hewitt will keep it as a standing agenda item for every other call. Dale Engelhardt will provide an update on the May 9<sup>th</sup> Technical subcommittee call.
- On April 25, 2013, it was reported that the contract for Technical writing support has been executed between AASHTO (as contracting agent) and the Casamar Group for Camren Cordell's services. Camren will begin work on the final DMU specification, and then on the Single Level Revision A.

During the month of May, 2013, the Technical subcommittee met twice – on the 9<sup>th</sup> and 23<sup>rd</sup> - via conference call. The key decisions and actions of the Technical subcommittee during the month of May, 2013 included:

- Review of APTA and NGEC Standards: This effort (not an official NGEC effort) will continue with Kevin Kesler, FRA, in the lead. [kevin.kesler@dot.gov](mailto:kevin.kesler@dot.gov). A follow-up call took place on May 20<sup>th</sup>. Once input has been compiled, the information will be passed along to the APTA CEOs and the Executive Board of the NGEC.
- As soon as the report from the Natural Gas Needs conference is released, Melissa Shurland will provide it to Steve Hewitt for distribution to the subcommittee members. The report is still under review by the industry but should be completed shortly.
- The Trainset Revision A Summary Sheet is in process, no definitive date set for release of the summary sheet to the TSC members. The Bi-level Car Revision D is on hold until the trainset Rev A summary sheet is completed.
- On May 23, 2013, the Guidelines for Potential Applicability of ADAAG to Passenger Rail was finalized at the Technical subcommittee and submitted to NGEC Executive Board Chairman Bill Bronte, and the Executive Board members, along with a request that the APG be organized to review the document. Bill was asked to have this topic as an agenda item for the next Board call – May 28, 2013 and he agreed. (See Executive Board update in this report for status)
- Digital train line communication: Members of the industry interested in volunteering to participate in this effort are asked to let Steve Hewitt know via email to [shewitt109@aol.com](mailto:shewitt109@aol.com). If there is a good response, the activity may become a formal NGEC Technical subcommittee activity whereas it is currently an Amtrak activity. This will be an agenda item for the next subcommittee call – June 6, 2013.
- Updating ECP Standards: remains as a standing action item. The next status teleconference is of this group is scheduled for June 14 at 11:00 AM.
- Restroom configuration: The use of an Amtrak drawing will not materialize due to non-disclosure agreement issues. The effort will proceed with LTK developing something close to the Amtrak drawing.

During the month of June, 2013, the Technical subcommittee met twice – on the 6<sup>th</sup> and 20<sup>th</sup> - via conference call. The key decisions and actions of the Technical subcommittee during the month of June, 2013 included:

- On June 20, 2013, Kevin Kesler, FRA reported to the subcommittee that the Working/Review Group – Developing Commuter Equivalent of NGEN Bi-Level Specification, (not an official NGEN effort) held its most recent call on June 11, 2013. A report is being prepared and, when complete, it will be sent to the NGEN Executive Board and APTA's Commuter Rail CEOs. Beyond the distribution of the report, the next step(s) for this ad hoc group is as of yet undetermined.
- Regarding the report from the Natural Gas Needs conference, Melissa Shurland, FRA, reported on June 20, 2013 that a final draft is under review by conference attendees, and it is anticipated to be ready for public distribution in two or three weeks.
- Dave Warner, Amtrak, and Revision Control Coordinator (RCC) for the NGEN, reported that the Trainset Revision A Summary Sheet was distributed on June 19, 2013, to all Technical subcommittee members for review. The expectation is that the Technical subcommittee will consider the summary sheet for approval on its July 18, 2013 call.
- On the activity of Updating ECP Standards, NGEN industry participant Paul Jamieson, reported that the next status teleconference was scheduled for June 21 at 11:00 AM. Paul will provide an update to the subcommittee on its next call (July 18, 2013).
- Dale Engelhardt, Amtrak, and vice chair of the Technical subcommittee, reported on June 20, 2013, that the Digital Trainline Communication effort continues to progress. A five-member committee, with Tammy Krause, Amtrak, as the lead, has been formed to prepare a requirements document. Once the RD is prepared it will be submitted to the Technical subcommittee's Electrical Working Group for its review and input.
- On June 20, 2013, Dale Engelhardt also reminded Technical subcommittee members that the development of the Dual Mode specification is the next spec to be taken up by the subcommittee. This should occur relatively soon – once the Diesel-electric locomotive award specification is completed. Turnaround time for developing the Dual Mode spec is anticipated to be short.
- Wisconsin DOT will provide Steve Hewitt with information in regards to Ron Adams' retirement celebration scheduled for July 16, 2013 at the Milwaukee Amtrak station at 4:30pm. Steve will distribute the information to all NGEN Board members and the entire technical subcommittee and industry participation list. All who are able to attend are encouraged to join Ron and celebrate his retirement from state service.
- On June 6<sup>th</sup>, Melissa Shurland, FRA, reported on the status of the Restroom configuration (accessibility) effort. The use of an Amtrak drawing will not materialize due to non-disclosure agreement issues. The effort will proceed with LTK developing something close to the Amtrak drawing.
- The July 4<sup>th</sup> Technical subcommittee call is canceled due to the holiday – the next call will take place on July 18<sup>th</sup>.

During the month of July, 2013, the Technical subcommittee met once – on the 18<sup>th</sup> - via conference call. The key decisions and actions of the Technical subcommittee during the month of July, 2013 included:

- In regard to the Working/Review Group – Developing Commuter Equivalent of NGEN Bi-Level Specification it was reported on July 18, 2013, that Kevin Kesler is meeting with APTA this week (week of July 18, 2013) to discuss this effort. A report will be developed and submitted to the APTA CEOs and NGEN Board when it is ready. Kevin will keep the subcommittee apprised of the progress being made on this non-NGEN effort.
- On July 18, 2013, the Trainset Revision A Summary Sheet was approved by the Technical subcommittee. Steve Hewitt sent it to Bill Bronte with a request that he re-convene the Trainset Review Panel on July 23<sup>rd</sup> (next Board call) and that he task it with developing a report with



recommendations. Bill was also asked to include Dave Warner in the effort as support for the Review Panel to answer any questions that it may have.

- In regard to updating ECP Standards, Paul Jamieson announced on July 18, 2013 that the next full group teleconference is scheduled for July 26 at 11:00 AM. Anyone wishing to get involved in this effort should contact Paul Jamieson or Jeff Gordon.
- On July 18<sup>th</sup> it was reported that the Digital Trainline Communication subgroup had held its first meeting, and has begun drafting a requirements document and mission statement. It was agreed that a timeline and action plan will be presented on the August 1, 2013 Technical subcommittee call.
- In regard to the Tech SC review of ADAAG Document with feasibility Categories, on July 18<sup>th</sup> a timeline and action plan was agreed to:

July 18 – Dale Engelhardt will contact each of the Technical Working Group leaders and ask them to reconvene their members and begin review of the document.

August 8 – All comments/changes are to be submitted by the Technical working groups to Melissa Shurland, FRA.

August 12 – A revised version with changes incorporated by Melissa will be sent to the full technical subcommittee through Steve Hewitt.

August 15 – The regular Technical subcommittee call will take place with a discussion on the revised document on the agenda.

During the month of August 2013, the Technical subcommittee met three times – via conference call - on the 1<sup>st</sup>, 15<sup>th</sup>, and 29<sup>th</sup>. The key decisions and action items of the Technical subcommittee during the month of August, 2013 include:

- In regard to the Working/Review Group – Developing Commuter Equivalent of NGEN Bi-Level Specification: This effort (not an official NGEN effort) continues with Kevin Kesler, FRA, in the lead. [kevin.kesler@dot.gov](mailto:kevin.kesler@dot.gov). The last status was that Kevin Kesler had met (conference call) with Gavin Frazier, and both agreed that the path being taken by Metro North in developing its Dual Mode spec is the right one with the NGEN utilized as a resource. On August 29<sup>th</sup> Kevin noted that it isn't necessary for the NGEN to develop additional specification resources, but using external resources when available, such as how Metro North is using the PRIIA locomotive specification as the baseline for their dual mode locomotive specification is a good path forward. PRIIA can "check specifications out to the industry," and then when those specifications are complete, they would be "checked back in" to a PRIIA library. The Technical subcommittee would then review the changes. Kevin agreed to take on an action to put this concept in writing and submit it to the Technical subcommittee for review and possible vote. Kevin further suggested that the written procedure/concept could also be voted on by the Executive Board.
- In August it was agreed that a list of NGEN accomplishments in regard to accessibility and ADAAG feasibility document should be prepared. The review of NGEN accessibility has been completed by the Technical subcommittee. Kevin Kesler will reach out to the Accessibility Policy Group to schedule a briefing of the guidance document, and he will reach out to Steve Hewitt to ensure consent/approval of the ADAAG document and NGEN 305 accomplishments powerpoint presentation is on the agenda for the Sept. 17, 2013 Executive Board call. If approved they will be provided to the RVAAC/Access Board in October.
- Prior to the August 29, 2013 Technical subcommittee call, the Digital Trainline Communication Requirements Document and Timeline were finished by Tammy Krause and e-mailed to the Technical subcommittee by Steve Hewitt. As a result of the discussion held during this meeting, revisions will be made in advance of the next meeting (Sept. 12, 2013). The intent is to have the subcommittee again consider it for approval on September 12, 2013. Following approval by the subcommittee the Requirements Document is to be considered by the Executive Board and if approved, it will serve as direction from the Board to the subcommittee to proceed.



- It was agreed that Jack Madden, NYSDOT, will keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process, not an official NGEC effort.)
- Maintaining Industry Participation List remains an ongoing action item. There are currently 227 registered industry participants.

During the month of September, 2013, the Technical subcommittee met once – via conference call - on the 12<sup>th</sup>. The key decisions and action items of the Technical subcommittee during the month of September, 2013 include:

- Working/Review Group – Developing Commuter Equivalent of NGEC Bi-Level Specification: This effort (not an official NGEC effort) continues with Kevin Kesler, FRA, in the lead. [kevin.kesler@dot.gov](mailto:kevin.kesler@dot.gov). Kevin Kesler has met (conference call) with Gavin Frazier, and both agree that the path being taken by Metro North in developing its Dual Mode spec is the right one with the NGEC utilized as a resource. Kevin has developed his concept into a document and submitted it to the Chairman Bergeron. The chair and Kevin will have a follow up discussion on the proposal at the NGEC meeting in Columbus, Ohio on September 26, 2013.
- Preparing a list of NGEC accomplishments in regard to accessibility and ADAAG feasibility document: The review of NGEC accessibility has been completed by the Technical subcommittee. The Accessibility Policy Group has been provided with a condensed power point document highlighting the ADAAG feasibility document and NGEC accomplishments. The APG will meet, via conference call on September 17, 2013. A report on the results of that call will be given by Bill Bronte at the September 26, 2013 Executive Board meeting in Columbus.
- Steve Hewitt will distribute the power point document that has been provided to the APG to the full Technical subcommittee membership following today's call. Comments should be sent to Melissa Shurland.
- On September 12, 2013, The Digital Train Line (DTL) Requirements Document with changes, as recommended during the call, was approved by consensus (unanimously). The document, as approved, was sent to Bill Bronte by Steve Hewitt, on behalf of Mario Bergeron, along with a request that Bill call for an Executive Board electronic vote to be completed by COB September 17, 2013, and request that the Board, if it approves the requirements direct the Technical subcommittee to begin the development of the DTL specification. The requirements document and a list of all those who have participated in the effort will also be sent to all Technical subcommittee members.
- Jack Madden, NYSDOT, will continue to keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process, not an official NGEC effort.)
- Maintaining Industry Participation List: This remains an ongoing action item. There are currently 226 registered industry participants.
- Requesting Backgrounder educational document: The Backgrounders are still available, and a new version –a one pager – double sided – will be available soon. Contact Steve Hewitt for copies of either version.
- A report on the status of the ECP update was provided on September 12, 2013, by Paul Jamieson:
  - “Current project status has addressed these items:
    - 26C service portion characterization will be completed within the two weeks. Field testing is completed and a draft report is being prepared. New product testing is scheduled.
    - Safety analysis RFQ has been distributed to over 200 potential vendors. Responses are due next week for evaluation with a cross functional team.
    - APTA equivalent to AAR S-4200 performance requirements has been drafted and needs to be completed with the 26C characterization information which will address the emulation operation.
    - APTA equivalent to AAR S-4210 cabling specification is being prepared with consideration to the APTA document format while maintaining the relation to the AAR document numbering.

· Final program schedule with field testing costs identified is scheduled for completion in October 2013.”

- It was agreed that the September 26, 2013 regularly scheduled Technical subcommittee call will be canceled in deference to the Executive Board meeting taking place that day. The next call of the Technical subcommittee will take place on October 10, 2013.

During the month of October, 2013, the Technical subcommittee met twice – via conference call - on the 10<sup>th</sup> and the 24<sup>th</sup>. Some of the key decisions and action items of the Technical subcommittee during the month of October, 2013 include:

- In regard to the Working/Review Group – Developing Commuter Equivalent of NGEC Bi-Level Specification: This effort (not an official NGEC effort) continues with Kevin Kesler, FRA, in the lead. [kevin.kesler@dot.gov](mailto:kevin.kesler@dot.gov) . Kevin Kesler has met (conference call) with Gavin Frazier, and both agree that the path being taken by Metro North in developing its Dual Mode spec is the right one with the NGEC utilized as a resource. Kevin has developed his concept into a document and submitted it to the Chairman Bergeron. The chair and Kevin will have a follow up discussion at their earliest opportunity.
- On October 24, 2013, it was agreed that the PowerPoint FRA presentation on PRIIA NGEC Accommodations and items for consideration will be sent to Steve Hewitt, as revised/clarified on today's call. Steve will distribute the revised version to the Executive Board in advance of its next conference call – 10-29-13. Steve will also provide the presentation, as revised, to the Technical subcommittee members and industry participants. Any comments should be sent to Melissa Shurland.

Mario Bergeron will address the presentation topic on the Executive Board call on 10-29-13 with the intent of getting general agreement to have it sent (with the clarifications made today) to the Access Board in time to meet the Access Board's timelines. (the Access Board has requested all presentations be submitted by November 7, 2013)

- On October 10<sup>th</sup>, 2013, it was reported that the DTL requirements document had been approved by the Executive Board, and the Technical subcommittee had been tasked with developing the DTL specification. On October 24, 2013, Tammy Krause, DTL subgroup leader, reported that the “next draft” will be distributed to the subgroup on Monday, October 28, 2013.
- Jack Madden, NYSDOT, will continue to keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process, not an official NGEC effort.) Current status is that the draft specification remains on target for the end of the first quarter, 2014.
- Updating ECP Standards: remains as a standing action item and as activities occur, Paul Jamieson will provide status updates to the subcommittee. On October 10, 2013 Paul Jamieson provided this update:

All characterization testing for in-service and new production completed. Final reports are due.

Safety analysis RFQ responses have been received and are under evaluation.

Final program schedule with field testing costs identified is scheduled for completion in October 2013 – on track.

Standard development presentation will be made next week at the ASME RTD conference – Altoona, PA

- Maintaining Industry Participation List: This remains an ongoing action item. There are currently 227 registered industry participants.

- Requesting Backgrounder educational document: The original Backgrounders are no longer available. A new, condensed version –a one pager – double sided – will be available soon. Steve Hewitt will remain as the point of contact for ordering hard copies as they become available.

During the month of November, 2013, the Technical subcommittee met once – via conference call - on the 7<sup>th</sup>. Some of the key decisions and action items of the Technical subcommittee during the month of November, 2013 include:

- The PowerPoint FRA presentation on PRIIA NGEC Accommodations and items for consideration (the ADAAG document) has been sent to the Access Board in time to meet the deadline of November 7<sup>th</sup>, 2013. Steve Hewitt has sent the final presentation and ADDAG document to all subcommittee members and the Executive Board.
- The DTL requirements document has been approved by the Executive Board, and the Technical subcommittee has been tasked with developing the DTL specification. On November 7, 2013, team leader Tammy Krause reported that a draft is currently under review by the DTL technical working group. Comments are due November 8, 2013 and a revised draft will follow.
- Jack Madden, NYSDOT, will continue to keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process, not an official NGEC effort.) Current status is that Metro North Railroad (MNR) is still on schedule to have a draft Dual Mode Specification completed in the first quarter of 2014. On 11/1, MNR circulated the first four draft chapters among the MNR, ConnDOT, and NYSDOT team members for review. The next Team conference call will be Thursday 21 November, 2013.
- Maintaining Industry Participation List: This remains an ongoing action item. There are currently 228 registered industry participants.
- Requesting Backgrounder educational document: The original Backgrounders are no longer available. A new, condensed version –a one pager – double sided – is available now. Contact Steve Hewitt if you would like hard copies of the new document.

During the month of December, 2013, the Technical subcommittee met twice – via conference call - on the 5<sup>th</sup> and the 19<sup>th</sup>. Some of the key decisions and action items of the Technical subcommittee during the month of December, 2013 include:

- On December 19, 2013, Dale Engelhardt announced that chairman Bergeron has asked him to assume the role of acting chair during the time that Mr. Bergeron is serving as chair of the Executive Board.
- On December 19, 2013, Art Peterson, on behalf of IDOT, reported that on December 18, 2013, the IDOT Chief Procurement Officer released a memo recommending that Siemens Industry, Inc. be awarded the Contract for the Multi-state Locomotive Procurement. Art noted that the IDOT procurement web site has the memorandum posted as well as the Final Offer Evaluation Report.
- The PowerPoint FRA presentation on PRIIA NGEC Accommodations and items for consideration (the ADAAG document) had been sent to the Access Board in time to meet the deadline of November 7<sup>th</sup>, 2013. Melissa Shurland distributed the most recent version of the presentation for subcommittee review after the December 5, 2013 call, and, as of December 19 had received no comments. There will be a meeting with the Amtrak team and FRA prior to the RVAAC meeting (January 8, 2014) to review the message and listen to recommendations and/or correct any factual errors that may exist.
- The second draft DTL specification is still under review by the working group. The review deadline has been extended by two weeks, since no comments had been received up to this point. There is a conference call scheduled for January 8<sup>th</sup> and then it will be sent to all of the technical groups for review.
- Jack Madden, NYSDOT, will continue to keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process, not an official NGEC effort.) Current status is that Metro North Railroad (MNR) is still on schedule to have a draft Dual Mode Specification completed in the first quarter of 2014.

- Maintaining Industry Participation List: This remains an ongoing action item. There are currently 228 registered industry participants.
- Requesting Backgrounder educational document: The original Backgrounders are no longer available. A new, condensed version –a one pager – double sided – is available now. Contact Steve Hewitt if you would like hard copies of the new document.

During the month of January, 2014, the Technical subcommittee met twice – via conference call - on the 16th and the 30th. Some of the key decisions and action items of the Technical subcommittee during the month of January, 2014 included:

- In January, 2014 a brief update on the diesel-electric locomotives procurement was provided. The process is moving forward. Buy America audits were held last week at Siemens and at some suppliers. A Notice to Proceed (NTP) is anticipated for February, 2014.

Change Requests for the diesel-electric locomotive specification should be submitted by the procurement team asap in order for them to be worked through the NGECDCR process. Stan Hunter was asked to remind the procurement team to be sure to inform both Dave Warner and Jack Madden of any change requests as soon as possible.

- Melissa Shurland, FRA, reported that the RVAAC committee met at the Access Board on January 9 and 10, 2014. This was the 2<sup>nd</sup> meeting of the committee. Melissa gave the PRIIA presentation. She noted that most of the meeting was focused on the priority list that had been established during the first meeting.

The committee will “use the PRIIA recommendations as a baseline for going forward” and Melissa commented that the group “looked favorably at what we (the NGECD) have done so far.”

Melissa added that “what we have done is in line with what the Access Board, the industry and the Accessibility community is looking at.”

On January 30, 2014, Melissa reported that the RVAAC would have a conference call on February 6, 2014 to discuss signage on Rail vehicles. Calls would be held weekly thereafter, and further information can be found on the Access Board website.

- The draft DTL specification is still under review by the working group. There was a conference call scheduled for January 28<sup>th</sup>.
- Jack Madden, NYSDOT, will continue to keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process, not an official NGECD effort.) On January 16, 2014, Jack reported that on December 18, 2013, Metro North (MN) received 5 responses to the Dual Mode (DM) RFI. On January 8, 2014, Jack Madden received a CD ROM with the responses and is reviewing them now.

On January 30, 2014, Jack reported that the MN team met on January 23<sup>rd</sup> and 30<sup>th</sup> and that MN continues to review the RFI responses received. Jack anticipates draft chapters will be ready for the NY team review by mid to end of February, 2014. The effort remains on target for a draft internal NY DM specification by the end of the first quarter 2014.

- Maintaining Industry Participation List: This remains an ongoing action item. There are currently 227 registered industry participants.
- Requesting Backgrounder educational document: The original Backgrounders are no longer available. A, condensed version –a one pager – double sided – is available and has recently been updated to reflect changes in the NGECD leadership with the retirement of Bill Bronte. Contact Steve Hewitt if you would like hard copies of the new document.
- On January 30, 2014, Connecticut DOT named Marci Petterson as its representative to the Technical subcommittee.

During the month of February, 2014, the Technical subcommittee met twice – via conference call - on the 13th and the 27th. Some of the key decisions and action items of the Technical subcommittee during the month of February, 2014 included:

- As of February 28, 2014 there were 228 registered Industry Participants involved in the activities of the NGECC.
- Although the Backgrounder remains available in limited supply, it is anticipated that it will be updated soon to reflect the new Executive Board and leadership changes.
- Updating ECP Standards remains an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call rather than on each call.
- On the February 27, 2014, Technical subcommittee, Paul Jamieson provided the following update for inclusion in the minutes:

“The technical sub working group continues to develop the base performance document. The current issues being addressed include the transition between emulation (BP operation) and ECP operation. For commuter applications that currently utilize snow brake feature is being documented. This sub working group meets weekly to develop the draft language for full committee review.

The safety analysis contract has been executed and the first meeting has been held with the contractor. The initial drafts of the Preliminary Hazard Analysis and Safety Risk Model have been submitted and are under review.

The test program has been defined. Amtrak and the manufacturers are preparing cost estimates to support this test program. These cost estimates will be used to develop a FRA grant request.”

- Jack Madden, NYSDOT, continues to keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process, not an official NGECC effort.) Metro North is continuing its review of the RFI responses. The MNDM team anticipates having draft chapters for team review by mid to late February, 2014. The effort remains on target for the end of the first quarter 2014.
- As of February 27, 2014, RVAAC conference calls were being held weekly. Information on the RVAAC effort can be found on the Access Board website. Melissa Shurland should be contacted by anyone wishing to become involved in this effort. Technical expertise is needed and participation is encouraged.
- The Amtrak and Oregon State University Non-Disclosure Agreement was signed, and work has begun on the single level restroom drawing.

During the month of March, 2014, the Technical subcommittee met twice – via conference call - on the 13th and the 27th. Some of the key decisions and action items of the Technical subcommittee during the month of March, 2014 included:

- As of March 27, 2014, there were 229 registered Industry Participants involved in the activities of the NGECC.
- On March 27, 2014, Steve Hewitt reported that an update Backgrounder educational document is now available. Any member of the Technical subcommittee interested in receiving copies of the Backgrounder should contact Steve Hewitt with information on how many copies are requested and where they should be sent.
- A progress report and updated Schedule for the DTL Specification Development was presented by Tammy Krause on March 13<sup>th</sup>:

“Progress continues on the DTL specification. Ten members of the working group met on a conference call led by Dave Warner for nearly 1 ½ hours this past Tuesday. A revised timeline for completion of the specification was agreed to:

- Requirements Document and Timeline to Tech Subcommittee for Approval 9/12/13
- Executive Board Approval 9/17/13
- First draft created by DTL Working Group 8/29/13 to 10/24/13
- Revision 8 draft under review by DTL Working Group 2/28/14 to 3/11/14
- Final draft approved by DTL Working Group 4/1/14
- Submit to other tech working groups for their comments 4/2/14
- Receive comments 4/9/14
- Revise Document accordingly and submit to entire technical subcommittee 4/10/14 to 4/16/14
- Incorporate any additional comments and issue final version 4/17/14
- Vote on final specification 4/24/14
- Executive Board Approval on Specification 5/13/14

The next DTL update will be provide on the April 10, 2014 Technical subcommittee call.

- Updating ECP Standards remains an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call rather than on each call.

On March 13, 2014, Paul Jamieson provided the following update for inclusion in the minutes:

“Technical working group is proceeding with the emulation (BP operation) and 26C service portion response requirements. Safety analysis contractor has provided the initial preliminary hazard analysis outline; safety risk model hazard identification and FMECA outline structure. FRA safety analysis grant amendment is in process.”

The next ECP update will take place on April 10, 2014.

- Jack Madden, NYSDOT, continues to keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process, not an official NGEAC effort.) Thus far the MN Draft is on schedule for late March early April, 2014.
- On March 13, 2014, it was agreed that Jeff Gordon, FRA, will coordinate with IDOT and Caltrans for them to provide Dave Warner with the list of changes to the d-e locomotive spec that have come through the RFP process. Once the list has been provided, Dave will review the proposed changes and submit the list to the Review Panel. The Review Panel will provide a report with recommendations to the Executive Board. Once approved it will be posted to the website as Revision A.1, and if the MN Dual Mode Draft has been completed the two documents will be used to begin the process of developing a PRIIA Dual Mode specification.
- RVAAC conference calls are being held weekly. Information on the RVAAC effort can be found on the Access Board website. The next full RVAAC meeting is April 10<sup>th</sup> at the US Access Board. The next call of the communications subcommittee will be held on April 3, 2014. The Access Board is establishing 3 subcommittees.
- In regard to Document Control management, on March 27, 2014 Dave Warner provided the following update for inclusion in the minutes:

“A revised Bi-Level clearance diagram (PRIIA 305-801) has been posted to our web site as a result of recent changes approved by Amtrak to the underlying document (B-066-00050, Rev. C). Camren is working on updating the Trainset Revision A specification that was approved last December by the Executive Board. Tammy Krause has sent the current draft of the Digital Trainline specification to Camren for formatting.

We have received the proposed changes to the diesel-electric locomotive specification. Jeff Gordon and I have reviewed them, and have returned comments back to the procurement team. Once the comments are addressed, I will submit the changes to the Executive Board for forwarding to the Review Panel for its review. Hopefully this process can happen within a week, but we don't know how long the procurement team will need to answer our questions, and provide an updated submission...”

During the month of April, 2014, the Technical subcommittee met once – via conference call - on the 24<sup>th</sup>. Some of the key decisions and action items of the Technical subcommittee during the month of April, 2014 included:

- As of April 24, 2014, there were 226 registered Industry Participants involved in the activities of the NGECC.
- On April 24, 2014, Steve Hewitt reported that an updated Backgrounder educational document is now available; and has been distributed to all NGECC Board members. Any member of the Technical subcommittee interested in receiving copies of the Backgrounder should contact Steve Hewitt with information on how many copies are requested and where they should be sent. It was also noted that Al Engel, industry participant, had requested a distribution of 60 copies for a conference to be held during the first week in May. Copies were sent to Al on April 23, 2014.
- The next Digital Train Line (DTL) specification development update will be provided on the May 8th, 2014 Technical subcommittee call.
- Updating ECP Standards remains an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call rather than on each call.

On April 24, 2014, Paul Jamieson provided the following update for inclusion in the minutes:

“The technical team is meeting this week to continue work on the base technical specification at NYAB – Watertown, NY.

Amtrak Test: Weekly teleconferences are being held with NYAB and Wabtec for the installation of the coach car equipment. Amtrak has scheduled a meeting with the Barre, DE facility personnel to finalize the coach car installation. Installation should start in May with single car testing to be scheduled with FRA participation.

Safety Analysis: PHA and Safety Risk Model initial review completed and comments under discussion. FMECA draft documents have been received and currently under review and discussion.”

- Jack Madden, NYSDOT, continues to keep the subcommittee updated on the status of the Metro North Dual Mode specification development. (This is an internal New York State process, not an official NGECC effort.)

On April 24, 2014 Jack submitted the following report for inclusion in the minutes:

“The NY Team has had conference calls on Friday 4 April and again this morning, Thursday 24 April. Due to issues beyond the Team’s control, the project effort to develop a draft Metro North Dual Mode Specification has stalled.”

- Single Level Car Rest Room drawings: Amtrak has sent a series of car drawings to Oregon State University. The drawings are being converted to electronic format using SolidWorks. The Technical subcommittee’s Accessibility Working Group (AWG) will be re-convened soon to review the drawings with the added accessibility recommendations, and to update the recommendations.
- In regard to the RVAAC effort: On April 24, 2014, it was reported that the RVAAC Committee met April 9-10. The morning of the first day was focused on education presentation about passenger rail transportation and equipment. The highlights of the two days were the breakout subcommittee meetings. Four subcommittees will be meeting once a month to advance the development of recommendations for improved accessibility to be presented to the Full RVAAC committee for consideration.

The RVAAC subcommittee schedules are as follows: The On-board Circulation and Seating subcommittee will meet via teleconference May 7, June 12, July 10 and August 14. The Communications subcommittee will meet May 1, June 5, July 3, and August 7. The Rooms and Spaces subcommittee will be meeting May 29, June 19, July 17 and August 21. The Boarding and Alighting subcommittee will meet May 22, June 25, July 24 and August 28.

The full RVAAC will meet again September 11-12, 2014. Info on the meetings can be found on the RVAAC website.

- In regard to Document Control management, on April 24, 2014 Dave Warner provided the following update for inclusion in the minutes:

"Camren Cordell is working on updating the Trainset Revision A specification that was approved last December by the Executive Board.

Prior to our last call, Jeff Gordon and I had received, reviewed and returned the proposed changes to the diesel-electric locomotive specification to the procurement team. I know the procurement team is working on addressing our comments, and I was told on Monday that we would be receiving them this week.

The proposed changes to the Bi-Level specification were finally received last Friday. Jeff Gordon and I are reviewing them as we did the diesel locomotive changes. There are over 120 proposed changes, so screening them in advance of being submitted to the Executive Board is taking a while. We hope to finish our review next week. Format-wise, in general, the submission is closer to what is needed for the DCR process than was the diesel locomotive submission."

- In regard to the Diesel-Electric Locomotive procurement: The "kick-off" meeting took place in Sacramento, CA on April 14-15, 2014 at the Siemens Plant. The day and a half meeting was very productive and successful. A preliminary design review schedule has been developed with a plan calling for regularly scheduled conference calls.
- In regard to the bi-level car procurement: it was reported that the procurement team is in the process of completing Final Design Review. The next step will be to begin holding monthly progress review meetings either in Chicago or Rochelle. The effort will be shifting from the engineering side to the manufacturing side.

During the month of May, 2014, the Technical subcommittee met once – via conference call - on the 8<sup>th</sup> and the 22<sup>nd</sup>. Some of the key decisions and action items of the Technical subcommittee during the month of May, 2014 included:

- As of May 22, 2014 there were 226 registered Industry Participants involved in the activities of the NGEC.
- In May 2014, Steve Hewitt continued to make available copies of the new Backgrounder. AASHTO was asked to print an additional 200 copies.
- The next Digital Train Line (DTL) specification development update will be provided on June 5th, 2014 Technical subcommittee call. Late in May, the DRAFT DTL specification was distributed to the Technical working groups for review and comment.
- Updating ECP Standards remains an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call rather than on each call.

On May 22, 2014, Paul Jamieson provided the following update for inclusion in the minutes:

Paul Jamieson reported: "One car set of NYAB and Wabtec equipment has been installed on Amtrak Amfleet cars in Bear, DE. Single car testing of the emulation mode will occur on May 29 in Bear, DE. This single car test will only confirm the operation utilizing BP control which is needed for Phase 1 dynamic testing. APTA PR-S-M-005 single car test procedure will be utilized for this test."

- Jack Madden, NYSDOT, continues to keep the subcommittee updated on the status of the Metro North Dual Mode specification development. (This is an internal New York State process, not an official NGEC effort.)

On May 22, 2014 Jack submitted the following report for inclusion in the minutes:



"The MNR Dual Mode Team met by conference call last week. The internal MNR effort to develop a Metro North Dual Mode specification remains stalled for now."

- In regard to Document Control management, on May 22, 2014 Dave Warner provided the following update for inclusion in the minutes:

"Since our last call, the second round-review comments to the 120 proposed changes submitted by the Bi-Level procurement team were returned as promised to them. We are awaiting their response, which should be able to be forwarded to the Executive Board for forwarding to the Review Panel.

Last week I had a conference call with two members of the IDOT/Locomotive procurement team to discuss the process for submitting proposed changes to the diesel-electric locomotive specification. I learned that the 19 changes already submitted and reviewed by Jeff Gordon and me were just a part of the total number of changes. The people I spoke with estimated it would take a month to make the complete submission for review by me.

Finally, work continues on updating the Trainset Revision A specification that was approved last December by the Executive Board."

- In regard to the Diesel-Electric Locomotive procurement: On May 22, 2014 Art Peterson reported that Preliminary design review is going on currently and is going well. Intermediate design review is scheduled for October, 2014.
- In regard to the bi-level car procurement: Stan Hunter provided the following update on May 22, 2014: The team is looking at redesigns currently, with weight being a big consideration for Caltrans. They have identified a number of different options, but the process is slow. Testing in Japan on the energy absorbed, which was higher than expected on the car shell. 6 cars per month is the hope regarding amending grant agreements and the contract with Sumitomo. 31-32 cars are what Illinois (original quantity was 88 cars) is looking at currently based on funding. Total order somewhere around 172-175 cars. Working through 5-year equipment projections with Amtrak. Looking at ways to get the cars out to California, and plans with existing cars in California. It is a 42-car option-order.
- In regard to developing a PRIIA Dual Mode Diesel-Electric Locomotive Specification, Dave Warner  
Dave Warner provided the following report on May 22, 2014:  
  
"The critical path for beginning the PRIIA Dual Mode specification development is the approval by the Executive Board of the Diesel-electric locomotive Revision A.1. Based on what I just reported, getting approval by the end of June—the date I reported during the last call—is going to slip into at least July."

During the month of June, 2014, the Technical subcommittee met twice – via conference call - on the 5<sup>th</sup> and the 19<sup>th</sup>. Some of the key decisions and action items of the Technical subcommittee during the month of June, 2014 included:

- As of June 19, 2014, there were 225 registered Industry Participants involved in the activities of the NGEC.
- DTL Specification development: As of June 19, 2014, it was reported that the Locomotive Technical Working Group has provided comments on the DTL hardware specification and a conference call was to be held on June 24<sup>th</sup> to discuss the comments.

The first draft of the software specification was expected to be released to the DTL working group the week of June 23<sup>rd</sup>.

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call.  
On June 5<sup>th</sup>, Paul Jamieson provided the following ECP Update:

"The first single car test of the BP Emulation function occurred on May 29<sup>th</sup> at the Amtrak Bear facility. Representatives from the Amtrak, Bombardier, FRA, Interfleet, MARC, MNR, NYAB, SEPTA and Wabtec were present. The results satisfied the APTA PR-S-M-005 requirements as modified for the ECP Emulation configuration. The remaining three cars will be modified and tested by June 13<sup>th</sup>. Static train testing (cab car, four coaches and locomotive) is scheduled for the week of June 16<sup>th</sup> at Amtrak Penn coach yard in Philadelphia pending cab car and locomotive availability."

- Accessibility Related Issues Update:

#### RVAAC:

Melissa Shurland, FRA, reported that the RVAAC subcommittee on Rooms and Space Areas met on June 19, 2014. The focus of the discussions revolved around accessibility needs in sleeping compartments and restrooms. Clearance recommendations for wheelchairs will be made by the subcommittee.

One specific item discussed was the need for a work station in the sleeping compartment to be crash worthy as specified by APTA.

VIA Rail car sleeping compartments were used as a part of the discussion as they have "good practices" especially with regard to turnaround clearance for wheelchairs.

#### Accessibility Working Group:

Melissa reported that the restroom drawings are being finalized and, once they are, they will be sent to the AWG for review, and eventually to the Technical subcommittee and Accessibility Policy Group for consideration. The target is the end of July, 2014.

- Jack Madden, NYSDOT, continues to keep the subcommittee updated on the status of the Metro North Dual Mode specification development. (This is an internal New York State process, not an official NGECC effort.)

As of June 19, 2014 the development of this specification remains on hold.

- In regard to Document Control management, on June 19, 2014 Dave Warner provided the following update for inclusion in the minutes:

"Chairman Curtit has the final version of the 120 proposed changes submitted by the Bi-Level procurement team, and progress is being made on the Review Panel's review.

I spoke to Rich Stegner of the IDOT/Locomotive procurement team yesterday, and was able to answer questions he had on recording the DCRs to be added to the previously reviewed 19 changes. There was nothing in the discussion to suggest the previously reported submission goal of July won't be met.

Finally, work continues on updating the Trainset Revision A specification that was approved last December by the Executive Board."

- Regarding the Diesel-Electric Locomotive procurement: On June 19, 2014 Art Peterson reported that the Preliminary Design Review (PDR) is complete. Alignment meetings are planned for July, 2014. Intermediate Design Review (IDR) will take place in Chicago in the October/November time frame. The first invoice is anticipated to be received later in July or early August.
- Regarding the bi-level car procurement: Art Peterson reported on June 19<sup>th</sup> that the Nippon Sharyo and project team continue to hold regular meetings. A management team is meeting weekly to discuss a variety of issues and "nail down" solutions. The possibility of increasing the order to 175 cars in total continues to be discussed.
- Regarding developing a PRIIA Dual Mode Diesel-Electric Locomotive Specification, Jack Madden, NYSDOT reported on June 19, 2014 that the timeline for the NGECC Dual Mode Locomotive

Specification development has slipped a bit, and he reiterated that it will not occur until D-E Revision A.1 has been completed.

During the month of July, 2014, the Technical subcommittee met once – via conference call - on the 17th. Some of the key decisions and action items of the Technical subcommittee during the month of July, 2014 included:

- As of June 17, 2014, there were 227 registered Industry Participants involved in the activities of the NGECC.
- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call.
- Accessibility Related Issues Update:

On July 17<sup>th</sup> Melissa Shurland, FRA, reported that the RVAAC On Board sub-committee met that week and were in the process of reviewing the matrix that has been developed. Once the review is complete and the matrix is finalized Melissa will send it to Steve Hewitt for distribution to the NGECC Technical subcommittee.

Melissa pointed out that the recommendation for wheelchair space is probably going to slightly exceed the NGECC bi-level specification but “we (NGECC) are pretty much on target with the recommendations of the RVAAC.”

RVAAC has requested a number of chapters of the Bi-Level specification in Word. Dave Warner is working on this and will send the chapters as requested to Melissa Anderson at the Access Board within 24 hours. Melissa A has agreed to convert the chapters to a PDF file.

The next full RVAAC meeting will take place in the second week in September, 2014.

Review of the restroom drawings has been completed – thus far it has been determined that the layout used by Acela is accessible and will accommodate the average wheelchair size. There is nothing extra that needs to be done.

Within the next two weeks Melissa anticipates convening the Accessibility Working Group (AWG) for discussion.

- Jack Madden, NYSDOT, continues to keep the subcommittee updated on the status of the Metro North Dual Mode specification development. (This is an internal New York State process, not an official NGECC effort.)

As of July 17, 2014, the development of this specification remains on hold.

- In regard to Document Control management, on July 17th, 2014 Dave Warner provided the following update for inclusion in the minutes:

“The latest proposed changes to the Bi-Level specification are with the Review Panel. There are rumblings of a few late-breaking DCRs that, if received and processed in time per the urgent DCR process, may be able to be included in Rev. C.2.

The IDOT/Locomotive procurement team has told me it is working towards a July 31 submission of changes.

Finally, work continues on updating the Trainset Revision A specification, but this is taking a back seat to Bi-Level specification work.”

- In regard to the Diesel-Electric Locomotive procurement: On June 17, 2014, Rich Stegner reported:  
“We have completed the Preliminary Design Review. Now processing action items.

NTP + 30, 45, 90 and 120 CDRLs are being processed.

A QA alignment meeting was held at the contractor's factory on 7/1 & 7/2. The contractor's QA processes are robust.

Proposed items for specification change are being compiled. Target completion is 7/31.

Intermediate design reviews are planned for October/November in Chicago."

- In regard to the bi-level car procurement:

On July 17, 2014, Stan Hunter reported: there have been "high level" meetings among the FRA, Caltrans, IDOT and Nippon Sharyo and Sumitomo to finalize the delivery schedule.

Discussions are moving forward on pre-production scheduling.

The Grant Agreement is also under discussion including option assignments. Stan anticipates having more to report on the results of the high-level discussions on the next Technical subcommittee call.

Based on the proposed delivery schedule, Caltrans has completed its fleet deployment plan; and IDOT is working on theirs.

Stan emphasized issues related to weight reduction and agreed to keep the subcommittee apprised on the weight reduction plan as it is completed.

He will also keep the subcommittee apprised of the status of the grant agreement and option assignments.

- In regard to developing a PRIIA Dual Mode Diesel-Electric Locomotive Specification, Jack Madden, NYSDOT reported on June 19, 2014 that the timeline for the NGEC Dual Mode Locomotive Specification development has slipped a bit, and he reiterated that it will not occur until D-E Revision A.1 has been completed. On July 17<sup>th</sup> there was nothing new to report.
- In regard to the development of the DTL specification: On July 17, 2014, Dave Warner provided the following update:

"A very productive meeting was held last Thursday in Washington with representatives from the AAR, NGEC, Amtrak, Nomad (Amtrak's DTL contractor), FRA and APTA to discuss railroad industry progress on digital trainlines.

The NGEC described its progress on the DTL hardware, and even provided samples of inter-vehicle connection hardware being used on California's refurbished Comet cars; AAR reiterated that the NGEC hardware effort was at least two years ahead of them.

The AAR has been working on locomotive control information to send along the DTL, not hardware. A demonstration of information transmission (what, not necessarily how) is planned for this September at TTCl.

Thus, the two efforts dovetail nicely. At end of the meeting this group was dubbed the "trainline communications coordinating committee." Major responsibilities assigned were for NGEC/APTA to continue work on the intercar connection hardware. The goal is to develop one design that satisfies all parties, and the one shown at the meeting was very close to achieving that. AAR will work on developing the information to be included on a vital MU DTL. This will be useful in the NGEC/APTA distant future when the passenger industry looks to move MU 27-pin information to a DTL.

The next conference call/web-meeting of this group is scheduled for September 10."

During the month of August, 2014, the Technical subcommittee met twice – via conference call - on the 14<sup>th</sup> and 28<sup>th</sup>. Some of the key decisions and action items of the Technical subcommittee during the month of August, 2014 included:

- RVAAC subcommittee conference calls are held once a month. The schedule was included in the meeting minutes of April 24, 2014. The full RVAAC will meet again September 11-12, 2014.

Information on the meetings can be found on the RVAAC website. Members of the Technical subcommittee and Industry participants are asked to assist with support for the subcommittees. If interested in helping please contact Blair Slaughter – [slaughB@amtrak.com](mailto:slaughB@amtrak.com).

- Updating ECP Standards: remains as a standing action item and as activities occur; Paul Jamieson will provide status updates to the subcommittee. (Ongoing) On the August 28<sup>th</sup> call, Paul Jamieson reported: "The Failure Mode Effect Analysis complete draft based on the performance requirements standard was received today for working group review. The contractor has met the agreed upon schedule."
- MN Dual Mode Locomotive Specification development and the PRIIA Dual Mode Specification Development: Jack Madden, NYSDOT, notified the subcommittee that NY is requesting a Dual Mode Requirements document change.

Jack will submit the request formally, via email, to Dale Engelhardt with a cc to Mario Bergeron, Steve Hewitt and Dave Warner.

Dale will discuss process with Dave Warner. It is anticipated that the NGEC DCR process will be used as is the usual course of action.

- DTL hardware specification development: The draft DTL hardware specification has been approved through the technical working group and has been submitted to the Technical subcommittee for its consideration on the next call – September 11, 2014.
- Stan Hunter will submit the remaining "second round" of bi-level car DCRs to Dave Warner on August 29, 2014.
- It was reported today that the two urgent DCRS (bi-level car) 001-0223 and 001-0224, were approved without objection, via electronic vote of the Technical subcommittee. They have now been submitted to Larry Salci to be included in his review panel report as a part of Rev C.2.
- Bi-Level Car Procurement: On August 28, 2014 the following report was submitted:

The team is currently in the midst of two days of meetings with the FRA for a program review.

They continue to work with FRA on the amendment to the grant agreement to be able to exercise option assignments with the manufacturer. There will be a couple of meetings in September with Sumitomo to go over the changes needed for a contract amendment. The target for completing the agreement is the end of September, 2014.

They are in the process of finalization of the FDR.

Nippon Sharyo has met the requirements for IDR and mock up review, and Caltrans anticipates receiving an invoice shortly.

They are now shifting from FDR to Article 1 inspections.

The weight issue is close to a resolution.

Amtrak has signed a contract with NOMAD and Caltrans and the mid-west states are working on agreements with Amtrak for OBIS. This is expected to be completed by the end of September, 2014.

- Diesel-Electric Locomotive: On August 28, 2014, the following update was provided:
  - a) We have concluded the Preliminary Design Review. Siemens submitted an invoice for this milestone (B), to the JPES.
  - b) NTP + 180 CDRLs are being processed.
  - c) Mock-up reviews for the cab and trucks are planned for early September at Siemens factory, in Sacramento, CA.

- d) Intermediate design reviews are planned for October/November in Chicago.
- e) Mock-up reviews for the diesel engine room are planned to be conducted at Siemens' 3-D reality-lab in Munich in early December.
- f) Long-range planning for FDR is underway. The location for FDR will be in Seattle.

During the month of September, 2014, the Technical subcommittee met twice – via conference call - on the 11<sup>th</sup> and 25<sup>th</sup>. Some of the key decisions and action items of the Technical subcommittee during the month of September 2014 included:

- RVAAC subcommittee conference calls are held once a month. The full RVAAC met on September 11-12, 2014. If interested in helping please contact Blair Slaughter – [slaughB@amtrak.com](mailto:slaughB@amtrak.com).
- The Executive Board has directed the Technical Subcommittee to draft a proposed revision to the Dual Mode (DC 3<sup>rd</sup> rail) Requirements Document. This effort is underway. A draft is circulating among the working group members – next steps are to finalize the draft, approve it out of the working group and bring it to the Technical subcommittee for consideration. When approved it will go to the Executive Board for its consideration.

Jack Madden has asked for volunteers to participate on the locomotive working group. Interested members should contact Jack Madden at [John.madden@dot.ny.gov](mailto:John.madden@dot.ny.gov)

- Digital Trainline Specification: The final – approved version - of the spec was submitted to the Executive Board for its review, comment, and consideration after the September 11<sup>th</sup> Technical subcommittee call. On September 30, 2014 the Executive Board adopted the DTL Hardware Specification as submitted by the subcommittee.
- Bi-Level Car Procurement: On September 25, 2014, Stan Hunter reported:

FRA, Caltrans, IDOT and Sumitomo are finalizing the grant agreement amendment for option car assignments.

There is a high level meeting next week in Chicago in preparation for execution of the option agreement and to ensure the expeditious use of the AARA funds to meet the federal requirements deadline.

There will be a meeting in Rochelle, Illinois (face to face) with Nippon Sharyo in regard to items such as; 1<sup>st</sup> article inspections; the vehicle weight issue and more.

Caltrans, CCPJA and IDOT continue to work with Amtrak on an agreement for OBIS (there will actually be two agreements – one with Amtrak and Caltrans, CCPJA – one with Amtrak and IDOT).

It is hoped that the agreements will be executed next week.

1<sup>st</sup> article inspections will begin in October, 2014.

Milestones C and D have been approved and invoiced to Caltrans.

- Diesel-Electric Locomotive – Art Peterson:

Art Peterson provided the following update on September 25, 2014:

- "a) The last few Milestone 'A' CDRLs are being processed.
- b) Mock-up reviews for the cab and trucks were held at Siemens factory, in Sacramento, CA 9/8-9/11.
- c) Intermediate design review (IDR) week #1 will be held next week in Chicago.
- d) Mock-up reviews for the diesel engine room are planned to be conducted at Siemens' 3-D reality-lab in Munich in early December.
- e) Long-range planning for FDR is underway. The location for FDR will be in Seattle.

During the month of October, 2014, the Technical subcommittee met once – on October 9, 2014. Some of the key decisions and action items of the Technical subcommittee during the month of October 2014 included:

- The Executive Board has directed the Technical Subcommittee to draft a proposed revision to the Dual Mode (DC 3<sup>rd</sup> rail) Requirements Document. This effort is underway. A draft has been approved by the Technical working group and distributed to all Technical subcommittee members for review and comment. Comments on the draft revised Requirements document are due by COB October 17, 2014 to Jack Madden at [john.madden@dot.ny.gov](mailto:john.madden@dot.ny.gov). The intent is to consider the revised document for Technical subcommittee approval on the November 6<sup>th</sup> call.
- Diesel-Electric Locomotive Procurement update: On 10-9-14, Rich Steger provided the following update which was read into the minutes by Dave Warner:
  - a) The last two Milestone 'A' CDRLs (#10 & #11) are being processed.
  - b) Intermediate design review (IDR) week #1 was held last week in Chicago.
  - c) Mock-up reviews for the diesel engine room are planned to be conducted at Siemens' 3-D reality-lab in Munich week of December 8th.
  - d) Long-range planning for FDR is underway. The location for FDR will be in Seattle.
  - e) A set of legacy locomotive schematics for P42 and F59PHI locomotives are needed for electrical design reviews. (Please contact Rich Stegner)

- Updating ECP Standards: remains as a standing action item and as activities occur; Paul Jamieson will provide status updates to the subcommittee. (Ongoing) On 10-9-14 Paul provided the following update:

"The four ECP emulation cars continue to operate on the Amtrak Keystone service. The FMECA report was change an FMEA report has the criticality can only be determined based on the manufacturers' implementation. The FMEA final draft report was received. During the last two days, a detailed FMEA review was conducted by the technical subgroup. The final report and OSHA must be completed by year end."

- Dave Warner, Amtrak, a and the NGEC Revision Control Coordinator made the following announcement:

"This is my last Technical Subcommittee Call as a paid PRIIA professional at Amtrak. I am retiring from Amtrak on Oct. 24 to begin a new job as the Chief Engineering Officer-Rail Vehicle Engineering at SEPTA, the public transportation authority for Philadelphia. I'm not severing all PRIIA ties, as I plan to continue participating as a "PRIIA emeritus" and industry member. My current duties will be properly transferred to another individual, but I do not wish to mention names today."

Upon hearing the news of Dave's retirement as a PRIIA professional at Amtrak, and his embarking on a new career with SEPTA, many of the subcommittee members on the call (including Eric Curtit, NGEC chair) expressed their gratitude to Dave for all he has done to help the NGEC succeed. All expressed congratulations and well wishes to Dave as he begins his new career at SEPTA. Without question Dave will be missed. Many of the accomplishments of the NGEC can be directly attributed to Dave's incredible knowledge, experience, and dedication.

Thank you Dave! All the best!

During the month of November, 2014, the Technical subcommittee met once – on the 6<sup>th</sup> and the 20<sup>th</sup>. Some of the key decisions and activities of the Technical subcommittee during the month of November 2014 included:

- Status/Discussion: Dual Mode Locomotive Requirements Document revisions -Technical explanation – 110 mph maximum speed rationale DM Locomotive:

On November 6th, 2014, Jack Madden, NYSDOT, was asked to provide a technical explanation for the rationale behind a change being proposed in the requirements document to call for a maximum speed requirement of 110mph as opposed to the current requirement of 125mph.

On November 20, 2014, Mr. Madden provided the following update for inclusion in the minutes of November 20th:

“On the last Technical Subcommittee call, the FRA requested that the Technical Subcommittee defer voting upon the Revised Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive Requirements Document, and requested that the Locomotive Working Group provide a technical explanation for the requested revision of the maximum speed to 110 MPH vs. the 125 MPH as contained in the original issue of the Requirements Document.

I will update the Committee on the progress of that response as well as raise some issues concerning Standardization and the Empire Corridor Tier I Draft Environmental Impact Statement, on which I spoke briefly on the last call. I have provided two documents to Steve containing some back up information on these latter two issues for him to send out to the members.

Technical Explanation: The Locomotive Working Group met by conference call on Thursday 11/13 and discussed the request made by the FRA. The four major locomotive manufacturers went back to their technical people to address the consequences of the addition of the 3<sup>rd</sup> Rail gear and electronics as well as the on-board energy storage capability, to the Diesel-Electric locomotive platform. Siemens has already responded; Bombardier will meet with NYSDOT, CTDOT and MNR in NYC tomorrow morning; and MPI/GE and EMD/Progress Rail are working on their responses.

Siemens advises that, using the 272,000 pound P<sub>RII</sub>A Charger D-E locomotive as a base platform, the addition of the 3<sup>rd</sup> Rail DC gear and associated electronics will add weight as well as 3 feet of length to the locomotive. The resulting DM locomotive would weight approximately 291,500 pounds, which is a little over our 286,000 pound target for the NYC legacy infrastructure; at 291,500 pounds, the locomotive would be below the P<sub>RII</sub>A P2 force limit at 110 MPH, however, it would exceed the P<sub>RII</sub>A P2 force limit at 125 MPH. The addition of the on-board energy storage system will add about 15,000 pounds, and would require either more locomotive length and weight or a reduction in other items such as fuel tank size or a smaller engine. (This is how GE modified the Genesis P40/P42 to develop the P32AC-DM, reducing the fuel tank from 2,200 to 1,800 gallons and reducing the engine size from 4,000/4,200 HP to 3,200 HP.)

We anticipate that we will have a similar technical explanation from the other 3 locomotive manufactures by the next Technical Subcommittee call.

I have provided Steve with a background paper which discusses the Standardization issue, as well as the Empire Corridor DEIS to which I referred last call.

Standardization: Although the Bi-Level car and the Diesel-Electric Locomotive meet the 125 MPH maximum speed, they are not truly nationally “standard” vehicles as they cannot be used north of Washington DC either due to vertical clearances and high-level platforms (Bi-Level), or the prohibition of internal combustion engines in the NYC Tunnels and Stations. (Diesel-Electric Locomotive) In addition, the Diesel Multiple Unit specification was approved with a maximum top speed of 110 MPH, although the DMU could be used nationally.

Empire Corridor Tier I Draft Environmental Impact Statement: The FRA is the Lead Agency for the Empire Corridor Tier I DEIS. The DEIS advances four speed alternatives: 79 MPH, 90 MPH, 110 MPH and 125 MPH. The 79 MPH, 90 MPH, and 110 MPH alternatives west of Albany/Rensselaer would operate with locomotives in Diesel Mode. The 125 MPH alternative west of Albany/Rensselaer would operate under AC Catenary, using a Dual Mode (AC Catenary) Locomotive, similar to the Bombardier ALP-45DP. Accordingly, as per the FRA’s status, as Lead Agency, there are no plans to operate locomotives in diesel mode at 125 MPH in the State of New York.

- At the conclusion of the November 20, 2014 call, it was agreed that consideration of the revised Dual Mode requirements document (DC 3<sup>rd</sup> rail) will take place when Mr. Madden has received the additional technical explanation from the other RFI responders and has prepared a summary



explanation that can be appended to the requirements document. This is expected to occur on the next Technical subcommittee call – 12-4-14.

- ECP update: On the November 20<sup>th</sup> conference call - Paul Jamieson provided the following update for inclusion in the minutes:

“The 4 cars continue to operate in emulation in the Keystone service (Harrisburg to New York). One ECP portion developed a leak which was determined to be an aluminum chip from machining across a valve seat. This fault is not attributed to the ECP design but is a quality issue. A second ECP portion fault has been reported and is under investigation. A relay valve was found to be leaking and was attributed to debris in the piping and not the valve operation.

The next car inspection will occur in January in Philadelphia.

One operational concern has been determined through the emulation testing. If the car is set out, the ECP battery can be drained and the brakes will not probably function when connected to a locomotive without connecting the HEP trainline. The manufacturers are working on a solution to this concern.

Work is progressing on the full ECP test for hardware acquisition, installation and development of the dynamic test plan. An ACS64 Locomotive will be equipped with NYAB ECP equipment which will be interfaced with the CCBII equipment. A cab car will be modified with the Wabtec FastBrake and ECP equipment. Final schedule is being developed.

The safety analysis work continues and a final review with the contractor is scheduled for December 18<sup>th</sup> at APTA in Washington, DC. The two manufacturers, APTA, FRA and the contractor will be in attendance.”

- Diesel-Electric Locomotive Procurement update as of November 20, 2014:

a) The last two Milestone ‘A’ CDRLs (#10 & #11) are being processed.

b) Intermediate design review (IDR) week #3 was held last week in Chicago. All of the review meetings for IDR are complete and follow-up action items to close IDR are underway.

c) Mock-up reviews for the diesel engine room are planned to be conducted at Siemens’ 3-D reality-lab in Munich week of December 8th.

d) Long-range planning for Final Design review (FDR) is underway for February and March 2015. The location for FDR has been confirmed for Seattle by WSDOT.

e) A few more draft DCRs are being generated after the completion of IDR. We understand that Tammy Krause will be the NGECC contact for the document control for the PRIIA specifications. Rich Stegner will contact Tammy to advise status.

- Bi-Level Car Procurement update as of November 20, 2014:

The week before last First Article Inspections (FAI) took place in Willets, Ca.

Thursday (11-20-14) the FAI of wheelchair lifts was to take place.

Caltrans is working with IDOT and the FRA on the revised schedule and grant and contract amendments.

On 11-17-14 there was a call with FRA’s Office of Safety in regard to CEM alternate analysis. Requests made by the Office of Safety were discussed and clarified and all participants came to an accord on what the requests were and what was to be provided.

Negotiations on an agreement between Amtrak and Caltrans in regard to the On Board Information System (OBIS) have stalled and Stan noted some concern.

In January and February, 2015, FAIs will continue on a variety of systems.

During the month of December, 2014, the Technical subcommittee met twice – on the 4<sup>th</sup> and the 18<sup>th</sup>. Some of the key decisions and activities of the Technical subcommittee during the month of December 2014 included:

- On the 18<sup>th</sup>, the revised Dual Mode requirements document (DC 3<sup>rd</sup> rail) was approved by the Technical subcommittee:

Jack Madden, NYSDOT, offered a motion requesting that the Technical Subcommittee approve the revised Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Requirements Document, (11- 6-14), and the Section A.4 (12-18-14) as well as the DEIS mentioned in the discussion as additional reference materials, for submittal to the NGECE Executive Board for its consideration.

With a quorum having been confirmed and all members voting in the affirmative, Chairman Bergeron determined that consensus has been achieved and the motion is approved.

Jack Madden will finalize the submittal package as approved, and provide it to Steve Hewitt for distribution to the Executive Board by Friday, 12-19-14. This item will be placed on the Executive Board's agenda for 12-23-14 for an introductory discussion. Ray Hessinger, NYSDOT, with support from Jack Madden, will introduce the topic to the Board.

The revised document was forwarded to the NGECE Executive Board on December 19<sup>th</sup> and was introduced on December 23<sup>rd</sup>. The Board will discuss it further on January 6<sup>th</sup> and determine when to consider it for approval.

- Planning for Diesel Exhaust Fluid (DEF) / UREA in new Diesel-Electric Locomotive: This topic was introduced on the December 18<sup>th</sup> call, and will be an ongoing agenda item for future calls. Chairman Bergeron asked Steve Hewitt to add it to the next call agenda - January 15, 2015.
- NGECE Procurements as of December 18<sup>th</sup>:

Diesel-Electric Locomotive:

- a) CDRL #10 for maintenance manual plan will likely be closed-out this week. Invoice for Milestone 'A' will likely follow [next week](#).
- b) Follow-up action items to close IDR are on-going for closure.
- c) Long-range planning for Final Design Review (FDR) is underway for February and March 2015. The location for FDR has been confirmed for Seattle by WSDOT.
- d) Mock-up reviews for the machine rooms were held last week in Sacramento, CA and Munich Germany. The Mock-up reviews held in Sacramento covered machine room #1 & #4 on the ACS-64 locomotive, as they are so very close in configuration to the multi-state locomotive. For machine room #2 & #3 (diesel engine compartment and cooling plant), Siemens' full scale 3D Reality Lab was used in Germany. The results were very impressive.
- e) After the 3D lab in Munich, the team traveled by train to Linz, Austria to review Buy-America manufacturing technology transfer with Hitzinger for the traction alternator; as well as the same items with Siemens in Graz Austria for Buy-America and transfer of the manufacturing of the truck frames in Sacramento, CA.
- f) Four more draft DCRs are being processed. Rich Stegner will contact Tammy Krause to coordinate."

Bi-Level Car Procurement:

First Article Inspections are underway on a number of items. Good progress is being made.

The next set of FAIs will take place in February, 2015 and will include a multitude of items such as manual doors, wheel axles and mechanical and functional communications system.

The first undertrain FAI will take place on Monday, 12-22-14 in Rochelle, Illinois at the Nippon Sharyo plant.

Nippon Sharyo is "recertifying" its Rochelle plant to ISO 9001.

QA/QC audits have begun and are ongoing.

Option assignments and delivery schedule have still not been finalized. FRA has taken the lead in those negotiations.

The On Board Information System (OBIS) agreement with Amtrak has not yet been completed.

Early in 2015 functional testing of DTL for adequate through put will take place.

Stan noted that he has received the "new wheel profile information" from Dale Engelhardt.

The weight management issue is being finalized.

During the month of January, 2015, the Technical subcommittee met twice – on the 15<sup>th</sup> and the 29<sup>th</sup>. Some of the key decisions and activities of the Technical subcommittee during the month of January, 2015 included:

- Accessibility Working Group/RVAAC related issues update:

On January 20, 2015, Melissa Shurland, FRA, reported that the Boarding and Alighting committee of RVAAC has met and completed its recommendations on guidance on accessibility elements relating to boarding the train and entering/exiting the car. The discussion centered on technology that can reach the minimum requirements. The committee will brainstorm and research the needs to recommend to RVAAC in order to determine the feasibility of their spatial recommendations. One example is the study of the minimum horizontal gap between the car and the platform, specifically to reduce the gap to 2 inches from the required 3 inches.

Between now and February 26, 2015, the Communication Subcommittee will be conducting meetings. It will be finalizing recommendations for the full RVAAC meeting scheduled for February 26.

Melissa Shurland will be compiling the differences between their guidance and what they've done to bi-level cars. This will be complete before the NGEAC Annual Meeting on February 20.

- The AWG received the go-ahead on maintaining contracted support from Oregon State University. Drawing formation and a feasibility review will occur, in addition to examining impact and maneuverability issues within the car. Anyone interested in this guidance can contact Melissa who will provide it to them.
- Update: NGEAC Procurements:

Diesel-Electric Locomotive as reported on January 29<sup>th</sup>:

- "a) Invoice for Milestone 'A' has been paid and Milestone 'F' (major purchase orders) is being processed for payment.
- b) Follow-up action items to close IDR are nearing closure.
- c) Detailed planning for Final Design review (FDR), in Seattle, is underway for February and March 2015.
- d) The Mock-up reviews for the machine rooms ( four compartments) and the under floor equipment are complete and closed-out.
- e) The locomotive weight is holding steady at 270,000 lbs (+/-) and the calculated P2 force is within specified limits.
- f) Five draft DCRs are being processed. Rich Stegner will contact Tammy Krause to coordinate.

g) The locomotive specification calls for a 140M wheel profile. A DCR will be prepared to specify either the 140M or a 340 wheel profile for the locomotive. The project needs Amtrak to reconfirm that the APTA 340 profile as referenced in APTA document PR-M-S-015-06 (figure B.8) is identical to Amtrak drawing D062-00106."

Bi-Level Car Procurement – as reported on January 15<sup>th</sup>:

First Article Inspections (FAIs) are being conducted.

In February and March FAIs on "a slew" of components will take place including: Air brake components; door leaves; hardware; latches; wheel and axle etc.

In regard to the new wheel profile Stan noted that they are working with Nippon Sharyo to make sure adequate supply of the 340 wheel profiles are available. He noted that "in California we still accept 140 profile wheels and have offered to take those if there are not enough 340 profiles for acquisition."

The FAIs will continue in April – looking at interiors, exteriors and lighting.

There will be a meeting in Rochelle, Illinois in early February to go over a corrective action from the QA audit. Caltrans, IDOT and FRA will be present at this meeting with Nippon Sharyo.

Caltrans is still looking to add 11 option cars to the order and is working with IDOT and FRA on a build schedule to that would modify the Grant Agreement to ensure ARRA compliance.

Caltrans and Amtrak are close to executing an OBIS agreement to begin implementation.

- Document Control update:

On January 15, 2015, Tammy Krause, provided the following update:

"The dual mode locomotive requirements document revision A was approved by the Executive Board on 1/6/15 and is now available on the AASHTO NGEC website. The Digital Train Line Hardware Specification 305-919 is now available on the website also."

- On January 15, 2015, the Technical subcommittee accepted the following "DRAFT" schedule for the development of the Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Specification (specific dates may change):

Schedule milestones include:

Teams complete Specification Development for their assigned chapters - 4/2/15  
Amtrak Compiles Chapters, Draft Spec placed on AASHTO Website - 4/30/15  
TSC Comment Period - 6/4/15  
Locomotive Working Group Review and Address Comments - 6/18/15  
TSC Final Review of DM Spec - 7/2/15  
Vote to recommend DM Spec to Executive Board - 7/10/15  
DM Specification Review Panel - 8/18/15  
Executive Committee vote to approve DM Specification - 8/18/15  
Approved DM Specification on AASHTP Website - 9/24/15

Beginning January 29, 2015, progress reports will be provided as a standing agenda item for Technical subcommittee bi-weekly calls.

- On January 15, 2015, it was agreed that the Technical subcommittee would establish a Diesel Exhaust Fluid (DEF/UREA Working Group. Volunteers are to contact Steve Hewitt.

As of January 31, 2015 the DEF working group had 7 volunteers. The intent is to formally establish the working group and name a chair on the February 12, 2015 Technical subcommittee call.

During the month of February, 2015, the Technical subcommittee met once, via conference call, on the 12<sup>th</sup>. Key decisions and action items for the month of February included:

- RVAAC: The RVAAC was to meet as a full committee on February 26-27 at the Access Board Head Quarters to review the 4 subcommittee guidance documents. Melissa Shurland gave an update at the NGEAC Annual Meeting on February 20, 2015, and will provide a more in depth presentation to the Technical subcommittee following the RVACC meeting. Steve Hewitt will keep it as a future action item. A copy of the RVAAC presentation has been distributed to all Technical subcommittee members and is posted on the website.
- Backgrounder educational document: With changes to the NGEAC organizational structure at the October 24<sup>th</sup> Fall Meeting, the Backgrounder has been updated. It was distributed at the NGEAC Annual Meeting on February 20, 2015, and is now available upon request.
- DEF Working Group: On February 12, 2015, Chairman Bergeron formally established the DEF Working Group on today's call and named Jennifer Bastian, IDOT, as its chair. Steve Hewitt provided Jennifer with the list of members and Jennifer will set a schedule and timeline for Working Group activities. Updates on the DEF Working Group activities will be a Technical subcommittee bi-weekly call standing agenda item.

- Progress Report : Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Specification development:

On February 12, 2015, Jack Madden, NYSDOT provided the following progress report to the Technical subcommittee:

"The Locomotive Working Group had its last conference call on Thursday 5 February. The next Working Group call will be on Thursday 19 February.

The Environmental, Mechanical/Carbody and VTI Teams have all met via conference call since the last TSC call on 29 January. The Teams continue to work on the Chapters for which they are responsible and the members are exchanging comments via email. The General and the Cab & Customer Amenities Teams have not met in the intervening time, but their next calls are on Tuesday 17 February.

We have had additional people volunteer to join the Locomotive Working Group, so our membership now is about 30."

- On February 12, 2015, Art Peterson, for IDOT, provided the following update on the progress of the diesel-electric locomotive procurement:
  - "a) Invoice Milestone 'F' (major purchase orders) is being processed for payment and the invoice for Milestone 'G' is anticipated next.
  - b) Follow-up action items to close IDR are nearing closure.
  - c) Week #1 for Final Design review (FDR), in Seattle, is underway this week. Week #1 is covering electrical systems, control systems, Head End Power (HEP), safety systems (PTC, XITCS, event recorder and others) and overall specification and regulatory compliance. Week #2 (week of March 1) will cover carbody structural design, trucks and diesel engine. Week #3 (week of March 16) will cover the rest of locomotive systems, Safety and hazards analysis, reliability and maintainability.
  - d) The FDR process is projected to generate about 25 more RFCs (request for clarification). From these, possibly a few more document change requests (DCRs) may be generated.
  - e) At present, six draft DCRs are being processed (including DCR for the 340 wheel profile). Rich Stegner will contact Tammy Krause, next week, to coordinate.
  - f) Amtrak has reconfirmed that the APTA 340 profile, per APTA document PR-M-S-015-06 (figure B.8) is to be used for the wheel profile for simulations and vehicle qualification.
  - g) The locomotive weight is holding steady at 270,000 lbs (+/-) and the calculated P2 force is within specified limits."

During the month of March, 2015, the Technical subcommittee met twice, via conference call, on the 12<sup>th</sup> and the 26<sup>th</sup>. Key decisions and action items for the month of March included:

- RVAAC: The RVAAC met as a full committee on February 26-27 at the Access Board Head Quarters to review the 4 subcommittee guidance documents. The Final Draft RVAAC report was distributed to

the Technical subcommittee on 3-26-15. Comments are due by April 10, 2015. The intent is to have the full RVAAC report with recommendations submitted to the Access Board by July 15, 2015.

- Backgrounder educational document: With the changes to the NGEAC organizational structure at the October 24<sup>th</sup> Fall Meeting, the Backgrounder was in need of updating. This has been done and a new version was printed and distributed to all NGEAC Annual Meeting attendees. The new Backgrounder is now available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive Backgrounders. Provide the quantity requested and an address for sending them to.

Steve Hewitt has provided PDF copies, via email, to the NGEAC participants list with an offer to send hard copies upon request.

- DEF Working Group: An introductory “kick off” meeting was held in March - and a regular call schedule has been set. Bi-weekly updates will continue to be provided to the Technical subcommittee.
- Document Control update:

On March 26, 2015, Tammy Krause provided the following update:

“A DCR was received to change the weights of the Bi-Level cars. This DCR is currently being handled by the Carbody group.

The changes for the C.2 version of the Bi-level car spec are currently being incorporated into the spec by Camren Cordell.

Richard Stegner is compiling the DCRs for the locomotive specs and will be submitting them shortly. The DCR form on the NGEAC website is submitted electronically to the Document Control Coordinator. The form was being sent to Dave Warner’s Amtrak e-mail. This was corrected this week and now the DCR forms will come to me.

I issued a specification number 305-921 for a new specification “NE environmental, operating & wayside conditions” that will be used in the Dual Mode Locomotive specification.”

- Progress Report: Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Specification development:

On March 26, 2015, the following update was provided by Jack Madden, NYSDOT:

“Since the last Technical Subcommittee call on 3/12/15, the VTI Team and the Environmental Team have met twice each and the Mechanical/Carbody Team has met once. All Teams have made progress on the chapters for which they are responsible. The members of the General and Cab and Customer Amenities Teams have worked individually and in small groups on revising their chapters, although those Teams, as a whole, have not met. As noted on the 3/12/15 TSC call, the next Locomotive Working Group call will be held at 10:00AM Eastern on Friday 3/27/15. Based upon Team status reports at the meeting we will decide if we will defer the scheduled date from 4/2/15 to 4/16/15 for completion of final drafts of all chapters and their submission to Amtrak for collation and formatting into a single document for subsequent TSC review.”

- Bi-Level Car procurement – progress report:

On March 26, 2015, the following update report was provided by Sharon Beasley, Caltrans:

There are 147 Design review items remaining open.

8 First Article Inspections (FAIs) are complete. 5 FAIs expected to be completed in April and 8 more slated for May.

QA inspection for readiness at the Nippon Sharyo plant continues – 9 items remain open.

Sal DeAngelo, FRA, is working with the states on developing a status update report and a distribution list to ensure that FRA is kept apprised of progress being made.

9 change orders are pending – none of which will impact the schedule.

- Diesel-electric locomotive – progress report:

On March 26, 2015, The following update report was provided by IDOT:

- a) The project continues to progress on schedule, within 2 weeks. The original schedule indicated completion of FDR meetings on 3/6/2015 and the FDR meetings were actually completed on 3/20/2015.
- b) The invoice for milestone 'C' for IDR has been received.
- c) All review meetings (15 days total) have been completed. Follow-up action items are now being dispositioned.
- d) The Design Review process is projected has generated 67 RFCs (request for clarification). From these, 10 document change requests (DCRs) will be generated. Since 15 DCRs were previously processed, the locomotive project is expected to have 25 DCRs, reflecting the design review process.
- e) Ten draft DCRs are being processed (including DCR for the 340 wheel profile). Rich Stegner has contacted Tammy Krause, to coordinate.
- f) Amtrak has reconfirmed that the APTA 340 profile, per APTA document PR-M-S-015-06 (figure B.8) is to be used for the wheel profile for simulations and vehicle qualification.
- g) The locomotive weight is holding steady at 270,000 lbs (+/-) and the calculated P2 force is within specified limits."

During the month of April, 2015, the Technical subcommittee met twice, via conference call, on the 4-9 and 4-23. Key decisions and action items for the month of April, 2015 included:

- RVAAC: The RVAAC is meeting as a full committee on today and tomorrow (4-23 and 24) at the Access Board Head Quarters to review the RVAAC report and hold a public comments session. The RVAAC report was distributed to the Technical subcommittee prior to today's call.
- Accessibility Working Group Update: The drawings/contract with Oregon State University (OSU) is close to being awarded – possibly during the week of April 27-15.
- Backgrounder educational document: The updated Backgrounder is available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive Backgrounders. Provide the quantity requested and an address for sending them to.
- DEF Working Group: The working group will hold its third call next month (date yet to be determined) and will have a guest speaker from Amtrak who will discuss the current options and potential options to be put in place in the future. A project schedule is being developed and is expected to be presented to the subcommittee next month.
- Document Control update: As of April 23rd the process of finalizing one approved DCR for the California Bi-levels is underway. Tammy Krause is also working with Dave Warner and the Dual Mode Locomotive Specification group to incorporate the environmental specification into the existing environmental specification."
- Progress Report: Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Specification development:

The following update was provided by Jack Madden on April 23, 2015:

"Since the last TSC call on April 9<sup>th</sup>, the Teams have continued to work on their chapters. The Locomotive Working Group met by conference call on Thursday April 16, 2015.

Dave Warner and Tammy Krause have re-worked the Northeast US Environmental Conditions Supplement from a separate document into an Appendix to the existing PRIIA specification 305-912 "Operational & Environmental Conditions for PRIIA Rolling Stock, Rev A" and provided it to the Environmental Conditions Team for their review. That Team will meet next Tuesday, April 28<sup>th</sup>.

On the last TSC call on April 9<sup>th</sup>, the Chairman asked the Loco WG to provide a revised schedule for the completion of the Dual Mode specification, including a revised date for the face-to-face meeting, as our schedule has slipped a few week. Steve sent this draft revised schedule out to all TSC members prior to the call. The Loco WG plans to turn over the completed chapters to Tammy Krause at AMTK by May 7<sup>th</sup>, for consolidation into one document for review by the Technical Subcommittee members. The face-to-face meeting has been pushed back 5 weeks from July 17<sup>th</sup> to August 21<sup>st</sup>.

Also, Metro North Railroad has advised that they intend to issue an RFP for an initial buy of Dual Mode locomotives as soon as feasible after the completion of the PRIIA Dual mode (DC 3<sup>rd</sup> Rail) specification, using the PRIIA specification.

I am planning to retire in early November and we have begun the internal NYSDOT process to identify a replacement locomotive representative for me on the Technical Subcommittee."

- Diesel-Electric procurement – progress report:

The following update report was provided by IDOT on April 23, 2015:

- "a) The invoice for milestone 'C' for IDR and milestone "D" for mock-up review is being processed by IDOT.
- b) All FDR reviews are complete and follow-up action items are being processed for closure.
- c) The preliminary list of First Article Inspections (FAI) is being coordinated with Siemens and the JPEs.
- d) The first FAI will be for the PTC system and is scheduled for the week of May 4<sup>th</sup>.
- e) We expect two more RFCs (we believe will be the last), for a total of 62 RFCs (request for clarification). From these, twelve draft (DCRs) will be submitted, including the DCR for the 340 wheel profile). Rich Stegner is compiling the DCRs and has contacted Tammy Krause, to coordinate.
- f) Jennifer Bastian is facilitating a diesel exhaust fluid (DEF) review and application team. The last meeting was held on 4/20/2015.
- g) The locomotive weight is holding steady at 270,000 lbs (+/-) and is within the calculated P2 Force specified limits."

Bi-Level Car Procurement Update:

On April 23, 2015, the following update report was provided by Caltrans:

10 First Article Inspections (FAIs) are completed – 1 left from April, 2015.

8 FAIs are scheduled for May, 2015.

21 Requests for Change (RFCs) remain open.

Of 2007 FDR items only 114 remain open.

Of 1879 Drawings – 1342 have been approved.

Issues remain with the graphics for the pilot car for Caltrans – IDOT's is progressing.

A workshop is scheduled for next week with Caltrans, IDOT, FRA, and the carbuilder present.

- AAR Meeting to discuss introduction of new passenger equipment and coordination with host Railroads:

Jeff Gordon has been coordinating this effort on behalf of the NGEC Executive Board. A kickoff meeting is planned for June 4, 2015 in Washington, DC. If any State NGEC Technical Subcommittee members (or their representatives) are interested in participating in this activity please contact Jeff Gordon for further information at ([Jeffrey.Gordon@dot.gov](mailto:Jeffrey.Gordon@dot.gov)).

During the month of May, 2015, the Technical subcommittee met once, via conference call, on May 7th. Key decisions and action items for the month of May, 2015 included:

- RVAAC: The RVAAC is meeting as a full committee again June 4-5-15 in DC to complete review of the DRAFT report. Logistical information will be provided by Melissa Shurland to Steve Hewitt for distribution to the Technical subcommittee.



- Accessibility Working Group Update: FRA is moving forward with the OSU contract and work will begin right away on seating location and restroom configuration (turning circle or T or L shaped space) as the first items to be addressed.
- Backgrounder educational document: The updated Backgrounder is available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive Backgrounders. Provide the quantity requested and an address for sending them to.
- DEF Working Group: The working group continues to meet regularly. They are reviewing a proposed timeline for the equipment deployment. Jennifer Bastian is collecting information with regard to fuel consumption in relation to the fueling station locations and will work with Dale Engelhardt to determine if a reconfiguration will be needed.
- Document Control update as of May 7, 2015:
  - Approved California DCR to change the weight of the Bi-Level fleet.
  - Received the Dual Mode Locomotive Specification first draft. I will have it put in the spec format and then I will send it out to the Technical Subcommittee.
  - Received a rough draft of the Digital Train Line software specification and I will be formatting it and sending it out to the DTL subcommittee to start revising it."

- Progress Report : Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Specification development:

As of May 7<sup>th</sup> Locomotive Working Group Leader Jack Madden reported that 23 of 26 chapters have been transmitted to the Document Control Coordinator, Tammy Krause.

The last 3 chapters were to be transmitted by COB later that day (5-7-15)

Everything appears to be on schedule – Tammy Krause will have 4 weeks to turn the chapters into a single document; and then the Technical subcommittee will have 4 weeks to review the full document.

Jack expressed thanks to the 36 members of the locomotive working group for their efforts in developing what Jack called "a good first draft".

Dale Engelhardt asked if the schedule still works for getting out a request for bids within the timeline required by NY.

Jack replied that it does. He elaborated that as soon as the Executive Board of the NGEC formally adopts the specification – on schedule for the end of October, 2015 – Metro North intend put out an RFP using the NGEC spec.

- Diesel-Electric procurement – progress report:

The following update report was provided by IDOT on May 7, 2015:

"a) The invoice for milestone 'G' for placement of second level purchase orders by the contractor has been received by IDOT.

b) FDR follow-up action items are being processed for closure.

c) The preliminary list of First Article Inspections (FAI) is being coordinated with Siemens and the JPEs.

d) The first FAI will be for the PTC system. The FAI is being conducted this week and will conclude today.

e) We expect two more RFCs (we believe will be the last), for a total of 63 RFCs (request for clarification). From these, twelve draft (DCRs) will be submitted, including the DCR for the 340 wheel profile. Rich Stegner is compiling the DCRs and has contacted Tammy Krause, to coordinate.

f) The next meeting for the diesel exhaust fluid (DEF) review and application team is scheduled for 5/18/2015.

g) The locomotive weight is holding steady at 270,000 lbs (+/-) and the calculated P2 force is within specified limits."

- Bi-Level Car Procurement Update:

On May 7<sup>th</sup> Sharon Beasley, Caltrans provided a brief update on the bi-level car procurement:

13 FAI's have been completed with 7 scheduled for May, 2015 and 3 planned for June, 2015.

3 RFC remain open

69 Design Review action items remain open and a few of those will be closed after Final Design Review is completed.

1357 drawings are approved out of 1883 - "we are  $\frac{3}{4}$  of the way done."

Caltrans is waiting for IDOT to determine if they will be using graphics for the pilot car – Caltrans has determined that they will not be.

The technical fuel analysis report went to the FRA this morning (5-7-15)

Overall things are moving along well and "we are getting very excited" Sharon said.

- AAR Meeting to discuss introduction of new passenger equipment and coordination with host Railroads:

Jeff Gordon has been coordinating this effort on behalf of the NGEC Executive Board. A kickoff meeting is planned for June 4, 2015 in Washington, DC. If any State NGEC Technical Subcommittee members (or their representatives) are interested in participating in this activity please contact Jeff Gordon for further information at ([Jeffrey.Gordon@dot.gov](mailto:Jeffrey.Gordon@dot.gov)).

During the month of June, 2015, the Technical subcommittee met twice, via conference call, on the 4<sup>th</sup> and 18<sup>th</sup>. Key decisions and action items for the month of June, 2015 included:

- RVAAC: The RVAAC met in June in DC to finalize the report that will ultimately go to the US Access Board in July, 2015. The meeting was straight forward with the committee looking at the same issues that have been at the forefront in previous updates.
- Accessibility Working Group Update: Oregon State University is looking at restroom access – primarily the radius turning circle. There may be more optimum options such as the T-shape etc. FRA and OSU are looking at these potential options and hope to get back to the RVAAC with their findings shortly.
- Backgrounder educational document: The updated Backgrounder is available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive Backgrounders. Provide the quantity requested and an address for sending them to.
- DEF Working Group: The working group continues to meet regularly. They are reviewing a proposed timeline for the equipment deployment. The next meeting is scheduled for June 29<sup>th</sup> and Jennifer Bastian expects to have an update for the subcommittee on its next call., and will provide a project schedule as well.
- Document Control update as of June 18, 2015:

The urgent weight change DCR has been approved by the voting members of the technical subcommittee and is now waiting for the executive board to vote. (Steve Hewitt added that the first step is to have Chairman Curtit re-convene the Bi-Level Review Panel and ask Consultant Larry Salci

to prepare a memorandum with recommendations for the Panel to consider – action on this should kick off on next week's Executive Board call)

The initial draft version of the Dual mode locomotive specification has been issued for comments from the technical subcommittee members.

The Digital Train Line Software specification initial draft has been sent to the DTL subcommittee for comments and further development.

- Progress Report : Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Specification development as of June 18, 2015:

The face to face meeting to approve the specification is set for August 19<sup>th</sup> in Albany, NY at NYSDOT on 50 Wolf Rd. A tour of the Amtrak Rennselear Maintenance facility will take place on August 20 (AM).

Steve Hewitt has sent a calendar notice to subcommittee members for these dates, and has contacted Andrea Ryan, AASHTO to begin making hotel and other logistical arrangements.

- Diesel-Electric procurement – progress report:

The following update report was provided by IDOT on June 18, 2015:

- a) The payment of invoice for milestone G is being processed by IDOT.
- b) FDR follow-up action items are being processed for closure.
- c) The list and schedule for First Article Inspections (FAI) is being coordinated with Siemens and the JPEs.
- d) Manufacturing for the first locomotive carbody has begun.
- e) The last two of the RFCs will be received shortly. Fourteen draft (DCRs) are being prepared and Rich Stegner has contacted Tammy Krause, to coordinate processing.
- f) The JPEs, FRA and AAR (host RRs and Amtrak) met on 6/4/2015 and 6/5/2015 for guidelines for vehicle qualification testing.
- g) The next meeting for the diesel exhaust fluid (DEF) review and application team is scheduled for 6/29/2015.
- h) The locomotive weight has increased slightly to near 271,000 lbs (+/-) but the calculated P2 force is still within specified limits. Weight is being closely monitored."

Bi-Level Car Procurement Update:

- On June 18<sup>th</sup> Momoko Tamaoki, Caltrans, provided a brief update on the bi-level car procurement:

FAI process continues – looking to complete by July 7<sup>th</sup>

Design Review hot items remaining to be closed = about 24 or so. They have a target to close these remaining items out by the end of June, 2015.

No RVCs were approved this past week – 2 are under review and responses on them are due next week.

The weight change DCR is going through the document control process as noted earlier.

California, IDOT and FRA held QA meetings in Rochelle, Illinois on June 10<sup>th</sup>. They are working to mitigate car shell issues.

- AAR Committee: Has been established to discuss the introduction of new passenger equipment and coordination with host Railroads. The kickoff meeting took place on June 4<sup>th</sup>, in DC, with 28 attendees. 5 subgroups have been appointed. Jeff Gordon will provide a status update report to the Technical subcommittee once a month (every other call). Next update due July 16, 2015.

During the month of July, 2015, the Technical subcommittee met twice, via conference call, on the 16<sup>th</sup> and 30<sup>th</sup>. Key decisions and action items for the month of July, 2015 included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. Melissa Shurland, FRA, will ask the Access Board staff when the Board will approve/deliberate on the recommendations and will keep the Technical subcommittee members apprised.
- Accessibility Working Group Update: Oregon State University and Amtrak are discussing the NDA for drawings. The old NDA expired and a new one is being discussed. Blair Slaughter from Amtrak will be the POC for this effort.
- Backgrounder educational document: The updated Backgrounder is available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive Backgrounders. Provide the quantity requested and an address for sending them to.
- DEF Working Group: The working group continues to meet regularly. A project schedule is still being finalized and, upon completion will be sent to Mario Bergeron and Steve Hewitt who will distribute it to the Technical subcommittee members. The next meeting is scheduled for August 13<sup>th</sup>.
- Document Control update as of July 30, 2015:

The Dual Mode Locomotive Specification Draft, revision 1 was completed and sent to the members of the technical subcommittee.

The Urgent weight revision Document Change Request for the PRIIA Bi-Level procurement was approved by the NGEC Executive Board.  
Fifteen new DCRs for the PRIIA Bi-Level procurement are being addressed by the appropriate technical SC group.

- Progress Report : Dual Mode Locomotive (DC 3<sup>rd</sup> Rail) Specification development as of July 30, 2015:

Jack Madden, NYSDOT, provided the following update for inclusion in the July 30<sup>th</sup> Technical subcommittee minutes:

“As reported on the last Call, the closing date of the 4 week period for comments on the Dual Mode specification from the Technical Subcommittee members was Thursday July 2<sup>nd</sup>. Since that date, the Loco WG met by conference call three times to review the 56 proposed changes which were submitted. The WG accepted 27 changes as submitted; accepted 22 changes as amended; and rejected 7 changes. The members of the five teams within the Loco WG also met either by conference call or email exchanges during this time as well, and did an outstanding job on the detailed review of the changes prior to the Loco WG rendering a decision on each.

Steve Hewitt sent out Revision 1 of the DRAFT Dual Mode Locomotive Specification to the Technical Subcommittee members earlier today. He also included the Dual Mode Comment Tracking Spreadsheet dated 7/28, which contains the proposed changes and the disposition of each. I want to thank Tammy Krause and Cameron Cordell for their work since Tuesday evening to make the changes in the DRAFT Specification to make it into Revision 1.

Please note that Accepted Changes DM-053 and DM-056 were inadvertently not applied to Revision 1 of the DRAFT specification. Please refer to those two accepted changes in the Tracking Sheet. With respect to DM-053, the Table which was to have been inserted in the DRAFT was also attached to Steve's earlier email. As this table is completely new, I encourage the Technical Subcommittee members to definitely review it prior to the end of this last two week comment period on 8/13.

Also note that, with the insertion of a new Section at 9.8 in Chapter 9 under Change DM-004, the numbering sequence of the successive Sections in Chapter 9 is off. This will be corrected in Revision 2 of the DRAFT.

Only a few Chapters in the DRAFT specification had CDRLs listed at the end of their respective chapters. A subcommittee of the Loco WG has developed CDRLs for the remaining chapters. These

will be reviewed on the next Loco WG conference call on 8/6 and incorporated in Revision 2 of the DRAFT Specification.

We have already received an additional 7 proposed changes after the Loco WG's last conference call on 7/28. Those proposed changes, as well as any others received from the Technical Subcommittee Members, will be reviewed by the Loco WG at its next conference call on Thursday 8/6. Although the cut-off date published on the 7/9 Revision 2 of the DM Development Schedule is 8/13 (the date of the next TSC conference call two weeks from today) I encourage TSC members to get any additional proposed changes to me by 8 am ET on Thursday, 8/6, so that the Loco WG can review them at our regularly scheduled conference call at 10 am ET that date.

There are two last items on which I would like to report.

- a. As you recall, the proposed "Northeast Environmental Supplement" to the PRIIA 305-912 Environmental Conditions Specification Revision A was eliminated as a separate document. It was condensed into a proposed Appendix A to PRIIA 305-912. This addition and some other textual changes will be a proposed Revision B to the PRIIA 305-912 Environmental Conditions Specification. Tammy and I have exchanged emails concerning DCRs for this change.
- b. Based upon our development of the Dual Mode Locomotive Specification, there are two revisions to the Dual Mode (DC 3<sup>rd</sup> Rail) Requirements Document Revision A, which will require a Revision B to that document.

As these two documents and the Dual Mode Specification should be in conformance with one another, I suggest that all three documents be voted on at the Face-to Face meeting in Albany on 8/19."

- The Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive Specification Technical subcommittee approval meeting will be held in Albany, NY at NYSDOT – 50 Wolf Rd. Hotel room block rates have been arranged at the Holiday Inn at 205 Wolf Road. On August 20<sup>th</sup>, Amtrak will host a tour of its Rennselaer Maintenance facility for all meeting attendees.
- Diesel-Electric procurement – progress report:

The following update report was provided by IDOT on July 30, 2015:

- a) The payment of invoice for milestone G has been paid by IDOT
  - b) FDR follow-up action items are being processed for closure. Less than 20 items remain and we anticipate closure in the next two weeks, pending receipt of all submittal drawings.
  - c) The First Article Inspections (FAI) for the engine room lighting was held on 7/15, the XITCS FAI is be held during this week. The FAI for the traction alternator will be conducted in early August.
  - d) Manufacturing for the first locomotive carbody has begun. Some delays have been experienced due to materials and vendor QA, but are being managed within the project's schedule float by the contractor. The contractor is working to verify the extent of the schedule impact.
  - e) The welding process reviews were held 7/7 – 7/9 in Sacramento. A follow-up review is planned for the week of August 17<sup>th</sup> at Siemens.
  - f) No further RFCs - Fourteen draft (DCRs) are being prepared and Rich Stegner has contacted Tammy Krause, to coordinate processing and will send a list in the next two weeks.
  - g) Follow up teams are working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.
  - h) The last meeting for the diesel exhaust fluid (DEF) review and application team was held on 7/13/2015 and the team is working with Amtrak to identify storage locations and storage needs. The next meeting is tentatively scheduled for August 31<sup>st</sup>.
  - i) The locomotive weight is 271,000 lbs (+/-) and the calculated P2 force is still within specified limits. Weight is being closely monitored."
- Bi-Level Car Procurement Update:

On July 30th Gerald Fuller, Caltrans provided the following update on the bi-level car procurement:

Last week 3 FAI's took place – 2 were successful. One – brakes – has a light coating of paint noted in the interiors and an action plan to remedy is being prepared by Wabtec.

Design Review: there are 18 open hot item issues remaining.

Schedule information (additional detail) has been provided by the manufacturer and will be discussed in a meeting in Rochelle, Illinois next week. Caltrans, IDOT, FRA and Nippon Sharyo will attend.

Last week 3RFCs were approved.

On August 20-12-2015 there will be a compression test of the car shell.

- AAR Committee: The first meeting was held on June 4<sup>th</sup>. Jeff Gordon will be providing monthly updates. On July 16<sup>th</sup> Jeff provided the following report:

“Dave Cackovic (AAR-TTCI) prepared (with Rich Stegner’s assistance) and distributed the meeting notes, presentation slides and a spreadsheet developed during the meeting. The documents include the meeting agenda, as well as the initial discussion materials prepared and presented by AAR.

The spreadsheet includes the various teams created during the meeting and dates for the first teleconference of each group beginning on July 20. Email invites to participants have been sent or will be sent shortly.

Expect further updates in the August report on this activity.”

Next report will be provided on August 19<sup>th</sup> at the Technical subcommittee face to face meeting.

During the month of August, 2015, the Technical subcommittee met twice, once via conference call, on the 13<sup>th</sup> and once face to face in Albany, NY on August 19<sup>th</sup> for the purposes of approving the Dual Mode (DC3rd Rail) Locomotive Specification. Key decisions and action items for the month of August, 2015 included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. Melissa Shurland, FRA, reported on August 13<sup>th</sup> that she had not yet received information back from the Access Board.
- Accessibility Working Group Update: Oregon State University and Amtrak finalized and executed the NDA for drawings. Work will now begin on the study of the drawings.
- Backgrounder educational document: The 2015 version of the “Backgrounder” remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive “Backgrounders”.
- DEF Working Group: The working group continues to meet regularly. A project schedule is still being finalized and, upon completion will be sent to Mario Bergeron and Steve Hewitt who will distribute it to the Technical subcommittee members. On August 19<sup>th</sup>, Chairman Bergeron emphasized the importance of getting a project schedule and noted that time is of the essence
- The PRIIA Dual Mode (DC 3<sup>rd</sup> Rail) Passenger Locomotive Technical Specification – On August 19<sup>th</sup> the DRAFT Revision2 was approved by the Technical subcommittee in Albany, NY, at the face to face meeting of the subcommittee. It will be put in final form with changes as noted during today’s meeting, by Tammy Krause. Once in final form, Steve Hewitt will transmit it to Eric Curtit on behalf of Mario Bergeron and the Technical subcommittee and request that the Board begin the process for formally adopting the specification.
- The Technical subcommittee on 8-19-15, voted to recommend that the Executive Board make a change to the Dual Mode (DC 3<sup>rd</sup> Rail) Passenger Locomotive Requirements Document Revision A

to reduce HEP from 1000kw to 800kw in Section 2.6 Electrical. Tammy Krause will provide Steve Hewitt with the recommended language to be submitted to the Executive Board.

- Specification 305-912 reference document changes: The subcommittee on 8-19-15 agreed to a series of updates/revisions to the 305-912 document. Tammy Krause will capture those changes and revise the document accordingly. A draft revised document will be distributed to the full Technical subcommittee by COB 9-3-15 for its consideration on 9-10-15.

- Bi-Level Car Procurement Update as of August 19<sup>th</sup>:

On August 19, 2015, Larry Salci, Consultant to the FRA on the Bi-Level Specification, provided a brief high level update on the status of the bi-level car procurement.

FAls are ongoing.

There are no option cars being added to the order – it was thought there might be, but it did not happen.

The big picture challenge is to meet the HSIPR ARRA deadline for expending the federal funds by 9/30/17.

Some of the money is state money which does not have the same deadline, but the effort is underway to make sure that the ARRA funds are spent and the deadline is met.

- Diesel-Electric Locomotive Procurement update as of August 19<sup>th</sup>:

On August 19, 2015, Jeff Gordon, FRA, provided a brief update on the D/E locomotive procurement:

- The procurement is proceeding well.

There are options for additional locomotives. The initial order was for 38 and is now at 47.

The Mid-West states are working on establishing ownership/governance and maintenance responsibilities compliant with Section 6 requirements.

- AAR Committee Update: On August 19<sup>th</sup> Jeff Gordon, FRA, provided a brief overview of the AAR Committee:

The committee was formed to establish standards (by 12/31/15) to address the new passenger equipment that will coming on line in the near future. The committee will develop a list of standards most of which are related to VTI and shunting. The standards will not apply to the PRIIA procurements but will be used as a comparison against them as they are underway to see if they work.

During the month of September, 2015, the Technical subcommittee met twice, via conference call, on the 10th and the 24th. Key decisions and action items for the month of September, 2015 included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. There were no updates provided during the month of September.
- Accessibility Working Group Update: Oregon State University and Amtrak finalized and executed the NDA for drawings. Work will now begin on the study of the drawings.
- Backgrounder educational document: The 2015 version of the “Backgrounder” remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive “Backgrounders”.
- DEF Working Group: The working group continues to meet regularly. A project schedule was provided to the subcommittee just prior to the 9-10-15 conference call. As of 9-24-15, the working group was continuing to look at fueling station locations and delivery and handling methodologies. The next meeting was scheduled for 10-6-15.

- The PRIIA Dual Mode (DC 3<sup>rd</sup> Rail) Passenger Locomotive Technical Specification – The PRIIA Dual Mode (DC 3<sup>rd</sup> Rail) Passenger Locomotive Technical Specification – DRAFT Revision2 was approved by the Technical subcommittee on 8-19-15 and will be put in final form with changes as noted during today's meeting, by Tammy Krause. Once in final form, Steve Hewitt will transmit it to Eric Curtit on behalf of Mario Bergeron and the Technical subcommittee and request that the Board begin the process for formally adopting the specification.
- Specification 305-912 reference document changes: The subcommittee on 8-19-15 agreed to a series of updates/revisions to the 305-912 document. A draft revised document was distributed to the full Technical subcommittee just prior to the 9-10-15 subcommittee call, and members were asked to review it and submit comments/changes to Tammy Krause in advance of the 9-24-15 Tech SC call.

On 9-24-15, the Technical subcommittee approved PRIIA Specification 305-912 Operational and Environmental Conditions for PRIIA Rolling Stock Revision B. Once it is in final draft form, it will be transmitted to the NGE Board Chairman to begin Executive Board approval process.

- Bi-Level Car Procurement Update as of September 24, 2015:

Two FAIs were scheduled for 9-29/30-2015.

With regard to the car shell compression test failure – the contractors issued an analysis on 9-12-15. The results show that design and modeling were the major causes of the failure. The contractors will submit a proposed approach and strategy for the redesign on 10-1-15.

Design Review hot list open items – there are currently 10 open items remaining. The redesign effort, however, will result in a design review meeting to go over the re-design. This date has not yet been determined.

The schedule is now under review until the redesign approach and strategy is fully understood. It is hoped that a schedule revision will be forthcoming next month.

RFCs – there are two remaining open RFCs.

- Diesel-Electric Locomotive Procurement update as of September 24, 2015:
  - a) The invoices for milestone C (Invoice #7 & #8, associated with 12 ea. IDOT Option Locomotives) are being processed by IDOT
  - b) FDR follow-up action items continue for closure. One item remains and we anticipate closure by next week, pending receipt of the balance of submittal drawings, which are expected next week, as well.
  - c) The FAI for the diesel engine was held on 9/22 and went well. The FAI for the Prime Mover (Engine and alternator together) is planned for October in Sacramento.
  - d) Manufacturing for the first locomotive carbody continues. The integral fuel tank and the underframe has been completed and welding of the truck frames continues. The truck frame FAI is planned for October 8.
  - e) The follow-up weld process review was held on September 15-16.
  - f) One more draft DCR has been processed by the JPEs. Now we have fifteen draft (DCRs) are being prepared and Rich Stegner has contacted Tammy Krause, to send a list re-capping the DCRs and will begin drafting DCRs asap.
  - g) Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.
  - h) The Diesel Exhaust Fluid (DEF) planning team is reviewing logistics for fueling locations.
  - i) The locomotive weight is 272,000 lbs (+/-) and the calculated P2 force is still within specified limits. Weight is being closely monitored."
- AAR Committee Update: On September 24th Jeff Gordon, FRA, provided a brief update of the activities of the AAR Committee:



The committee was formed to establish standards (by 12/31/15) to address the new passenger equipment that will coming on line in the near future. The committee will develop a list of standards most of which are related to VTI and shunting. The standards will not apply to the PRIIA procurements but will be used as a comparison against them as they are underway to see if they work.

At the kickoff meeting a number of teams were formed to look at various aspects of equipment. The number of teams first established has now been reduced.

All teams have met at least once with the Vehicle Track Interaction (VTI) team being the most active.

The overall concept is to integrate the work of all of the teams into a single document.

Jeff Gordon will provide ongoing progress reports to keep the subcommittee informed.

AAR is coordinating the effort and FRA is participating.

- GAO project: The GAO team participated on today's call (9-24-15). Follow ups will be coordinated with Steve Hewitt. Some of those follow-ups include: responding to the three questions posed to the subcommittee – providing clarification on the subcommittee membership types, NGECE processes and structure; coordinating potential interviews with the subcommittee working group leaders; and scheduling follow up participation on technical subcommittee calls in the future.

During the month of October, 2015, the Technical subcommittee met once 8th. Key decisions and action items for the month of October, 2015 included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. On October 8, 2015, Melissa Shurland, FRA, reported that she has learned that because the report was produced by an advisory committee, the Access Board is not bound by its recommendations and will probably not be making any statement about approving or disapproving the report. The next step is for the Access Board to review the report and then decide how to proceed. There is a backlog in rulemaking projects, and so it was not decided how and when to proceed with those recommendations.
- Accessibility Working Group Update: Oregon State University (OSU) is making progress in developing the spatial model of the recommendations. Amtrak's Blair Slaughter has provided valuable input and has provided additional updated drawings to OSU.
- Backgrounder educational document: The 2015 version of the "Backgrounder" remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive "Backgrounders".
- DEF Working Group: The working group, as of October 8, 2015 continued to work on consumption calculations – the models showed that they are close to the existing equipment, and the fueling point locations will likely not need to be changed. The next step is to begin developing an RFI for a DEF supplier. However, while they will begin working on the RFI, IDOT must have an agreement with Amtrak before proceeding.
- The PRIIA Dual Mode (DC 3<sup>rd</sup> Rail) Passenger Locomotive Technical Specification: The specification, as approved by the Technical subcommittee in August, 2015, is currently proceeding through the Executive Board's review process with a target approval date of November 24, 2015.
- Specification 305-912 Revision B: As approved on September 24, 2015 by the Technical subcommittee, was formally adopted by the NGECE Executive Board on October 27, 2015.
- Bi-Level Car Procurement Update as of October, 2015: See above – Executive Board monthly status update.
- Diesel-Electric Locomotive Procurement update as of October, 2015: The D-E Locomotive procurement is progressing well and is on time and on schedule.

- AAR Committee Update: The committee was formed to establish standards (by 12/31/15) to address the new passenger equipment that will coming on line in the near future. The committee will develop a list of standards most of which are related to VTI and shunting. The standards will not apply to the PRIIA procurements but will be used as a comparison against them as they are underway to see if they work.

Jeff Gordon, FRA, provides ongoing progress reports to keep the subcommittee on a monthly basis. Due to the October 22, 2015 subcommittee meeting having been canceled, the next report is scheduled for November 5, 2015.

AAR is coordinating the effort and FRA is participating.

- GAO project: The GAO team is scheduled to participate on the November 5, 2015, Technical subcommittee call. As of mid-October, the team had begun contacting members of the Technical subcommittee working groups and other key participants.

During the month of November, 2015, the Technical subcommittee met twice, via conference calls on the 5<sup>th</sup> and 19<sup>th</sup>. Key decisions and action items for the month of November, 2015 included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. On October 8, 2015, Melissa Shurland, FRA, reported that she has learned that because the report was produced by an advisory committee, the Access Board is not bound by its recommendations and will probably not be making any statement about approving or disapproving the report. The next step is for the Access Board to review the report and then decide how to proceed. There is a backlog in rulemaking projects, and so it was not decided how and when to proceed with those recommendations. Melissa will keep the subcommittee apprised.
- Accessibility Working Group Update: Progress continues on the restroom drawings. Oregon State University is working with Amtrak. Alternatives are being looked at such as having one universal restroom as opposed to two. Valuable input is being provided by Amtrak on what can and can't be done. Melissa Shurland, FRA, will provide a report on what has been accomplished to date at the NGEAC Annual Meeting (2-19-16).
- Document Control Update as provided by Revision Control Coordinator Tammy Krause on November 19, 2015:

The Dual Mode locomotive specification is still under review by consultant Larry Salci. Tammy will be starting to put together the C.3 version of the bi-level specification in the next few weeks. She has asked that any new DCRs be submitted by December 4<sup>th</sup>.

- Backgrounder educational document: The 2015 version of the "Backgrounder" remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive "Backgrounders".
- DEF Working Group: The working group, as of November 19, 2015 continued to work on consumption estimates - the models showed that they are close to the existing equipment, and the fueling point locations will likely not need to be changed. The next steps are to begin developing an RFI for a DEF supplier once IDIT has an agreement in place. The next DEF call was scheduled for 11-23-15.
- Diesel- Electric Locomotive procurement update as of 11-19-15 (provided by IDOT:

The invoice for milestone E (Invoice #10), associated with FDR is being processed by IDOT

FDR follow-up action items are now closed. The balance of submittal drawings have now been received, as well.

The FAI for the truck assembly was held on 11/17 and went well.

The FAI for the Prime Mover (Engine and alternator together) was held on 11/12 in Sacramento and went well.

The kick-off for monthly QA reviews was held in Sacramento on 11/18.

A planning meeting to review the compression test process is planned for 12/1 in Sacramento.

We anticipate two more draft DCRs has will processed by the JPEs. The total will be Seventeen draft DCRs, and are being prepared and Rich Stegner has contacted Tammy Krause, to send a list re-capping the DCRs and will begin drafting DCRs. Camren Cordell will assist.

Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.

The Diesel Exhaust Fluid (DEF) planning team is reviewing logistics for fueling locations.

The locomotive weight has reduced to 271,684 lbs (+/-), due to actual component weights coming in a bit better than expected. The calculated P2 force is within specified limits. Weight is being closely monitored, each month."

- Bi-Level Car Procurement Update provided by Caltrans, as of November 19, 2015:

FAI's for sub-system items are ongoing with 29 of 44 done.

In December and January FAIs upcoming include seats and tables, electric panels etc. This reflects a slight slippage due to changes in the seat design.

Compression test analysis (since the test failure) are underway.

Changes in the design and updates to the anlysis are ongoing. A third party analysis expert, well-regarded by all parties – has been brought in to support the effort.

A new Design Review has not yet been scheduled – it may be a two part or a one part review – as of yet not determined.

There is an update scheduled for 11-24-15.

5 non carshell related design review are outstanding.

The product schedule is still under review – a draft has been provided by the manufacturer and is being reviewed.

No final delivery dates are in place as of yet.

They are working through the funding impacts of the delay.

The number of vehicles deliverable will be based on the schedule when finalized.

- AAR Committee Update: The committee was formed to establish standards (by 12/31/15) to address the new passenger equipment that will coming on line in the near future. The committee will develop a list of standards most of which are related to VTI and shunting. The standards will not apply to the PRIIA procurements but will be used as a comparison against them as they are underway to see if they work.

On November 5, 2015 the following update was provided by Jeff Gordon, FRA. The next update is scheduled for December 3, 2015:

"The Passenger Equipment Standards Committee first met at AAR HQ in early June, and formed a path forward plan with six subgroups. Several subgroup web cast meetings have been held.

The overall goal is to develop an AAR Standard approach to address areas of concern regarding the introduction and operation of new-design passenger cars and locomotives on freight railroad track. The AAR standard is intended to only address gaps where those goals and objectives are not met by existing APTA and other standards. The AAR standard will adapt existing standards and requirements to the extent possible.

A first draft of the specification has been prepared and has been distributed to all participants. In the next month or so meetings related to loss of shunt, interoperability and vehicle-track interaction are planned.

If you have any questions about this process, please contact Jeff Gordon ([Jeffrey.Gordon@dot.gov](mailto:Jeffrey.Gordon@dot.gov)).

- GAO/NGEC project: The GAO team is scheduled to participate on the December 3, 2015, Technical subcommittee call. As of mid-November, the team had begun contacting members of the Technical subcommittee working groups and key industry participants.

During the month of December, 2015, the Technical subcommittee met twice, via conference calls on the 3rd and 17th. Key decisions and action items for the month of December, 2015 included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. On October 8, 2015, Melissa Shurland, FRA, reported that she has learned that because the report was produced by an advisory committee, the Access Board is not bound by its recommendations and will probably not be making any statement about approving or disapproving the report. The next step is for the Access Board to review the report and then decide how to proceed. There is a backlog in rulemaking projects, and so it was not decided how and when to proceed with those recommendations. Melissa will keep the subcommittee apprised.
- Accessibility Working Group Update: Progress continues on the restroom drawings. On 12-17-15, Melissa Shurland reported that the Accessibility Working Group had a meeting during the week with participants from Amtrak, FRA, manufacturers and the Access Board, to review Oregon State University's (OSU) preliminary work on accessibility restrooms. Good feedback was received and OSU will go back and incorporate the comments received accordingly. Melissa will provide a status report at the NGEC Annual Meeting on 2-19-16.
- The PRIIA Dual Mode (DC 3<sup>rd</sup> Rail) Passenger Locomotive Technical Specification adoption: Larry Salci is in the process of reviewing the specification against the requirements document and preparing a Review Panel report with recommendations. Timeline for NGEC Executive Board approval is as of yet undetermined pending completion of the Review.
- Backgrounder educational document: The 2015 version of the "Backgrounder" remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive "Backgrounders".
- DEF Working Group: the DEF working group met with Amtrak on 12-8-15 and came to consensus agreement on fuel range. They are working now on fuel locations and what is needed. The next meeting will take place on 1-11-16.
- Diesel- Electric Locomotive procurement update as of 12-17-15 (provided by IDOT):
  - The invoice for milestone E (Invoice #10), associated with FDR is being processed by IDOT.
  - The FAI for the Diesel Exhaust after treatment and Diesel Engine cooling tower was held the week of December 7th.
  - The FAI for the electrical panels and lockers was held December 15 & 16, 2015, at Siemens Sacramento factory.
  - The kick-off for monthly QA reviews was held in Sacramento on 11/18/15 and the next meeting is planned for January 13<sup>th</sup> in Sacramento.

- A planning meeting to review the compression test process was held on 12/1 in Sacramento.
- We are reviewing two draft DCRs and will process them, just after the holidays. The total will be Seventeen draft DCRs, and are being prepared and Rich Stegner has contacted Tammy Krause, to send a list re-capping the DCRs and will begin drafting DCRs. Camren Cordell will assist.
- Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.
- The Diesel Exhaust Fluid (DEF) planning team is reviewing logistics for fueling locations. A meeting was held with Amtrak to review details on December 8<sup>th</sup>.
- The locomotive weight was reported last month at 271,684 lbs (+/-), due to actual component weights coming in a bit better than expected. The calculated P2 force is within specified limits. Weight is being closely monitored, each month."
- Bi-Level Car Procurement Update provided by Caltrans, as of December 17, 2015:
 

"FAI - The follow up Air Brake Components FAI took place on 12/3 at Wabtec (Duncan, SC) to resolve the open reservoir issues, and it was successful. Electrical Panels and ATR/UTR Toilet Room FAIs are scheduled in January.

Design Review - 22 items remain open for the final design review, (majority of them are carbody related items, due to the re-design effort).

Carshell Re-Design Effort - NS continues to make progress in refining the model. They had an internal Carshell design review meeting in Toyokawa Japan, and continue to make progress. Caltrans/IDOT will have a meeting with NS on 12/21, and they will share the progress with the customer team.

Schedule - Unfortunately it continues to slip due to the very time consuming model refinement process. Caltrans continues to work with SCOA/NS, IDOT, and FRA to ensure that project will get back on track to deliver as many cars as possible.

Misc. – Truck Fatigue test started on Monday this week at Columbus Casting. Caltrans' subject matter expert is on site to witness the progress of the testing. Representatives from Caltrans (Bruce), SCOA/NS (TBD) will be presenting project status updates at the February annual NGEAC meeting in Washington DC. "
- AAR Committee Update: The committee was formed to establish standards (by 12/31/15) to address the new passenger equipment that will coming on line in the near future. The committee will develop a list of standards most of which are related to VTI and shunting. The standards will not apply to the PRIIA procurements but will be used as a comparison against them as they are underway to see if they work.
 

On December 3<sup>rd</sup>, Jeff Gordon, FRA, provided a status update on the AAR committee efforts:

A draft specification has been developed by the six subgroups assembled at the outset of the committee activities. The draft is "rough", as expected for a first draft, but the idea is to get the information assembled and work through it.

The plan was to have a working draft by the end of 2015, and, while it is not perfect, it is a milestone that has been reached.

The intent is to apply the standards to future equipment, not retroactive to the current equipment being manufactured (Bi-Level cars and Diesel-electric Locomotives).

However, as this equipment is introduced into service it can serve as a guinea pig for the standard to see how it would or could apply, and to determine just how good the standard is.

One of the key areas of concern is interoperability with regard to getting the new equipment from where it is manufactured to where it will be used, and what freight equipment will be used to get it there.

- GAO/NSEC project: A questionnaire was sent to key industry members of the technical working groups. Responses have been coming in and are appreciated. The next GAO update to the Technical subcommittee is due on 1-14-16.

During the month of January, 2016, the Technical subcommittee met twice, via conference calls on the 14th and 28th. Key decisions and action items for the month of January, 2016, included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. On October 8, 2015, Melissa Shurland, FRA, reported that she has learned that because the report was produced by an advisory committee, the Access Board is not bound by its recommendations and will probably not be making any statement about approving or disapproving the report. The next step is for the Access Board to review the report and then decide how to proceed. There is a backlog in rulemaking projects, and so it was not decided how and when to proceed with those recommendations. Melissa will keep the subcommittee apprised.
- Accessibility Working Group Update: Progress continues on the restroom drawings. On 12-17-15, Melissa Shurland reported that the Accessibility Working Group had a meeting during the week with participants from Amtrak, FRA, manufacturers and the Access Board, to review Oregon State University's (OSU) preliminary work on accessibility restrooms. Good feedback was received and OSU will go back and incorporate the comments received accordingly. Melissa will provide a status report at the NSEC Annual Meeting on 2-19-16.
- The PRIIA Dual Mode (DC 3<sup>rd</sup> Rail) Passenger Locomotive Technical Specification adoption: On January 28, 2016, Larry Salci reported that he had completed his review of the specification and the Review Panel met earlier on the 28<sup>th</sup> and approved the report and its recommendations. It has been submitted ( 1-29-16) to the Executive Board for its consideration on 2-2-16.
- Backgrounder educational document: The 2015 version of the "Backgrounder" remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive "Backgrounders".
- DEF Working Group: On 1-28-16, during the Technical subcommittee call, Jennifer Bastian, IDOT, provided the following, detailed, DEF working group update and noted that it precedes a PowerPoint presentation that will be given by IDOT (John Oimoen) at the NSEC Annual Meeting:

Presentation highlights:

Fuel and DEF needs estimated for the Mid-West routes have favorably compared to the fuel needs of the P42's currently in use – thus additional fueling locations should not be required. The comparison estimates were made with regard to both the Bi-level cars and the current cars in service.

Short and Long term plans for delivering of the fuel have been developed. Short term – delivery by trucks; long term - storage facilities.

Fuel filling points have been identified.

Meetings have been held with DEF suppliers on nozzle styles and availability.

Schedule highlights:

Service locations – July, 2016

Contract with Amtrak for DEF by the first quarter 2016.

Amtrak is looking at procurement of DEF – working with the suppliers on this.

Vendors to be in place by the 3<sup>rd</sup> quarter, 2016

Testing by the 4<sup>th</sup> quarter, 2016.

Next steps:

IDOT agreement with Amtrak so that Amtrak can secure the vendors.

Resolving short and long term needs.

The next meeting is scheduled for Monday 2-1-16.

- Diesel- Electric Locomotive procurement update as of 1-28-16 (provided by IDOT):

The invoice RI-149363C for the option order was paid on December 28<sup>th</sup>.

The invoice for milestone E (Invoice #10 for the base order), associated with FDR has been paid by IDOT, as well.

All of the vendor factory FAIs are complete. The remaining FAIs will take place at Siemens' factory in Sacramento.

The monthly QA review was held in Sacramento on January 13<sup>th</sup> in Sacramento. The next meeting will be scheduled for mid-February.

A planning meeting with Siemens, Amtrak, MARC and IDOT, for 125 mph testing on the NEC, was held on January 22, in Philadelphia.

The carbody compression and other structural tests are planned for next month (February 2016).

Rich Stegner will begin to send draft DCRs to Tammy Krause, within the next couple of weeks. The list re-capping the DCRs has been sent to Tammy. Camren Cordell will assist. Rich Stegner apologizes that this activity has not happened quicker.

Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.

The Diesel Exhaust Fluid (DEF) planning team is reviewing logistics for fueling locations. The next meeting is planned for 2/1/2016.

The locomotive weight was reported in December 2015, at 271,711 lbs (+/-), due to actual component weights coming in a bit better than expected. The contractor has verbally indicated that the weight report will reduce a few hundred pounds with the next report. The calculated P2 force is within specified limits. Weight is being closely monitored, each month."

- Bi-Level Car Procurement Update provided by Caltrans, as of 1-28-16:

There was a car shell update meeting held on 1-12-16 – the next update meeting will take place in the beginning of February.

The target for car shell re-design review meeting is May, 2016.

The project schedule remains under review – as of yet "it has not met our expectations". A new proposed schedule is expected to be submitted for consideration in mid-February.

A Bi-level report/presentation is planned for the NGEC Annual Meeting – 2-19-16 in Washington, DC.

- AAR Committee Update: The committee was formed to establish standards to address the new passenger equipment that will coming on line in the near future. The committee will develop a list of standards most of which are related to VTI and shunting. The standards will not apply to the PRIIA procurements but will be used as a comparison against them as they are underway to see if they work. Next update – 2-11-16
- GAO/NGEC project: Maria Wallace, GAO, provided an update on the GAO study to the Technical subcommittee on 1-14-16. She reported that the GAO team is continuing its review of FRA's

performance with regard to grant management, including the NGEC, and that they (GAO) are beginning to write a draft report, Maria anticipates a draft being sent to the agency for comment in an April timeframe.

Excerpts relating to the NGEC will be sent to Steve Hewitt for his review.

Next GAO update to the Technical subcommittee: 2-11-16.

During the month of February, 2016, the Technical subcommittee met once, via conference call on the 11. Key decisions and action items for the month of February, 2016, included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. Melissa will keep the Tech SC apprised as deliberations conclude. There is a backlog in rulemaking projects, and so it was not decided how and when to proceed with those recommendations. Anyone who would like the link to the RVAAC report should contact Melissa Shurland, at [Melissa.shurland@dot.gov](mailto:Melissa.shurland@dot.gov). On February 19, 2016, at the NGEC Annual Meeting, Melissa provided an update presentation to NGEC members. The presentation can be found on the NGEC website.
- Accessibility Working Group Update: Progress continues on the restroom drawings. On 12-17-15, Melissa Shurland reported that the Accessibility Working Group had a meeting during the week with participants from Amtrak, FRA, manufacturers and the Access Board, to review Oregon State University's (OSU) preliminary work on accessibility restrooms. Good feedback was received and OSU will go back and incorporate the comments received accordingly. Melissa Shurland provided a full status report at the NGEC Annual Meeting on 2-19-16. The presentation is available on the NGEC website.
- The PRIIA Dual Mode (DC 3<sup>rd</sup> Rail) Passenger Locomotive Technical Specification adoption: On January 28, 2016, Larry Salci reported that he had completed his review of the specification and the Review Panel met earlier on the 28<sup>th</sup> and approved the report and its recommendations. It was submitted (1-29-16) to the Executive Board for its consideration on 2-2-16. On that date, the Executive Board adopted the specification as the 6<sup>th</sup> PRIIA vehicle specification. On 2-19-16, at the Annual Meeting, the signature page was signed by Board Chairman Eric Curtit and Technical subcommittee chair Mario Bergeron. It is now being formatted by the NGEC technical writer for posting to the website (restricted access).
- Backgrounder educational document: The 2015 version of the "Backgrounder" remains available upon request. Please contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you want to receive "Backgrounders". A new educational "two-pager" has been developed by the Finance and Administrative subcommittee and should be approved in the near future by the NGEC executive Board. Once approved it will be available for NGEC members use.
- DEF Working Group: Progress continues to made, with ongoing updates provided to the Technical subcommittee bi-weekly. A formal status presentation was given by IDOT during the NGEC Annual Meeting on February 19, 2016. The presentation is available on the NGEC website.
- Diesel- Electric Locomotive procurement update as of 2-11-16 (provided by IDOT):
  - All open invoices for project milestones have been paid by IDOT.
  - Midwest states reached an agreement on a way to move forward with Amtrak on the operator agreement. John Oimoen and Mario Bergeron need to talk and then if Amtrak is in agreement with our path forward I can start meeting with Amtrak- lot to accomplish in the next 6-9 months.
  - JPEs are reviewing Siemens' revised schedule Rev I, which now indicates approx. 13 calendar day slip for the first 11 locomotives. The overall schedule for delivery of the last locomotive is still within the ARRA funding window. IDOT is monitoring schedule closely and a comprehensive schedule review meeting is planned at Siemens Factory by IDOT/Caltrans & WSDOT next week.
  - All of the vendor factory FAIs are complete. The remaining FAIs will take place at Siemens' factory in Sacramento.



- The first monthly QA review was held on February 10<sup>th</sup> at Siemens factory in Sacramento.
- The carbody compression and other structural tests will take place February 16, 17, & 25<sup>th</sup>
- DCR work with Camren Cordell will begin today and the first of the 15 DCRs will be sent to Tammy Krause as they are completed.
- Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cacovic is the facilitator.
- The locomotive weight was reported in January 2016, at 271,671 lbs (+/-), due to actual component weights coming in, the trend continues to be a bit better than expected. The calculated P2 force is within specified limits. Weight is being closely monitored, each month.

A presentation on the status of the Diesel-electric locomotive was provided by IDOT and Siemens industry during the NGEC Annual Meeting. The presentation can be found on the NGEC website.

- Bi-Level Car Procurement Update provided by Caltrans, as of 2-11-16:
- The most recent FAIs – windows – were fully approved.
- Work on refinement of the car shell model continues.
- The next car shell meeting has not yet been scheduled.
- With regard to the revised project schedule, Caltrans and IDOT have asked the manufacturer to provide more detail.
- The next project schedule revision is anticipated to be presented in March.
- A Quality Assurance readiness meeting is scheduled for March 3<sup>rd</sup>.

On 2-19-16, at the NGEC Annual Meeting, Bruce Roberts, Caltrans, provided a status update presentation. The presentation can be found on the NGEC website.

- GAO/NGEC project: Swati Deo, GAO, provided an update on the GAO study to the Technical subcommittee on 2-11-16. She reported that the GAO team has begun writing its draft report and it is anticipated that the draft will be sent to the agency for comment in an April, 2016 timeframe.

Excerpts relating to the NGEC will be sent to Steve Hewitt for his review.

Next GAO update to the Technical subcommittee: 3-10-16.

During the month of March, 2016, the Technical subcommittee met twice, via conference call on the 10<sup>th</sup> and 24<sup>th</sup>. Key decisions and action items for the month of March, 2016, included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. Melissa will keep the Tech SC apprised as deliberations conclude. There is a backlog in rulemaking projects, and so it was not decided how and when to proceed with those recommendations. Anyone who would like the link to the RVAAC report should contact Melissa Shurland, at [Melissa.shurland@dot.gov](mailto:Melissa.shurland@dot.gov). On February 19, 2016, at the NGEC Annual Meeting, Melissa provided an update presentation to NGEC members. The presentation can be found on the NGEC website.
- Accessibility Working Group Update: Progress continues on the restroom drawings. On 12-17-15, Melissa Shurland reported that the Accessibility Working Group had a meeting during the week with participants from Amtrak, FRA, manufacturers and the Access Board, to review Oregon State

University's (OSU) preliminary work on accessibility restrooms. Good feedback was received and OSU will go back and incorporate the comments received accordingly. Melissa Shurland provided a full status report at the NGEC Annual Meeting on 2-19-16. The presentation is available on the NGEC website.

- The PRIIA Dual Mode (DC 3<sup>rd</sup> Rail) Passenger Locomotive Technical Specification adoption: It has been formatted by the NGEC technical writer in final form and is posted on the website (restricted access).
- Backgrounder educational document: A new educational "two pager" has been developed by the Finance and Administrative subcommittee and is being considered by the NGEC Executive Board. Once approved it will be available for NGEC members use.
- DEF Working Group: The group is working with Amtrak to answer questions on the process. The environmental review is currently with Amtrak and is ongoing and the agreement with Amtrak and IDOT is getting finalized. The next DEF working group meeting was scheduled for Thursday 3-31-16.
- Diesel- Electric Locomotive procurement update as of 3-24-16 (provided by IDOT):
- All previous invoices for project milestones have been paid by IDOT. New invoice for Change Order #5 (Grab Handles) is being processed by IDOT.

JPEs are reviewing Siemens' revised schedule, which now indicates a 2 to 3-week schedule slip for the first 11 locomotives. The overall schedule for delivery of the last locomotive is still within the ARRA funding window. IDOT is monitoring schedule closely with weekly meetings with Siemens focused on schedule.

- All of the supplier's factory FAIs are complete. The remaining FAIs will take place at Siemens' factory in Sacramento. At the time when the locomotive-complete FAI is scheduled in early June, it is planned that the FRA sample car inspection can also take place.
- The next monthly QA review is planned for April 13<sup>th</sup> at Siemens factory in Sacramento.
- All carbody compression and structural tests have been successfully completed and the tested carbody is now in paint prep.
- The first two of 15 DCRs have been sent to Tammy Krause. Our plan is to submit between two (2 ea.) and four (4 ea.) DCRs per week to finish the process. The Diesel Electric DCRs are tracking parallel to the edits for the Dual Mode Locomotive Specification.
- The test plan for 125 mph testing on the North East Corridor is being prepared and will be submitted to FRA by MARC, with IDOT/JPE will send letter of concurrence.
- Each JPE has had kick-off meetings with Siemens and Amtrak for commissioning of the locomotives, as working out details for pre-revenue test plans.
- Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.
- Please refer to Jennifer Bastian's report the Diesel Exhaust Fluid (DEF) planning team.
- The locomotive weight was reported in February 2016, at 271,924 lbs (+/-). Based on actual component weights, the locomotive weight has varied little in the last six months. The calculated P2 force is within specified limits. Weight is being closely monitored, each month.
- Bi-Level Car Procurement Update provided by Caltrans, as of 3-24-16:

One FAI is scheduled for 4- 7/8 - 16 in Rochelle, Illinois.

The manufacturer has made some progress on the car shell re-design.

The next web update meeting on the car shell re-design will take place on 4-4-16.

The next face to face meeting may take place in Sacramento, CA on 4-25-16.

The next version of the revised production schedule is anticipated for mid-April.

The next QA and maintenance readiness meeting will take place in Rochelle, Illinois on 4-7-16.

- GAO/NSEC project: Swati Deo, GAO, provided an update on the GAO study to the Technical subcommittee on 3-10-16. She reported that the GAO team continues to write its draft report, and it is anticipated that the draft will be sent to the agencies for comment in an April, 2016 timeframe. The next GAO update to the Technical subcommittee is scheduled for 4-7-16.

During the month of April, 2016, the Technical subcommittee met twice, via conference call on the 7<sup>th</sup> and 21<sup>st</sup>. Key decisions and action item updates from the month of April, 2016, included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. On February 19, 2016, at the NSEC Annual Meeting, Melissa Shurland, FRA, provided an update presentation to NSEC members. The presentation can be found on the NSEC website. Melissa will continue to keep the Technical subcommittee apprised of the Access Board's progress on its review of the report.
- Accessibility Working Group Update: As of 4-21-16, work was progressing and outreach had been made to the FRA Office of Safety with regard to containment and possible testing. An AWG meeting will be arranged in the near future to discuss this and other issues.
- Backgrounder educational document: A new educational "two pager" has been developed by the Finance and Administrative subcommittee and is has been approved, pending final review, by the NSEC Executive Board. Once finalized, it will be made available for NSEC members use.
- DEF Working Group: The last meeting reported on in April (18<sup>th</sup>) the working group went over training information related to the environmental team – provided by Siemens. Additional information needed has been identified and will be brought forth and discussed during the next meeting.
- Diesel- Electric Locomotive procurement update as of 4-21-16 (provided by IDOT):
  - All previous invoices for project milestones have been paid by IDOT. New invoices for Change Order #5 (Grab Handles) and Change Order #20 (Layer 3 Switch for XITCS) are being processed by IDOT.
  - JPEs received Siemens' revised schedule and conduct weekly conference calls. Although some delay for the first 11 locomotives and a 6-day delay for the balance of the production, the overall schedule for delivery of the last locomotive is still within the ARRA funding window.
  - All of the supplier's factory FAIs are complete. The remaining FAIs will take place at Siemens' factory in Sacramento. At the time when the locomotive-complete FAI is scheduled in early June, it is planned that the FRA sample car inspection can also take place.
  - The monthly QA review was held on April 13<sup>th</sup> at Siemens factory in Sacramento. The meeting in May is planned for 5/11.
  - The diesel engine for locomotive #1 was started 4/18 and functional tests for locomotive sub-systems for unit #1 continue. JPE subject matter experts are witnessing the tests.
  - The first six of 15 DCRs have been sent to Tammy Krause. We target to submit six more DCRs early next week. The Diesel Electric DCRs are tracking parallel to the edits for the Dual Mode Locomotive Specification.
  - The test plan for 125 mph testing on the North East Corridor was submitted to FRA by MARC. IDOT/JPE will send letter of concurrence.

- Each JPE are working details for commissioning of the locomotives, and working out details for pre-revenue test plans.
  - Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.
  - There next Diesel Exhaust Fluid (DEF) planning team meeting will be May 2nd.
  - The locomotive weight was reported in February 2016, at 271,924 lbs (+/-). Based on actual component weights, the locomotive weight has varied little in the last six months. The calculated P2 force is within specified limits. Weight is being closely monitored, each month and we expect the up-date for March, this week.
- Update: Bi-Level Car Procurement – On 4-21-16 the following update on the Bi-Level car procurement was provided by Caltrans::
- FAIs – Truck FAI was conducted on April 7 & 8. There are some open items remaining, so a follow up FAI will be conducted soon. Manual Door FAI is scheduled for May 24.
- Carshell –NS is making progress in analysis on the countermeasures' effectiveness. They are building Mock-Ups of some portions of the Side Panel. This is a trial build of a modified Side Panel so that they can confirm the manufacturability, actual appearance and effects of heat by additional welding, etc. Results will be fed back to the final design presented to the customer team for approval. Next update meeting is scheduled on April 27 in Sacramento (face to face).
- Schedule –A brief schedule meeting held in Rochelle, IL on 4/7, and Caltrans/IDOT explained our expectations. To help expedite some of the redesign effort, we continue to hold ongoing meetings with NS via GoToMeetings as well as face to face meetings.
- Misc. – Both Caltrans/IDOT exterior design have been submitted to NS; various project plans, such as engineering plan, configuration management plan, and QA plan are being audited for its accuracy and implementation by Caltrans/IDOT team; draft manuals of various components have been submitted to Caltrans/IDOT for our subject matter experts' review.
- GAO/NGEC project: As of 4-26-16, the DRAFT GAO report has been submitted to FRA and Amtrak for review and comment. The next update to the Technical subcommittee will take place on 5-5-16.
  - Document Control Update- As of 4-21-16:
- Tammy Kreuse, Amtrak reported that she was sending to send Steve Hewitt a summary chart with all the DCRs for the Bi-level specification. Steve, then distributed it to all members of the technical subcommittee. Comments are due to Tammy in advance of the 5-5-16 Technical subcommittee call. A discussion, and possible vote on the summary of changes will take place during the 5-5-16 call.

During the month of May 2016, the Technical subcommittee met twice, once via conference call on the 19th. Key decisions and action item updates from the month of May 2016, included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. On February 19, 2016, at the NGEC Annual Meeting, Melissa Shurland, FRA, provided an update presentation to NGEC members. The presentation can be found on the NGEC website. Melissa will continue to keep the Technical subcommittee apprised of the Access Board's progress on its review of the report.
- Accessibility Working Group Update: As of 5-19-16: Melissa Shurland, FRA, reported that she is working with Amtrak on finalizing the layouts and anticipates having an AWG web-conference call in early June.

- Backgrounder educational document: A new educational “two pager” has been developed by the Finance and Administrative subcommittee and has been approved, pending final review, by the NGECE Executive Board. Once finalized, it will be made available for NGECE members use.
- DEF Working Group: Progress continues and regular bi-weekly updates are provided to the subcommittee. The next call will take place on 6-13-16.
- Diesel- Electric Locomotive procurement update as of 5-19-16 (provided by IDOT):
  - All previous invoices for project milestones have been paid by IDOT. New invoices for Change Order #5 (Grab Handles) and Change Order #20 (Layer 3 Switch for XITCS) are being processed by IDOT.
  - JPEs received Siemens’ revised schedule and conduct weekly conference calls. Although some delay for the first 11 locomotives and a 6-day delay for the balance of the production, the overall schedule for delivery of the last locomotive is still within the ARRA funding window.
  - All of the supplier’s factory FAls are complete. The remaining FAls will take place at Siemens’ factory in Sacramento. Final FAls are scheduled for June 7-9. The FRA sample car inspection will also take place on June 8.
  - The monthly QA review was held on May 11<sup>th</sup> at Siemens factory in Sacramento. The meeting in June will be deferred for the final FAI for the locomotive and resumed in July.
  - The Tier-4 Certificate has been received by Siemens/Cummins for the diesel engine. Load testing for the engine continues this week at Siemens factory.
  - Testing for locomotive #1 and functional tests for locomotive sub-systems for unit #1 continue. JPE subject matter experts are witnessing the tests.
  - IDOT is adding additional in-plant QA inspectors to cover inspections for our option locomotives.
  - All fifteen (15 ea.) DCRs have been sent to Tammy Krause.
  - The test plan for 125 mph testing on the North East Corridor was submitted to FRA by MARC.
  - Each JPE are working out details for pre-revenue test plans.
  - Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR’s David Cackovic is the facilitator.
  - The next Diesel Exhaust Fluid (DEF) planning team meeting will be June 13<sup>th</sup>.
  - The locomotive weight was reported in March 2016, at 271,950 lbs (+/-). Based on actual component weights, the locomotive weight has varied little in the last six months. The calculated P2 force is within specified limits. Weight is being closely monitored, each month and we expect the up-date for April, this week.
- Update: Bi-Level Car Procurement – On 5-19-16 the following update on the Bi-Level car procurement was provided by Caltrans:
  - FAls – Pre FAI for Manual Door was conducted on May 3. It was successful, so the official FAI will take place on May 24, next Tuesday.
  - Carshell –NS is making progress in Carshell re-design. The sidewall Mock-Up specimen is now complete. Caltrans resident inspector inspected the specimen and reported that everything looks good. We will receive a formal report from NS on this mock-up soon. (This was a trial build of a modified Side Panel so that they can confirm the manufacturability, actual appearance and effects of heat by additional welding, etc.) Next Carshell update meeting is scheduled in the week of June 6 via web conference.
  - Testing –We are in the middle of the endurance test for the door cycle count. I receive weekly updates from our Subject Matter Expert reported and so far there has been no issue. The completion of this test will be end of July. (For this week’s report, the cycle count is at 235,296 out of 500,000 and no issue.)
  - Misc. – Draft manual for battery has been submitted. Caltrans distributed the draft to our local partners at Amtrak and JPAs for their review and comments.
- GAO/NGEC project: On May 26, 2016, the GAO released its report to: Rail Grant Oversight: Greater Adherence to Leading Practices Needed to Improve Grants Management. On that day, Steve Hewitt

distributed the link to members of the Executive Board and followed up with a distribution on May 27<sup>th</sup> to the members of the Technical subcommittee.

The following link should be used to obtain the product.

<http://www.gao.gov/products/GAO-16-544> on the FRA's Grant Oversight.

- Review of the Bi-Level Car Specification C.4 proposed changes: On May 24, 2016, the Board approved a motion to reconvene the Bi-Level Car Specification Review Panel and to ask that Larry Salci begin a technical review of the Summary of Changes.
- AAR Committee: The committee is being reactivated and two of the 7 sub-groups (VTI and Interoperability) will be meeting on 5-27-16 on a 3-hour call. The next update: 6-16-16.

During the month of June 2016, the Technical subcommittee met twice, once via conference call on the 16<sup>th</sup> and 30<sup>th</sup>. Key decisions and action item updates from the month of June 2016, included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. On February 19, 2016, at the NGEAC Annual Meeting, Melissa Shurland, FRA, provided an update presentation to NGEAC members. The presentation can be found on the NGEAC website. Melissa will continue to keep the Technical subcommittee apprised of the Access Board's progress on its review of the report. Nothing new was reported on this item in June, 2016.
- Accessibility Working Group Update: As of 5-19-16: Melissa Shurland, FRA, reported that she is working with Amtrak on finalizing the layouts and anticipates having an AWG web-conference call in early June. Nothing new was reported on this item in June, 2016.
- Backgrounder educational document: The Executive Board is currently finalizing a new "two-pager" education and outreach document. Once approved, it will be printed by AASHTO and made available to all members.
- DEF Working Group: Progress continues and regular bi-weekly updates are provided to the subcommittee. The next call will take place on 6-13-16.
- Diesel- Electric Locomotive procurement update as of 6-30-16 (provided by IDOT):
  - JPEs received Siemens' revised schedule and conduct weekly conference calls. Siemens has been requested to provide a recovery plan for slips in the delivery schedule of the WSDOT and IDOT locomotives. The overall schedule for delivery of the last locomotive is still within the ARRA funding window.
  - All of the supplier's factory FAIs are complete. The remaining FAIs were conducted June 7-9 at Siemens' factory. The FAI for the first complete locomotive is complete with follow-up action items. The FRA sample car inspection was also conducted, with a few labeling items for correction and one step rung to adjust.
  - The first two pilot locomotives are being shipped to TTCI by Amtrak.
  - The next QA meeting will be July 6.
  - The Tier-4 Certificate has been received by Siemens/Cummins for the diesel engine. Load testing for the engine continues for each locomotive, at Siemens factory.
  - IDOT has added a third in-plant QA inspector to cover inspections for our option locomotives.
  - All fifteen (15 ea.) DCRs have been sent to Tammy Krause, for processing by NGEAC. The locomotive working group is being re-established for do the reviews.
  - The test plan for 125 mph testing on the North East Corridor was approved by FRA, as submitted by (Maryland MARC Train Service) MARC. MARC/Amtrak need to process the test agreement.
  - Each JPE are working out details for pre-revenue test plans, with Amtrak.
  - Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance. AAR's David Cackovic is the facilitator.
  - The locomotive weight was reported in May 2016, at 271,500 lbs (+/-). Based on actual component weights, the locomotive weight has varied little in the last six months. The calculated

P2 force is within specified limits. We are advised that the first scale-weight for a completed locomotive is trending less than the calculated weight. We will likely have the actual weight in the next few weeks, however things still look good.

- Update: Bi-Level Car Procurement – On 6-30-16 the following update on the Bi-Level car procurement was provided by Caltrans:
- FAIs –The next upcoming FAI is the follow up FAI for Truck Assembly on July 12. We are reviewing the drawings and getting ready for the FAI.
  - Carshell –Nippon Sharyo is making progress in Carshell re-design. Monthly meetings are being held to keep track of their progress. We have completed the review and approval of stress analysis and test plan, CEM collision and Survivability Plan, and are making progress in the review of Finite Element Model Analysis and Primary Energy Absorber Test Procedures.
  - Testing –The seat dynamic test is scheduled for today and tomorrow. As for the Side door endurance test, as of last week, The Endurance rig is now cycling at 86Vdc. Cycling is good. Cycling count is at 316,862 cycles. No issues have been reported since restarting the test.
  - Misc. – Program Management Audit, QA and Manufacturing Readiness Meetings are scheduled for July 13 & 14 in Rochelle.
- Review of the Bi-Level Car Specification C.4 proposed changes: The Review Panel has been re-convened. Larry Salci is completing his review and preparing a report with recommendations for the Panel to consider. Once the Panel has met and approved the report with recommendations, it will be submitted to the Executive Board for its consideration.
- AAR Committee: The committee has been reactivated and three of the 7 sub-groups (Loss of Shunt, VTI and Interoperability) met on 5-27-16 for a 3-hour call. Brief details are described in the minutes of today's call. The next update to the Technical subcommittee is due: 7-14-16.
- Technical working groups Review/Update of the three PRIIA Single Level Specifications (car, trainsets, DMUs): On 6-16-16 Mario Bergeron directed the technical working groups to organize to begin a review/update of the aforementioned specifications once the Bi-Level Car Specification Revision C.4 has been formally adopted. The working groups will review the Bi-Level changes as applicable to the single level specs and also look at other proposed DCRs for inclusion in updated specification revisions.

As of 6-30-16, Tammy Krause has reached out to working group team leaders to re-affirm their continued interest in staying on as team leaders. All have agreed to stay on.

The team leaders will do outreach to the members of their respective working groups to ascertain their continued involvement.

Tammy Krause has prepared a description of the technical working groups and an invitation to all technical subcommittee members and industry participants to join the teams. Steve Hewitt has disseminated the description and invite to all members of the Technical subcommittee and industry participants encouraging their involvement.

- Updating ECP Standards: This is an ongoing action item which the Technical subcommittee is tracking – it is anticipated that status updates will take place once a month.

On 6-30-16, during the Technical subcommittee conference call, Paul Jamieson, SNC-Lavalin, walked through a status update presentation previously given during the APTA conference on 6-20-16. The presentation is available upon request (contact Steve Hewitt)

During the month of July, 2016, the Technical subcommittee met twice, via conference call on the 14<sup>th</sup> and 28<sup>th</sup>. Key decisions and action item updates from the month of July 2016, included:

- RVAAC: RVAAC presented its recommendations for improved access on rail vehicles to the Access Board on July 29, 2015. On February 19, 2016, at the NGEC Annual Meeting, Melissa Shurland,

FRA, provided an update presentation to NGEAC members. The presentation can be found on the NGEAC website. Melissa will continue to keep the Technical subcommittee apprised of the Access Board's progress on its review of the report. Nothing new was reported on this item in July, 2016.

- Accessibility Working Group Update: On 7-28 -16: Melissa Shurland, FRA, was to provide a report on the 7-20-16 AWG meeting and the status of the working group's activities. On that date Melissa was unavailable so the report has been tabled until the next call – 8-11-16.
- Backgrounder educational document: As noted in the Executive Board section of this report, the “two-pager” education and outreach document is waiting to receive two photos of the new Charger locomotive to include in the document. This is anticipated to happen in mid-August. Once approved, it will be printed by AASHTO and made available to all members.
- DEF Working Group: The DEF working group has made great progress and has agreed that going forward it will hold meetings on an as needed basis.
- Diesel- Electric Locomotive procurement update as of 7-28-16 (provided by IDOT):
  - JPEs continue to receive Siemens' weekly revised schedule and conduct weekly conference calls. The main basis for revised weekly schedules reflects on-going testing up-dates.
  - The first two pilot locomotives were being at TTCI for vehicle/track dynamic interaction. The tests are concluded with successful results.
  - The locomotives were also tested for AAR Chapter XI track interaction protocol. The tests are concluded with successful results.
  - JPEs hope for Siemens to test PTC, while at Pueblo. Legal issues for one-day use of the Data Radio and the communications software (the “Image”) continue to be a difficulty. Assistance from Amtrak is needed to facilitate use of the “Image” for this one-day test in Pueblo.
  - The four MARC cars have arrived at TTCI for locomotive propulsion tests. Initial tests up to 130 mph have been successfully completed.
  - The monthly QA meeting was held July 6 at Siemens factory. The next meeting is scheduled for August 10.
  - All fifteen (15 ea.) DCRs will be processed by the re-established locomotive working group. Rich Stegner will distribute to the locomotive sub-team leaders this week.
  - The test plan for 125 mph testing on the North East Corridor was approved by FRA, as submitted by (Maryland MARC Train Service) MARC. MARC/Amtrak are reported processing the test agreement.
  - Siemens targets shipping locomotive #4 to Baltimore, next Friday 8/5.
  - Each JPE are working out details for pre-revenue test plans, with Amtrak.
  - Follow up Technical Advisory Groups (TAG) continue working on an on-going basis for the action items from the AAR Standard vehicle qualification testing and acceptance.
  - The locomotive weight was reported in June 2016, at 270,725 lbs (+/-). Based on actual component weights, the locomotive weight has varied little in the last six months. The calculated P2 force is within specified limits.
- Update: Bi-Level Car Procurement – On 7-28-16 the following update on the Bi-Level car procurement was provided by Caltrans:
  - FAIs –Truck Assembly FAI took place on July 12 in Rochelle. Our Subject Matter Expert reported that it was an excellent FAI with no open issues. The upcoming FAIs are for passenger seat and table, food service cars and ATR/UTR in fall 2016.
  - Carshell –We continue to have regular updates from NS to review the progress of the design issues and the schedule for the design activities. The last update meeting was July 25, Monday. Carshell design activities are now proceeding in accordance with the schedule requirements of the supplemental design review in 2017. A number of design refinements have been incorporated into the structure and the Method 2C model has been created. All load cases have been run on this model and the analysis of the results is underway. Any further refinements will be added to Method 2D, which is the final standard model. Briefings were provided on a number of the design updates such as material changes, plate thickness increases and additional webs.



- Testing –The seat/table dynamic tests took place on June 30 & July 1. While some tests were successfully completed, there are still a few open items that need to be discussed and worked out between Caltrans, NS, and Kustom Seating. We are hoping to resolve all issues by fall. We will schedule seat and table FAI after all issues have been closed.
- Misc. – Program Management Plan Audit took place on July 13. Nippon Sharyo (NS) was well prepared. We spent a lot of time on risk management. We were able to close about half the audit items based on the evidence that NS presented during the audit. NS agreed to revise the plan by the end of August to close the rest of the open items. The QA meeting, which took place on July 14, also went well. NS was the most prepared that they have ever been. Overall, they have made good progress since our last meeting, and were able to present quite a bit of quality data from the pilot car build. The next QA date was set for October 6. At that time, we will do another CDRL Element Audit. Our Quality system records audit went well with a minimal number of minor findings.
- Review of the Bi-Level Car Specification C.4 proposed changes: The Review Panel has completed its work and has submitted its report along with a recommendation to adopt Revision C.4 to the NGECE Executive Board. The Board will consider adoption on 8-2-16.
- AAR Committee: The committee is making progress within the 6 sections or subgroups with about 90% draft completion. In particular, the VTI group has two key outstanding issues yet to be resolved. Once resolved the first draft will be ready for public review. Next update: 8-11-16.
- Technical working groups Review/Update of the three PRIIA Single Level Specifications (car, trainsets, DMUs): On 6-16-16 Mario Bergeron directed the technical working groups to organize to begin a review/update of the aforementioned specifications once the Bi-Level Car Specification Revision C.4 has been formally adopted. The working groups will review the Bi-Level changes as applicable to the single level specs and also look at other proposed DCRs for inclusion in updated specification revisions.

As of 7-28-16, Tammy Krause has reached out to working group team leaders to re-affirm their continued interest in staying on as team leaders. All leaders have agreed to stay on, and the team leaders have outreached to the members of their respective working groups to ascertain their continued involvement.

Tammy Krause has also prepared a description of the technical working groups and an invitation to all technical subcommittee members and industry participants to join the teams. Steve Hewitt has disseminated the description and invite to all members of the Technical subcommittee and industry participants encouraging their involvement. Thus far 7 industry members have contacted Tammy expressing interest in participating on one or more working groups. Once team leaders have compiled the list of members, Tammy will include the additional members and disseminate the list for each working group to Steve Hewitt for distribution.

- Updating ECP Standards: This is an ongoing action item which the Technical subcommittee is tracking – it is anticipated that status updates will take place once a month.
- On 7-14-16, Paul Jamieson provided the following update:
  - The testing schedule has been delayed due to issues identified during the internal testing between NYAB and Wabtec. The new dates, subject to equipment and track availability, are as follows:
    - Training materials review – July 21
    - Amtrak Training - TBD
    - Interoperability Test – September 27 and 28
    - Static Train Test – Week of October 17
    - Dynamic Train Test – Week of October 23
    - Train will be returned to emulation service immediately following the dynamic test
    - ECP Revenue Service Release – Anticipated Week of November 29 pending FRA approval
  - The total delay is approximately 6 weeks from the previous schedule.

During the month of August, 2016, the Technical subcommittee met twice, via conference call on the 11th and 25th. Key decisions and action item updates from the month of August, 2016, included:

- Accessibility Working Group Update: On July 20<sup>th</sup>, the AWG met to discuss the draft final review of the accessible seating and restroom layouts. The feedback received were net positive. The next step is for Oregon State University to finalize the draft report for submittal to the TSC for review and comments.

OSU reached out to service providers in Alaska and Canada that operate rail equipment with "elevators". This was in response to some of the recommendations currently in the RVAAC report for elevators to move passengers to upper level. They were able to get feedback on the systems. Take aways from those discussions are below and will be in the report. (see above)

Members were asked to review this information and relay any questions or comments to Steve Hewitt who will forward them to Melissa Shurland.

On 8-25-16, Melissa Shurland reported that she had not received any comments and Steve Hewitt reported he had not received any either. Once Melissa gets the report she will send it to Steve Hewitt for dissemination to the full Technical subcommittee.

- Backgrounder educational document: As noted in the Executive Board section of this report, Siemens has provided new pictures of the Charger which were taken in August. MO Dot has included them in a revised draft. Steve Hewitt will transmit the latest version to all Board members in hopes of getting approval on the next call – 9-13-16.
- Diesel- Electric Locomotive procurement update as of 8-25-16 (provided by IDOT): See Executive Board report above.
- Update: Bi-Level Car Procurement – On 8-25-16 the following update on the Bi-Level car procurement was provided by Caltrans: See Executive Board report above.
- AAR Committee: Progress has been made on the most outstanding issues remaining to be resolved – those having to do with VTI - especially with regard to whether or not the requirements in AAR Chapter 11 will be applicable to passenger rail.

Brian Marquis, Volpe and Nick Wilson, for AAR, are the leads on this issue. They met in Pueblo this past week, and pending a report back to the AAR committee lead – Dave Calcovic – a meeting will be called to discuss their recommendations.

Next Update: 9-22-16.

- Technical working groups Review/Update of the three PRIIA Single Level Specifications (car, trainsets, DMUs):

Tammy Krause has compiled the new lists for the Electrical Group and Digital Trainline Group. She has sent the new Interior group members to team leader Andrew Wood, and will be sending the remaining new members to the other groups this week.

All Working Group leaders are asked to provide a list of their members to Tammy Krause and Steve Hewitt for their files and for posting to the website.

- Updating ECP Standards: This is an ongoing action item which the Technical subcommittee is tracking – it is anticipated that status updates will take place once a month.
- Document Control Update: C.4 version of the Bi-Level Specification was approved by the Executive Board on 8-2-16. As soon as Tammy gets the cover sheets signed and the revision history updated, it will be sent to the website.

The document change requests for the Diesel-electric locomotive have been sent to the proper sub groups by Richard Stegner for approval.

During the month of September, 2016, the Technical subcommittee met twice, via conference call on the 8th and 22nd. Key decisions and action item updates from the month of September, 2016, included:

- Accessibility Working Group Update: On July 20<sup>th</sup>, the AWG met to discuss the draft final review of the accessible seating and restroom layouts. The feedback received were net positive. The next step is for Oregon State University to finalize the draft report for submittal to the TSC for review and comments.

OSU reached out to service providers in Alaska and Canada that operate rail equipment with "elevators". This was in response to some of the recommendations currently in the RVAAC report for elevators to move passengers to upper level. They were able to get feedback on the systems. Take aways from those discussions are below and will be in the report. (see above)

Members were asked to review this information and relay any questions or comments to Steve Hewitt who will forward them to Melissa Shurland.

Status as of 9-22-16: The final report is still being worked on. It will be shared with the Technical subcommittee as soon as it is completed.

- Backgrounder educational document: As noted in the Executive Board section of this report, on 9-20-16 the Executive Board approved the two-page education and outreach document with the changes previously agreed to and the inclusion of the new pictures of the Charger locomotive submitted by Siemens. Chairman Curtit will have the MODOT graphics arts staff finalize the document and get it out to Steve Hewitt as soon as it is ready. On 9-27-16, Bruce Roberts, Caltrans, agreed to provide new renderings of the Bi-Level coach cars for inclusion in the two pager.
- Diesel- Electric Locomotive procurement update as of 9-20-16 (provided by IDOT): See Executive Board report above.
- Update: Bi-Level Car Procurement – On 9-20-16 the following update on the Bi-Level car procurement was provided by Caltrans: See Executive Board report above.
- AAR Committee: AAR is compiling the completed items, with the exception of the VTI section, and will circulate them for review among the committee members.

Next Update: 10-20-16.

- Technical working groups Review/Update of the three PRIIA Single Level Specifications (cars, trainsets, DMUs):

Tammy Krause has compiled the new lists for the Electrical Group and Digital Trainline Group. She has sent the new Interior group members to team leader Andrew Wood, and will be sending the remaining new members to the other groups this week.

All Working Group leaders are asked to provide a list of their members to Tammy Krause and Steve Hewitt for their files and for posting to the website. (ongoing)

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call.

On 9-22-16 Paul Jamieson provided the following update for inclusion in today's minutes:

- The interoperability test will be conducted on September 27<sup>th</sup> and 28<sup>th</sup> at NYAB – Watertown, NY. The test will demonstrate that the head end controls and car controls will operate together in a mixed train.
- The draft interoperability test standard was distributed to the test committee for review and usage during the test.
- Training materials required for Amtrak operating and maintenance personnel will have a final review on September 29<sup>th</sup>.
- A test committee update meeting will occur on September 29<sup>th</sup>.

- Modification of the cab car, coach car and locomotive are progressing to meet the October/November static and dynamic train test.
- Document Control Update: Document control is in the process of compiling the C4 version of the Bi-level spec and it is signed. It was expected to be finished and available the week of 9-26-16. Tammy Krause will inform Steve Hewitt when it is finalized and he will inform Technical subcommittee members.

Tammy is starting to create the Document Change Requests for the next revision of the Single level specification based upon the applicable changes from the Bi-level specification.

- TRB invite to the NGEC Technical subcommittee to participate on a panel session at the TRB Annual Meeting:

The Executive Board, on 9-20-16, agreed this would be a good opportunity and asked Jack Madden to work with Technical subcommittee chair Mario Bergeron to determine who would be the appropriate subcommittee representative to participate on the panel session. On 9-22-16, Dale Engelhardt stated that a decision on who will represent the subcommittee on the panel at TRB is yet to be decided, but it will likely be himself or Tammy Krause.

- Siemens/All Aboard Florida NGEC specification use – feedback/presentation: On 9-8-16, Mario Bergeron had asked Steve Hewitt to extend an invitation to Paul Winkler, Siemens Industries, to participate on the next subcommittee call (9-22-16) to give the presentation on All Aboard Florida/Siemens' feedback on the NGEC specifications provided recently to the Interiors working group of the Technical subcommittee.

This presentation was ultimately planned for 10-6-16. Mr. Ray Ginnell was to make the presentation.

During the month of October, 2016, the Technical subcommittee met once, via conference call, on the 6th. Key decisions and action item updates from the month of October, 2016, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call.

On 10-6-16, Paul Jamieson provided the following update:

#### ECP Project Report

Interoperability testing was conducted on September 27<sup>th</sup> and 28<sup>th</sup> at New York Air Brake – Watertown, NY. Some action items were identified and will be completed by October 24<sup>th</sup>. The test committee met via teleconference on September 29<sup>th</sup> and agreed that the interoperability test was successfully completed and the project will move forward to the static/dynamic train tests which will be conducted on Amtrak NEC.

Training materials for Amtrak operations and maintenance personnel were reviewed on September 29<sup>th</sup>. The documents were provided to Amtrak so that training can be conducted. Some additional information was identified such as photographs of the final equipment installation which will be added to the training materials. Training must be completed prior to the ECP train entering revenue service.

Loco modification to install the ECP hardware and software was started on October 3<sup>rd</sup>.

Static and dynamic testing schedule will be reported during future meetings.

- Backgrounder educational document: The Executive Board has approved the document for printing. An electronic version was sent to all NGEC Technical subcommittee members on 10-28-16. Hard copies will be available through Steve Hewitt by request.
- Diesel- Electric Locomotive procurement - On 10-25-16 an update on the Diesel-electric locomotive procurement was provided by IDOT: See Executive Board report above.

- Update: Bi-Level Car Procurement – On 10-25-16 an update on the Bi-Level car procurement was provided by Caltrans: See Executive Board report above.
- AAR Committee: AAR is compiling the completed items, with the exception of the VTI section, and will circulate them for review among the committee members.

Next Update: 11-3-16.

- Technical working groups Review/Update of the three PRIIA Single Level Specifications (cars, trainsets, DMUs):

Tammy Krause has compiled the new lists for the Electrical Group and Digital Trainline Group. She has sent the new Interior group members to team leader Andrew Wood, and will be sending the remaining new members to the other groups this week.

All Working Group leaders are asked to provide a list of their members to Tammy Krause and Steve Hewitt for their files and for posting to the website. (ongoing)

- Document Control Update: The Revision C4 version of the Bi-level specification has been completed and is available upon request using the specification request procedures as noted on the NGECC website.

Tammy Krause, Revision Control Coordinator (RCC) for the NGECC has begun to create the Document Change Requests (DCRs) for the next revision of the Single level specification based upon the applicable changes from the Bi-level specification.

- TRB invite to the NGECC Technical subcommittee to participate on a panel session at the TRB Annual Meeting:

The Executive Board, on 9-20-16, agreed this would be a good opportunity and asked Jack Madden to work with Technical subcommittee chair Mario Bergeron to determine who would be the appropriate subcommittee representative to participate on the panel session. On 10-6-16, Technical subcommittee Chairman, Mario Bergeron, requested that Jack Madden inquire of TRB the date for the presentation so that schedules can be confirmed and a Technical subcommittee representative can be named.

- Siemens/All Aboard Florida NGECC specification use – feedback/presentation: On 10-6-16 a presentation on the “Brightline Passenger Coaches and PRIIA-Specification” was provided to Technical subcommittee members by Ray Ginnell, Siemens.

Follow up action items:

Mr. Ginnell will provide the subcommittee with the actual weight of the cars once they have been weighed.

Steve Hewitt will work with Tammy Krause to determine how she wishes to proceed with having the technical working groups review and provide feedback on the Brightline presentation and potential improvements that could be made to the PRIIA specifications based on the All Aboard Experience.

During the month of November, 2016, the Technical subcommittee met twice, via conference call, on the 3<sup>rd</sup> and the 17<sup>th</sup>. Key decisions and action item updates from the month of November, 2016, included:

- Updating ECP Standards: This is an item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call. (ongoing)

On 11-17-16, Paul Jamieson provided the following update:

Cab car, coaches and locomotive were successfully commissioned. Static train was completed on November 1<sup>st</sup>. Dynamic train testing was completed Sunday, November 6<sup>th</sup>. The working group is preparing the necessary reports which will be provided to the FRA with the request to grant the

waiver for revenue service. The train is scheduled to enter revenue service by late January 2017. The working group will then proceed to finalize the APTA PRESS standards."

- Backgrounder educational document: The Executive Board has approved the document for printing. An electronic version was sent to all NGEC Technical subcommittee members on 10-28-16. AASHTO is currently preparing printed copies which will be available through Steve Hewitt by request.
- Diesel- Electric Locomotive procurement - On 11-8-16 an update on the Diesel-electric locomotive procurement was provided by IDOT: See Executive Board report above.
- Update: Bi-Level Car Procurement – On 11-8-16 an update on the Bi-Level car procurement was provided by Caltrans: See Executive Board report above.
- AAR Committee: As of 11-3-16, Jeff Gordon, FRA, reported:

AAR is compiling the completed items - all sections are complete except for VTI.

Brian Marquis, Volpe, and Nick Wilson, TTCI, (for AAR) are leading the VTI effort. Brian has produced a prototype MCAT software approach for consideration for lower track classes (3,4,5 inches). He (Brian) and Nick will be meeting to discuss the prototype and its potential applicability on 11-14-16. Jeff believes this is a logical approach.

At Chairman Bergeron's request, Jeff Gordon agreed to make a presentation on the activities of this AAR committee during the NGEC Annual Meeting in February. Steve Hewitt has added this item to the DRAFT Annual Meeting agenda

Next Update: 12-15-16

- Document Control Update as of 11-17-16:

Technical working groups Review/Update of the three PRIIA Single Level Specifications (car, trainsets, DMUs):

The single level specification upgrade process is beginning. I have sent the chapter headings to the technical subcommittee leaders and requested that they let me know which chapters they want to review changes for. Next I will divide up the DCRs by the subcommittees and request that they review them for approval or denial. After the DCRs are received, we will begin updating the Specification.

Finalizing Technical working group rosters:

All Working Group leaders are asked to provide a list of their members to Tammy Krause and Steve Hewitt for their files and for posting to the website. Tammy has reminded all team leaders to provide their rosters to her asap.

NCDOT use of NGEC Bi-Level Specification: North Carolina DOT has requested permission to use the Bi-level specification as a starting point for their multi-level procurement and on 11-17-16 Tammy Krause provided it to NCDOT. NCDOT has been asked by the NGEC Executive Board to provide feedback on its use of the spec.

Technical working group review of the Brightline specification presentation: Tammy Krause will send this to the appropriate working groups and will follow the same process she is using for the review of the single level specification.

Locomotive Working Group Review of D/E Locomotive Specification DCRs: The locomotive Working Group Review of the Diesel-electric Locomotive DCRS is about complete with only a few yet to be reviewed. Once this process is completed, Tammy will have them compiled, and at that point they will be reviewed per the NGEC Document Control Procedures.

Timeline for completion of the ongoing Document Control Action Items: Tammy Krause will develop a timeline for these action items and provide it to Steve Hewitt for distribution to the Technical subcommittee in advance of the next conference call – 12-1-16.

- TRB invite to the NGEAC Technical subcommittee to participate on a panel session at the TRB Annual Meeting: Tammy Krause has been named as the representative from the Technical subcommittee on the TRB Panel.
- AWG Update: On July 20<sup>th</sup>, the AWG met to discuss the draft final review of the accessible seating and restroom layouts. The feedback received were net positive. The next step is for Oregon State University to finalize the draft report for submittal to the TSC for review and comments.

OSU reached out to service providers in Alaska and Canada that operate rail equipment with “elevators”. This was in response to some of the recommendations currently in the RVAAC report for elevators to move passengers to upper level.

As of 11-17-16: Melissa Shurland, FRA, reported that the report is being finalized – there had been format issues which are being resolved. Melissa expected to get the report to Steve Hewitt for distribution to Technical subcommittee members by the end of that week and did so. At the request of Chairman Bergeron, Melissa has prepared a summary presentation which she will be prepared to give, along with a person from OSU, on the next subcommittee call 12-15-16.

During the month of December, 2016, the Technical subcommittee met once, via conference call, on the 15<sup>th</sup>. Key decisions and action item updates from the month of December, 2016, included:

- Updating ECP Standards: This is an item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call. (ongoing) On 12-15-16, Paul Jamieson reported that they are in the process of finalizing test reports.
- Backgrounder educational document: The new educational document has been printed and is now available, by request, through Steve Hewitt.
- Diesel- Electric Locomotive procurement - On 12-15-16 an update on the Diesel-electric locomotive procurement was provided by IDOT: See Executive Board report above.
- Update: Bi-Level Car Procurement – On 12-6-16 an update on the Bi-Level car procurement was provided by Caltrans: See Executive Board report above.
- AAR Committee: As of 12-15-16, Jeff Gordon, FRA, reported:

The first four sections of the standard covering administrative requirements were released on AAR Circular Letter on July 15, 2016. No comments were received. AAR is working with the Locomotive Committee to implement these four sections of the standard.

Section 5.0, “Loss of Shunt (LOS) Performance Test Requirements,” is suspended until addressed by the AAR research program.

Section 6.0 “Interoperability of Equipment on Class I Railroads” is in rough draft form, and has a focus on coupling systems, braking systems and clearances.

Section 7.0 “Vehicle/Track Interaction in Freight Track Environment – Modeling and Testing,” is on hold until prototype draft recommendations are developed.

AAR’s David Cackovic has arranged for an all-day meeting of working group on Tuesday, January 24, 2017 from 8:00 AM-5:00 PM at its offices in Washington, DC to discuss sections 6 and 7 of the standard.

- Document Control Update: As of December 15, 2016, the following update was provided by RCC Tammy Krause:

An unsecured version of the bilevel specification was provided to NC to use as a base document for their upcoming procurement. I have requested a list of members of each technical subcommittee from the group leaders. I have also sent to the group leaders the table of contents from the single level specification asking which chapters the various groups would like but I have not received any replies yet.

#### PRIIA Specification 305-003 Single Level Specification Update Timeline

| Task                                                                | Due (Red = Completed) |
|---------------------------------------------------------------------|-----------------------|
| 1. Table of Contents Issued to Technical Subcommittee Group Leaders | 11/18/16              |
| 2. Chapters Selected to Review back to Document Control Manager     | 1/12/17               |
| 3. DCRs Associated with Chapters sent to Subcommittee Group Leaders | 1/13/17               |
| 4. DCRs Back to Document Control Manager                            | 2/23/17               |
| 5. Single Level Revised per Approved DCRs and Submitted to Members  | 3/23/17               |
| 6. Revised Single Level Specification Sub Tech Approval             | 4/6/17                |
| 7. Approved Revised Single Level Spec submitted to Exec Board       | 4/11/17               |
| 8. Review Panel appointed by Exec Board                             | 4/25/17               |
| 9. Review Panel Approval                                            | 5/23/17               |
| 10. Executive Board Approval                                        | 6/6/17                |

- TRB invite to the NGEC Technical subcommittee to participate on a panel session at the TRB Annual Meeting: Tammy Krause has been named as the representative from the Technical subcommittee on the TRB Panel.

On December 15, 2016, Jack Madden provided the following information on the TRB session:

Information concerning the PRIIA Transportation Research Board Session for inclusion in the minutes:

The PRIIA TRB Session #545 "PRIIA Equipment Specifications: Lessons Learned in the First Use for Construction of Locomotives and Cars" will be held on Tuesday, 1/10/2017, 8a to 945a, in Room 143A of the Washington Convention Center.

The proposed sequence of the presentations is:

1. Tammy Krause, Amtrak; Director of Rolling Stock Engineering: Provide an overview of NGEC and an introduction to the Specifications which its Technical Subcommittee has developed.
  2. Bruce Roberts, California Department of Transportation [Caltrans]; Chief of Rail and Mass Transportation: Discussion of the use of the PRIIA Specification 305-001 - Bi-Level Specification (Revision C.4) for construction of the Multi-State Bi-level Passenger Car and lessons learned.
  3. Dave Ward, Siemens Industry; Vice President Locomotives North America: Discussion of the use of PRIIA Specification 305-005 - Diesel Electric Passenger Locomotive (Revision A) for the construction (under contract to Illinois DOT, as well as All Aboard Florida/Brightline) of the Charger SC-44 Multi-State Passenger locomotive and lessons learned.
  4. Craig McKeen, Progress Rail Locomotives [Former EMD/Progress Rail]; General Manager, Sales & Marketing, Passenger Locomotives: Discussion of the use of PRIIA Specification 305-005 - Diesel Electric Passenger Locomotive (Revision A) for the construction (under contract to Metrolink [Southern California Regional Rail Authority]) of the Spirit F-125 Metrolink Locomotive.
  5. Kevin Kesler, Federal Railroad Administration; Chief-Rolling Stock Research & Development: Provide FRA's perspective on the PRIIA Specifications and turning paper into steel.
- Accessibility Update – On December 15<sup>th</sup> Melissa Shurland, FRA, provided the following summary presentation on:



“Inclusive and Universal Design Guidelines for HSR passenger cars: Safety and Feasibility Review of Accessibility”

Summary Presentation

Contract DTFR5315P0034  
Oregon State University

Phase 1 Summary

Working with the PRIIA Next Generation Equipment Committee, recommendations were developed for accessibility on single-level and bi-level coach cars.

The bi-level recommendations as outlined below:

- Increase wheeled mobility device accessibility space – 32 x 59 inches {this does not include maneuvering space}
- Increase vestibule width – 44 inches
- Increase design load of car borne wheel chair lift – 800 pounds
- Increase surface platform of the car borne wheel chair lift – 30 x 54 inches

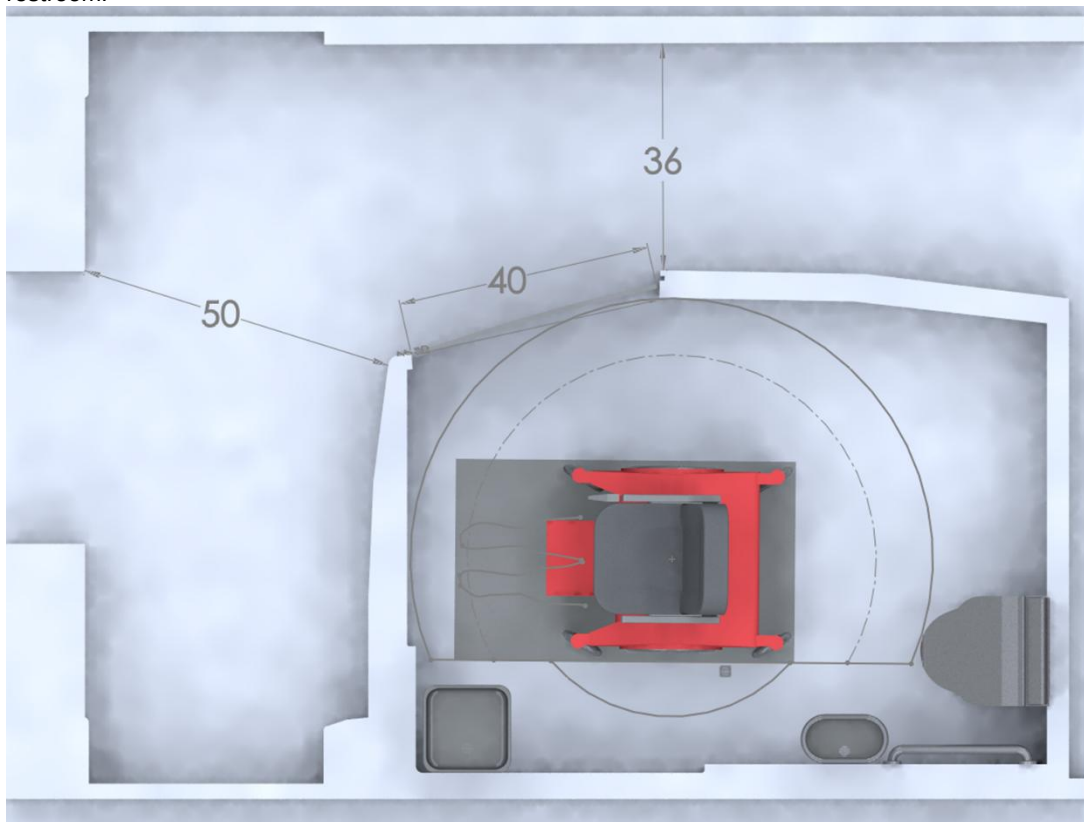
Phase 2 Evaluation of impact of Phase 1 and RVAAC Recommendations

- Accessible Restrooms
- Seat loss resulting from accommodating two or more wheeled mobility devices
- Access to bi-level passenger cars

Accessible Restrooms – Spatial layout that permits large power base to drive forward in and out of restroom

- Toilet is oriented in the longitudinal orientation a small sink that is accessible from the toilet by a 5<sup>th</sup> percentile female
- wider entry door of at least 40 inches (42 inches clear opening is preferred to accommodate entry into the restroom from the 36-inch-wide aisle)
- a 12-inch vertical toe clearance under the sink is also recommended to facilitate access to the sink and general movement about the

restroom.

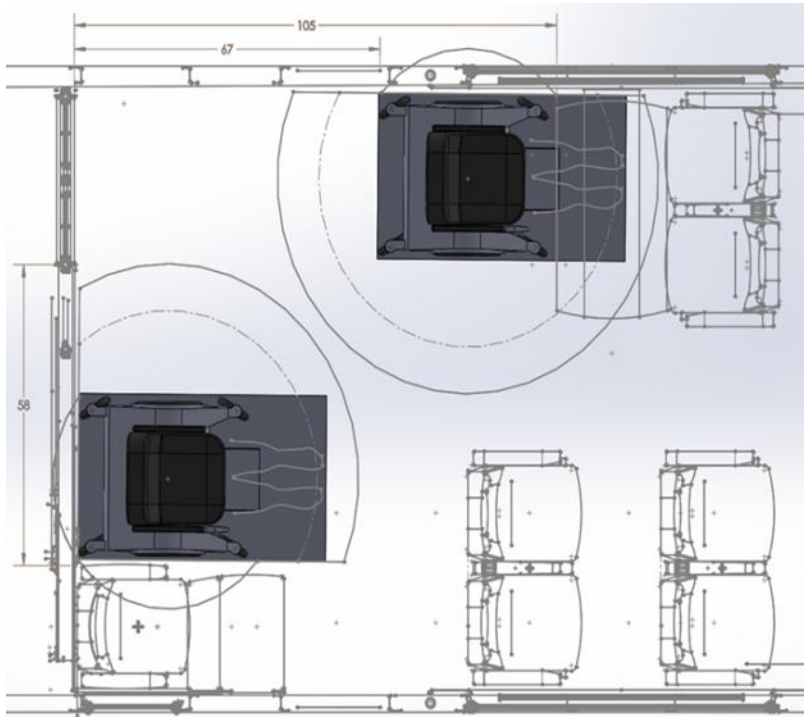


#### Seating Area

- Occupant protection and containment and respect for the independence of passengers requires further study
- There is no single seating configuration that balances access and containment.
- The number of wheeled mobility devices accommodated is not directly related to seat loss. It is possible with minimal seat loss to accommodate more than one wheeled mobility device.
- Folding or flip up seats in wheelchair spaces may be an option.

#### Seating Area Table

- Access to a fixed table by the passengers in power bases or regular wheelchairs is very limited.
- There is a need for further investigation to develop a new table that can be both adjustable and collapsible and satisfy the functional requirements and safety regulations.
- This would provide significant opportunities for accommodation of wheeled mobility devices.
- This shows the accommodation of two power base wheelchairs with table access for one, and space for service animal or stowage of other wheeled mobility devices.
- Shows need for containment



#### Access to upper level of bi-level passenger rail car

- There is a need to examine FRA requirements for Tier I, II and III operating environments and the applicability to passenger rail car elevators and other devices that move passengers between levels on bi-level rail cars.
- Currently there are no manufacturers of elevators for use on bi- level trains

#### Access to upper level of bi-level passenger rail car

- The RVAAC developed recommendations for devices and equipment to move passengers with limited or no mobility to the upper level of bi-level equipment. There are no existing standards for elevators used on bi- level trains.
- The new RVAAC recommendations include:
  - Increase the weight limit to 800 pounds from the current 550- 750 pounds.
  - Increase internal cab from 33.5 inches by 48 inches to 33.3 inches by 54 inches
  - Permit drive through operations rather than the current drive in back out operation.

#### Access to upper level of bi-level passenger rail car

- The RVAAC developed recommendations for devices and equipment to move passengers with limited or no mobility to the upper level of bi-level equipment. There are no existing standards for elevators used on bi- level trains.
- The new RVAAC recommendations include:
  - Increase the weight limit to 800 pounds from the current 550- 750 pounds.
  - Increase internal cab from 33.5 inches by 48 inches to 33.3 inches by 54 inches
  - Permit drive through operations rather than the current drive in back out operation.

#### Key Recommendations:

- Additional research to determine the appropriate level of containment for wheeled mobility devices in the seating area for Tier II and Tier III operating environments.
- Refine the technical requirements for equipment that provides access to the upper-level of bi-level for the next generation of bi-level long distance trains. The technical requirements need to balance the RVAAC recommendations, the Tier I, and II operating environments.

## Layout of Report

- Executive Summary
- Section 1 – Introduction
- Section 2 – Functional Accessibility Requirements for Single-level Coach
- Sections 3-5 – Spatial Analysis of larger accessible restroom and multiple accessible seats
- Section 6 – Study of current use of elevators to access upper level of bi-level cars
- Section 7 – Conclusions
- Section 8 – Recommendations

## Layout of Report, Continued

- Appendix A
  - Functional Specification Reference Document
  - Demographics and Mobility Device Size
  - Current Issues addressed in existing standards and regulations
  - Onboard Passenger Information Systems, OPIS
  - Armrest Requirements
  - Draft Guidelines for Accessible Restrooms for High Speed and Intercity Rail
- Vehicles
  - Appendix B - Accessible Restroom
  - Appendix C - Seating Area Analysis
  - Appendix D - Review of vertical movement on bi-level trains

## Any Questions?

### Contact Info:

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Oregon State University

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Comments or questions are due January 12, 2017.

- 2017 NGEAC Annual Meeting – Steve Hewitt:

On December 15<sup>th</sup>, Steve Hewitt provided a brief overview of the DRAFT agenda for the upcoming 2017 NGEAC Annual Meeting. The agenda is subject to change.

On December 21<sup>st</sup>, Steve provided all NGEAC members with the link to the room block at the Hyatt Regency Hotel.

Hotel bookings will be done by each individual attendee.

Registering to attend the NGEAC meeting:

If you plan to attend, please send an email to Steve Hewitt to register as an attendee. The deadline for registering with Steve is January 30, 2017.

During the month of January 2017, the Technical subcommittee met twice, via conference call, on the 12<sup>th</sup> and the 26<sup>th</sup>. Key decisions and action item updates from the month of January, 2017, included:

- Updating ECP Standards: This is an item which the Technical subcommittee is tracking. On 1-12-17 Paul Jamieson provided the following update:

The Revenue Service Demonstration advisory letter is scheduled to be delivered to the FRA Office of Safety no later than Friday, January 13, 2017. Final equipment modifications to the Siemens locomotive software, and locomotive and cab car event recorder are scheduled to be completed by

January 24, 2017. Amtrak mechanical personnel training and bulletins have been distributed. Amtrak Transportation personnel training is scheduled for completion during the weeks of January 23 and 30, 2017. The Revenue Service Demonstration is scheduled for Monday, February 6, 2017, for the Keystone Service operating on the Northeast Corridor.

To realize the progress made on this project since the initial release of the Bi-level Technical Specification in August 2010 would not be possible without the cooperation of APTA, FRA, NYAB and Wabtec.

With the planned successful revenue service demonstration introduction, the APTA PRESS Mechanical ECP Working group will continue to develop and release the standards, and draft recommended changes to the CFR necessary to support the Passenger ECP equipment.

- Backgrounder educational document: The new educational document has been printed remains available, by request, through Steve Hewitt. It will also be available at the NGEAC Annual Meeting.
- AWG Update: Melissa Shurland, FRA, made a presentation of the FRA/Oregon State University report: Inclusive Universal Design Guidelines for HSR Passenger Cars: Safety and Feasibility Review of Accessibility. The full report and the PowerPoint presentation were distributed prior to today's call. Comments on the report were due to Melissa Shurland by 1-12-17.

On 1-12-17, Melissa reported that she had received one set of comments and they were being reviewed and considered for possible inclusion in the report. After some discussion, it was agreed that, once the review is complete, and a decision on whether to include the comments in the report is made, Melissa will inform Steve Hewitt and Chairman Bergeron, and a decision will be made to either provide a summary of the changes on a subcommittee call, or wait until the Annual Meeting and include this as a part of the overall presentation of the Accessibility report.

On 1-26-17, Melissa reported that the comments received had to do with maneuverability of the 64-inch scooter. The comments include diagrams and a request that there be a 3D mock up for clarity. Once these comments are incorporated into the report, Melissa will send a revised report to Steve Hewitt for distribution to the subcommittee members.

- NGEAC Annual Meeting: The NGEAC's 7<sup>th</sup> Annual Meeting will be held on 2-24-17 at the Hyatt Regency, Capitol Hill, Washington, DC from 8:30am – 3:00pm. All NGEAC members are invited to attend.

A DRAFT agenda has been posted, and on 1-31-17, the Executive Board approved it as Final.

As of 1-31-17, the number of registrants for the meeting is 65.

- Distribution of TRB Session presentations: On 1-12-17, Jack Madden reported that the TRB session presentations on experience using the NGEAC Specifications, will be made available in March, 2017, by TRB, to those who were registered attendees at the TRB Annual Meeting. Jack will confirm whether it is ok to distribute the presentations beyond the TRB registrants – each presenter ultimately makes that decision. Jack will contact the session presenters.

Steve Hewitt has sent a notice to his and Jack's calendar for March 1 as a reminder to check on the status of the presentations and determine when they could be made available.

Mario Bergeron stated that he will make Tammy Krause's presentation available after the NGEAC Annual Meeting.

Jack will make his introductory presentation and the statement in lieu of presentation from Caltrans, available for distribution following today's conference call (1-12-17) This part of the task is complete.

- Document Control Update as of 1-26-17:
  - a. Status Update and review: Timeline for Single Level Spec Review – Currently still on schedule, have started sending out the DCRs based upon which group Tammy Krause believes they should go to.

- b. Status: Brightline Spec Review – The Brightline DCRs from Siemens have been sent out for review.
- c. Status: Review of Locomotive DCRs – next steps – Rich Stegner will complete the Document Control Board (DCB) portion of the DCR and send it to Tammy Krause. She will compile this information into a spreadsheet and distribute to the Tech Subcommittee to begin the full subcommittee review and approval process.
- d. Status: List of technical working group members – A list of subgroup members have been requested but not yet received – subgroup leaders were reminded to please send their member lists to Tammy Krause as soon as possible.

- Procurement Updates:

Diesel- Electric Locomotive procurement - On 1-26-17 an update on the Diesel-electric locomotive procurement was provided by IDOT: (See Executive Board report above).

Bi-Level Car Procurement: On 1-12-17, it was decided that, as Caltrans and IDOT are working out some contract issues with the contractor, ongoing reports will be suspended for now. As this is expected to be the status for a while, Chairman Bergeron asked that this item be removed from the bi-weekly agenda until such time that Caltrans feels that it has an update to provide to the subcommittee.

- AAR Committee Update - Jeff Gordon provided the following update on 1-26-17:

The AAR Passenger Standard Technical Advisory Group (TAG) met at AAR headquarters in Washington, DC on Tuesday, January 24.

The meeting was attended by representatives from AAR, the Class I railroads including Amtrak, TTCI, APTA, Siemens, IDOT and its consultants, the Volpe Center and FRA.

Jim Grady opened the meeting and explained how we got to where we are and that the draft version of the partial standard (sections 1 through 4 of AAR's M-1006) would be reviewed as well as proposed additional sections which are in early draft form.

The draft M-1006 was reviewed paragraph by paragraph and several edits were made, including correction of some errors which existed. A revised version of this document will be circulated to the TAG members for review and further comment. Following the 30-day comment period, AAR will reissue sections 1-4 as M-1006 to its membership. During the meeting, UP confirmed it intends to apply the finalized version of this document (sections 1-4) to the ongoing Charger procurement in WSDOT.

Section 5 on Loss of Shunt is being deferred as AAR has determined that additional research on this is needed and is looking to add research on this topic to its Strategic Research Initiatives.

Sections 6 and 7 deal with requirements for moving passenger equipment (say from manufacturer location to purchaser's site) and operating regular passenger service on Class I freight railroad track. These sections were discussed and it was determined that they would be easier to use and clearer if the content were reformatted into a table or checklist. This will occur and a new version of Sections 6 and 7 will be circulated within the TAG.

Section 8, Vehicle Track Interaction, received the most attention. After much discussion about the amount of detail in the current draft, it was decided that the process for assessing track worthiness on track classes 1 through 5 should have two principal requirements – namely, low speed curving performance standard for class 1 (either the FRA Low Speed Safety Advisory OR the equivalent APTA standard currently under development when available) and Minimally Compliant Analytical Track (MCAT) simulations to quantify vehicle performance under representative limiting conditions. Volpe and TTCI staff will revise the document to reflect this approach and will perform analyses using the prototype Minimally Compliant Analytical Track for track classes 2 through 5 and compare those results to similar analyses using AAR Chapter 11 criteria to determine that the MCAT approach captures the desired vehicle performance information.

Dave Cackovic (TTCI) will schedule web meetings of the TAG to follow-up on these actions in the near future.

During the month of February 2017, the Technical subcommittee met once, via conference call, on the 9<sup>th</sup> and participated in the NGEAC 7<sup>th</sup> Annual Meeting on February 24<sup>th</sup> in Washington, DC. Key decisions and action item updates from the month of February, 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call.

Update provided on 2-9-17:

The ECP Train entered the revenue service demonstration phase on Monday, February 6, 2017. The ECP Train is operating from Philadelphia to Harrisburg to New York to Philadelphia daily.

The interoperability test, static test and dynamic test reports were formally submitted to the FRA and the safety board took no exceptions to the train entering the revenue service demonstration phase. The FRA test monitors were supportive of the request to the safety board.

The revenue service demonstration phase is a major milestone for the project.

- Backgrounder educational document: The new educational document has been printed remains available, by request, through Steve Hewitt. It was also distributed to all attendees at the NGEAC Annual Meeting on 2-24-17.
- AWG Update: Melissa Shurland, FRA, made a presentation of the FRA/Oregon State University report: Inclusive Universal Design Guidelines for HSR Passenger Cars: Safety and Feasibility Review of Accessibility. The full report and the PowerPoint presentation were distributed prior to today's call. Comments on the report were due to Melissa Shurland by 1-12-17.

On 2-9-17, Melissa Shurland reported that she had received one set of comments and they were being reviewed and considered for possible inclusion in the report. After some discussion, it was agreed that, once the review is complete, and a decision on whether to include the comments in the report is made, Melissa will inform Steve Hewitt and Chairman Bergeron, and a decision will be made to either provide a summary of the changes on a subcommittee call, or wait until the Annual Meeting and include this as a part of the overall presentation of the Accessibility report.

Melissa Shurland reported that the comments received had to do with maneuverability of the 64-inch scooter. The comments include diagrams and a request that there be a 3D mock up for clarity. Once these comments are incorporated into the report, Melissa will send a revised report to Steve Hewitt for distribution to the subcommittee members.

Melissa was unavailable for the NGEAC Annual Meeting, but her presentation is available on the website at [www.ngec305.org](http://www.ngec305.org).

- Document Control Update as of 2-9 -17:

Tammy Krause provided Rich Stegner with the directions for him to close out the locomotive DCRs and send them to her. Once received, Tammy will distribute them to the entire technical subcommittee for comment.

Tammy has received the member lists for the Electrical, Digital train Line and Interior Working Groups. She is waiting on the remaining groups to provide their members list.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call. As of 2-9-17, the status update provided from IDOT included:
  - JPEs continue to work with Siemens on schedule and conduct weekly conference calls.

- Locomotive 4604 that was s tested on the North-East Corridor and now is in Chicago. Training of employees has started taking place on the unit.
  - As of now, successful 500-mile conditional acceptance tests have been completed on IDOT units: 4601, 4602, 4603, 4604, 4605, 4606, 4607 4608, 4609 & 4610.
  - All locomotives will next ship to Chicago, pending IDOT and Amtrak schedule agreement.
  - Maintenance demonstrations are going well at Siemens and are about 80% complete and will conclude next week.
  - IDOT and Amtrak now have signed agreements for storage, testing and commissioning the locomotives. Test insurance premiums have been paid.
  - IDOT locomotive 4611 has been sent to WSDOT for 238.111(b) and WSDOT required 213.345 testing on the Cascades route. WSDOT will conduct the 238.111(b) test. Other JPEs are working with Amtrak for 238.111(a) test plans. Testing on the NW corridor should be starting in the next week or so.
  - JPEs are working with Siemens for Wi-Tronix application, as required by Amtrak. The first unit has been installed. The FMI is being written and reviewed. Siemens progress looks good so far.
  - All Document Change Requests (DCR) have been reviewed and approved with no issues. Rich Stegner is in contact with Tammy Krause for next steps for revising the specification.
  - As-Built weights have been reported at a bit less than 267, 000 lbs (+/-). This is a little bit better than previously estimated. The calculated P2 force is within specified limits.
  - IDOT and its' Fleet Manager Contractor now have a signed agreement in place for on-going support.
- Bi-Level Car Procurement: As Caltrans and IDOT are working out some contract issues with the contractor there will be nothing to report for now. As this is expected to be the status for a while, on the last call (1-12-17) Chairman Bergeron asked that this item be removed from the bi-weekly agenda until such time that Caltrans feels that it has an update to provide to the subcommittee. Momo Tamaoki, Caltrans, will contact Steve Hewitt and the Chair when there will be something to report and an agenda item will be added to the subsequent conference call.
  - AAR Committee Update - Jeff Gordon provided a complete overview and update during the NGEAC Annual Meeting – 2-24-17 – the presentation can be found at [www.ngec305.org](http://www.ngec305.org).

During the month of March 2017, the Technical subcommittee met twice, via conference call, on the 9<sup>th</sup> and on the 23<sup>rd</sup>. Key decisions and action item updates from the month of March, 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:  
  
On March 23, 2017, Paul Jamieson, SNC-Lavalin, provided the following update:  
  
APTA PRESS standards PR-M-S-020-16 ECP Emulation and PR-M-S-021-16 ECP Performance are in the final approval phase and should be issued in late April or May (2017).
- Backgrounder educational document: The new educational document has been printed and remains available, by request, through Steve Hewitt.
- AWG Update: Melissa Shurland, FRA, made a presentation of the FRA/Oregon State University report: Inclusive Universal Design Guidelines for HSR Passenger Cars: Safety and Feasibility Review of Accessibility. The full report and the PowerPoint presentation were distributed prior to today's call. Comments on the report were due to Melissa Shurland by 1-12-17.

On 2-9-17, Melissa Shurland reported that she had received one set of comments and they were being reviewed and considered for possible inclusion in the report. After some discussion, it was agreed that, once the review is complete, and a decision on whether to include the comments in the report is made, Melissa will inform Steve Hewitt and Chairman Bergeron, and a decision will be made to either provide a summary of the changes on a subcommittee call, or wait until the Annual Meeting and include this as a part of the overall presentation of the Accessibility report.

Melissa Shurland reported that the comments received had to do with maneuverability of the 64-inch scooter. The comments include diagrams and a request that there be a 3D mock up for clarity. Once



these comments are incorporated into the report, Melissa will send a revised report to Steve Hewitt for distribution to the subcommittee members.

Melissa was unavailable for the NGEC Annual Meeting, but her presentation is available on the website at [www.ngec305.org](http://www.ngec305.org).

Melissa will present the Accessibility report to the Technical subcommittee on April 20, 2017.

- Document Control Update as of 2-9 -17:

Tammy Krause provided Rich Stegner with the directions for him to close out the locomotive DCRs and send them to her. Once received, Tammy will distribute them to the entire technical subcommittee for comment.

Tammy has received the member lists for the Electrical, Digital train Line and Interior Working Groups. She is waiting on the remaining groups to provide their members list.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call. (Please see the summary update provided by IDOT on 3-28-17 to the Executive Board)
- Bi-Level Car Procurement: As Caltrans and IDOT are working out some contract issues with the contractor there will be nothing to report for now. As this is expected to be the status for a while, on the last call (1-12-17) Chairman Bergeron asked that this item be removed from the bi-weekly agenda until such time that Caltrans feels that it has an update to provide to the subcommittee. Momo Tamaoki, Caltrans, will contact Steve Hewitt and the Chair when there will be something to report and an agenda item will be added to the subsequent conference call.
- AAR Committee Update – Nothing new on this item since reported on during the Annual Meeting on 2-24-17.

- Document Control Update: The spreadsheet of all the changes to revision A1 of the locomotive specification was sent out to all Technical subcommittee members for review and comment. On March 23, 2017, Richard Stegner, team leader for the Propulsion Working Group, and Tammy Krause, Amtrak, and Revision Control Coordinator for the NGEC, gave an overview of the changes that were approved by the working group. At the next meeting, Tammy Krause will address any concerns with these proposed changes and, once resolved, the subcommittee will consider the changes for approval.

These changes, once approved at the subcommittee level, will be sent to the NGEC Executive Board, and after completing its review through the NGEC Review Panel Process, the Executive Board will vote for adoption. If adopted the changes will be incorporated into Diesel Electric Locomotive Specification Revision B.

- Future of Electronics on Trains: On 3-23-17, Dale Engelhardt reprised the presentation he gave at the Annual Meeting and a follow-up discussion took place.

Dale has recommended that a working group be formed within the Technical subcommittee to address the topic of electronics on trains in the future. Subcommittee members interested in participating should send an email to that effect to Steve Hewitt prior to the next call (4-20-17). In the meantime, Dale will get Chairman Bergeron's input on how he wishes to proceed.

During the month of April 2017, the Technical subcommittee met once, via conference call, on the 20th. Key decisions and action item updates from the month of April 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

- Backgrounder educational document: The new educational document has been printed and remains available, by request, through Steve Hewitt.
- AWG Update: Melissa Shurland, FRA, made a presentation of the FRA/Oregon State University report: Inclusive Universal Design Guidelines for HSR Passenger Cars: Safety and Feasibility Review of Accessibility. The full report and the PowerPoint presentation have been distributed.

On 2-9-17, Melissa Shurland reported that she had received one set of comments and they were being reviewed and considered for possible inclusion in the report. After some discussion, it was agreed that, once the review is complete, and a decision on whether to include the comments in the report is made, Melissa will inform Steve Hewitt and Chairman Bergeron, and a decision will be made to either provide a summary of the changes on a subcommittee call, or wait until the Annual Meeting and include this as a part of the overall presentation of the Accessibility report.

Melissa Shurland reported that the comments received had to do with maneuverability of the 64-inch scooter. The comments include diagrams and a request that there be a 3D mock up for clarity. Once these comments are incorporated into the report, Melissa will send a revised report to Steve Hewitt for distribution to the subcommittee members.

As of 4-20-17, Melissa had not received any additional comments on the Accessibility Report.

- Document Control Update as of 4-20-17:

- a. Status: Single Level Specification Review/update:

Tammy Krause has informed Steve Hewitt that the initial timeline for completion (June 2017) of the review of the Bi-Level Specification Revisions for applicability to the Single Level Specification has slipped a bit. Tammy is now in the process of putting together the DCRS for the Single Level Specification, and intends to have them out in the next several weeks. Tammy will develop an updated/revised timeline for completion of the review and updating of the single-level specification.

- b. Review and respond to comments on D/E Loco DCRs:

Tammy had informed Steve Hewitt that she has received no comments on the Diesel-Electric Locomotive DCR spreadsheet, as approved by the Locomotive working group, and distributed to the Technical subcommittee members prior to the last call (3-23-17). With no comments received or changes requested, it was recommended that the changes be considered for approval by the subcommittee today.

- Consider for Approval – D-E Locomotive Specification DCRs Revision A.1- Dale Engelhardt:

On 4-20-17, Dale Engelhardt, chairing the meeting on behalf of Mario Bergeron, called for a motion to approve the Diesel-Electric Locomotive Specification as presented:

A motion to approve was offered by Charlie Poltenson, NYSDOT, and seconded by Allan Paul, NCDOT.

With no further discussion forthcoming, Dale Engelhardt asked Steve Hewitt to poll the voting members of the subcommittee on the motion:

Dale Engelhardt, Amtrak – aye  
 Melissa Shurland, FRA, for Jeff Gordon - aye  
 Allan Paul, NCDOT - aye  
 Allan Paul as proxy for Phil Meraz, Iowa DOT – aye  
 Jennifer Bastian, IDOT – aye  
 Jennifer Bastian as proxy for Momo Tamaoki, Caltrans – aye  
 Marci Petterson, Conn DOT - aye  
 Charlie Poltenson, NYSDOT – aye  
 Jason Biggs, WSDOT – aye  
 Eric Curtit, Missouri DOT -aye

With a quorum having been confirmed, and all votes having been cast in the affirmative, Dale Engelhardt determined that consensus has been achieved and the motion is approved.

Steve Hewitt will transmit the DCR spreadsheet to Chairman Eric Curtit with a recommendation that he reconvene the Locomotive Review Panel to begin its review and make recommendations to the Executive Board per the NGEC procedures.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call. (Please see the summary update provided by IDOT on 4-25-17 to the Executive Board)
- Bi-Level Car Procurement: As Caltrans and IDOT are working out some contract issues with the contractor there will be nothing to report for now. As this is expected to be the status for a while, on the last call (1-12-17) Chairman Bergeron asked that this item be removed from the bi-weekly agenda until such time that Caltrans feels that it has an update to provide to the subcommittee. Momo Tamaoki, Caltrans, will contact Steve Hewitt and the Chair when there will be something to report and an agenda item will be added to the subsequent conference call.
- AAR Committee Update – Nothing new on this item was reported on 4-20-17.
- Future of Electronics on Trains:

On 4-20-17 Dale Engelhardt reported that he has not yet gotten confirmation from Mario Bergeron as to whether the proposed working group will be established, but he anticipates that it will.

Dale also reported that he has done some follow up with Amtrak folks on this concept, many of whom are working on it from Amtrak's end. Dale noted that the airlines provide similar service on flights and it is called In Flight Entertainment (IFE). Dale is recommending that, on trains it would be identified as On Board Entertainment (OBE).

Dale believes the concept and the anticipated working group offers a great opportunity for the future of passenger rail and he hopes to bring it from "discussion to reality".

Steve Hewitt announced the following as members who have volunteered to serve on the working group. Others are welcome to join. If interested, please let Steve Hewitt know and he will inform Mario Bergeron and Dale Engelhardt.

Volunteers to date:

Dale Engelhardt – Amtrak – [engelhd@amtrak.com](mailto:engelhd@amtrak.com)  
David Yoge – Oran Safety Glass – [david@oran.co.il](mailto:david@oran.co.il)  
Dick Bruss – NARP – [rjembruss@gmail.com](mailto:rjembruss@gmail.com)  
Tom Sisler – [thomas.sisler@snclavalin.com](mailto:thomas.sisler@snclavalin.com)  
Robert Dyk – [Robert.dyk@snclavalin.com](mailto:Robert.dyk@snclavalin.com)  
Matthew Ercolino – [matthew.ercolino@snclavalin.com](mailto:matthew.ercolino@snclavalin.com)  
Robert Fauvelle – [robert.fauvelle@snclavalin.com](mailto:robert.fauvelle@snclavalin.com)  
Victor Kelley – [victor.kelley@snclavalin.com](mailto:victor.kelley@snclavalin.com)

During the month of May 2017, the Technical subcommittee met once, via conference call, on the 4<sup>th</sup> and the 18<sup>th</sup>. Key decisions and action item updates from the month of May 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

Status report as of 5-4-17:

As of April 5, 2017, the train has completed 127,794 miles in ECP operation and a total on 1,571,097 miles in Emulation operation for a grand total of 1,698,891 miles of ECP and Emulation operation.

During March one of the ECP control valves experienced a failure due to contamination. A failure analysis was conducted, corrective action has been taken and implemented.

During train operations, the turnaround procedure used in commuter operations has been identified as an area of improvement. That is, when the train crew wants to change to the cab at the opposite end of the train, the time required to re-establish control at the opposite end must be shortened while maintaining safety. This improvement will be discussed and implemented in the next standard revision.

The technical working group is currently preparing recommendations for incorporation of the Passenger ECP Brake System into the CFR which will be presented through the FRA Rail Safety Advisory Committee Engineering Task Force.

APTA PR-M-S-020-16 Emulation Performance Requirements and APRA PR-M-S-021-16 ECP Performance Requirements respectively have been approved for publication. These standards should be available on the APTA Standards website during the week of May 8, 2017.  
<http://www.apta.com/resources/standards/press/Pages/default.aspx>

- Backgrounder educational document: The new educational document has been printed and remains available, by request, through Steve Hewitt.
- AWG Update: Melissa Shurland, FRA, made a presentation of the FRA/Oregon State University report: Inclusive Universal Design Guidelines for HSR Passenger Cars: Safety and Feasibility Review of Accessibility. The full report and the PowerPoint presentation have been distributed.

On 5-4-17, Melissa reported that a contract with OSU and the FRA is to be awarded to begin developing a plan, and on 5-18-17, she reported that the contract between FRA and the University is now out of FRA and is with OSU. Melissa will apprise the subcommittee when the contract has been executed.

- Document Control Update as of 5-18-17:

On 5-18-17, the following update was provided by NGEC Revision Control Coordinator, Tammy Krause:

The update of the single level specification is temporarily on hold. Rich Stegner will lead an internal team to evaluate various existing equipment specifications, including the PRIIA Bi-level, and will be creating the DCRs to update the specification. As the full scope of the project develops we may reach out for PRIIA volunteers. All the DCRs created will be processed through the technical working groups per NGEC procedures. The approved DCRs will be incorporated into the next version of the single level. We will have a revised timeline after the full scope of work is determined. This will be before the end of June.

#### Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call. (Please see the summary update provided by IDOT on 5-23-17 to the Executive Board)
- Bi-Level Car Procurement: As Caltrans and IDOT are working out some contract issues with the contractor there will be nothing to report for now. As this is expected to be the status for a while, on the last call (1-12-17) Chairman Bergeron asked that this item be removed from the bi-weekly agenda until such time that Caltrans feels that it has an update to provide to the subcommittee. Momo Tamaoki, Caltrans, will contact Steve Hewitt and the Chair when there will be something to report and an agenda item will be added to the subsequent conference call.
- Progress Report: The Future of Electronics on Trains Working Group:

On 5-4-17, Chairman Bergeron formally established a working group to look at the future of electronics on trains. Mario asked Dale Engelhardt to take the lead in organizing the task force and establishing a scope and a call schedule.

As of 5-18-17, it was reported that the first call was held on 5-8-17. Calls will take place every two weeks. The next call was scheduled for 5-22-17 at 2:00PM Central Time.

Members were asked to review and comment on the scope of work presented by Dale on the first call. A volunteer to lead the group is requested due to Dale's pending retirement at the end of June.

Volunteers to date (as of 5-18-17):

Dale Engelhardt – Amtrak – [engelhd@amtrak.com](mailto:engelhd@amtrak.com)  
David Yoge – Oran Safety Glass – [david@oran.co.il](mailto:david@oran.co.il)  
Dick Bruss – NARP – [rjembruss@gmail.com](mailto:rjembruss@gmail.com)  
Tom Sisler – [thomas.sisler@snclavalin.com](mailto:thomas.sisler@snclavalin.com)  
Robert Dyk – [Robert.dyk@snclavalin.com](mailto:Robert.dyk@snclavalin.com)  
Matthew Ercolino – [matthew.ercolino@snclavalin.com](mailto:matthew.ercolino@snclavalin.com)  
Robert Fauvelle – [robert.fauvelle@snclavalin.com](mailto:robert.fauvelle@snclavalin.com)  
Victor Kelley – [victor.kelley@snclavalin.com](mailto:victor.kelley@snclavalin.com)  
Jack Madden – [jmadden2217@gmail.com](mailto:jmadden2217@gmail.com)  
Steve Morrison, Siemens – [steven.morrison@siemens.com](mailto:steven.morrison@siemens.com)  
Alex Thomson, Siemens – [alex.thomson@siemens.com](mailto:alex.thomson@siemens.com)

Additional volunteers are asked to contact Dale Engelhardt at: [engelhd@amtrak.com](mailto:engelhd@amtrak.com)

During the month of June 2017, the Technical subcommittee met once, via conference call, on the 1st. Key decisions and action item updates from the month of June 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

Status report provided on 5-4-17:

As of April 5, 2017, the train has completed 127,794 miles in ECP operation and a total on 1,571,097 miles in Emulation operation for a grand total of 1,698,891 miles of ECP and Emulation operation. During March one of the ECP control valves experienced a failure due to contamination. A failure analysis was conducted, corrective action has been taken and implemented.

During train operations, the turnaround procedure used in commuter operations has been identified as an area of improvement. That is, when the train crew wants to change to the cab at the opposite end of the train, the time required to re-establish control at the opposite end must be shortened while maintaining safety. This improvement will be discussed and implemented in the next standard revision.

The technical working group is currently preparing recommendations for incorporation of the Passenger ECP Brake System into the CFR which will be presented through the FRA Rail Safety Advisory Committee Engineering Task Force.

APTA PR-M-S-020-16 Emulation Performance Requirements and APRA PR-M-S-021-16 ECP Performance Requirements respectively have been approved for publication. These standards should be available on the APTA Standards website during the week of May 8, 2017.  
<http://www.apta.com/resources/standards/press/Pages/default.aspx>

There was no new update for June 2017.

- Backgrounder educational document: The new educational document has been printed and remains available, by request, through Steve Hewitt.
- AWG Update: On 6-1-17, Melissa Shurland reported that she is waiting for the contract between FRA and OSU is still pending. Once the contract is awarded, Melissa will report back to the Technical subcommittee.

- Document Control Update as of 5-18-17:

On 5-18-17, the following update was provided by NGEN Revision Control Coordinator, Tammy Krause:

The update of the single level specification is temporarily on hold. Rich Stegner will lead an internal team to evaluate various existing equipment specifications, including the PRIIA Bi-level, and will be creating the DCRs to update the specification. As the full scope of the project develops we may reach out for PRIIA volunteers. All the DCRs created will be processed through the technical working groups per NGEN procedures. The approved DCRs will be incorporated into the next version of the single level. We will have a revised timeline after the full scope of work is determined. This will be before the end of June.

#### Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call.

On 6-1-17 Jennifer Bastian provided the following update:

- JPEs continue to work with Siemens on schedule and conduct bi-weekly conference calls.
- JPE's and Amtrak have signed agreements for storage, testing and commissioning the locomotives.
- Six Caltrans units have been delivered to Oakland. They have completed all testing, are conditionally accepted, and are in revenue service.
- IDOT and Siemens have signed conditional acceptance on IDOT units: 4603- 4611. These units have also completed the 500 mile burn in. IDOT 4612 & 4613 will be shipping from Sacramento to TTCL in Pueblo on 6/2.
- IDOT Locomotives 4604 and 4611 are in Chicago and completed the testing on the applicable Midwest corridors yesterday. Track Geometry testing was done on all corridors. The 238.111a testing on the Michigan and Chicago to St. Louis corridors will be run at a later date due to PTC equipment and software needs.
- All eight WSDOT Locomotives have completed burn in testing. WSDOT units 1400, 1402, 1403 & 1404 are in Seattle. 1400 & 1403 have undergone receiving inspections, and title transfer to WSDOT has occurred on unit 1403. 1402 & 1404 are scheduled for receiving inspections this week. 1406 & 1407 are in transit from TTCL to Seattle. 1401 & 1405 are at TTCL awaiting shipment to Seattle.
- The WSDOT 213.345 test report has been submitted by Amtrak to the FRA. WSDOT is waiting a letter from BNSF before this item can be closed out. BNSF will deliver the letter tomorrow – 6-2-17.
- WSDOT and IDOT continue to meet with Amtrak to finalize their respective leases. Both are working through a small number of remaining issues.
- Siemens warranty service locations are now established at the JPE's.
- Wi-Tronix application, as required by Amtrak is being applied by FMI. Equipment has been installed on all units. Wi-Tronix has completed the software update. Siemens is working with them on a software download plan. The units can go into revenue service only trailing units until this software is installed.
- All locomotive Document Change Requests (DCR) for the PRIIA specification have been processed to conform the technical specification for as-built configuration.

- Bi-Level Car Procurement: As Caltrans and IDOT are working out some contract issues with the contractor there will be nothing to report for now. As this is expected to be the status for a while, on the last call (1-12-17) Chairman Bergeron asked that this item be removed from the bi-weekly agenda until such time that Caltrans feels that it has an update to provide to the subcommittee. Momo Tamaoki, Caltrans, will contact Steve Hewitt and the Chair when there will be something to report and an agenda item will be added to the subsequent conference call.

- Progress Report: The Future of Electronics on Trains Working Group:

On 5-4-17, Chairman Bergeron formally established the working group to look at the future of electronics on trains. Mario asked Dale Engelhardt to take the lead in organizing the task force and establishing a scope and a call schedule.

The first call was held on 5-8-17, and again on 5-22-17.

On 6-6-17 the working group met for a third time and named Cynthia Dietz, SNC-Lavalin, as its Chair.

The group continues to meet every two weeks, and will provide a status update on the next Technical subcommittee call scheduled for 7-13-17.

During the month of July 2017, the Technical subcommittee met once, via conference call, on the 13th. Key decisions and action item updates from the month of July 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

There was no new update for July 2017.

- Backgrounder educational document: The educational document has undergone a second printing and remains available, by request, through Steve Hewitt. The Finance and Administrative subcommittee is beginning to review the current version and will make updates to it to emphasize the ongoing efforts to keep the specifications current.
- AWG Update: On 7-13-17, Melissa Shurland, FRA< provided the following update to the Technical subcommittee:

The contract to Oregon State U to continue the accessibility research was awarded. I will be meeting with the principal investigator from OSU and Volpe today at 2PM to discuss simulation of the interior environment of a passenger in a large power-based wheeled mobility device under normal load profile and accident loadings, 8g longitudinal. We will be looking at some of the scenarios we developed for including 2 wheeled mobility devices on-board that resulted in one accessible space with limited containment. Any industry members from the TSC willing to provide support for our simulations should contact me at 202-493-1316. We hope to focus on simulation at first before going to sled tests.

- Document Control Update as of 7-13-17:

Tammy Krause informed the members that she and Rich Stegner would be working on a revised timeline for updating the PRIIA Single Level Car Specification.

Steve Hewitt reported that the NGEC Executive Board, on 6-20-17, formally adopted the Diesel-Electric Locomotive Specification Revision B, as approved previously by the Technical subcommittee, and subsequently, by the Locomotive Review Panel per NGEC procedures.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call.

Please see the report, as provided to the Executive Board on 7-18-17, and included in this report under the executive Board section.

- Bi-Level Car Procurement: As Caltrans and IDOT are working out some contract issues with the contractor there will be nothing to report for now. As this is expected to be the status for a while, on the last call (1-12-17) Chairman Bergeron asked that this item be removed from the bi-weekly agenda until such time that Caltrans feels that it has an update to provide to the subcommittee. Momo Tamaoki, Caltrans, will contact Steve Hewitt and the Chair when there will be something to report and an agenda item will be added to the subsequent conference call.
- Progress Report: The Future of Electronics on Trains Working Group:

On 7-13-17, Tammy Krause, Amtrak, reported that the working group last met on July 6<sup>th</sup>. They have brought in the DTL working group into this working group as the software the electronics group is looking at would require DTL.

Cynthia Dietz, SNC Lavalin, has been named Chair of the working group – taking over for Dale Engelhardt upon his retirement from Amtrak.

The next call was to take place on July 18<sup>th</sup> at 3:00PM Eastern

The calls continue to be held on a bi-weekly basis.

Mario Bergeron has asked that on the next Technical subcommittee call, (8-10-17) Cynthia Dietz introduce herself, and provide the subcommittee with an overview of the motivation of the working group, its priorities and anticipated timeline.

During the month of August 2017, the Technical subcommittee met twice, via conference call, on the 10<sup>th</sup> and the 24<sup>th</sup>. Key decisions and action item updates from the month of August 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

As of 8-24-17, Paul Jamieson reported: The revenue service demonstration test train has accumulated 338,196 train miles in ECP mode and 1,671,788 train miles in Emulation mode. Total train mileage to date is 2,009,984 miles since the project started in June 2014. One ECP control portion fault occurred which resulted in a loss of 7,560 ECP lost train miles. The fault has been successfully resolved.

The bi-annual FRA report of the revenue service demonstration will be prepared after the August mileage is reported in early September.

- Backgrounder educational document: The educational document has undergone a second printing and remains available, by request, through Steve Hewitt. The Finance and Administrative subcommittee is beginning to review the current version and will make updates to it to emphasize the ongoing efforts to keep the specifications current.
- AWG Update: Previously, Melissa Shurland, FRA, had provided the following update to the Technical subcommittee:

The contract to Oregon State U to continue the accessibility research was awarded. I will be meeting with the principal investigator from OSU and Volpe today at 2PM to discuss simulation of the interior environment of a passenger in a large power-based wheeled mobility device under normal load profile and accident loadings, 8g longitudinal. We will be looking at some of the scenarios we developed for including 2 wheeled mobility devices on-board that resulted in one accessible space with limited containment. Any industry members from the TSC willing to provide support for our simulations should contact me at 202-493-1316. We hope to focus on simulation at first before going to sled tests.

On 8-24-17, Melissa Shurland reported that the FRA continues to move along with simulation and modeling.

- Document Control Update as of 8-24-17:

Tammy Krause informed the members that she and Rich Stegner continue working on a revised timeline for updating the PRIIA Single Level Car Specification.

As of 8-24-17, the approved changes that comprise Diesel-Electric Locomotive Specification Revision B have been compiled and are currently with the NGECE Technical Writer.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call.



Please see the report, as provided to the Executive Board on 8-29-17, and included in this report under the Executive Board section.

- Bi-Level Car Procurement: As Caltrans and IDOT are working out some contract issues with the contractor there will be nothing to report for now. As this is expected to be the status for a while, on the last call (1-12-17) Chairman Bergeron asked that this item be removed from the bi-weekly agenda until such time that Caltrans feels that it has an update to provide to the subcommittee. Momo Tamaoki, Caltrans, will contact Steve Hewitt and the Chair when there will be something to report and an agenda item will be added to the subsequent conference call.

- Progress Report: The Future of Electronics on Trains Working Group:

Cynthia Diaz, SNC-Lavalin, Chair of the working group, reported that the working group will be following the NGEN process to write a requirements document that will be used for drafting a specification. The group will be using the NGEN website to review its document. A draft outline of the requirements document is out now for review among the working group members. (Note: As of 8-30-17 Cynthia Dietz has accepted another position, and has stepped down as Chair of the working group – Tom Sisler, SNC-Lavalin, has been named as the new Chair).

During the month of September 2017, the Technical subcommittee met once, via conference call, on the 7<sup>th</sup>. Key decisions and action item updates from the month of September 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

Update as of 8-24-17:

The revenue service demonstration test train has accumulated 338,196 train miles in ECP mode and 1,671,788 train miles in Emulation mode. Total train mileage to date is 2,009,984 miles since the project started in June 2014. One ECP control portion fault occurred which resulted in a loss of 7,560 ECP lost train miles. The fault has been successfully resolved.

The bi-annual FRA report of the revenue service demonstration will be prepared after the August mileage is reported in early September.

The technical working group will meet on August 28 - 29, 2017 to develop the remaining APTA PRESS ECP standards and draft 49CFR238 language which is required. The draft language will be presented at the FRA RSAC ETF meeting scheduled on August 30 – 31, 2017. The draft language is being prepared for NPRM2.

- Backgrounder educational document: The educational document has undergone a second printing and remains available, by request, through Steve Hewitt. The Finance and Administrative subcommittee is continuing its review of the current version and will make updates to it to emphasize the ongoing efforts to keep the specifications current.

- AWG Update: Previously, Melissa Shurland, FRA, had provided the following update to the Technical subcommittee:

The contract to Oregon State U to continue the accessibility research was awarded. I will be meeting with the principal investigator from OSU and Volpe today at 2PM to discuss simulation of the interior environment of a passenger in a large power-based wheeled mobility device under normal load profile and accident loadings, 8g longitudinal. We will be looking at some of the scenarios we developed for including 2 wheeled mobility devices on-board that resulted in one accessible space with limited containment. Any industry members from the TSC willing to provide support for our simulations should contact me at 202-493-1316. We hope to focus on simulation at first before going to sled tests.

Ongoing.

- Document Control Update as of 8-24-17:

Tammy Krause informed the members that she and Rich Stegner continue working on a revised timeline for updating the PRIIA Single Level Car Specification.

As of 8-24-17, the approved changes that comprise Diesel-Electric Locomotive Specification Revision B have been compiled and are currently with the NGEC Technical Writer.

Ongoing

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call.

Please see the report, as provided to the Executive Board on 9-26-17, and included in this report under the Executive Board section.

- Multi-State Car Procurement - Caltrans (Lead State): "Contract Negotiations are still underway to determine if proposed substitute subcontractor is able to fulfill SCOA's contractual obligations."
- Progress Report: The Future of Electronics on Trains Working Group:

Cynthia Diaz reported that the working group will be following the NGEC process to write a requirements document that will be used for drafting a specification. The group will be using the NGEC website to review its document. A draft outline of the requirements document is out now for review among the working group members.

- Progress Report – Electronics on Trains Working Group – Tom Sisler, SNC-Lavalin:

Working Group Chair, Tom Sisler provided the following update for inclusion in today's (9-7-17) Minutes:

Bi-Weekly Update for September 7, 2017  
Electronics on Trains Working Group  
By Thomas Sisler

1. Held 8 meetings so far on alternate weeks with this meeting. The next meeting is on 9/12 at 3 pm.
  2. Cindy Dietz is taking a new position at MPI in Boise and can no longer be the Chairperson. She nominated Tom Sisler in the last meeting and consensus was obtained to make him the Chairperson.
  3. A requirements document is under construction. We are in the brainstorming phase where we try to think of everything a future electronic system could do. Then we'll vet all the ideas versus the constraints of the DTL hardware being specified and finish the requirements document. A very preliminary draft exists that is being reviewed by team members.
  4. The PRIIA DTL group has joined this committee so that the DTL specifications are finished together with the specification this committee was tasked to create. Action items exist to get a presentation about hardware and plans the AAR might have for using Ethernet to replace MU trainlines.
- AAR Committee Update:

On 9-7-17, Jeff Gordon, FRA, reported that, as noted in his last update (8-10-17) the AAR has put this committee in hiatus for the time being. The hiatus continues, so Jeff suggested this item be removed from the standing agenda until the committee has resumed activities.

Jason Biggs, WSDOT, asked about the status of AAR looking at issues related to LED Headlights, Jeff commented that AAR had decided to look at LED Headlights separately from the other Tag items covered by the Equipment committee. That being the case, Mario Bergeron asked if it would make sense to have an update on this issue specifically. Jeff Gordon agreed that it would make sense to do so and recommended that the AAR update agenda item remain, and said that he would ask the FRA

point of contact, Tarek Omar, to provide a monthly update on that item for now. If and when the AAR committee resumes its overall activities, Jeff will provide an update on that. Chairman Bergeron agreed, and asked Steve Hewitt to keep the agenda item as a monthly update on AAR activities for the time being.

The first update from Tarek is scheduled for the 10-5-17 Technical subcommittee call.

During the month of October 2017, the Technical subcommittee met once, via conference call, on the 5<sup>th</sup>. Key decisions and action item updates from the month of October 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

There was no report/update provided during the month of October.

Update as of 8-24-17:

The revenue service demonstration test train has accumulated 338,196 train miles in ECP mode and 1,671,788 train miles in Emulation mode. Total train mileage to date is 2,009,984 miles since the project started in June 2014. One ECP control portion fault occurred which resulted in a loss of 7,560 ECP lost train miles. The fault has been successfully resolved.

The bi-annual FRA report of the revenue service demonstration will be prepared after the August mileage is reported in early September.

The technical working group will meet on August 28 - 29, 2017 to develop the remaining APTA PRESS ECP standards and draft 49CFR238 language which is required. The draft language will be presented at the FRA RSAC ETF meeting scheduled on August 30 – 31, 2017. The draft language is being prepared for NPRM2.

- Backgrounder educational document:

Copies remain available, and subcommittee members (core team and industry) who would like a hard copy (copies) should contact Steve at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number requested and an address to send them to. Revisions to this document are under review by the Finance and Administrative subcommittee with expectations being that the changes will be approved by the subcommittee and submitted to the Executive Board by late October/early November. Missouri DOT graphic arts staff will be making the design revisions. The intent is to have an updated document ready for distribution by the NGEAC Annual Meeting in February 2018.

- AWG Update: Previously, Melissa Shurland, FRA, had provided the following update to the Technical subcommittee:

The contract to Oregon State U to continue the accessibility research was awarded. I will be meeting with the principal investigator from OSU and Volpe today at 2PM to discuss simulation of the interior environment of a passenger in a large power-based wheeled mobility device under normal load profile and accident loadings, 8g longitudinal. We will be looking at some of the scenarios we developed for including 2 wheeled mobility devices on-board that resulted in one accessible space with limited containment. Any industry members from the TSC willing to provide support for our simulations should contact me at 202-493-1316. We hope to focus on simulation at first before going to sled tests.

No update was received during the month of October.

- Document Control Update as of 10-31-17:

On 10-5-17, Revision Control Coordinator, Tammy Krause reported that she had provided a scope of work to AASHTO to continue the technical writer services of Camren Cordell (Kasamar).

On 10-5-17, Tammy Krause reported that she had received an additional DCR for the Single-level specification. Currently there have been 11 DCRs received for Revision B. Of those, 2 are under

evaluation, 5 were accepted, 2 were rejected and 2 were accepted as amended. Accepted as amended means that the working group made some changes to the proposed change.

On 10-18-17, Tammy Krause provided Steve Hewitt with the DCR for weight change to the Single Level Car Specification, and asked that it be sent to all Technical subcommittee members (including industry participants) for review and comment. Tammy also requested that the DCR be sent to the Single Level Car Specification Review Panel and that it be reconvened in preparation for a review of the DCR for compliance with the requirements document.

On 10-30-17, Tammy Krause called for a conference call (11-1-17) of all Technical subcommittee members (including industry participants) to review and discuss comments received on the proposed DCR. The intent is for the Technical subcommittee to consider approval of the DCR on its net call - 11-2-17.

#### Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call.

Please see the report, as provided to the Executive Board on 10-24-17, and included in this report under the Executive Board section.

- Multi-State Car Procurement - Caltrans (Lead State): "Contract Negotiations are still underway to determine if proposed substitute subcontractor is able to fulfill SCOA's contractual obligations."
- Progress Report: The Future of Electronics on Trains Working Group:

Electronics on Trains Working Group – Tom Sisler, SNC-Lavalin:

Working Group Chair, Tom Sisler provided the following update for inclusion in today's (9-7-17) Minutes:

Bi-Weekly Update for September 7, 2017  
Electronics on Trains Working Group  
By Thomas Sisler

5. Held 8 meetings so far on alternate weeks with this meeting. The next meeting in on 9/12 at 3 pm.
6. Cindy Dietz is taking a new position at MPI in Boise and can no longer be the Chairperson. She nominated Tom Sisler in the last meeting and consensus was obtained to make him the Chairperson.
7. A requirements document is under construction. We are in the brainstorming phase where we try to think of everything a future electronic system could do. Then we'll vet all the ideas versus the constraints of the DTL hardware being specified and finish the requirements document. A very preliminary draft exists that is being reviewed by team members.
8. The PRIIA DTL group has joined this committee so that the DTL specifications are finished together with the specification this committee was tasked to create. Action items exist to get a presentation about hardware and plans the AAR might have for using Ethernet to replace MU trainlines.

In October, no update /progress report was provided. The next update is scheduled for 11-2-17.

- AAR Committee Update:

On 9-7-17, Jeff Gordon, FRA, reported that, as noted in his last update (8-10-17) the AAR has put this committee in hiatus for the time being. The hiatus continues, so Jeff suggested this item be removed from the standing agenda until the committee has resumed activities.

Jason Biggs, WSDOT, asked about the status of AAR looking at issues related to LED Headlights, Jeff commented that AAR had decided to look at LED Headlights separately from the other Tag items

covered by the Equipment committee. That being the case, Mario Bergeron asked if it would make sense to have an update on this issue specifically. Jeff Gordon agreed that it would make sense to do so and recommended that the AAR update agenda item remain, and said that he would ask the FRA point of contact, Tarek Omar, to provide a monthly update on that item for now. If and when the AAR committee resumes its overall activities, Jeff will provide an update on that. Chairman Bergeron agreed, and asked Steve Hewitt to keep the agenda item as a monthly update on AAR activities for the time being.

The first update from Tarek Omar on the AAR TAG committee on LED Headlights took place on the 10-5-17 Technical subcommittee call:

Tarek Omar, FRA, provided a brief update on the activities of the TAG committee on LED Headlights. He provided some of the history and background on how the effort began (in July) with an SOW – for phase 1 for testing for LED to ensure compliance with FRA requirements. ENSCO was granted the contract, and brought in ESI as a sub-contractor. ESI has an excellent record in testing.

There was a meeting in early September (including LED suppliers) at which testing protocols were established. Two weeks later – mid-September – one of the LED suppliers sent additional elements to be considered. The chair of the LED TAG committee revised the LED testing specs to include those submitted by the OEM. On October 9<sup>th</sup> all LED TAG committee members will meet to discuss this revised version.

Asked what would be a reasonable timeline for providing the NGEC Technical subcommittee with status updates, Tarek said that he thought monthly updates would be about right.

Steve Hewitt will add this as a standing agenda item for every other bi-weekly call – for now. The next update will take place on 11-2-17.

- DEF-UREA Update:

On 10-5-17, Chairman Bergeron asked that an update on the implementation of DEF-UREA be provided by IDOT on the next subcommittee call – 11-2-17.

During the month of November 2017, the Technical subcommittee met three times, via conference call, on the 2<sup>nd</sup>, 16<sup>th</sup> and the 30<sup>th</sup>. Key decisions and action item updates from the month of November 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

On 11-2-17, Paul Jamieson provided the following update for inclusion in the minutes:

“The revenue service demonstration test train has accumulated 407.976 operating miles in ECP mode and 1,731,883 operating miles in Emulation mode. Total train mileage to date is 2,139,859 miles since the project started in June 2014. The train did not operate in ECP due to a damaged display screen which is not an ECP fault.

The test committee met on October 31, 2017. The test committee approved the FRA interim report and continuation of the revenue service demonstration at least until June of 2018. The FRA interim report will be submitted under the waiver.

The updated CFR draft language was presented to the RSAC ETF meeting on October 12, 2017. The draft language is currently under review by FRA counsel to incorporate into NPRM2. The RASC ETF will review the NPRM2 language prior to publication.”

- Background educational document:

Copies remain available, and subcommittee members (core team and industry) who would like a hard copy (copies) should contact Steve at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number requested and an address to send them to. Revisions to this document are under review by the Finance and Administrative subcommittee with expectations being that the changes will be approved by the subcommittee and submitted to the Executive Board by late December 2017. Missouri DOT graphic

arts staff will be making the design revisions. The intent is to have an updated document ready for distribution by the NGEAC Annual Meeting in February 2018.

- AWG Update:

On 11-2-17, Melissa Shurland, FRA, reported that FRA is working with Volpe and Oregon State University (OSU) on a white paper using prior research as the basis, and using knowledge of determinations on wide seating and wheelchair accessibility. Using existing research is saving funding for potential new research after completion of the white paper.

Asked if the Interiors working group should be briefed on the white paper and potential changes, Melissa responded that the white paper will align with what has been discussed previously in the AWG regarding able body row to row seating and should not impact interiors on the single level or bi-level cars. She said she would be happy to brief the members of the Interiors group.

- Document Control Update as of 11-30-17:

On 11-2-17, the Technical subcommittee approved the Weight Change DCR and submitted it to the Executive Board.

On 11-7-17, the NGEAC Review Panel approved the Weight Change DCR as submitted, and confirmed that the process followed complied with NGEAC procedures. In its Report to the Executive Board, the Panel recommended its adoption of the DCR as previously approved by the Technical subcommittee

The DCR to increase the weight limits in the single level specification was approved by the Executive Board on 11/21/17. I have recently received 90 proposed document changes from California for the single level specification. I am currently reviewing them for the type of DCR they should be, and will send the list back to California so it can create the DCRs.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call.

Please see the report provided on 11-30-17 and included in this report under the Executive Board section.

- Multi-State Car Procurement - Caltrans (Lead State):

On 11-16-17, Caltrans reported that the contract amendment with Sumitomo was executed on 11-3-17. The replacement car builder will be Siemens. A kick off meeting will take place in about a month. Thereafter, Caltrans will provide more detailed updates to the Technical subcommittee

- Progress Report: The Future of Electronics on Trains Working Group:

Working Group Chair, Tom Sisler provided the following update on 11-16-17:

1. Currently reaching out to former DTL group members to ask them to join this committee. Got a few interested.
2. The AAR is making a presentation in our next meeting on their Ethernet solution for replacing trainlines.
3. Working to create text for the requirements specification.
4. Next meeting is Tuesday 11/21/2017 at 3 pm.

Working Group Chair, Tom Sisler provided the following update on 11-30-17:

1. We had a presentation from the AAR last week on their work to replace standard 27 point jumpers with Ethernet on freight trains. The AAR's cable spec came from the ECP spec. They will roll out basic features but are contemplating some advanced features.

2. A question was asked about compatibility between freight and passenger locomotives for rescue operations. We will compare the AAR spec to the DTL spec and work toward rescue capability. Currently they are not compatible per a past discussion in a meeting. The group agreed this is important.
3. We are going to add wireless communication as a future piece of work. It might be a separate spec or possibly a modification to the DTL hardware spec.
4. We will look to identify work to farm out to Melissa Shurland for Sharma and University of Nebraska.
5. We will identify what work is left to do to finalize the DTL software specification.
6. All specifications we create will have periodic testing considered utilizing devices, connection points and/or testing routines in software to make it possible and easy to perform periodic maintenance.
7. Our next meeting will be on 12/5 at 3 pm EST. There will be a presentation on Screenex product from OSG.

- AAR Committee Update:

On 9-7-17, Jeff Gordon, FRA, reported that, as noted in his last update (8-10-17) the AAR has put this committee in hiatus for the time being. The hiatus continues, so Jeff suggested this item be removed from the standing agenda until the committee has resumed activities.

TAG committee on LED Headlights:

On 11-30-17, Tarek Omar, FRA, provided a status update for distribution to members of the subcommittee:

Tarek Omar reported that the testing began on 11-27-17 and all is going well and smooth so far. He anticipates the testing could be done as soon as tomorrow (12-1-17). At that point the data will be looked at a a report will be put together.

- DEF-UREA Update:

On 11-2-17, Jennifer Bastian, IDOT, provided the following update/DEF recap to the Technical subcommittee:

- a) Locomotives have been in operation in five different states and DEF supply contracts are in place
- b) Amtrak has established processes for DEF procurement and handling.
- c) Midwest fill points are currently Chicago and Milwaukee. Truck based delivery is in place. Contracts are in place. Supply is going well, no problems reported.
- d) WSDOT supply chain is set up and ready to run.
- e) Fill point is set up in Oakland for Caltrans. The contracts are in place to add another fill point in LA. Caltrans has placed a storage container at the site in Oakland, and is doing some initial research into a more permanent storage container/building.
- f) Plan is to gather usage data from the Chargers for next year and re-evaluate supply once we have more data.

During the month of December 2017, the Technical subcommittee met once, via conference call, on the 14th. Key decisions and action item updates from the month of December 2017, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

The last update was provided on 11-2-17, by Paul Jamieson, SMC-Lavalin:

"The revenue service demonstration test train has accumulated 407,976 operating miles in ECP mode and 1,731,883 operating miles in Emulation mode. Total train mileage to date is 2,139,859 miles since the project started in June 2014. The train did not operate in ECP due to a damaged display screen which is not an ECP fault.

The test committee met on October 31, 2017. The test committee approved the FRA interim report and continuation of the revenue service demonstration at least until June of 2018. The FRA interim report will be submitted under the waiver.

The updated CFR draft language was presented to the RSAC ETF meeting on October 12, 2017. The draft language is currently under review by FRA counsel to incorporate into NPRM2. The RASC ETF will review the NPRM2 language prior to publication.”

- Backgrounder educational document:

Copies remain available, and subcommittee members (core team and industry) who would like a hard copy (copies) should contact Steve at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number requested and an address to send them to. Revisions to this document are under review by the Finance and Administrative subcommittee with expectations being that the changes will be approved by the subcommittee and submitted to the Executive Board by late December 2017. Missouri DOT graphic arts staff will be making the design revisions. The intent is to have an updated document ready for distribution by the NGEAC Annual Meeting in February 2018.

- AWG Update:

The last update was provided by Melissa Shurland, FRA, on 11-2-17:

The FRA is working with Volpe and Oregon State University (OSU) on a white paper using prior research as the basis, and using knowledge of determinations on wide seating and wheelchair accessibility. Using existing research is saving funding for potential new research after completion of the white paper.

RVACC update as of 12-14-17:

Melissa Shurland informed the subcommittee that a NPRM for the “Americans With Disabilities Act (ADA) Accessibility Guidelines for Transportation Vehicles; Rail Vehicles” will be published sometime in May 2018. Melissa Shurland forwarded a link to the US Access Board agenda. [unified agenda](#).

- Document Control Update as of 12-14-17:

On 12-14-17, Tammy Krause, Revision Control Coordinator provided the following update and news:

Presently I am waiting on the single level DCRs that are currently being developed by California. As soon as I have them they will be divided up and sent to the appropriate workgroups.

Some of you may have heard that I will be leaving Amtrak as of the end of December. We will be transitioning the Document Control process in the upcoming month. In the meantime, I suggest that any DCRs should be sent to Steve Hewitt until we have a new Document Control Manager. I intend to stay involved with PRIIA and I will continue to be on the phone calls.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call.

Please see the report provided on 12-19-17 and included in this report under the Executive Board section.

- Multi-State Car Procurement - Caltrans (Lead State):

Please see the report provided on 12-14-17 and included in this report under the Executive Board section.

- Progress Report: The Future of Electronics on Trains Working Group:

On 12-14-17, Working Group Chair, Tom Sisler, provided the following update:



1. OSG made a presentation on their Screenex product line.
  - a. Sandwich screen between layers of glass to make use of glass structures such as windows and windscreens. 8 mm air gap needed. Can be viewable on both sides and can have touchscreen capability.
  - b. Protected from vandalism and easy to clean.
  - c. Mounting is simplified – window or windscreen requires a connector. Adds 2.5 kg per screen.
  - d. Can be integrated with Passenger Information systems provided by others via the car network.
  - e. Can be mounted in side windows and are working on a US installation which will meet FRA requirements. Service proven overseas.
2. Working with Melissa Shurland to get Sharma and/or University of Nebraska to assist committee with technical issues.
3. Other actions still being worked on.

- AAR Updates:

TAG committee on LED Headlights:

On 11-30-17, Tarek Omar, FRA, reported that testing began on 11-27-17 and all is going well and smooth so far. He anticipated the testing could be done as soon as 12-1-17. At that point the data will be looked at a report will be put together.

Next update to the NGECC Technical subcommittee is scheduled for 1-11-18.

- DEF-UREA Update:

The last update on DEF-UREA was provided on 11-2-17:

- a) Locomotives have been in operation in five different states and DEF supply contracts are in place
  - b) Amtrak has established processes for DEF procurement and handling.
  - c) Midwest fill points are currently Chicago and Milwaukee. Truck based delivery is in place. Contracts are in place. Supply is going well, no problems reported.
  - d) WSDOT supply chain is set up and ready to run.
  - e) Fill point is set up in Oakland for Caltrans. The contracts are in place to add another fill point in LA. Caltrans has placed a storage container at the site in Oakland, and is doing some initial research into a more permanent storage container/building.
  - f) Plan is to gather usage data from the Chargers for next year and re-evaluate supply once we have more data.
- On 12-14-17, a subcommittee call-in number change was announced. Effective 1-11-18 the Technical subcommittee call in number will be: 888 585-9008 access #: 559-120-127. A notice of the change was sent out on 12-14-17 by Program Manager Steve Hewitt.

During the month of January 2018, the Technical subcommittee met twice, via conference call, on the 11<sup>th</sup> and the 25<sup>th</sup>. Key decisions and action item updates from the month of January 2018, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

The last update was provided on 11-2-17, by Paul Jamieson, SMC-Lavalin:

“The revenue service demonstration test train has accumulated 407,976 operating miles in ECP mode and 1,731,883 operating miles in Emulation mode. Total train mileage to date is 2,139,859 miles since the project started in June 2014. The train did not operate in ECP due to a damaged display screen which is not an ECP fault.

The test committee met on October 31, 2017. The test committee approved the FRA interim report and continuation of the revenue service demonstration at least until June of 2018. The FRA interim report will be submitted under the waiver.

The updated CFR draft language was presented to the RSAC ETF meeting on October 12, 2017. The draft language is currently under review by FRA counsel to incorporate into NPRM2. The RASC ETF will review the NPRM2 language prior to publication."

- Backgrounder educational document:

Copies remain available, and subcommittee members (core team and industry) who would like a hard copy (copies) should contact Steve at [shewitt109@aol.com](mailto:shewitt109@aol.com) with the number requested and an address to send them to.

The NGEC Executive Board is in the process of finalizing an updated two-page educational document to better accentuate the Results produced by the efforts of the Committee.

The intent is to have the document printed and ready for distribution at the NGEC Annual Meeting in Washington, DC on 2-23-18.

- AWG Update:

The last update was provided by Melissa Shurland, FRA, on 11-2-17:

The FRA is working with Volpe and Oregon State University (OSU) on a white paper using prior research as the basis, and using knowledge of determinations on wide seating and wheelchair accessibility. Using existing research is saving funding for potential new research after completion of the white paper.

RVACC update as of 1-25-18:

Melissa Shurland informed the subcommittee that a NPRM for the "Americans With Disabilities Act (ADA) Accessibility Guidelines for Transportation Vehicles; Rail Vehicles" will be published sometime in May 2018. Melissa Shurland forwarded a link to the US Access Board agenda. [unified agenda](#).

- Document Control Update as of 1-25-18:

On 1-25-18, Michael Burshtin, who is the interim Revision Control Coordinator replacing Tammy Krause, who left Amtrak in December 2017, provided the following update:

Three single-level Document Change Requests have been submitted since the end of January and have been sent to the appropriate technical workgroups. One has been approved with revisions by its workgroup, and the other two are expected to complete the review process by the end of next week (committee member overseas travel has slowed the process). Michael has been advised that approximately three more single-level DCRs are expected to be submitted next week.

Please send your DCR forms to [burshtm@amtrak.com](mailto:burshtm@amtrak.com) for processing. I can also be reached at 215-349-1776.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call.

Please see the report provided on 1-30-18 and included in this report under the Executive Board section.

- Multi-State Car Procurement - Caltrans (Lead State):

Please see the report provided on 1-30-18 and included in this report under the Executive Board section.

- Progress Report: The Future of Electronics on Trains Working Group:

On 12-14-17, Working Group Chair, Tom Sisler, provided the following update:

1. OSG made a presentation on their Screenex product line.
  - a. Sandwich screen between layers of glass to make use of glass structures such as windows and windscreens. 8 mm air gap needed. Can be viewable on both sides and can have touchscreen capability.
  - b. Protected from vandalism and easy to clean.
  - c. Mounting is simplified – window or windscreen requires a connector. Adds 2.5 kg per screen.
  - d. Can be integrated with Passenger Information systems provided by others via the car network.
  - e. Can be mounted in side windows and are working on a US installation which will meet FRA requirements. Service proven overseas.
2. Working with Melissa Shurland to get Sharma and/or University of Nebraska to assist committee with technical issues.
3. Other actions still being worked on.

The next update report to the Technical subcommittee is scheduled for 2-8-18.

- AAR Updates:

TAG committee on LED Headlights:

On 1-11-18, Tarek Omar, FRA, provided the following update on the LED Headlights Testing as received from the vendor:

- All samples have been received at the lab.
- Those that require a resistor or some special treatment to achieve the “dim” setting have been worked out with the supplier.
- Tests have been completed on several samples.
- The next update report should contain some testing photos and testing results.

DEF-UREA Update:

The last update on DEF-UREA was provided on 11-2-17:

- a) Locomotives have been in operation in five different states and DEF supply contracts are in place
- b) Amtrak has established processes for DEF procurement and handling.
- c) Midwest fill points are currently Chicago and Milwaukee. Truck based delivery is in place. Contracts are in place. Supply is going well, no problems reported.
- d) WSDOT supply chain is set up and ready to run.
- e) Fill point is set up in Oakland for Caltrans. The contracts are in place to add another fill point in LA. Caltrans has placed a storage container at the site in Oakland and is doing some initial research into a more permanent storage container/building.
- f) Plan is to gather usage data from the Chargers for next year and re-evaluate supply once we have more data.

During the month of February 2018, the Technical subcommittee met once, via conference call, on the 8<sup>th</sup> and participated in the NGEAC Annual meeting on 2-23-18 with a full year's progress report presented.

Key decisions and action item updates from the month of February 2018, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking.

The last update was provided on 11-2-17, by Paul Jamieson, SMC-Lavalin:

“The revenue service demonstration test train has accumulated 407,976 operating miles in ECP mode and 1,731,883 operating miles in Emulation mode. Total train mileage to date is 2,139,859 miles since the project started in June 2014. The train did not operate in ECP due to a damaged display screen which is not an ECP fault.

The test committee met on October 31, 2017. The test committee approved the FRA interim report and continuation of the revenue service demonstration at least until June of 2018. The FRA interim report will be submitted under the waiver.

The updated CFR draft language was presented to the RSAC ETF meeting on October 12, 2017. The draft language is currently under review by FRA counsel to incorporate into NPRM2. The RASC ETF will review the NPRM2 language prior to publication."

- Backgrounder educational document:

The new two-pager has been published and released during the NGEC Annual Meeting (2-23-18). Copies are available by request by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG Update:

Melissa Shurland, FRA provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGEC Annual Meeting. The presentation is available on line on the NGEC website at [www.ngec305.org](http://www.ngec305.org)

- Document Control Update as of 2-8-18:

On 2-8-18, Michael Burshtin, Amtrak, provided the following Document Control Update:

I have received three single-level Document Change Requests since the end of December, which I have sent to the appropriate workgroups. DCR-003-0158 has been approved with revisions by its workgroup. The other two (DCR-003-0156 and 0157) have now completed the review process by the Structural workgroup (committee member overseas travel has slowed the process). However, as these two DCRs, while found generally acceptable, concerned material substitutions across the specifications, or a carbody component structural testing item, at this workgroup's request I have sent the appropriate DCR(s) to the other workgroups for their agreement, before I complete the processing of these two DCRs.

Please send your DCR forms to [burshtm@amtrak.com](mailto:burshtm@amtrak.com) for processing. I can also be reached at 215-349-1776.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each technical subcommittee call.

Please see the report provided on 2-13-18 and included in this report under the Executive Board section, and see the complete presentation from the 2-23-18 NGEC Annual Meeting at [www.ngec305.org](http://www.ngec305.org)

- Multi-State Car Procurement - Caltrans (Lead State):

Please see the report provided on 2-13-18 and included in this report under the Executive Board section, and see the complete presentation from the 2-23-18 NGEC Annual Meeting at [www.ngec305.org](http://www.ngec305.org)

- Progress Report: The Future of Electronics on Trains Working Group:

Working Group Chair, Tom Sisler, provided the following update on 2-8-18:

1. The last meeting was a working session where we spent an hour expanding the outline of the requirements specification. Will continue next week.

- AAR Updates:

TAG committee on LED Headlights:

On 2-8-18, Tarek Omar, FRA, provided an update that he received from the TAG committee as of 1-31-18.

The team has almost finished going through the data. They are a bit away from finishing the report. The data are not complete relative to all current measures.

DEF-UREA Update:

The last update on DEF-UREA was provided on 11-2-17:

- a) Locomotives have been in operation in five different states and DEF supply contracts are in place
- b) Amtrak has established processes for DEF procurement and handling.
- c) Midwest fill points are currently Chicago and Milwaukee. Truck based delivery is in place. Contracts are in place. Supply is going well, no problems reported.
- d) WSDOT supply chain is set up and ready to run.
- e) Fill point is set up in Oakland for Caltrans. The contracts are in place to add another fill point in LA. Caltrans has placed a storage container at the site in Oakland and is doing some initial research into a more permanent storage container/building.
- f) Plan is to gather usage data from the Chargers for next year and re-evaluate supply once we have more data.

During the month of March 2018, the Technical subcommittee met once, via conference call, on the 8<sup>th</sup> and the 22<sup>nd</sup>.

Key decisions and action item updates from the month of March 2018, included:

- Updating ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 3-8-18:

“For the reporting period ending in January 2018, the ECP revenue service demonstration mileage is 557,546 ECP miles, 1,822,848 emulation (brake pipe operation) miles and total 2,390,394 miles. Currently, Amtrak is performing preventive maintenance and interior upgrades to the four coaches and cab car. This preventive maintenance and interior upgrades have resulted in a reduction of the ECP monthly mileage, but the other coaches remain in emulation revenue service demonstration.

The PRESS Mechanical ECP working group is working on completing the standards for voting by mid-2018. The NYAB and Wabtec annual equipment inspection reports are being prepared for FRA submittal. The CFR draft language is still under FRA review. The project completion is scheduled for the end of 2018. “

- Backgrounder educational document:

The new two-pager has been published and was released during the NGEN Annual Meeting (2-23-18). Copies are available by request by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG Update:

Melissa Shurland, FRA provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGEN Annual Meeting. The presentation is available on line on the NGEN website at [www.ngen305.org](http://www.ngen305.org).

- Document Control Update as of 3-22-18:

Michael Burshtin, Amtrak, provided the following Document Control Update:

“We are concluding the Technical subcommittee dispositions of the three single-level Document Change Requests received earlier. The 15 single-level DCRs received on March 1 are currently being reviewed for disposition by their appropriate Technical subcommittees. Likewise, the 4 diesel-electric locomotive DCRs recently received are also being reviewed by their appropriate Technical subcommittees for disposition.

We anticipate additional single-level DCRs to be submitted soon, which leads me to an urgent request. We frankly need additional technical subcommittee volunteers to assist in the review and disposition of the many DCRs which are upcoming. We also need to sometimes broaden the outlook and viewpoint of our reviews, as we have been doing this PRIIA technical specification work for many years, and fresh ideas and viewpoints are always welcome. The need for assistance is currently greatest for both our Mechanical technical working group, headed by Jeff Gordon ([Jeffrey.Gordon@dot.gov](mailto:Jeffrey.Gordon@dot.gov)), and the Electrical technical working group, headed by Tammy Krause ([tlkrauser@gmail.com](mailto:tlkrauser@gmail.com)). I ask all our PRIIA members with capabilities in either of these two areas, especially our more recent members who may not have been aware of this opportunity, to please consider joining one of our subcommittees. If interested, please send an e-mail message directly to Jeff or Tammy."

- Overview of the process for updating a spec with approved changes for other specs:

On 3-22-18, Tammy Krause provided the following process overview:

"I have been asked several times if changes made to one specification affect the others, and the answer is yes. All approved DCRs are looked at to determine if the change applies elsewhere. For example, the single level specification is currently Revision A. There were 144 changes made from the initial release to Revision A and these came primarily from DCRs that were approved for the Bi-Level specification. This is an on-going process for all the specifications. As you know, we tried to standardize all the PRIIA specifications where it made sense. Some chapters, such as References & Glossary, Project Management, Material & Workmanship, to name a few, are standard among all the PRIIA Equipment Specifications, whether a Car or Locomotive. There are others that are the same across the cars. That is why it is important that we continue to make sure that all changes to a specification are also made wherever else they may apply.

I would also like to mention that since the Electrical Group has not needed to have any meetings in years, I would like anybody interested in participating in the Electrical Group to send me an email. Even if you were involved before, please send me an email. My email will be in the notes of this meeting. [TLKrauseRR@gmail.com](mailto:TLKrauseRR@gmail.com)

The Diesel Electric Locomotive is currently being recompiled to Revision B. I am working with Camren, our tech writer and we anticipate completing this by April 5, the next meeting."

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each Executive Board call.

Please see the report provided on 3-27-18 and included in this report under the Executive Board section.

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

Please see the report provided on 3-27-18 and included in this report under the Executive Board section.

- Metro North Dual Mode Locomotive Procurement:

Metro-North is beginning its procurement process for the Dual-Mode Locomotives and has advertised for a pre-bid meeting for interested builders. The meeting will take place in NYC on 3-28-18.

It was agreed that this procurement will be carried as an open action item and when there are activities to be reported, Ray and/or Metro-North will provide an update. Bi-Weekly updates are also provided to the Executive Board.

- AAR Updates:

TAG committee on LED Headlights:

On 2-8-18, Tarek Omar, FRA, provided an update that he received from the TAG committee as of 1-31-18.

The team has almost finished going through the data. They are a bit away from finishing the report. The data are not complete relative to all current measures. Nothing new was reported in March 2018. The next update will be on 4-19-18.

DEF-UREA Update:

Periodic updates on implementation are provided by IDOT. The last update on DEF-UREA was provided on 11-2-17 (see below) – the next update is scheduled for 4-19-18:

- a) Locomotives have been in operation in five different states and DEF supply contracts are in place
  - b) Amtrak has established processes for DEF procurement and handling.
  - c) Midwest fill points are currently Chicago and Milwaukee. Truck based delivery is in place. Contracts are in place. Supply is going well, no problems reported.
  - d) WSDOT supply chain is set up and ready to run.
  - e) Fill point is set up in Oakland for Caltrans. The contracts are in place to add another fill point in LA. Caltrans has placed a storage container at the site in Oakland and is doing some initial research into a more permanent storage container/building.
  - f) Plan is to gather usage data from the Chargers for next year and re-evaluate supply once we have more data.
- Presentation: University of Nebraska High Speed Wireless Project – Hamid Sharif, University of Nebraska:

On 3-22-18, Hamid Sharif, University of Nebraska-Lincoln, provided a presentation to the Technical subcommittee on the University's project related to high-speed wireless architecture and train technology. On today's call, Hamid walked through a PowerPoint presentation on the projects. All Technical subcommittee members were provided with the presentation in advance of the call. The basic outline of the project was provided previously to frame the discussion:

"The Advanced Telecommunications Engineering Laboratory at the University of Nebraska-Lincoln has been investigating different high-speed wireless architecture and technologies under the direction and support of the FRA for the following objectives:

- Provide an independent in-depth study for reliable, high performance, interoperable, cost-effective and advanced wireless systems for the current and the next generation of high-speed trains.
- An independent performance evaluation of the existing wireless technologies for the rail industry if the current technologies were to be used for high-speed passenger trains in the next decade.
- Investigate the system requirements for integration of wireless communication networks to support reliable transmissions of train control signals as well as providing high capacity wireless connectivity for passengers on board of current and high-speed trains for the next decade, including a roadmap towards defining a successful WiDTL system.
- Provides a computer simulation model for rail industry to evaluate different wireless data traffic and interference scenarios for current and the next generation of high-speed passenger trains.
- Identify the technical issues which impact reliability of train control information transmissions wirelessly with the co-existence of other wireless networks."

During the month of April 2018, the Technical subcommittee met once, via conference call, on the 19th.

Key decisions and action item updates from the month of April 2018, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 4-19-18:

For the reporting period ending in January 2018, the ECP revenue service demonstration mileage is 557,546 ECP miles, 1,822,848 emulation (brake pipe operation) miles and total 2,390,394 miles. Currently, Amtrak is performing preventive maintenance and interior upgrades to the four coaches and cab car. This preventive maintenance and interior upgrades have resulted in a reduction of the ECP monthly mileage, but the other coaches remain in emulation revenue service demonstration.

The PRESS Mechanical ECP working group is working on completing the standards for voting by mid-2018. The NYAB and Wabtec annual equipment inspection reports are being prepared for FRA submittal. The CFR draft language is still under FRA review. The project completion is scheduled for the end of 2018.

- Backgrounder educational document:

The new two-pager has been published and was released during the NGEAC Annual Meeting (2-23-18). As of 4-30-18, 65 additional copies have been requested and sent out by Steve Hewitt to industry members. Copies remain available by request by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG Update:

Melissa Shurland, FRA provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGEAC Annual Meeting. The presentation is available on line on the NGEAC website at [www.ngec305.org](http://www.ngec305.org).

- Document Control Update as of 4-19-18:

The DCR summary spreadsheets for the single level car specification sent out to all Technical subcommittee members prior to the 4-19-18 conference call will be updated to combine the two spreadsheets into one and to add the rejected DCRs.

Due to an impasse on DCR -003-160 – the recommendation was to reject it as submitted. It will be added to the spreadsheet.

On 5-3-18 – the Technical subcommittee will consider approval of the summary of changes as recommended by the technical working groups.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each Executive Board call.
- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

Please see the report provided on 4-24-18 and included in this report under the Executive Board section.

- Metro North Dual Mode Locomotive Procurement:

Metro-North is beginning its procurement process for the Dual-Mode Locomotives and held a pre-bid meeting for interested builders in NYC on 3-28-18.

Please see the report provided on 4-24-18 and included in this report under the Executive Board section.

- AAR Updates:

TAG committee on LED Headlights as of 4-24-18:



The AAR TAG Committee on LED Headlights is in the final stages of the project with the initial analysis and conclusions. The final report will be out May 11<sup>th</sup> and that will be the end of the project.

- DEF-UREA Implementation Update as of 4-24-18:

DEF supply and usage are reported to be working well in all areas of the country where the Chargers are in use. No issues reported. The one item that is being worked on is the information needed from Amtrak on usage amounts, for invoicing in the Midwest in relation to the multi-state split.

- University of Nebraska study on High Speed wireless technology as of 4-24-18:

Hamid Sharif, from the University of Nebraska gave an overview of the project on 3-22-18 and is available to members off line as well. This item will remain "on the docket" with periodic updates.

On 4-19-18, it was agreed that Hamid provide a brief update on every other call of the Technical subcommittee – staggering this report with the TAG Committee report so both are on a once a month basis. The next report from the University of Nebraska will be scheduled for 5-3-18.

Contact Information:

Hamid Sharif  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

During the month of May 2018, the Technical subcommittee met three times, via conference call, on the 3<sup>rd</sup>, 17<sup>th</sup> and the 31<sup>st</sup>.

Key decisions and action item updates from the month of May 2018, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 5-31-18:

Through April 2018, the revenue service demonstration has accumulated 699,126 ECP miles and 1,874,840 emulation miles for a grand total of 2,573,966 miles. Since January 2018, the ECP mileage is 171,594 miles. Coach cars 82610 and 82629 were removed from revenue service for non-ECP preventive maintenance and some minor updates. These coach cars will be out of service for 4 to 6 weeks. The remaining two coach cars will be undergoing the same maintenance and updates after the first two coach cars are returned. The other coach cars will be operated in emulation mode during the service removal time period.

The 5 members of the ECP technical working group published an ASME paper on the project to date which was a follow up to the 2013 paper.

An ECP project update will be presented at the APTA Rail Conference in Denver. Tentative time slot is Tuesday afternoon June 12<sup>th</sup>.

The revenue service demonstration period will end during Q4 2018 or Q1 2019 due to the waiver expiration. Currently, Amtrak intends to continue the revenue service operation and accumulate additional time to justify the extended periodic maintenance interval.

Periodic Brake Maintenance:

On 5-17-18, Paul Jamieson provided the following information for inclusion in the minutes:

The FRA has requested APTA PRESS Mechanical to support the codification of various existing waivers regarding brake periodic maintenance as cover under 49 CFR 238.309. Electronic air brake (NYAB and Wabtec), 26C, 26L and other types of brake equipment will potential be lengthened under this review. The FRA has a short time window to prepare these updates for internal review and then be published in the Federal Register later this year.

- Background educational document:

The 2018 version of the NGEN Backgrounders is available electronically or by hard copy. Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) for copies; if you desire hard copies, please tell Steve how many you need and provide a mailing address. As of 5-31-18, Steve has distributed a total of 465 copies (electronic and hard copies).

- AWG Update:

Melissa Shurland, FRA provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGEN Annual Meeting. The presentation is available on line on the NGEN website at [www.ngen305.org](http://www.ngen305.org).

As of 5-31-18, nothing additional/new has been reported.

- Document Control Update as of 5-31-18:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: Progress reports from the lead state on the PRIIA multi-state locomotive procurement is provided on each Executive Board call. See the Executive Board section of this report for the latest update.

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- AAR Updates:

TAG committee on LED Headlights as of 5-31-18:

The final report was completed on 5-10-18 and has been shared with the committee members. There will be discussion on the report during the 6-7-18 meeting. Members are reviewing the report now and that will inform the discussion on 6-7-18.

- DEF-UREA Implementation Update as of 5-31-18:

DEF supply and usage are reported to be working well in all areas of the country where the Chargers are in use. No issues reported. The one item that is being worked on is the information needed from Amtrak on usage amounts, for invoicing in the Midwest in relation to the multi-state split.

This update was from April, but nothing new has been reported since that time. Next update will be provided as/when appropriate.

- University of Nebraska study on High Speed wireless technology as of 5-17-18:

Work continues to complete the simulation model on data traffic on high speed trains and new technology that is coming up. They have LTE 4G and are now working on 5G going through it to understand the characteristics and building it into the simulator. Later they can look at different data traffic that the members of the Technical subcommittee may want to look at. Next update 6-14-18.

Contact Information:

Hamid Sharif  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Amtrak Equipment Procurement Update:

As of 5-31-18, Charlie King reported that Amtrak expects to release its RFP for Locomotives early next month (June). The Amtrak mechanical side has completed its portion, but there are additional departments that also need to sign off their portions. There is a meeting later this afternoon (5-31-18), and Charlie hopes that the RFP can be out on the street by next week at the latest. Charlie will keep the Technical subcommittee apprised.

An RFI for cars will also be going out – no date provided for that as of yet.

During the month of June 2018, the Technical subcommittee met twice, via conference call, on the 14<sup>th</sup> and the 28<sup>th</sup>.

Key decisions and action item updates from the month of June 2018, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 6-28-18:

Through April 2018, the revenue service demonstration has accumulated 699,126 ECP miles and 1,874,840 emulation miles for a grand total of 2,573,966 miles. Since January 2018, the ECP mileage is 171,594 miles. Coach cars 82610 and 82629 were removed from revenue service for non-ECP preventive maintenance and some minor updates. These coach cars will be out of service for 4 to 6 weeks. The remaining two coach cars will be undergoing the same maintenance and updates after the first two coach cars are returned. The other coach cars will be operated in emulation mode during the service removal time period.

The 5 members of the ECP technical working group published an ASME paper on the project to date which was a follow up to the 2013 paper.

An ECP project update will be presented at the APTA Rail Conference in Denver. Tentative time slot is Tuesday afternoon June 12<sup>th</sup>.

The revenue service demonstration period will end during Q4 2018 or Q1 2019 due to the waiver expiration. Currently, Amtrak intends to continue the revenue service operation and accumulate additional time to justify the extended periodic maintenance interval.

Periodic Brake Maintenance:

As of 6-28-18:

The FRA has requested APTA PRESS Mechanical to support the codification of various existing waivers regarding brake periodic maintenance as covered under 49 CFR 238.309. Electronic air brake (NYAB and Wabtec), 26C, 26L and other types of brake equipment will potentially be lengthened under this review. The FRA has a short time window to prepare these updates for internal review and then be published in the Federal Register later this year.

- Backgrounder educational document:

The 2018 version of the NGECC Backgrounder is available electronically or by hard copy. Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) for copies; if you desire hard copies, please tell Steve how many you need and provide a mailing address. As of 6-28-18, Steve has distributed a total of 465 copies (electronic and hard copies).

- AWG Update:

Melissa Shurland, FRA provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGEAC Annual Meeting. The presentation is available on line on the NGEAC website at [www.ngec305.org](http://www.ngec305.org).

As of 6-28-18, nothing additional/new has been reported.

- Document Control Update as of 6-28-18:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: See the Executive Board section of this report for the latest update.
- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEAC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- AAR Updates:

TAG committee on LED Headlights as of 6-14-18:

The final report was completed on 5-10-18 and has been shared with the AAR Technical committee members. There was a conference call a week ago. Tarek Omar agreed to share the report with the NGEAC's Technical subcommittee. He will provide it to Steve Hewitt following today's call. (6-14-18). Tarek Omar, FRA, agreed to discuss comments received on the 7-12-18 NGEAC Technical subcommittee call.

- DEF-UREA Implementation Update as of 6-28-18:

DEF supply and usage are reported to be working well in all areas of the country where the Chargers are in use. No issues reported. The one item that is being worked on is the information needed from Amtrak on usage amounts, for invoicing in the Midwest in relation to the multi-state split.

This update is from April, but nothing new has been reported since that time. Next update will be provided as/when appropriate.

- University of Nebraska study on High Speed wireless technology as of 6-14-18:

On 6-14-18, Hamid Sharif gave a brief overview of the project which is to study wireless technology in freight and passenger trains – including 4G and 5G for higher speed wireless. He noted that he gave a presentation to the NGEAC's Electronics on Trains Working Group.

The intent is to have a complete simulation tool from technology to technology 4G and 5G and to provide a tool for different scenarios.

Next update – 7-12-18 Technical subcommittee call.

Contact Information:

Hamid Sharif  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group:

As of 6-28-18, Tom Sisler provided the following update:

The last meeting was held on Tuesday 6/26.

Reviewed the DTL Software Specification PRIIA 305-920 Draft and made notes for possible changes.

Requirements specification being created by this group needs reorganization into a first draft which will be distributed to the committee and a round of comments will take place.

During the months of July and August 2018, the Technical subcommittee met four times, via conference call, on July 12<sup>th</sup> and the 26<sup>th</sup> and on August 9<sup>th</sup> and the 23<sup>rd</sup>.

Key decisions and action item updates from the month of August 2018, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 8-23 -18:

The ECP revenue service demonstration continued in June and July with the coaches in emulation service only due to overhauls being performed. No emulation faults were reported in this time-period.

APTA PRESS ECP standards will be distributed for Mechanical group voting in September.

Periodic Brake Maintenance:

As of 8-23-18:

The FRA has requested APTA PRESS Mechanical to support the codification of various existing waivers regarding brake periodic maintenance as cover under 49 CFR 238.309. Electronic air brake (NYAB and Wabtec), 26C, 26L and other types of brake equipment will potential be lengthened under this review. The FRA has a short time window to prepare these updates for internal review and then be published in the Federal Register later this year.

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- AWG/RVACC Update:

Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGECC Annual Meeting. The presentation is available on line on the NGECC website at [www.ngec305.org](http://www.ngec305.org).

As of 8-23-18 nothing additional/new has been reported. As for RVACC, Melissa reached out to the Access Board in July on the issuance of the proposed rule

- Document Control Update as of 8-28 -18:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: See the Executive Board section of this report for the latest update.
- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGE Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- AAR Updates:

TAG committee on LED Headlights as of 8-23-18:

On 7-25-18, Tarek Omar, FRA, reported that the committee is preparing for Phase two (Phase One having been completed). Once underway, Tarek will provide status updates as he did with Phase One.

- DEF-UREA Implementation Update as of 8-23-18:

DEF supply and usage are reported to be working well in all areas of the country where the Chargers are in use. No issues reported. The one item that is being worked on is the information needed from Amtrak on usage amounts, for invoicing in the Midwest in relation to the multi-state split.

This update is from April, but nothing new has been reported since that time. Next update will be provided as/when appropriate.

This is ongoing – no new report provided in August 2018.

- University of Nebraska study on High Speed wireless technology as of 8-23 -18:

Hamid Sharif Kashani reported that the high-speed wireless study effort continues to build simulators for 5G for high-speed wireless on trains. Among other things, they have added different components to address different geographic areas.

Members of the Technical subcommittee are welcome to contact Hamid to provide input into the study.

The intent is to be done by late September – early October 2018.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group:

The working group did not file a report with the subcommittee in August 2018. The last update reported that the group continues to meet and has reviewed the DTL Software Specification PRIIA 305-920 Draft and made notes for possible changes.

Requirements specification being created by this group needs reorganization into a first draft which will be distributed to the committee and a round of comments will take place.

During the month of September 2018, the Technical subcommittee met twice, via conference call, on the 6th<sup>th</sup> and the 20th.

Key decisions and action item updates from the month of September 2018, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 9-20-18:

The ECP revenue service demonstration continued in June and July with the coaches in emulation service only due to overhauls being performed. No emulation faults were reported in this time-period.

APTA PRESS ECP standards will be distributed for Mechanical group voting in September.

Periodic Brake Maintenance:

As of 9-20-18:

The FRA has requested APTA PRESS Mechanical to support the codification of various existing waivers regarding brake periodic maintenance as cover under 49 CFR 238.309. Electronic air brake (NYAB and Wabtec), 26C, 26L and other types of brake equipment will potential be lengthened under this review. The FRA has a short time window to prepare these updates for internal review and then be published in the Federal Register later this year.

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- AWG/RVACC Update:

Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGEC Annual Meeting. The presentation is available on line on the NGEC website at [www.ngec305.org](http://www.ngec305.org).

As of 9-20-18 nothing additional/new has been reported. As for RVACC, Melissa reached out to the Access Board in July on the issuance of the proposed rule, and will keep the NGEC informed.

- Document Control Update as of 9-20 -18:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: See the Executive Board section of this report for the latest update.
- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- AAR Updates:

TAG committee on LED Headlights as of 8-23-18:

On 7-25-18, Tarek Omar, FRA, reported that the committee is preparing for Phase two (Phase One having been completed). Once underway, Tarek will provide status updates as he did with Phase One. As of 9-20-18, Phase II has not yet begun.

- DEF-UREA Implementation Update as of 9-20-18:

DEF supply and usage are reported to be working well in all areas of the country where the Chargers are in use. No issues reported. The one item that is being worked on is the information needed from Amtrak on usage amounts, for invoicing in the Midwest in relation to the multi-state split.

This update is from April, but nothing new has been reported since that time. Next update will be provided as/when appropriate.

This is ongoing – no new report provided in September 2018.

- University of Nebraska study on High Speed wireless technology as of 9-6-18:

On 9-6-18, Hamid Sharif-Kashani provided a brief update on the University of Nebraska High Speed Wireless Study. They continue to develop simulator platforms and models for 4G and 5G technology on trains. Hamid expects the work to be complete in October 2018.

Hamid offered to work with any members of the NGECC interested in wireless data impacting things like DTL and impacts of different locations such as tunnels or mountains. They would love to work with NGECC members on a variety of scenarios that may need to be addressed.

Hamid also noted that they are doing a study regarding radar software in railyards. One example is radar to detect trespassers in railyards. Again, Hamid offered to assist any members of the NGECC interested in learning more about this effort.

The next update will take place on 10-4-18.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

Update: Electronics on Trains Working Group:

On 9-6-18, Tom Sisler was unavailable but provided the following update for inclusion in the minutes:

The committee has met in August and discussed the DTL Software Specification PRIIA 305-920 and notes were captured. The next steps are to convert meeting notes in 305-920 and the meeting notes in the requirements document the committee is creating into two working drafts. The plan would be to run the two draft documents by the committee for tweaks.

Next update 10-4-18

During the month of October 2018, the Technical subcommittee met twice, via conference call, on the 4th<sup>th</sup> and the 18th.

Key decisions and action item updates from the month of October 2018, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical



subcommittee is tracking. Status as of 10-18-18:

The ECP revenue service demonstration continued in June and July with the coaches in emulation service only due to overhauls being performed. No emulation faults were reported in this time-period.

APTA PRESS ECP standards will be distributed for Mechanical group voting in September.

Periodic Brake Maintenance:

As of 10-18-18:

The FRA has requested APTA PRESS Mechanical to support the codification of various existing waivers regarding brake periodic maintenance as cover under 49 CFR 238.309. Electronic air brake (NYAB and Wabtec), 26C, 26L and other types of brake equipment will potential be lengthened under this review. The FRA has a short time window to prepare these updates for internal review and then be published in the Federal Register later this year.

- Backgrounder educational document:

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- AWG/RVACC Update:

Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGENC Annual Meeting. The presentation is available on line on the NGENC website at [www.ngenc305.org](http://www.ngenc305.org).

On 10-4-18 – Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: See the Executive Board section of this report for the latest update.
- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGENC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- AAR Updates:

TAG committee on LED Headlights as of 10-18-18:

On 7-25-18, Tarek Omar, FRA, reported that the committee is preparing for Phase two (Phase One having been completed). Once underway, Tarek will provide status updates as he did with Phase One. As of 10-18-18, Phase II had not yet begun.

- DEF-UREA Implementation Update as of 10-18-18:

DEF supply and usage are reported to be working well in all areas of the country where the Chargers are in use. No issues reported. The one item that is being worked on is the information needed from Amtrak on usage amounts, for invoicing in the Midwest in relation to the multi-state split.

This update is from April, but nothing new has been reported since that time. Next update will be provided as/when appropriate.

This is ongoing – no new report provided in October 2018.

- University of Nebraska study on High Speed wireless technology as of 10-4-18:

Hamid Sharif Kashani provided an overview of the High-Speed Train Simulation Systems (a PDF read ahead was provided in advance of the call and can be provided by request – contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com))

Members should review the PDF document, and anyone interested in using the simulator should contact Hamid.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group:

On 9-6-18, Tom Sisler was unavailable but provided the following update for inclusion in the minutes:

The committee has met in August and discussed the DTL Software Specification PRIIA 305-920 and notes were captured. The next steps are to convert meeting notes in 305-920 and the meeting notes in the requirements document the committee is creating into two working drafts. The plan would be to run the two draft documents by the committee for tweaks.

No updates were provided in October 2018

- 2019 NGEAC Annual Meeting – 2-22-19 Washington DC – Hyatt Regency Capitol Hill:

Steve Hewitt reported that the 2019 NGEAC Annual Meeting will be held on 2-22-18 at the Hyatt Regency Capitol Hill, Washington, DC. More information will follow in the coming months. Steve has sent a calendar notice for members to save this date and will continue to provide updates as details are forthcoming and an agenda is developed. This item will be carried as an open action item on the Technical subcommittee agenda to make sure members are aware of the Annual Meeting, time, date, place and all other details as they move forward.

During the month of November 2018, the Technical subcommittee met here times via conference calls, on the 1<sup>st</sup>, 15<sup>th</sup> and 29<sup>th</sup>.

Key decisions and action item updates from the month of November 2018, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 11-29-18:

On 11-1-18, Paul Jamieson provided the following update:

“The car overhauls (non-ECP related) were completed and the demonstration train was placed back

into service accumulating 35,898 miles through October 5, 2018. The next mileage report will be issued after November 5, 2018. The total ECP mileage is 735,024 and total emulation mileage is 2,004,782. The combined mileage is 2,739,786.

The eight ECP standards were voted on and comments received by the APTA PRESS ECP working group. The comments were discussed at the meeting held on October 23, 2018 and resolved. The standards are being updated and will be posted for public comment. It is anticipated that the standards will be issued by the end of December 2018 or early January 2019.

The APTA ECP project will be closed and transferred to Amtrak after the final FRA report is issued. Again, this transfer should occur in January 2019 pending report acceptance by the FRA safety board which includes the waiver closeout."

#### Periodic Brake Maintenance:

From May 2018: The FRA has requested APTA PRESS Mechanical to support the codification of various existing waivers regarding brake periodic maintenance as covered under 49 CFR 238.309. Electronic air brake (NYAB and Wabtec), 26C, 26L and other types of brake equipment will potentially be lengthened under this review. The FRA has a short time window to prepare these updates for internal review and then be published in the Federal Register later this year.

- Backgrounder educational document:

The 2018 version of the NGEC Backgrounder is available electronically or by hard copy. Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) for copies; if you desire hard copies, please tell Steve how many you need and provide a mailing address. As of 11-29-18, Steve Hewitt reported that the Finance and Administrative subcommittee is currently updating the two-pager to make it more current. An updated version will be distributed at the NGEC Annual Meeting in DC 2-22-19.

- AWG/RVACC Update as of 11-29-18:

Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGEC Annual Meeting. The presentation is available online on the NGEC website at [www.ngec305.org](http://www.ngec305.org).

On 10-4-18 – Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

No further updates provided

- Document Control Update:

See the update provided in the Executive Board section of this report.

#### Procurement Updates:

- Diesel-Electric Locomotive Procurement: See the Executive Board section of this report for the latest update.
- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- AAR Updates:

TAG committee on LED Headlights as of 11-29-18:

On 7-25-18, Tarek Omar, FRA, reported that the committee is preparing for Phase two (Phase One having been completed). Once underway, Tarek will provide status updates as he did with Phase One. As of 10-18-18, Phase II had not yet begun.

- DEF-UREA Implementation Update as of 11-29-18:

On 11-15-18, Art Peterson provided the following brief update on DEF-UREA implementation:

The DEF update is very straight-forward – there have been no issues in the supply of DEF at any of the locations on the Midwest “Hub” network. It is all working very smoothly.

- University of Nebraska study on High Speed wireless technology as of 11-29-18:

As of 11-1-18, the model was reported to be almost complete with verification anticipated to occur by the end of this year and the “tool” will then be done. The next step would be field testing.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group:

On 11-15-18, Tom Sisler was unavailable but provided the following update for inclusion in the minutes:

The status is that we’ve met and reviewed our draft requirements document over several meetings. The ball is in my (Tom’s) court to start turning meeting notes into requirements text and create a new draft to be reviewed by the committee which does include UNL. After getting all feedback on that future draft, we’ll be able to release a draft for Industry review.

- 2019 NGEAC Annual Meeting – 2-22-19 Washington DC – Hyatt Regency Capitol Hill:

Steve Hewitt reported that the 2019 NGEAC Annual Meeting will be held on 2-22-18 at the Hyatt Regency Capitol Hill, Washington, DC. More information will follow in the coming months. Steve has sent a calendar notice for members to save this date and will continue to provide updates as details are forthcoming and an agenda is developed. This item will be carried as an open action item on the Technical subcommittee agenda to make sure members are aware of the Annual Meeting, time, date, place and all other details as they move forward.

Further details can be found in the Executive Board section of this report.

During the month of December 2018, the Technical subcommittee met one time, via conference call, on the 13<sup>th</sup>.

Key decisions and action item updates from the month of December 2018, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 12-13-18:

On 12-13-18, Paul Jamieson provided the following update:

On 12-13-18, Paul Jamieson provided the following update for inclusion in the minutes which Steve Hewitt read into the record:

"The revenue service demonstration since June 2014 has accumulated 866,670 ECP miles and 2,029,946 emulation miles for a total of 2,896,616 miles. There were no ECP equipment faults since the previous report.

The standards are out for public comment but due to the Holiday Season, the public comments received will not be addressed until January 2019.

SPECIAL NOTE: For the state agencies that have third parties maintaining their equipment, "APTA PR-M-S-005-98 Rev. 4 Code of Tests for Passenger Car Equipment Using Single Car Testing", which is applicable to 26C type brake equipment is now available. The standard can be found at <https://www.apta.com/resources/standards/press/Pages/default.aspx>. This standard revision must be used when performing the annual single car test after March 1, 2019."

Please advise Paul Jamieson if you have any questions.

- Backgrounder educational document:

The 2018 version of the NGECC Backgrounder is available electronically or by hard copy. Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) for copies; if you desire hard copies, please tell Steve how many you need and provide a mailing address. As of 12-13-18, Steve Hewitt reported that the Finance and Administrative subcommittee has approved recommendations for revising/updating the two-pager to make it more current. An updated version has gone to the Executive Board for its consideration on 1-15-19. Once updated the two-pager will be distributed as hard copy at the NGECC Annual Meeting in DC 2-22-19 and made available electronically to all members of the NGECC.

- AWG/RVACC Update as of 12-13-18:

Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGECC Annual Meeting. The presentation is available on line on the NGECC website at [www.ngecc305.org](http://www.ngecc305.org).

On 10-4-18 – Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

No further updates have been provided.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Diesel-Electric Locomotive Procurement: See the Executive Board section of this report for the latest update.
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See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- AAR Updates:

TAG committee on LED Headlights as of 12-13-18:

On 7-25-18, Tarek Omar, FRA, reported that the committee is preparing for Phase two (Phase One having been completed). Once underway, Tarek will provide status updates as he did with Phase One. As of 12-13-18, Phase II had not yet begun.

- DEF-UREA Implementation Update as of 12-13-18:

On 11-15-18, Art Peterson provided the following brief update on DEF-UREA implementation:

The DEF update is very straight-forward – there have been no issues in the supply of DEF at any of the locations on the Midwest “Hub” network. It is all working very smoothly.

- University of Nebraska study on High Speed wireless technology as of 12-13-18:

As of 11-1-18, the model was reported to be almost complete with verification anticipated to occur by the end of this year and the “tool” will then be done. The next step would be field testing.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group:

On 12-13-18, Tom Sisler provided the following update:

The working group has spent much of this year developing a requirements document in advance of preparing the specification. The group is now making changes to the DRAFT requirements document.

Tom noted that the working group will next meet at the end of January and will likely have something to report to the Technical subcommittee in February – 2019.

Tom also noted that they had been looking at a DTL software specification 920 but have tabled it for now and may sunset it for another specification as technology advances.

- 2019 NGEC Annual Meeting – 2-22-19 Washington DC – Hyatt Regency Capitol Hill:

On 12-13-18, Steve Hewitt provided a brief overview of the DRAFT agenda for the Annual Meeting. It has been tentatively approved as DRAFT and is subject to change. The agenda has been sent to all NGEC members and is attached to the minutes of today's (11-29-18) call.

Registering for the meeting:

In order to be registered for the NGEC meeting, please send an email separately to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com). There is no registration fee for the NGEC meeting. Registering with Steve is important for head count and for printing name badges and putting together meeting packets.

Further details can be found in the Executive Board section of this report.

During the month of January 2019, the Technical subcommittee met twice, via conference call, on the 10<sup>th</sup> and the 24<sup>th</sup>.

Key decisions and action item updates from the month of January 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 1-24-19:

On 1-10-19, Paul Jamieson provided the following update for inclusion in the minutes:

"The eight APTA PRESS ECP standards have completed the public comment period without any comments being received. The standards will now be subject to the PRESS Policy and Planning Committee review to assure that all the requirements for publication have been satisfied. The standards will be released after the review is completed. Notification will be provided when the standards are available on the APTA website."

- Backgrounder educational document:

On 1-29-19, the NGEC Executive Board adopted updates to the two-page educational/backgrounder document. The changes included a revision to the NGEC vision statement and updating of the dates of revisions made to the NGEC specifications. Copies of the new two pager will be distributed at the annual meeting on 2-22-19 and will be available thereafter by request. Contact Steve Hewitt: [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC Update as of 1-24-19:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGEC website at [www.ngec305.org](http://www.ngec305.org).

The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

No further updates have been provided.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- AAR Updates:

On 1-24-19, Eric Sherrock, ENSCO, provided the following update on the LED light testing Phase II. ENSCO is supporting the FRA Office Research, Development and Technology and AAR on this effort.

"Phase 2 focused on subjective static field testing of LED lights that were deemed eligible for consideration following Phase 1 laboratory-based testing. Phase 2 field testing was successfully completed in October at the Monticello Railway Museum in Monticello, IL. Test personnel are in the process of analyzing and documenting the test results. These should be available in Q1 of 2019. FRA is working with AAR to arrange for Phase 3 testing of the locomotive LED lights in early 2019."

- DEF-UREA Implementation Update as of 1-24-19:

The last update was provided on 11-15-18 by Art Peterson for IDOT:

The DEF update is very straight-forward – there have been no issues in the supply of DEF at any of the locations on the Midwest “Hub” network. It is all working very smoothly.

The next update will be requested as appropriate.

- University of Nebraska study on High Speed wireless technology as of 1-24-19:

On 1-10-19, Hamid Sharif-Kashani reported that they have been working on modeling and simulation to evaluate data traffic and wireless technology for high speed. The modeling tool is complete and is being evaluated for different scenarios.

The next phase is testing and evaluating in the field vs. simulation tools.

On 1-10-19, asked by Steve Hewitt if Hamid still wanted to give a presentation along with Tarek Omar, FRA, at the NGEC Annual Meeting on 2-22-19, as requested, Hamid responded that he would check and get back to Steve. Steve noted that it is on the current DRAFT agenda, as a placeholder.

Hamid has since informed Steve Hewitt that he has a schedule conflict and will not be able to present at the NGEC Annual Meeting. This item has been removed from the DRAFT agenda. Steve Hewitt will work with Hamid and NGEC Chairman Eric Curtit to provide time on an upcoming Board call for a brief overview of the study.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group:

On 1-24-19, Tom Sisler (Working Group Leader) provided the following update:

“We just distributed a new draft of our requirements specification for the working group to review for our meeting next month (February 2019).”

- 2019 NGEC Annual Meeting – 2-22-19 Washington DC – Hyatt Regency Capitol Hill:

On 1-24-19, Steve Hewitt provided a brief overview of the DRAFT agenda for the Annual Meeting. It has been tentatively approved as DRAFT and is subject to change. The agenda has been sent to all NGEC members.

Registering for the meeting:

In order to be registered for the NGEC meeting, please send an email separately to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com). There is no registration fee for the NGEC meeting. Registering with Steve is important for head count and for printing name badges and putting together meeting packets.

Further details can be found in the Executive Board section of this report.

During the month of February 2019, the Technical subcommittee met once, via conference call, on the 7<sup>th</sup> and participated in the 9<sup>th</sup> Annual NGEC Meeting held in Washington, DC on 2-22-19.

Key decisions and action item updates from the month of February 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical



subcommittee is tracking. Status as of 2-7-19:

On 1-10-19, Paul Jamieson provided the following update for inclusion in the minutes:

“The eight APTA PRESS ECP standards have completed the public comment period without any comments being received. The standards will now be subject to the PRESS Policy and Planning Committee review to assure that all the requirements for publication have been satisfied. The standards will be released after the review is completed. Notification will be provided when the standards are available on the APTA website.”

- Backgrounder educational document:

On 1-29-19, the NGEC Executive Board adopted updates to the two-page educational/backgrounder document. On 2-22-19, at the NGEC Annual Meeting, the updated two-page educational document was officially released. Hard copies were provided to all meeting attendees and are available by request through Steve Hewitt – [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC Update as of 2-7-19:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGEC website at [www.ngec305.org](http://www.ngec305.org).

The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

No further updates have been provided.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Action taken on 2-7-19 - Consideration of approval of DCR-3-180:

Charlie King asked if there were any further comments or discussion on DCR 3-180, and, hearing none, called for a motion to approve DCR 3-180.

Allan Paul, NCDOT offered a motion to approve DCR 3-180, and the motion was seconded by Eric Curtit, MoDOT.

Charlie asked for any further discussion or if there was any dissension or objections. Hearing none, Charlie determined that consensus had been achieved and the motion is approved.

Larry Salci include this DCR in the Review Panel Report and its recommendation and it was sent to the Executive Board in advance of the 2-12-19 conference call. On 2-12-19, as noted in the Executive Board report, this DCR was accepted, as was the full Review Panel Report and Recommendations and Single Level Car Specification 305-003 Revision B.2 was formally adopted.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- AAR Updates as of 2-7-19:

On 1-24-19, Eric Sherrock, ENSCO, provided the following update on the LED light testing Phase II. ENSCO is supporting the FRA Office Research, Development and Technology and AAR on this effort.

“Phase 2 focused on subjective static field testing of LED lights that were deemed eligible for consideration following Phase 1 laboratory-based testing. Phase 2 field testing was successfully completed in October at the Monticello Railway Museum in Monticello, IL. Test personnel are in the process of analyzing and documenting the test results. These should be available in Q1 of 2019. FRA is working with AAR to arrange for Phase 3 testing of the locomotive LED lights in early 2019.”

- University of Nebraska study on High Speed wireless technology as of 2-7-19:

Hamid Sharif-Kashani reported that they are conducting a model and simulation high speed data network study that includes wireless.

Hamid reported that the model has been completed and they have been doing testing in the lab. They are now ready to do field testing but got delayed a bit by the government shutdown. He expects the field testing to proceed in the coming weeks and he will show the NGEC Technical subcommittee the results once the testing has occurred.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group:

On 2-7-19, Team Leader Tom Sisler, reported that the DRAFT requirements document had been completed and is under review by the working group members for discussion on the next call around the end of this month (February).

Tom referenced the working group's discussion about proceeding with a 305-920 DTL software specification in light of the fact that the FRA/University of Nebraska High Speed wireless study.

Hamid Sharif-Kashani, University of Nebraska, commented that the high-speed wireless study has a basis for the DTL and in some areas it is covered, but it is not clear how “we can have a direct interface” with what the NGEC is doing.

Tom Sisler determined that, at this point his working group will not do any work on the DTL software specification 305-920 on how to use high-speed wireless.

Hamid added that he “would be happy provide model testing in our simulations”.

During the month of March 2019, the Technical subcommittee met twice, via conference call, on the 7<sup>th</sup> and the 21<sup>st</sup>.

Key decisions and action item updates from the month of March 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 3-31-19:

The last update was provided on 1-10-19, Paul Jamieson and was included in the minutes of the Technical subcommittee. Additional updates will be provided as warranted:

“The eight APTA PRESS ECP standards have completed the public comment period without any comments being received. The standards will now be subject to the PRESS Policy and Planning Committee review to assure that all the requirements for publication have been satisfied. The standards will be released after the review is completed. Notification will be provided when the standards are available on the APTA website.”

- Backgrounder educational document:

On 2-22-19, at the NGEAC Annual Meeting, the updated two-page educational document was officially released. Hard copies were provided to all meeting attendees and are available by request through Steve Hewitt – [shewitt109@aol.com](mailto:shewitt109@aol.com)

As of 3-31-19, 157 hard copies have been distributed along with 350 electronic versions.

- AWG/RVACC:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGEAC website at [www.ngec305.org](http://www.ngec305.org).

The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

No further updates have been provided. This item will be reported on whenever an update is forthcoming.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEAC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

On 3-26-19, at the request of Caltrans, The Executive Board Chair requested that IDOT provide information/updates on the status of this procurement on the 4-9-19 Executive Board call.

- AAR Updates as of 3-31-19:

On 1-24-19, Eric Sherrock, ENSCO, provided the following update on the LED light testing Phase II. ENSCO is supporting the FRA Office Research, Development and Technology and AAR on this effort.

“Phase 2 focused on subjective static field testing of LED lights that were deemed eligible for consideration following Phase 1 laboratory-based testing. Phase 2 field testing was successfully completed in October at the Monticello Railway Museum in Monticello, IL. Test personnel are in the process of analyzing and documenting the test results. These should be available in Q1 of 2019. FRA is working with AAR to arrange for Phase 3 testing of the locomotive LED lights in early 2019.”

Tarek Omar, FRA, reported on 3-21-19, that they are waiting for Ensco to wrap up its report and then they will begin Phase 3.

- University of Nebraska study on High Speed wireless technology as of 3-21-19:

Hamid Sharif-Kashani reported: We are in the process of finalizing the project from FRA, after the January Government shutdown, to perform field testing in verification of our computer simulation models for high-speed wireless networks for the next generation of train systems.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 3-21-19:

On 2-7-19, Team Leader Tom Sisler, reported that the DRAFT requirements document had been completed and is under review by the working group members for discussion on the next call around the end of this month (February).

Tom referenced the working group's discussion about proceeding with a 305-920 DTL software specification in light of the fact that the FRA/University of Nebraska High Speed wireless study.

Hamid Sharif-Kashani, University of Nebraska, commented that the high-speed wireless study has a basis for the DTL and in some areas it is covered, but it is not clear how “we can have a direct interface” with what the NGEC is doing.

Tom Sisler determined that, at this point his working group will not do any work on the DTL software specification 305-920 on how to use high-speed wireless.

Hamid added that he “would be happy provide model testing in our simulations”.

On 3-21-19 Steve Hewitt reported that Tom Sisler, the working group team leader, has resigned from the working group due to going on family medical leave. He has asked that a new leader be appointed in his place. Tom intends to provide Steve Hewitt with a list of working group members.

Steve has asked Tammy Krause to work with the group to name a leader and provide the name of that person, along with a list of working group members, to Steve Hewitt for the NGEC records.

During the month of April 2019, the Technical subcommittee met twice, via conference call, on the 4<sup>th</sup> and the 18<sup>th</sup>.

Key decisions and action item updates from the month of April 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 4-4-19:

ECP Project: As of February 2019, the revenue service demonstration has accumulated 968,922 ECP miles and 2,116,949 emulation miles for a total of 3,085,871 miles since the start in June 2014. The 8

APTA PRESS Standards are in the final public comment period. Any public comments should be resolved during April and the standards forwarded for final process approval within APTA. The FRA final report has been drafted and a test committee meeting will be scheduled to approve the submittal. Amtrak has filed a waiver extension required to continue the revenue service operation.

- Backgrounder educational document:

On 2-22-19, at the NGEAC Annual Meeting, the updated two-page educational document was officially released. Hard copies were provided to all meeting attendees and are available by request through Steve Hewitt – [shewitt109@aol.com](mailto:shewitt109@aol.com)

As of 4-30-19 240 hard copies have been distributed along with 351 electronic versions.

- AWG/RVACC:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGEAC website at [www.ngec305.org](http://www.ngec305.org).

The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

No further updates have been provided. This item will be reported on whenever an update is forthcoming.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEAC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report

- AAR Updates as of 4-18-19:

Phase 2 – Static Testing – was completed two months ago – the final report has been delivered.

Phase 3 – Dynamic Testing – should begin within May or in a few weeks.

- University of Nebraska study on High Speed wireless technology as of 4-4-19:

On 4-4-19, Hamid Sharif-Kashani reported that the modeling and simulations continue in the lab. They

are in the process of preparing for phase 2. Field testing was slowed down by the government shutdown. As soon as all approvals come in, the testing will begin. In the meantime, they will continue the modeling and simulations. Hamid noted he is available for any states that are interested in hearing more about the study or its modeling or simulations.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 4-18-19:

On 3-21-19 Steve Hewitt reported that Tom Sisler, the working group team leader, had resigned from the working group due to going on family medical leave. He has asked that a new leader be appointed in his place.

As of 4-18-19, David Brabb, Sharma and Associates had been appointed as the new team leader of the working group. A status update on the group's development of the DTL Software specification is anticipated to be provided in May 2019.

During the month of May 2019, the Technical subcommittee met three times, via conference call, on the 2<sup>nd</sup>, the 16<sup>th</sup> and the 30<sup>th</sup>.

Key decisions and action item updates from the month of May 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 5-30-19:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGEN after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

In addition to developing the Passenger ECP system, an electronic valve replacement for the 26C service portion was developed.

The test committee and APTA PRESS Mechanical technical working group appreciates the support provided by the NGEN. This project would not have been possible without the dedication of Amtrak, APTA, NYAB and Wabtec personnel, and the support of FRA observers.

- Backgrounder educational document:

On 2-22-19, at the NGEN Annual Meeting, the updated two-page educational document was officially released. Hard copies were provided to all meeting attendees and are available by request through Steve Hewitt – [shewitt109@aol.com](mailto:shewitt109@aol.com)

As of 5-31-19, 240 hard copies have been distributed along with 353 electronic versions.

- AWG/RVACC:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGECC website at [www.ngec305.org](http://www.ngec305.org).

The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

No further updates have been provided. This item will be reported on whenever an update is forthcoming.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report

- AAR Update on the TAG Committee on LED Headlights as of 5-30-19:

FRA reported it is close to getting the contract in place for Phase 3 and 4. Possibly by the end of the week (5-31-19). On the FRA side of things, all is going well.

- University of Nebraska study on High Speed wireless technology as of 5-30-19:

On 5-2-19, it was reported that the simulation model is available to anyone who is interested. During the field-testing Hamid welcomes input from technical subcommittee members - if interested – please contact Hamid at [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 5-30-19:

David Brabb, new working group leader, provide the following update on 5-30-19 for inclusion in the minutes:

1. We had our initial NGECElectronics sub-committee meeting last week and introduced myself, and my colleagues; Ken Martin and Tanner Buel, as folks that are going to organize and lead our group meetings going forward.
2. I sent out a “get me (meaning us at Sharma) up to speed” survey to the group for comments to questions my colleagues and I have about how we have gotten to where we are, and what the group understands as our goals....so that we are best prepared to lead the group.
3. Our next call/meeting will be on June 11<sup>th</sup>.

During the month of June 2019, the Technical subcommittee met twice, via conference call, on the 13<sup>th</sup> and the 27<sup>th</sup>.

Key decisions and action item updates from the month of June 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 5-30-19:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGECE after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

In addition to developing the Passenger ECP system, an electronic valve replacement for the 26C service portion was developed.

The test committee and APTA PRESS Mechanical technical working group appreciates the support provided by the NGECE. This project would not have been possible without the dedication of Amtrak, APTA, NYAB and Wabtec personnel, and the support of FRA observers.

On 6-27-19, Paul Jamieson reported that the requested revisions to the report to FRA were approved (today) by the test committee and they are in the hands of APTA for final preparation. Paul anticipates the report will be made available in about two weeks, and, once that happens, he will provide it to Steve Hewitt for distribution to the NGECE.

- Backgrounder educational document:

On 2-22-19, at the NGECE Annual Meeting, the updated two-page educational document was officially released. Hard copies were provided to all meeting attendees and are available by request through Steve Hewitt – [shewitt109@aol.com](mailto:shewitt109@aol.com)

As of 6-30-19, 240 hard copies have been distributed along with 353 electronic versions.

- AWG/RVACC:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGECE website at [www.ngec305.org](http://www.ngec305.org).



The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

As of June 30, 2019, no further updates have been provided.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECE Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report

- AAR Update on the TAG Committee on LED Headlights as of 6-30-19:

FRA had reported in May that it was close to getting the contract in place for Phase 3 and 4. On the FRA side of things, all was reported as going well. No updates were provided in June 2019.

- University of Nebraska study on High Speed wireless technology as of 6-27-19:

On 6-13-19, it was reported that the team was busy with writing the test cases for the 4G and 5G field tests for high-speed wireless network. In parallel they are researching the right equipment and tools for our tests. With the 5G, some of the equipment are still not available and we try to build these in our lab.

On 6-27-19, it was reported that work is continuing on developing the field test infrastructure.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 5-30-19:

David Brabb, new working group leader, provide the following update On 6-27-19 for inclusion in the minutes of the Technical subcommittee call:

The Electronics group met on the 25th. Our survey of the group, meant for us at Sharma to understand what is understood as the goals of the group, and the groups thoughts on some of our findings has been consolidated, and was sent out for comment within the group.?? Based on our survey findings, it looks as though we are going to have to revisit the hardware spec 305-919 to make

it clearer, and viable. I will have a better understanding after our next meeting on July 16th. Please feel free to contact me with any questions.

During the month of July 2019, the Technical subcommittee met twice, via conference call, on the 11<sup>th</sup> and the 25<sup>th</sup>.

Key decisions and action item updates from the month of July 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGECC after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

On 7-11-19, Paul Jamieson reported that all reviews are done, and the report is in the hands of APTA to package the report. Paul has requested that APTA let him know the anticipated date of completion. Once the report is made available, Paul will provide it to Steve Hewitt for distribution to the NGECC members.

- Backgrounder educational document:

On 2-22-19, at the NGECC Annual Meeting, the updated two-page educational document was officially released. Hard copies were provided to all meeting attendees and are available by request through Steve Hewitt – [shewitt109@aol.com](mailto:shewitt109@aol.com)

As of 7-30-19, 265 hard copies have been distributed along with 353 electronic versions.

- AWG/RVACC:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGECC website at [www.ngecc305.org](http://www.ngecc305.org).

The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

As of July 25, 2019, no further updates have been provided.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECE Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report

- AAR Update on the TAG Committee on LED Headlights as of 7-25-19:

FRA had reported in May that it was close to getting the contract in place for Phase 3 and 4. On the FRA side of things, all was reported as going well. No updates were provided in June 2019.

On 7-11-19, Tarek Omar reported that the procurement has been submitted and is awaiting final approval. Tarek expects that it will be awarded in the next 3-4 weeks.

- University of Nebraska study on High Speed wireless technology as of 7-25-19:

They have completed the computer simulation model and performance evaluation and conducted some lab testing.

They are in the process of preparing for field testing. They are assembling their own test equipment. They have acquired the equipment and will evaluate it before taking it out for field testing.

On the next update Hamid will inform the subcommittee on how the testing is going.

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 7-25-19:

The NGECE Electronics on Trains working Group held its most recent call on July 16th and is revisiting 305-919 to make some minor edits. This will should help members to follow the specification. The net web-call is planned for August 6th.

During the month of August 2019, the Technical subcommittee met twice, via conference call, on the 8th and the 22nd.

Key decisions and action item updates from the month of August 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGECC after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

On 7-11-19, Paul Jamieson reported that all reviews are done, and the report is in the hands of APTA to package the report. Paul has requested that APTA let him know the anticipated date of completion. Once the report is made available, Paul will provide it to Steve Hewitt for distribution to the NGECC members.

Next update as appropriate – nothing new to report in August 2019

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As of 8-30-19, 265 hard copies have been distributed along with 355 electronic versions.

- AWG/RVACC:

Background:

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The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

As of 8-22- 2019, no further updates have been provided.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

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See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report

- AAR Update on the TAG Committee on LED Headlights as of 8-8-19:

On 8-8-19, Tarek Omar reported that the report has been provided to Ensco to finalize the test protocol with TTCI to be ready to begin the testing.

Next update 9-19-19

- University of Nebraska study on High Speed wireless technology as of 8-22-19:

As of 8-22-19, Hamid Sharif-Kashani reported that they are in the process of setting up the infrastructure for outdoor testing. They are designing their own hardware to test 4G LTV and 5G radios.

On the software, they are working in a collaborative effort with Open Car Interface Software – comprised of industry and academia.

The intent is to begin outdoor testing in September – at first in the parking lot and then beyond.

For further details please contact Hamid via email at: [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

Next update – 9-19-19

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 8-22 -19:

The electronics subcommittee met had a call on Tuesday, August 20th. They internally edited 305-919 DTL hardware specification and submitted it to the group for review and comment to be returned to team leader David Brabb no later than September 6th. The next call is planned for September 17<sup>th</sup>.

Next update: 9-19-19

During the month of September 2019, the Technical subcommittee did not meet due to several schedule conflicts including the AASHTO Council on Rail Transportation annual meeting held during the week of 9-16-19 in Hartford, Ct. The work of the subcommittee continued throughout the month and reports were provided to the Executive Board:

Key decisions and action item updates from the month of September 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made

available to the NGECC after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

On 7-11-19, Paul Jamieson reported that all reviews are done, and the report is in the hands of APTA to package the report. Paul has requested that APTA let him know the anticipated date of completion. Once the report is made available, Paul will provide it to Steve Hewitt for distribution to the NGECC members.

Next update as appropriate – nothing new to report in September 2019

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As of 9-30 -19, 265 hard copies have been distributed along with 355 electronic versions.

- AWG/RVACC:

Background:

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The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

As of 9-30 - 2019, no further updates have been provided.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

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See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report

- AAR Update on the TAG Committee on LED Headlights as of 9-30-19:

On 8-8-19, Tarek Omar reported that the report has been provided to Ensco to finalize the test protocol with TTCI to be ready to begin the testing.

Next update 10-3-19

- University of Nebraska study on High Speed wireless technology as of 9-30-19:

On 8-22-19, Hamid Sharif-Kashani reported that they are in the process of setting up the infrastructure for outdoor testing. They are designing their own hardware to test 4G LTV and 5G radios.

On the software, they are working in a collaborative effort with Open Car Interface Software – comprised of industry and academia.

The intent is to begin outdoor testing in September – at first in the parking lot and then beyond.

For further details please contact Hamid via email at: [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

Next update – 10-3-19

Contact Information:

Hamid Sharif Kashani  
Phone: 402-554-3628  
Email: [hsharif@unl.edu](mailto:hsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 9-30 -19:

The electronics subcommittee met had a call on Tuesday, August 20th. They internally edited 305-919 DTL hardware specification and submitted it to the group for review and comment to be returned to team leader David Brabb no later than September 6th. The next call is planned for September 17<sup>th</sup>.

Next update: 10-3-19

During the month of October 2019, the Technical subcommittee met three times, via conference call, on the 3<sup>rd</sup>, 17<sup>th</sup> and 31<sup>st</sup>.

Key decisions and action item updates from the month of October 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGECC after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA

PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

On 7-11-19, Paul Jamieson reported that all reviews are done, and the report is in the hands of APTA to package the report. Paul has requested that APTA let him know the anticipated date of completion. Once the report is made available, Paul will provide it to Steve Hewitt for distribution to the NGEC members.

Next update as appropriate – nothing new to report in October 2019

- Backgrounder educational document:

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As of 10-31-19, 265 hard copies have been distributed along with 355 electronic versions.

As noted in the Executive Board section of this report, the executive Board will be updating the document in advance of the NGEC annual Meeting in February 2020.

- AWG/RVACC:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGEC website at [www.ngec305.org](http://www.ngec305.org).

The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

As of 10-31- 2019, no further updates have been provided.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

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- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:



See the update provided in the Executive Board section of this report

- AAR Update on the TAG Committee on LED Headlights as of 10-31-19:

On 10-31-19, on behalf of Dr. Tarek Omar, FRA – Eric Sherrock, Ensco, provided the following update:

The test plan has been developed in cooperation with FRA and the AAR Locomotive Committee LED Standard Development TAG. Phase III testing, which will focus on the performance of selected light fixtures on moving locomotives, will be started during the week of November 11 at the Transportation Technology Center. We will offer additional updates as information is available.

If you need any additional information, please contact Sean Woods ([woods.sean@ensco.com](mailto:woods.sean@ensco.com)).

- University of Nebraska study on High Speed wireless technology as of 10-31-19:

On 10-31-19, Hamid Sharif-Kashani reported good progress in the testing of high- speed wireless system and it is his intent to have full details for the next update.

For further details please contact Hamid via email at: [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

Next update – 12-12-19

- Update: Electronics on Trains Working Group as of 10-31-19:

The Electronics working group had a call on Tuesday, October 29th. David Brabb reported that he and his colleagues at Sharma are using the group's feedback and Sharma recommendations to develop a Revision A to the PRIIA 305-919 hardware spec. They are also going to complete a first draft of a spec for WIDTL in the next month or so. At that time, they plan to submit these docs to the subcommittee for review and comment and work with the subcommittee to get these two documents completed within the next few months.

Next update: 12-12-19

During the month of November 2019, due to the Thanksgiving Holiday, the Technical subcommittee met just once, via conference call, on the 14<sup>th</sup>.

Key decisions and action item updates from the month of November 2019, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGECC after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

On 7-11-19, Paul Jamieson reported that all reviews are done, and the report is in the hands of APTA to package the report. Paul has requested that APTA let him know the anticipated date of completion. Once the report is made available, Paul will provide it to Steve Hewitt for distribution to the NGEC members.

Next update as appropriate – nothing new to report in November 2019

- Backgrounder educational document:

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As of 11-30-19, 265 hard copies have been distributed along with 393 electronic versions.

As noted in the Executive Board section of this report, the Executive Board will be updating the document in advance of the NGEC annual Meeting in February 2020.

- AWG/RVACC:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGEC website at [www.ngec305.org](http://www.ngec305.org).

The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

As of 11-30 - 2019, no further updates have been provided.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

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See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights as of 11-30-19:

On 10-31-19, on behalf of Dr. Tarek Omar, FRA – Eric Sherrock, Ensco, provided the following update:

The test plan has been developed in cooperation with FRA and the AAR Locomotive Committee LED Standard Development TAG. Phase III testing, which will focus on the performance of selected light fixtures on moving locomotives, will be started during the week of November 11 at the Transportation Technology Center. We will offer additional updates as information is available.

If you need any additional information, please contact Sean Woods ([woods.sean@ensco.com](mailto:woods.sean@ensco.com)).

There were no new updates provided in November. Several industry members requested information on this activity. Steve Hewitt referred them to Eric Sherrock.

- University of Nebraska study on High Speed wireless technology as of 11-30-19:

Good progress is being made in the testing of the high-speed wireless system. More details will be provided on the next update.

For further details please contact Hamid Sharif-Kashani via email at: [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

Next Update – 12-12-19

- Update: Electronics on Trains Working Group as of 11-30-19:

The Electronics working group had a call on Tuesday, October 29th. David Brabb reported that he and his colleagues at Sharma are using the group's feedback and Sharma recommendations to develop a Revision A to the PRIIA 305-919 hardware spec. They are also going to complete a first draft of a spec for WIDTL in the next month or so. At that time, they plan to submit these docs to the subcommittee for review and comment and work with the subcommittee to get these two documents completed within the next few months.

Next update: 12-12-19

- Preparing for the 10<sup>th</sup> NGEC Annual Meeting – February 2020 – Steve Hewitt, NGEC Program Manager:

Steve Hewitt confirmed that the NGEC's 10<sup>th</sup> Annual Meeting will take place at the Hyatt Regency, Capitol Hill in Washington, DC. (the same hotel where it was last year and most years) on Friday, 2-21-20.

The meeting will begin with registration at 8:00am and will conclude by 1:00pm. A formal announcement was sent out by Steve Hewitt, along with the hotel room block information, on 11-6-19.

All members intending to attend the meeting should register with Steve Hewitt by sending an email confirming attendance. There is no registration fee for the NGEC meeting.

A draft meeting agenda has been developed and is under review by the NGEC Executive Board. Once approved as DRAFT, Steve will send it out to all NGEC members as information and to use in obtaining travel approvals.

Hotel room block information:

The hotel is the Hyatt Regency Capitol Hill Washington, DC. The link for reserving a room is below:

<https://www.hyatt.com/en-US/group-booking/WASRW/G-APT5>

The rate is \$149 per night. Currently this is for double bedded rooms only; anyone wanting a King will need to contact the hotel directly to see if this is a possibility. However, additional cost may be incurred.

- Preparing for the TRB Session – “The NGEC – 10 Years of Progress” January 14, 2020:

On 11-14-19, Charlie King noted that Tammy Krause has offered to help him in developing the presentation for the TRB meeting. He asked, also, for any of the states or FRA members to provide any topic suggestions or bullet points they would like included in the presentation to Charlie King and Steve Hewitt as soon as possible.

A panel of NGEC presenters and the topics they will cover has been confirmed:

Eric Curtit, Chair - NGEC Executive Board - Presentation Title: "NGEC Goals and Policies"

Charlie King, Vice Chair - NGEC Executive Board – Chair - NGEC Technical subcommittee - Presentation Title: "NGEC Technical Subcommittee and Specification Development"

John Oimoen, Deputy Director of Railroads, Illinois DOT - Presentation Title: "The States' Role"

Jeffrey Gordon, Federal Railroad Administration - Presentation Title: "The Federal Role"

Larry Salci, SalciConsult - Presentation Title: "The Industry Role"

Steve Hewitt - NGEC Program Manager – will attend as support for the panel.

During the month of December 2019, due to the Holiday season, the Technical subcommittee met just once, via conference call, on the 12<sup>th</sup>.

Key decisions and action item updates from the month of December 2019, included:

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ECP Project:

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As of 12-30-19, 265 hard copies have been distributed along with 393 electronic versions.

As noted in the Executive Board section of this report, the Executive Board has updated the document and it will be distributed at the NGEC annual Meeting in February 2020, and available, thereafter in hard copy or electronically by request.

- AWG/RVACC:

Background:

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The test plan has been developed in cooperation with FRA and the AAR Locomotive Committee LED Standard Development TAG. Phase III testing, which will focus on the performance of selected light fixtures on moving locomotives, will be started during the week of November 11 at the Transportation Technology Center. We will offer additional updates as information is available.

If you need any additional information, please contact Sean Woods ([woods.sean@ensco.com](mailto:woods.sean@ensco.com)).

There were no new updates provided in November or December. Several industry members requested information on this activity. Steve Hewitt referred them to Eric Sherrock.

- University of Nebraska study on High Speed wireless technology as of 12-30-19:

Good progress is being made in the testing of the high-speed wireless system. More details will be provided on the next update.

For further details please contact Hamid Sharif-Kashani via email at: [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

Next Update – 1-23-20

- Update: Electronics on Trains Working Group as of 12-12-19:

The working group had a web-conference on Tuesday, December 10<sup>th</sup>, and the next call is scheduled for January 7<sup>th</sup>, 2020.

The group revisited and revised the PRIIA 305-919 DTL Hardware Specification. It is currently in an upper level review. Once that review is completed, and all comments are received, they will edit where needed and then send it out to the full subcommittee for review and comment.

Next update: 1-23-20

- Preparing for the 10<sup>th</sup> NGEAC Annual Meeting – February 2020 – Steve Hewitt, NGEAC Program Manager:

See update as provided in the Executive Board section of this report.

During the month of January 2020, the Technical subcommittee met twice, via conference call, on the 9<sup>th</sup> and the 23<sup>rd</sup>.

Key decisions and action item updates from the month of January 2020, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGEAC after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

On 7-11-19, Paul Jamieson reported that all reviews are done, and the report is in the hands of APTA to package the report. Paul has requested that APTA let him know the anticipated date of completion. Once the report is made available, Paul will provide it to Steve Hewitt for distribution to the NGEAC members.

Next update as appropriate – nothing new to report in January 2020.

- Backgrounder educational document:

The updated NGEAC two-page background document has been printed and is now available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:

Background:

At the 2018 annual meeting, Melissa Shurland, FRA, provided an update on the activities of the Accessibility Working Group and on the RVACC effort. The presentation is available on line on the NGECC website at [www.ngec305.org](http://www.ngec305.org).

The last update provided to the Technical subcommittee was on 10-4-18 when Melissa Shurland reported that there still has been no word from the RVACC on the possible release of a rule for accessibility on Rail Vehicles.

An Accessibility update will be provided at the 2-21-20 NGECC Annual meeting.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights as of 1-31-20:

On 10-31-19, on behalf of Dr. Tarek Omar, FRA – Eric Sherrock, Ensco, provided the following update:

The test plan has been developed in cooperation with FRA and the AAR Locomotive Committee LED Standard Development TAG. Phase III testing, which will focus on the performance of selected light fixtures on moving locomotives, will be started during the week of November 11 at the Transportation Technology Center. We will offer additional updates as information is available.

If you need any additional information, please contact Sean Woods ([woods.sean@ensco.com](mailto:woods.sean@ensco.com)).

There were no new updates provided in January 2020.

- University of Nebraska study on High Speed wireless technology as of 1-23-20:

On 1-9-20, it was reported that they are in the outdoor testing phase and have done over a dozen field tests for distance and software for the radio system they have designed. They have 100 gig of data from testing and are now analyzing that data for a match to the computer models. Hamid hopes to be able to share the results in the next report to the Technical subcommittee (2-6-20).

For further details please contact Hamid Sharif-Kashani via email at: [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 1-31-20:

The NGEN Electronics working group update as of 1-9-20 submitted by working group team leader, David Brabb:

"No meeting was held on Jan 7th due to me (David Brabb) being out of the office. That was OK because we were only going to announce that we are going to send out the Revision A of 305-919 DTL Hardware Specification for review and comment, later this week, to our full working group....and that is our plan now.

We are also now working on the WiDTL specification."

Next update: 2-6-20

- Preparing for the 10<sup>th</sup> NGEN Annual Meeting – February 2020 – Steve Hewitt, NGEN Program Manager:

See update as provided in the Executive Board section of this report.

During the month of February 2020, the Technical subcommittee met twice, via conference call, on the 6<sup>th</sup> and as a part of the NGEN's 10<sup>th</sup> Annual Meeting held on 2-21-20 in Washington, DC.

Key decisions and action item updates from the month of February 2020, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGEN after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

On 7-11-19, Paul Jamieson reported that all reviews are done, and the report is in the hands of APTA to package the report. Paul has requested that APTA let him know the anticipated date of completion. Once the report is made available, Paul will provide it to Steve Hewitt for distribution to the NGEN members.

Next update as appropriate – nothing new to report in February 2020.

- Background educational document:

The updated NGEN two-page background document has been printed and is now available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:



Background:

At the NGEN Annual Meeting, Melissa Shurland, FRA, provided an update. The presentation is available upon request from Steve Hewitt and is posted on the NGEN website at [www.ngen305.org](http://www.ngen305.org).

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.  
The following update was provided on 2-6-20. A more, in-depth presentation was provided during the Annual Meeting and is available on the NGEN website.

FDR for the standard coach is complete. Cab Car Brake and Electrical System IDR updates are in review. Cab Car structure FDR is scheduled for February 27 and IDOT Galley FDR design releases are beginning.

The Complete Coach FAI occurred on November 13-14 in Sacramento and production continues work on open items. Car #3 will be shipped to the NEC for FRA 213.345 in late February after climate room testing is completed. Cars 4 and 5 are planned for shipment to TTCL next week to support Amtrak PTC Brake Profile testing. Door cycle and Lighting tests are also occurring during the next two weeks at TTCL.

45 cars total are in production or have been produced at Siemens Sacramento Facility. System-level FAIs for standard coach are nearly complete with remaining action items under final review, including open items for the complete car.

- Metro North Dual Mode Locomotive Procurement:

As of 2-6-20, Metro-North continues to review proposals received.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEN Vice Chair, Charlie King on a regular basis. The following update was provided on 2-6-20. A more, in-depth presentation was provided during the Annual Meeting and is available on the NGEN website.

On the Acela replacement:

Trainset 1 is being made ready to go to TTCL as have the California cars.

On the Locomotives:

The FAIs for the locomotives are being put together.

On the Trainset (AmFleet replacement):

They continue to be in the bid review phase by the Amtrak technical and finance committees.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights as of 1-31-20:

On 10-31-19, on behalf of Dr. Tarek Omar, FRA – Eric Sherrock, Ensco, provided the following update:

The test plan has been developed in cooperation with FRA and the AAR Locomotive Committee LED Standard Development TAG. Phase III testing, which will focus on the performance of selected light fixtures on moving locomotives, will be started during the week of November 11 at the Transportation Technology Center. We will offer additional updates as information is available.

If you need any additional information, please contact Sean Woods ([woods.sean@ensco.com](mailto:woods.sean@ensco.com)).

There were no new updates provided in February 2020.

- University of Nebraska study on High Speed wireless technology as of 1-23-20:

On 1-9-20, it was reported that they are in the outdoor testing phase and have done over a dozen field tests for distance and software for the radio system they have designed. They have 100 gig of data from testing and are now analyzing that data for a match to the computer models. Hamid hopes to be able to share the results in the next report to the Technical subcommittee (2-6-20).

For further details please contact Hamid Sharif-Kashani via email at: [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

There were no new updates provided in February 2020.

- Update: Electronics on Trains Working Group as of 1-31-20:

The NGEC Electronics working group update as of 1-9-20 submitted by working group team leader, David Brabb:

"No meeting was held on Jan 7th due to me (David Brabb) being out of the office. That was OK because we were only going to announce that we are going to send out the Revision A of 305-919 DTL Hardware Specification for review and comment, later this week, to our full working group....and that is our plan now.

We are also now working on the WiDTL specification."

There were no new updates provided in February 2020

During the month of March 2020, the Technical subcommittee met twice, via conference call, on the 5<sup>th</sup> and on the 19<sup>th</sup>

Key decisions and action item updates from the month of March 2020, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGEC after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

On 7-11-19, Paul Jamieson reported that all reviews are done, and the report is in the hands of APTA to package the report. Paul has requested that APTA let him know the anticipated date of completion. Once the report is made available, Paul will provide it to Steve Hewitt for distribution to the NGECC members.

Next update as appropriate – nothing new to report in March 2020.

- Backgrounder educational document:

The updated NGECC two-page background document has been released and is now available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:

With the release of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles, the Technical subcommittee will wait until a final rule is published and will then (through its technical working groups) compare them with the NGECC specifications to ensure compliance and make any necessary changes by utilizing the NGECC DCR process.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights as of 3-5-20:

On 3-5-20 Tarek Omar reported that they are still finalizing phase 4 and would keep the subcommittee apprised as it progresses.

- University of Nebraska study on High Speed wireless technology as of 3-5-20:

On 3-5-20, Hamid Sharif-Kashani reported that they have completed the field testing and have concluded that most results matched their lab and simulations. There is “tons of data” and Hamid would be happy to share the link to the data with the NGECC members and would welcome input /feedback.

Steve Hewitt suggested that Hamid provide him with the link, and he will send it out to all NGECC members.

For further details please contact Hamid Sharif-Kashani via email at: [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 3-5-20:

The NGECE Electronics working group update as of 3-5-20 submitted by working group team leader, David Brabb:

The group had a web-conference Tuesday, March 3rd. the next web-conference was planned for Tuesday, March 24th.

Due to the latest rounds of comments on the PRIIA 305-919 DTL hardware Revision 2020A, the group decided to get confirmation on the intended topology of the DTL system. They were asking the group to help determine between a "ring" type and a "linear" (for a lack of a better term) type of system topology. They are also reaching out to some outside the Electronics working group for comments as well. Once that decision is made, they will specify jumpers and any peripherals and include in 919.

Finally, the plan is to insert a WiDTL section, that has gone through preliminary review, into 919 and send that Revision 2020B out to the group for final review. The WiDTL section specifies redundancy for back office and passenger entertainment purposes only, not any operational communications or controls, due to safety and security risks.

- DEF-UREA Update:

On 11-15-18, Art Peterson provided the following brief update on DEF-UREA implementation:

The DEF update is very straight-forward – there have been no issues in the supply of DEF at any of the locations on the Midwest "Hub" network. It is all working very smoothly.

There were no updates provided in March 2020.

During the month of April 2020, the Technical subcommittee met three times, via conference call, on the 2<sup>nd</sup>, the 16<sup>th</sup> and on the 30<sup>th</sup>.

Key decisions and action item updates from the month of April 2020, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking:

ECP Project:

The test committee met on May 29, 2019 with some minor edits requested to the final FRA report. The report will be submitted by APTA under docket no. FRA-2015-0078. The report will be made available to the NGECE after APTA submittal. The revenue service demonstration resulted in 1,039,740 ECP fleet miles and 2,126,747 Emulation (BP operation) fleet miles. The total mileage for ECP and emulation was 3,166,541 fleet miles. A total of five incidents were reported the revenue service demonstration. Two incidents were related to electronic hardware, there were no software incidents and three incidents related to training which occurred early in the ECP revenue service demonstration. The hardware incidents have been properly investigated and resolved. The APTA PRESS standards for the emulation 26C configuration and ECP configuration were approved and will be available on the APTA standard website. The equipment provided by New York Air Brake (Knorr) and Wabtec were approved under this project. Draft regulatory language has been prepared and provided to the FRA.

Amtrak will continue the revenue service demonstration.

On 7-11-19, Paul Jamieson reported that all reviews are done, and the report is in the hands of APTA to package the report. Paul has requested that APTA let him know the anticipated date of completion. Once the report is made available, Paul will provide it to Steve Hewitt for distribution to the NGECE members.

Next update as appropriate – nothing new to report in April 2020.

- Backgrounder educational document:

The updated NGEC two-page background document has been released and is now available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:

With the release of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles, the Technical subcommittee will wait until a final rule is published and will then (through its technical working groups) compare them with the NGEC specifications to ensure compliance and make any necessary changes by utilizing the NGEC DCR process.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights as of 3-5-20:

On 3-5-20 Tarek Omar reported that they are still finalizing phase 4 and would keep the subcommittee apprised as it progresses.

- University of Nebraska study on High Speed wireless technology as of 4-16-20:

On 4-16-20, Hamid Sharif-Kashani reported that he had nothing new to provide at this time due to the campus being shut down (COVID 19). They are trying to remotely organize the results and will, hopefully, be able to share a link to them by the next update.

For further details please contact Hamid Sharif-Kashani via email at: [hamidsharif@unl.edu](mailto:hamidsharif@unl.edu)

- Update: Electronics on Trains Working Group as of 3-5-20:

The NGEC Electronics working group update as of 3-5-20 submitted by working group team leader, David Brabb:

The group had a web-conference Tuesday, March 3rd. the next web-conference was planned for Tuesday, March 24th.

Due to the latest rounds of comments on the PRIIA 305-919 DTL hardware Revision 2020A, the group decided to get confirmation on the intended topology of the DTL system. They were asking the group to help determine between a "ring" type and a "linear" (for a lack of a better term) type of system topology. They are also reaching out to some outside the Electronics working group for comments as well. Once that decision is made, they will specify jumpers and any peripherals and include in 919.

Finally, the plan is to insert a WiDTL section, that has gone through preliminary review, into 919 and send that Revision 2020B out to the group for final review. The WiDTL section specifies redundancy for back office and passenger entertainment purposes only, not any operational communications or controls, due to safety and security risks.

Nothing new reported in April 2020.

During the month of May 2020, the Technical subcommittee met twice, via conference call, on the 14<sup>th</sup> and the 28<sup>th</sup>.

Key decisions and action item updates from the month of May 2020, included:

- Backgrounder educational document:

The updated NGECC two-page background document remains available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:

With the release of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles, the Technical subcommittee will wait until a final rule is published and will then (through its technical working groups) compare them with the NGECC specifications to ensure compliance and make any necessary changes by utilizing the NGECC DCR process.

On 5-28-20 it was announced that the comment period was extended to 7-14-20.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights Phase 4 as of 5-28-20:

Tarek Omar reported that they had a meeting last week (week of 5-18-20) and all testing has been done on Phase 4. On Phase 3, the report is complete and should be out soon. On Phase 4, Tarek expects to have a DRAFT report to share with the members of the TAG committee in a week or 2.

- University of Nebraska study on High Speed wireless technology as of 5-14-20:

Hamid Sharif-Kashani summarized the High-Speed Wireless Study what has been done and what the plan is going forward. He also provided the following written update for inclusion in the minutes of 5-14-20:

Hamid Sharif – University of Nebraska-Lincoln Report:

Completed Project:

We designed, developed, and evaluated a unified communications architecture for high-speed passenger rail services. We focused on our evaluation framework and tested it on 4G LTE. This testing framework is designed to be applicable to a wide range of technologies under test by utilizing software radios. It also allows us to conduct both lab tests and field tests, both stationary and mobile.

We utilized this platform to conduct a series of tests. These included lab tests using our channel emulator facility to evaluate it under different wireless channel models. It also included testing in rural, urban, and suburban environments, as well as mobile drive tests at Interstate velocities.

We found our testing framework to dependable and versatile. With this testing framework now available, our aim for the next phase is to study different technologies that fit into different aspects of our architecture design.

Next phase:

One key challenge that drives system expense is the limited wireless communications bandwidth available to support these railroad applications, especially in high-density traffic areas. For example, data shows that dense urban areas such as the Chicago area have spectrum shortages that are expected to severely impact the performance of PTC systems and railroad operations. The 220 MHz band is the primary frequency used for interoperable PTC systems. Other railroad frequency bands are therefore of considerable interest to the rail industry to alleviate the demand on currently utilized bands.

We plan to conduct an in-depth review of the operating regulations and restrictions of these frequency bands and their theoretical applicability for different key railroad applications such as wayside communication, onboard train control and monitoring operations, and the exploration of mixed voice/data applications.

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For more information, please contact Hamid Sharif (HSHARIF@UNL.EDU)

- Update: Electronics on Trains Working Group as of 5-14-20:

NGEC Electronics Subcommittee – Update for 5-14-20 as provided by Team Leader David Brabb:

We are currently asking the group to help us with guidance on the original intent of the PRIIA 305 specification, including the topology, for the DTL system. In our last meeting, on April 21st, we discussed whether we should specify a RING topology or a Linear topology. This question came up because our initial find seemed to point to a Ring topology. But after review and feedback, it looked as though a linear topology would be more appropriate. Additionally, we have had industry suppliers tell us that we should specify the allowance for both topologies. This, as you know, would make

interoperability between the two difficult, as one of them would have to be changed to the other to work correctly in the same consist.

We've yet to receive clarification as to the main intent.....do we need to design the specification(s) to ensure interoperability between all vehicles? Or, is this optional? And, if it does not apply to all vehicles, which vehicles or train sets would it apply to? That is the information that we are looking to clarify now.

Our next meeting is planned for May 19th.

Tammy Krause agreed to look at the issues/questions raised by David Brabb and to provide him with a response.

- Technical subcommittee call Frequency:

On 5-28-20, Charlie King reported to the Technical subcommittee that the Executive Board had been discussing the possibility of reducing the frequency of its calls (currently Bi-Weekly). (see discussion in Board section of this report)

While there were some thoughts on changing the Technical subcommittee call frequency (to potentially every three weeks or every four weeks), Charlie has determined that the calls will remain as they have always been – bi-weekly. There may be times that a call is canceled, but primarily they will continue to follow the current schedule of every two weeks. Charlie believes "it is a routine we are all in" and it is better to hold the time on the calendars and to not disrupt the flow that has worked quite well. While these calls are important for the voting members (states, Amtrak and FRA), they are also important to the members of the industry (200+) as well.

During the month of June 2020, the Technical subcommittee met twice, via conference call, on the 11<sup>th</sup> and the 25<sup>th</sup>.

Key decisions and action item updates from the month of June 2020, included:

- Backgrounder educational document:

The updated NGECC two-page background document remains available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGECC Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the Technical subcommittee will compare them with the NGECC specifications to ensure compliance.

On 5-28-20, Melissa Shurland, FRA, informed Steve Hewitt that The US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

<https://www.access-board.gov/guidelines-and-standards/transportation/vehicles/update-of-the-guidelines-for-transportation-vehicles/advance-notice-of-proposed-rulemaking-2>

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.



See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights Phase 4 as of 6-25-20:

On 6-25-20, Tarek Omar, FRA, reported that Phase 3 and 4 are complete and they are working on the final report. Tarek hopes to be able to share the report with this group soon.

- University of Nebraska study on High Speed wireless technology as of 6-25-20:

Hamid Sharif-Kashani, University of Nebraska, reported that phase 1 and the current phase were completed (development of the simulator and verification of the model) and they are now getting ready for the next phase – to determine effectiveness.

For more information, please contact Hamid Sharif (HSHARIF@UNL.EDU)

- Update: Electronics on Trains Working Group as of 6-11-20:

The Electronics on Trains working group had a call on June 2nd. A topology was decided on and they are moving forward with for DTL. They are now making the appropriate changes to the specification.

They were scheduled to meet again on 6-30-20.

During the month of July 2020, the Technical subcommittee met twice, via conference call, on the 9<sup>th</sup> and the 23<sup>rd</sup>.

Key decisions and action item updates from the month of July 2020, included:

- Backgrounder educational document:

The updated NGEC two-page background document remains available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGEC Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments “have come back”, the Technical subcommittee will compare them with the NGEC specifications to ensure compliance.

On 5-28-20, Melissa Shurland, FRA, informed Steve Hewitt that The US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

The comment period deadline has passed, and Melissa is being asked to provide an update on the status to the Technical subcommittee on 8-6-20.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECE Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights Phase 4 as of 6-25-20:

On 6-25-20, Tarek Omar, FRA, reported that Phase 3 and 4 are complete and they are working on the final report. Tarek hopes to be able to share the report with this group soon.

There was no new update on this item in July 2020.

- University of Nebraska study on High Speed wireless technology as of 7-23 -20:

Hamid Sharif-Kashani reported that they have completed the most recent phase of the study and are preparing for the next phase which will begin in September. They will be testing a frequency that will connect car voice and data at the same time to see if this will ease some of the saturation that occurs.

Please contact Hamid if you would like more information on this effort.

For more information, please contact Hamid Sharif (HSHARIF@UNL.EDU)

- Update: Electronics on Trains Working Group as of 7-9-20:

David Brabb provided the following update on 7-9-20:

We had our call on June 30th. We are buttoning up the latest revision of PRIIA 305 DTL specification to include recommended topologies. That is planned to be completed for limited review this week. Our next call is scheduled for July 21st.

During the month of August 2020, the Technical subcommittee met twice, via conference call, on the 6th and the 20th.

Key decisions and action item updates from the month of August 2020, included:

- Backgrounder educational document:

The updated NGEN two-page background document remains available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGEN Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the Technical subcommittee will compare them with the NGEN specifications to ensure compliance.

On 5-28-20, Melissa Shurland, FRA, informed Steve Hewitt that The US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

The comment period deadline has passed. Melissa Shurland reported on 8-20-20 that the Access Board is reviewing the comments received. She will keep the Tech subcommittee apprised as this effort progresses.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEN Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights Phase 4 as of 6-25-20:

On 8-20-20, Tarek Omar noted that the LED testing is complete except for ice melting – which will need to wait a few months on. Steve Hewitt asked if he should remove this item as a regular update.

It was agreed that he would take it off as a monthly standing agenda item and will make a note to check in with Tarek in December 2020.

- University of Nebraska study on High Speed wireless technology as of 7-23 -20:

Hamid Sharif-Kashani reported that they have completed the most recent phase of the study and are preparing for the next phase which will begin in September. They will be testing a frequency that will connect car voice and data at the same time to see if this will ease some of the saturation that occurs.

In August there was nothing new to report as the next phase will begin in September 2020.

Please contact Hamid if you would like more information on this effort.

For more information, please contact Hamid Sharif (HSHARIF@UNL.EDU)

- Update: Electronics on Trains Working Group as of 8-20-20:

On 8-20-20, David Brabb provided the following update which was read into the record by Steve Hewitt:

We had our Electronics working group meeting Tuesday (8-18-20). We delivered PRIIA 305-919 DTL Hardware Rev. 2020B to the whole group on Monday for review. They are to give us feedback by Friday Aug 28th. We will then incorporate what is needed and move on to firmware/ software specs.

Our next meeting is on September 8th.

Steve Hewitt noted that he would ask Tammy Krause to check in with the working group to make sure that the NGECC document change procedures are being followed to revise/update the PRIIA 305-919 reference specification.

During the month of September 2020, the Technical subcommittee met twice, via conference call, on the 3rd and the 17th.

Note: As of 9-18-20, George Hull, Acting Amtrak CMO, per the NGECC By-Laws, became Chair of the Technical subcommittee with retirement from Amtrak of Charlie King. Who had served as Technical subcommittee Chair for the last several years. Also, per the NGECC By-Laws, George became Vice Chair of the NGECC Executive Board filling the seat vacated by Charlie King's retirement. George, in turn, appointed Joe Paul, Amtrak, as Vice Chair of the Technical subcommittee.

Key decisions and action item updates from the month of September 2020, included:

- Backgrounder educational document:

The current NGECC two-page background document remains available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

The Finance and Administrative subcommittee has begun the process of updating the document with the intent being to have it ready for distribution in January 2021.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGECC Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the Technical subcommittee will compare them with the NGECC specifications to ensure compliance.

On 5-28-20, Melissa Shurland, FRA, informed Steve Hewitt that The US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

The comment period deadline has passed. Melissa Shurland reported on 8-20-20 that the Access Board is reviewing the comments received. She will keep the Tech subcommittee apprised as this effort progresses.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECE Vice Chair, Charlie King on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights Phase 4 as of 6-25-20:

On 8-20-20, Tarek Omar noted that the LED testing is complete except for ice melting – which will need to wait a few months on. Steve Hewitt asked if he should remove this item as a regular update. It was agreed that he would take it off as a monthly standing agenda item and will make a note to check in with Tarek in December 2020.

- University of Nebraska study on High Speed wireless technology as of 9-17-20:

Hamid Sharif-Kashani reported that FRA had approved the next phase of this study and they have begun work on the issue of spectrum saturation and are looking into how to utilize other available frequencies and developing models for both voice and data.

Please contact Hamid if you would like more information on this effort.

For more information, please contact Hamid Sharif (HSHARIF@UNL.EDU)

- Update: Electronics on Trains Working Group as of 9-17-20:

The NGECE Electronics subcommittee had a web conference on Tuesday, September 8th. We have received the final comments/edits to the latest PRIIA 305 DTL Hardware specification. After implementing the comments/edits, we plan to issue revision 2020B before our next scheduled web conference on September 29th. In that meeting we plan to discuss the next step in the specification development process which likely will be the addition of firmware specs/info to the DTL doc.

Steve Hewitt pointed out to David Brabb, when he submitted his report, that he would ask Tammy Krause, Document Control Manager to reach out to David to make sure that the NGEN procedures are being followed in revising/updating the specification. Steve has sent a message to Tammy and asked that she reach out to David.

As of 9-30-20, Tammy Krause reached out to David Brabb and described the process to be followed to officially revise the specification.

During the month of October 2020, the Technical subcommittee met three times, via conference call, on the 1<sup>st</sup>, the 15<sup>th</sup> and the 29<sup>th</sup>.

Key decisions and action item updates from the month of October 2020, included:

- Backgrounder educational document:

The current NGEN two-page background document remains available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

The Finance and Administrative subcommittee has begun the process of updating the document with the intent being to have it ready for distribution in January 2021.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGEN Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the Technical subcommittee will compare them with the NGEN specifications to ensure compliance.

On 5-28-20, Melissa Shurland, FRA, informed Steve Hewitt that The US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

The comment period deadline has passed. Melissa Shurland reported on 8-20-20 that the Access Board is reviewing the comments received. She will keep the Tech subcommittee apprised as this effort progresses.

As noted in the Executive Board section of this report – as of 10-1-20 – the Access Board appears to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGEN Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights Phase 4 as of 6-25-20:

On 8-20-20, Tarek Omar noted that the LED testing is complete except for ice melting – which will need to wait a few months on. Steve Hewitt asked if he should remove this item as a regular update. It was agreed that he would take it off as a monthly standing agenda item and will make a note to check in with Tarek in December 2020.

- University of Nebraska study on High Speed wireless technology as of 10-29-20:

Hamid Shari-Kashani reported that they are continuing to progress the current phase in which they are studying frequency performance issues for the different band widths. They are looking to find a way to resolve saturation. Their focus is on 160 Mega Hertz. They are looking at their previous modeling to see if they can adapt it for 160 Mega Hertz.

For more information, please contact Hamid Sharif (HSHARIF@UNL.EDU)

- Update: Electronics on Trains Working Group as of 10-29-20:

The NGEC Electronics subcommittee had a web conference on Tuesday, September 8th. We have received the final comments/edits to the latest PRIIA 305 DTL Hardware specification. After implementing the comments/edits, we plan to issue revision 2020B before our next scheduled web conference on September 29th. In that meeting we plan to discuss the next step in the specification development process which likely will be the addition of firmware specs/info to the DTL doc.

Steve Hewitt pointed out to David Brabb, when he submitted his report, that he would ask Tammy Krause, Document Control Manager to reach out to David to make sure that the NGEC procedures are being followed in revising/updating the specification. Steve has sent a message to Tammy and asked that she reach out to David.

As of 9-30-20, Tammy Krause reached out to David Brabb and described the process to be followed to officially revise the specification.

On 10-29-20, David Brabb reported that the October meeting (10-27-20) had been postponed, but work continued on updating the PRIIA Reference specification DTL 305-919 (hardware) and that they will next begin development of the software specification DTL 305-920.

- Industry Email Addresses posted on the NGEC website being used for solicitations:

Steve Hewitt reported that a concern was raised by an NGEC industry participant regarding the posting of the email addresses of industry members on the NGEC website. Steve Hewitt noted that the NGEC is required to keep open records and has always posted contact information for all registered members of the industry as well as the states, Amtrak, FRA etc. The individual raised the issue because he received a solicitation (as did many, or “all” of the industry participants) from an entity that is not associated with the NGEC in any way. This entity must have gotten the email list from the public (open record) NGEC website.

The individual raising the concern, favored having all industry email addresses removed from the contact list on the website.

After much discussion, the resolution of this issue is that Steve Hewitt will remove the email address of the member that raised the concern and will that of any member who requests it going forward. Otherwise the list will remain as is.

During the month of November 2020, the Technical subcommittee met once, via conference call, on the 12<sup>th</sup>. The second monthly meeting landed on Thanksgiving and was cancelled.

Key decisions and action item updates from the month of November 2020, included:

- Backgrounder educational document:

The current NGECE two-page background document remains available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

The Finance and Administrative subcommittee continues to make progress on updating the document with the intent being to have it ready for distribution in mid to late January 2021.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGECE Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the Technical subcommittee will compare them with the NGECE specifications to ensure compliance.

On 5-28-20, Melissa Shurland, FRA, informed Steve Hewitt that The US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

The comment period deadline has passed. Melissa Shurland reported on 8-20-20 that the Access Board is reviewing the comments received. She will keep the Tech subcommittee apprised as this effort progresses.

As noted in the Executive Board section of this report – as of 11-30-20 – the Access Board appears to continue to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGECE Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.



- AAR Update on the TAG Committee on LED Headlights Phase 4 as of 6-25-20:

On 8-20-20, Tarek Omar noted that the LED testing is complete except for ice melting – which will need to wait a few months on. Steve Hewitt asked if he should remove this item as a regular update. It was agreed that he would take it off as a monthly standing agenda item and will make a note to check in with Tarek in December 2020.

- University of Nebraska study on High Speed wireless technology as of 10-29-20:

On 10-29-20, Hamid Shari-Kashani reported that they are continuing to progress the current phase in which they are studying frequency performance issues for the different band widths. They are looking to find a way to resolve saturation. Their focus is on 160 Mega Hertz. They are looking at their previous modeling to see if they can adapt it for 160 Mega Hertz.

For more information, please contact Hamid Sharif ([HSHARIF@UNL.EDU](mailto:HSHARIF@UNL.EDU))

There was nothing new reported in November as the meeting scheduled for the 26<sup>th</sup> was cancelled. An update will be provided in December 2020.

- Update: Electronics on Trains Working Group as of 11-30-20:

The following update was provided by David Brabb on 11-12-20:

"We met on Tuesday, November 10th. We are buttoning up the DTL 305-919 Hardware spec. We discussed moving a few items from the original 920 draft to 919 because they are related more to hardware. We plan to stop the current 919 revision now and will add the firmware and the other items discussed when we are able. We are at a stopping point due to contractual issues at this time but still plan to hold our next meeting on December 15th."

- Update: The Passenger ECP Final Test Report:

On 11-12-20, Paul Jamieson provided the following update on the ECP Final Test Report:

"The Passenger ECP Final Test Report has been submitted to the FRA observer and docket. The docket reference is FRA-2015-0078 for all information that was formally submitted to the FRA. Draft ECP regulatory language was submitted to the FRA observer and the text will appear in a future NPRM.

NGEC technical specification's recommended changes will be submitted separately for inclusion in future revisions. These changes will include the two performance standards APTA PR-M-S-20-17 Emulation Performance Requirements and APTA PR-M-S-21-17 ECP Passenger Performance Requirements are issued and available of the APTA website <https://www.apta.com/research-technical-resources/standards/passenger-rail-equipment-safety-standards/> . An APTA PRESS standard to address ECP Ready requirements, as addressed in the NGEC technical specification, will be issued as APTA PR-M-030-21, and is in final publication preparation.

APTA will be issuing a standard to address passenger vehicle piping requirements. This standard will be APTA PR-M-S-029-21 and is in final publication preparation."

If anyone has any questions, please feel free to contact Paul at:

Paul E Jamieson, PE Retired  
Mobile: 18643236956  
[jamiespe@outlook.com](mailto:jamiespe@outlook.com)

Paul also recommended that the NGEC, as one of the project sponsors, may want to post this report on the website.

Steve Hewitt provided the link to AASHTO and asked that the report be posted on the Technical subcommittee section of the NGEC website.

During the month of December 2020, the Technical subcommittee met once, via conference call, on the 10<sup>th</sup>. The second monthly meeting landed on Christmas Eve and was canceled.

Key decisions and action item updates from the month of December 2020, included:

- Backgrounder educational document:

The current NGECC two-page background document remains available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

The Executive Board has approved proposed updates as presented by the NGECC FASC. The document is with MODOT graphic arts for formatting and will be presented as a final draft for Executive Board approval in January 2021.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGECC Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments “have come back”, the Technical subcommittee will compare them with the NGECC specifications to ensure compliance.

On 5-28-20, Melissa Shurland, FRA, informed Steve Hewitt that The US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

The comment period deadline has passed. Melissa Shurland reported on 8-20-20 that the Access Board is reviewing the comments received. She will keep the Tech subcommittee apprised as this effort progresses.

As noted in the Executive Board section of this report – as of 12-31-20 – the Access Board appears to continue to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

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- AAR Update on the TAG Committee on LED Headlights Phase 4 as of 6-25-20:

On 8-20-20, Tarek Omar noted that the LED testing is complete except for ice melting – which will need to wait a few months on. Steve Hewitt asked if he should remove this item as a regular update. It was agreed that he would take it off as a monthly standing agenda item and will make a note to check in with Tarek in December 2020.

There was nothing new reported in December, as the meeting scheduled for the 24<sup>th</sup> was canceled.

- University of Nebraska study on High Speed wireless technology as of 10-29-20:

On 10-29-20, Hamid Shari-Kashani reported that they are continuing to progress the current phase in which they are studying frequency performance issues for the different band widths. They are looking to find a way to resolve saturation. Their focus is on 160 Mega Hertz. They are looking at their previous modeling to see if they can adapt it for 160 Mega Hertz.

For more information, please contact Hamid Sharif ([HSHARIF@UNL.EDU](mailto:HSHARIF@UNL.EDU))

There was nothing new reported in December, as the meeting scheduled for the 24<sup>th</sup> was canceled.

- Update: Electronics on Trains Working Group as of 12-31-20:

The following update was provided by David Brabb on 11-12-20:

“We met on Tuesday, November 10th. We are buttoning up the DTL 305-919 Hardware spec. We discussed moving a few items from the original 920 draft to 919 because they are related more to hardware. We plan to stop the current 919 revision now and will add the firmware and the other items discussed when we are able. We are at a stopping point due to contractual issues at this time but still plan to hold our next meeting on December 15th.”

There was nothing new reported in December, as the meeting scheduled for the 24<sup>th</sup> was canceled.

- Update: The Passenger ECP Final Test Report:

On 11-12-20, Paul Jamieson provided the following update on the ECP Final Test Report:

“The Passenger ECP Final Test Report has been submitted to the FRA observer and docket. The docket reference is FRA-2015-0078 for all information that was formally submitted to the FRA. Draft ECP regulatory language was submitted to the FRA observer and the text will appear in a future NPRM.

NGEC technical specification’s recommended changes will be submitted separately for inclusion in future revisions. These changes will include the two performance standards APTA PR-M-S-20-17 Emulation Performance Requirements and APTA PR-M-S-21-17 ECP Passenger Performance Requirements are issued and available of the APTA website <https://www.apta.com/research-technical-resources/standards/passenger-rail-equipment-safety-standards/> . An APTA PRESS standard to address ECP Ready requirements, as addressed in the NGEC technical specification, will be issued as APTA PR-M-030-21, and is in final publication preparation.

APTA will be issuing a standard to address passenger vehicle piping requirements. This standard will be APTA PR-M-S-029-21 and is in final publication preparation.”

If anyone has any questions, please feel free to contact Paul at:

Paul E Jamieson, PE Retired  
Mobile: 18643236956  
[jamiespe@outlook.com](mailto:jamiespe@outlook.com)

Paul also recommended that the NGECE, as one of the project sponsors, may want to post this report on the website.

Steve Hewitt provided the link to AASHTO and asked that the report be posted on the Technical subcommittee section of the NGECE website.

During the month of January 2021, the Technical subcommittee met twice, via conference call, on the 7<sup>th</sup> and the 21<sup>st</sup>.

Key decisions and action item updates from the month of January 2021, included:

- Backgrounder educational document:

The current NGECE two-page background document remains available in hard copy and/or in a PDF version. Copies can be obtained by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

The Executive Board has approved proposed updates as presented by the NGECE FASC. The document is being finalized by MODOT graphic arts and is scheduled for release by the NGECE Annual meeting – 2-23-21.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGECE Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments “have come back”, the Technical subcommittee will compare them with the NGECE specifications to ensure compliance.

On 5-28-20, Melissa Shurland, FRA, informed Steve Hewitt that The US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

The comment period deadline has passed. Melissa Shurland reported on 8-20-20 that the Access Board is reviewing the comments received. She will keep the Tech subcommittee apprised as this effort progresses.

As noted in the Executive Board section of this report – as of 1-31-21 – the Access Board appears to continue to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGECE Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights Phase 4:

On 8-20-20, Tarek Omar noted that the LED testing is complete except for ice melting – which will need to wait a few months on. Steve Hewitt asked if he should remove this item as a regular update. It was agreed that he would take it off as a monthly standing agenda item and will make a note to check in with Tarek in December 2020.

There was nothing new reported in January 2021.

- University of Nebraska study on High Speed wireless technology as of 1-7-21:

On 1-7-21, Hamid Shari-Kashani reported that progress is continuing on the current phase which is studying frequency performance issues in congested areas. The current focus is on developing a theoretical model.

For more information, please contact Hamid Sharif ([hamidsharif@uni.edu](mailto:hamidsharif@uni.edu))

- Update: Electronics on Trains Working Group as of 12-31-20:

The following update was provided by David Brabb on 11-12-20:

“We met on Tuesday, November 10th. We are buttoning up the DTL 305-919 Hardware spec. We discussed moving a few items from the original 920 draft to 919 because they are related more to hardware. We plan to stop the current 919 revision now and will add the firmware and the other items discussed when we are able. We are at a stopping point due to contractual issues at this time but still plan to hold our next meeting on December 15th.”

On 1-21-21, Steve Hewitt reported that the working group was meeting later that day, and Steve would ask for an update for 2-4-21.

- Update: The Passenger ECP Final Test Report:

On 11-12-20, Paul Jamieson provided the following update on the ECP Final Test Report:

“The Passenger ECP Final Test Report has been submitted to the FRA observer and docket. The docket reference is FRA-2015-0078 for all information that was formally submitted to the FRA. Draft ECP regulatory language was submitted to the FRA observer and the text will appear in a future NPRM.

NGEC technical specification’s recommended changes will be submitted separately for inclusion in future revisions. These changes will include the two performance standards APTA PR-M-S-20-17 Emulation Performance Requirements and APTA PR-M-S-21-17 ECP Passenger Performance Requirements are issued and available of the APTA website <https://www.apta.com/research-technical-resources/standards/passenger-rail-equipment-safety-standards/> . An APTA PRESS standard to address ECP Ready requirements, as addressed in the NGEC technical specification, will be issued as APTA PR-M-030-21, and is in final publication preparation.

APTA will be issuing a standard to address passenger vehicle piping requirements. This standard will be APTA PR-M-S-029-21 and is in final publication preparation.”

If anyone has any questions, please feel free to contact Paul at:

Paul E Jamieson, PE Retired

Mobile: 18643236956  
jamiespe@outlook.com

Paul also recommended that the NGECC, as one of the project sponsors, may want to post this report on the website.

Steve Hewitt provided the link to AASHTO and asked that the report be posted on the Technical subcommittee section of the NGECC website.

- Working Group on Specification Wright Issues:

In January 2021, a technical working group was established within the technical subcommittee to work on specification issues related to weight. Jeff Gordon, FRA, agreed to lead the team.

As of 1-21-21, the group had met twice.

There are 17 members as of 1-21-21 with new members continuing to volunteer to participate. It is a popular working group and Jeff Gordon is pleased with the interest shown.

As assigned during the first meeting, car builders had taken one or more of the PRIIA specification to review the weight section and report back. Bombardier gave a presentation on the bi-level specification and provided recommendations for changes. The working group will look at those recommendations and see if they may also apply to the other PRIIA specs.

The working group received a brief report from Stadler on the DMU specification. They provided preliminary information and will present new information on the next call.

The next meeting has not yet been scheduled. Jeff sends out a Google poll with 8-10 dates and picks the date that works for the most working group members. Jeff Gordon will provide a presentation on the activities of the working group during the NGECC Annual Meeting.

- PRIIA use of APTA PRESS Standards "Announcement":

In the absence of Dave Warner who was having technical difficulties with the connection, Steve Hewitt read into the record the following provided in advance by "Emeritus" Dave:

All PRIIA specifications incorporate by reference the APTA PRESS Standards and Recommended Practices. This reliance on industry-wide documentation helped the Technical Subcommittee develop standard specifications. In the past few years, the PRESS Committees have made significant progress in updating (and catching up with) standards and recommended practices. The purpose of this "public service announcement" is to remind the working groups to periodically review the current revisions available on the APTA Standards web page. No action beyond reading is necessarily required. PRIIA people are involved in the PRESS effort, and two of them, Tammy Krause and Emeritus Dave, lead the Electrical and Mechanical Working Groups, respectively."

Paul Jamieson added that there are some new standards and as they come out, they will be reviewed and added to the specifications at the appropriate time. Paul also suggested that agencies procuring equipment look at the APTA standards – they are on the APTA website – to see if they would be beneficial.

During the month of February 2021, the Technical subcommittee met once, via conference call, on the 4<sup>th</sup> and participated at the 11<sup>th</sup> NGECC Annual Meeting held virtually on 2-23-21.

Key decisions and action item updates from the month of February 2021, included:

- Backgrounder educational document:

The Executive Board has approved the 2021 NGECC educational document. It has been distributed electronically to all NGECC members and is available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGEC Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments “have come back”, the Technical subcommittee will compare them with the NGEC specifications to ensure compliance.

On 5-28-20, Melissa Shurland, FRA, informed Steve Hewitt that The US Access Board extended the comment period for Recommendations on Access for Rail Vehicles until July 14, 2020.

The comment period deadline has passed. Melissa Shurland reported on 8-20-20 that the Access Board is reviewing the comments received. She will keep the Tech subcommittee apprised as this effort progresses.

As noted in the Executive Board section of this report – as of 2-28-21 – the Access Board appears to continue to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGEC Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- METRA Equipment Procurement:

See the update provided in the Executive Board section of this report.

- AAR Update on the TAG Committee on LED Headlights Phase 4:

On 8-20-20, Tarek Omar noted that the LED testing is complete except for ice melting – which will need to wait a few months on. Steve Hewitt asked if he should remove this item as a regular update. It was agreed that he would take it off as a monthly standing agenda item and will make a note to check in with Tarek in December 2020.

There was nothing new reported in February 2021.

- University of Nebraska study on High Speed wireless technology as of 2-4-21:

Hamid Sharif-Kashani provided a brief update on the status of the current phase of the University of Nebraska/FRA High-Speed Wireless Study. The current focus is on computer modeling and performance measures for rail application. They are focusing this effort on 160 Mega Hertz – they will build a model for that frequency and look later at other frequency bands.

For more information, please contact Hamid Sharif ([hamidsharif@uni.edu](mailto:hamidsharif@uni.edu))

Next Update: 3-18-21

- Update: Electronics on Trains Working Group as of 1-26-21:

The following update was provided by David Brabb on 1-26-21:

On 1-26-21, we had a call with a fairly good-sized group today (for us) at 3pm eastern. We are looking at finishing up the first revision to 305-919 hardware spec., by moving appropriate firmware info to that spec from 305-920. We will reach out to you when we are ready to follow the appropriate procedure for issuing a revision.

We do have a couple of new team members that are eager to share lessons learned and what/how they are doing with some of their designs/ builds. The two new gentlemen are Kevin Sudano (Transit Consultant) and Fabio Cussigh of VDS Rail in Italy. Ken Martin (Sharma) and I plan to meet with them in a separate call, in early February 2021 to gather whatever information that they want to share. Of course, all information gathered will be shared/vetted with our group.

Our next NGECE Electronics call is scheduled for March 2nd at 3pm eastern.

Next Update 3-18-21

- Update: The Passenger ECP Brakes and APTA Press Standards:

The PRIIA specifications all reference the APTA PRESS Standards. For the past, several years APTA has been working on reviewing and updating all the specifications. They have also created many new ones. I am working with Paul Jamieson on changes to the PRIIA specs based on these. This will include making changes to Chapter 2 and 18 (References and Materials & Workmanship). In addition, ECP brakes now has standards which will require some changes to the Brakes chapters.

- Working Group on Specification Wright Issues as of 2-4-21:

Jeff Gordon, FRA, reported that the working group – established in December 2020 has met twice and now has a membership of 20 volunteers. The members include representatives from Amtrak, FRA, car builders, consultants – “the whole gamut”.

The first meeting was organizational in nature determining what to do and how to go forward. A review of the weight requirements in each specification are being reviewed with specific car builders volunteering to review them.

On the last call – Alstom gave a great presentation and made several suggestions on what could have or would work for the Bi-Level specification. Other presentations on other specs will be forthcoming. The intent is to develop some kind of sub-specification that will address weight issues as they pertain to the various vehicle types. It is a more comprehensive approach rather than using a one-size fits all approach for all of the vehicle specs.

The next meeting of the working group will take place on 2-24-21 at 3:00pm Eastern.

Additional volunteers are welcome – contact Jeff Gordon – [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) if you wish to join the effort.

On 2-23-21, Jeff Gordon provided a more detailed presentation to the Annual meeting attendees and that presentation is posted on the NGECE website.

During the month of March 2021, the Technical subcommittee met once, via conference call, on the 18<sup>th</sup>.



Key decisions and action item updates from the month of March 2021, included:

- Backgrounder educational document:

The Executive Board has approved the 2021 NGECE educational document. It has been distributed electronically to all NGECE members and is available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGECE Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments “have come back”, the Technical subcommittee will compare them with the NGECE specifications to ensure compliance.

As of 3-31-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGECE Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 3-31-21:

As reported on 4-1-21 by Hamid Sharif-Kashani:

“We continue our effort in designing and implementing our computer models and simulations for the sub-1-GHz frequency bands for rail applications. Currently, we are investigating the 160 MHz band with the consideration of propagation model for different rail environments. The 160MHz band is of interest since it provides good communication range but has the three main challenges of: (1) channelization, (2) availability of neighboring channels, and (3) lack of characterization of system performance at higher layers. We hope with the computer models and simulation results, the performance limitations of this band and the impact on different rail application could be determined.”

For more information, please contact Hamid Sharif ([hamidsharif@uni.edu](mailto:hamidsharif@uni.edu))

Next Update: 4-29- 21

- Update: Electronics on Trains Working Group:

The following update was provided by David Brabb on 1-26-21:

On 1-26-21, we had a call with a fairly good-sized group today (for us) at 3pm eastern. We are looking at finishing up the first revision to 305-919 hardware spec., by moving appropriate firmware info to that spec from 305-920. We will reach out to you when we are ready to follow the appropriate procedure for issuing a revision.

We do have a couple of new team members that are eager to share lessons learned and what/how they are doing with some of their designs/ builds. The two new gentlemen are Kevin Sudano (Transit Consultant) and Fabio Cussigh of VDS Rail in Italy. Ken Martin (Sharma) and I plan to meet with them in a separate call, in early February 2021 to gather whatever information that they want to share. Of course, all information gathered will be shared/vetted with our group.

Our next NGECElectronics call is scheduled for March 2nd at 3pm eastern.  
4-1-18-21 David Brabb, Team Leader, was unavailable and did not provide an update.

Next Update 4-15-21

- Working Group on Specification Wright Issues as of 3-31-21:

Jeff Gordon provided the following update on 4-1-21 for the minutes of the Technical subcommittee:

The group met on March 26. 11 participants.

Had good discussion led by Siemens regarding car-to-car production weight issues.

Group seems to agree that a  $\pm 2\%$  tolerance is reasonable for coaches.

Siemens to provide additional information to help make determination of whether that is also applicable for locomotives.

Also, to be determined, is the baseline (the weight against which the tolerance is applied): first pilot car, first production car, etc.

Next meeting has not yet been scheduled but will be during week of 4/19.

Always looking for more participants.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of April 2021, the Technical subcommittee met twice, via conference call, on the 1<sup>st</sup> and the 29<sup>th</sup>.

Key decisions and action item updates from the month of April 2021, included:

- Backgrounder educational document:

The Executive Board has approved the 2021 NGECEducational document. It has been distributed electronically to all NGECEmembers and is available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

Total distribution is approximately 500 as of 4-30-21. All distributions have been electronic to date.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGECESpecifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments “have come back”, the Technical subcommittee will compare them with the NGECE specifications to ensure compliance.

As of 4-30-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGECE Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 4-30-21:

As reported on 4-1-21 by Hamid Sharif-Kashani:

“We continue our effort in designing and implementing our computer models and simulations for the sub-1-GHz frequency bands for rail applications. Currently, we are investigating the 160 MHz band with the consideration of propagation model for different rail environments. The 160MHz band is of interest since it provides good communication range but has the three main challenges of: (1) channelization, (2) availability of neighboring channels, and (3) lack of characterization of system performance at higher layers. We hope with the computer models and simulation results, the performance limitations of this band and the impact on different rail application could be determined.”

For more information, please contact Hamid Sharif ([hamidsharif@uni.edu](mailto:hamidsharif@uni.edu))

Next Update: 4-29- 21

- Update: Electronics on Trains Working Group as of 4-30-21:

The last report Steve Hewitt received from David Brabb, provided on 4-12-21, he noted that the NGECE Electronics sub (working group) was to have its periodic meeting on 4-13-21. They are just ramping back up and will be issuing the PRIIA 305-919 DTL Hardware Spec. Rev. A. shortly.

On 4-29-21, Steve Hewitt asked Tammy Krause to reach out to David to ensure that he is aware of and following NGECE procedures, and that he sends the proposed Revision A DCRs to Tammy.

- Working Group on Specification Wright Issues as of 4-30-21:

The group had met on March 26 with 11 participants.

Had good discussion led by Siemens regarding car-to-car production weight issues.

Group seems to agree that a  $\pm 2\%$  tolerance is reasonable for coaches.

Siemens to provide additional information to help make determination of whether that is also applicable for locomotives.

Also, to be determined, is the baseline (the weight against which the tolerance is applied): first pilot car, first production car, etc.

Next meeting had not yet been scheduled but was expected to be during week of 4/19.

Always looking for more participants.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Reauthorizing the NGEC:

See Executive Board section of this report for an update on activities related to this topic.'

During the month of May 2021, the technical subcommittee met twice, via conference call, on the 13<sup>th</sup> and the 27<sup>th</sup>.

Key decisions and action item updates from the month of May 2021, included:

- Backgrounder educational document:

The Executive Board has approved the 2021 NGEC educational document. It has been distributed electronically to all NGEC members and is available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

Total distribution is approximately 510 as of 5-31-21. All distributions have been electronic to date.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGEC Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the technical subcommittee will compare them with the NGEC specifications to ensure compliance.

As of 5-31-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGEN Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 5-13-21:

As reported on 5-13-21 by Hamid Sharif-Kashani:

We completed our first phase of our modeling and simulations for the sub -1-GHz frequency bands for rail applications. We modeled and studied the 160 MHz band with the performance consideration focusing on the impact of signal propagation related to different rail track locations. We are in the process of verifying our simulation results based on the channelization and the availability of neighboring channels for reliable communications.

I will be happy to share our results with the group and receive any comments, suggestions, or simulate any specific application of interest for our group.

For any questions, please contact Hamid Sharif at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).

Next Update: 6-10-21

- Update: Electronics on Trains Working Group as of 5-31-21:

As reported by team leader David Brabb on 5-27-21:

1. We submitted the 305-919 DTL Hardware to the group Tuesday. Once received back, will submit for a Revision A.
2. We are beginning on 305 -920 Software spec now.
3. Met with Amtrak (Mr. Matt Sidden and Mr. Jesse Whaley) and will be addressing the following list of items, one at a time, starting during next month's call.

The list includes:

- Evolving Security in Onboard Technology and the Groundside Systems that support them.
- Establishing Standards for Train to Ground communications.
- Establishing standards for Train Telemetry, both from a Metadata and Data perspective.
- Establishing Standards for Integration that promote modern integration architectures
- Aligning Onboard Passenger Information Systems with Digital ADA Standards

We are not yet sure of the order in which we will address them. The results of the discussions will need to be incorporated into 919 and 920 where appropriate.

Next Update: 6-24-21

- Working Group on Specification Wright Issues as of 5-13-21:

Jeff Gordon provided the following update for inclusion in today's (5-13-21) minutes:

The NGEC Vehicle Weight Working Group held its fifth meeting on May 3. Of the 24 members, 16 were in attendance.

Items of discussion included, in part:

- a brief presentation by Stadler on how it weighs articulated trainsets,
- Siemens presented information on production weight variances for its locomotives. Based on those data, it appears that the proposed  $\pm 2\%$  weight tolerance for coaches (as it relates to the “production” vehicle(s)) could also be applicable to locomotives,
- lateral imbalance and how this might also be related to requirements in the FRA Low-Speed Wheel Climb Safety Advisory,
- allowable scale tolerances. The group is discussing including a reference to a relevant AREMA standard on this.
- how the vehicles should be configured when weighed. It appears that different criteria need to be applied to coaches and locomotives to account for required items such as DEF and fuel, and
- a member provided some suggested language to define the baseline “production” vehicle against which the weight tolerances would be applied.

The next meeting of the group is on June 9 at 1pm ET.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

Next Update: 6-10-21

- Reauthorizing the NGEC:

See Executive Board section of this report for an update on activities related to this topic.

During the month of June 2021, the technical subcommittee met twice, via conference call, on the 10<sup>th</sup> and 24<sup>th</sup>.

Key decisions and action item updates from the month of June 2021, included:

- Backgrounder educational document:

The 2021 NGEC educational document. remains available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

Total distribution is approximately 550 as of 6-29-21. All distributions have been electronic to date.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGEC Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments “have come back”, the technical subcommittee will compare them with the NGEC specifications to ensure compliance.

As of 6-30-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGEC Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 6-10-21:

On 6-10-21, Hamid Sharif-Kashani reported that the study has been looking at the spectrum for variable applications and developing models for 160MH and 450 MH. They have completed models on various items with tools to compare different variables. Next - channel interference based on the environment of various applications will be evaluated.

Asked if they will be issuing interim reports, Hamid responded yes – at the end of July 2021, they should have a complete report on the first phase of the project. It should be available in August. Hamid will provide it to Steve Hewitt for distribution to the NGEC members.

For any questions, please contact Hamid Sharif at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).

- Working Group on Specification Wright Issues as provided by Jeff Gordon, FRA on 6-10-21:

The NGEC Vehicle Weight Working Group had its 6<sup>th</sup> meeting on June 9. There were 15 members in attendance.

The group discussed various topics which were not finished during our previous call including:

- defining the baseline production weight for different types of equipment,
  - allowable serial production vehicle weight deviations,
  - lateral and end-to-end imbalance requirements (and how these should be defined),
  - requirements for vehicle scales,
  - and initial discussion on dynamic P2 forces and whether P2 limits for coaches are needed.
- The next meeting of the Working Group has not yet been scheduled but will occur during the week of July 12.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Reauthorizing the NGEC:

See Executive Board section of this report for an update on activities related to this topic.

During the month of July 2021, the technical subcommittee met once, via web conference call, on the 22nd.

Key decisions and action item updates from the month of July 2021, included:

- Backgrounder educational document:

The 2021 NGEC educational document. remains available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

Total distribution is approximately 555 as of 7-31-21. All distributions have been electronic to date.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGECC Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments “have come back”, the technical subcommittee will compare them with the NGECC specifications to ensure compliance.

As of 7-31-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update:

See the update provided in the Executive Board section of this report.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGECC Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 7-22-21:

On 7-22-21, Hamid Sharif-Kashani provided a general update on the activities of the current study phase being performed by the University of Nebraska and the FRA:

They are looking at modeling and performance evaluation of 160Mega Hertz and 450 Mega Hertz as potential options as other frequencies are becoming close to saturation.

They are doing modeling and simulation looking at things like antennas, velocity, train area, etc. and performance evaluation in terms of signal strength.

They are also looking at different ways for propagating a model for channels.

Hamid stated that they are going to continue modeling with the intent of sharing some of the key elements in August. At that time, Hamid would provide Steve Hewitt with that information to share with the Technical subcommittee members.

In the meantime, Hamid encourages members who have interest in specific applications they would like to have run in frequency bands to let Hamid know and they would be happy to run them in their model for evaluation.

For any questions, please contact Hamid Sharif at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).



- Working Group on Specification Wright Issues as provided by Jeff Gordon, FRA on 7-22-21:

The NGEN Vehicle Weight Working Group has its 7<sup>th</sup> meeting on July 12. There were 15 members in attendance.

The group has agreed on a definition for the baseline production weight for different types of equipment and allowable serial production vehicle weight deviations (including requirements for vehicle scales).

We discussed lateral imbalance and some ideas for how this parameter can be defined in a common way for all specifications.

We also discussed end-to-end imbalance requirements and how these should be defined. The group had much discussion about whether there was really a need for this requirement as it is not a safety issue. The group believes this is more a maintenance concern and we may incorporate proposed specification language addressing this.

Carbuilder members volunteered to review the various specification weights and propose revisions (if any) at the next meeting.

P2 limits for coaches will also be discussed during our next meeting which will be on August 9, 2021, at 1pm Eastern.

Reauthorizing the NGEN:

See Executive Board section of this report for an update on activities related to this topic.

During the month of August 2021, the technical subcommittee met once, via web conference call, on the 5th.

Key decisions and action item updates from the month of August 2021, included:

- Backgrounder educational document:

The 2021 NGEN educational document. remains available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

Total distribution is approximately 555 as of 8-31-21. All distributions have been electronic to date.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGEN Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the technical subcommittee will compare them with the NGEN specifications to ensure compliance.

As of 8-31-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update as of 8-5-21:

Status – Trainset Specification Re-write:

This item was not discussed on today's call, but prior to the call, Tammy Krause had informed Steve Hewitt that it is nearly complete.

Update – Electronics on Trains Working Group - current activities – list of issues this group is working on:

Again, this item was not covered during the call today, but Steve Hewitt was provided with an update from the team leader – David Brabb – reporting on the most recent working group meeting held on 7-26-21:

We received important feedback on how CAL IDOT (Siemens) used (and did not use) the old 919 hardware specification for their builds. We are going to get our latest 919 revision reviewed by Nicolas Brogue of Siemens to help identify how the new 919 can better be written to handle already built coaches for better interchangeability with what will be built in the future. Our next meeting is scheduled for August 31st.

Review – DMU specification summary of changes – comments received and general discussion:

Tammy Krause led a review and walk through of comments received on most of the summary of changes initially distributed on 7-27-21 and revised and distributed on 8-5-21.

Several chapters were reviewed, and real time changes were made to the document after the discussion of each section. In most cases, there was general agreement on the proposed changes with some suggested revisions being accepted as amended, and several items were to be taken back for further review and comment primarily by Stadler representatives.

The Structural chapters and those related to VTI have not yet been adjudicated by those respective technical working groups. Discussion of those related sections/chapters was tabled for today pending the working groups completing their review and adjudication.

As the walk through the document took place, Tammy Krause captured the changes suggested and the follow-up actions to be taken.

As the meeting ran beyond its allotted time, Chairman Hull suggested that the review be completed on the next call (8-19-21).

Actions:

Tammy Krause will update the document with the changes made today, and note the areas where agreement was not achieved, and will note what action was agreed to (such as further review by Stadler or others).

Tammy will provide an updated summary of changes document for distribution in advance of the next call, and the discussion will begin at the point where it left off on 8-5-21.

The two working groups that have not completed their review are asked to get their comments to Tammy as soon as possible so that she can update/revise the document accordingly.

Those who agreed to take a second look at proposed additional changes are asked to get their comments in to Tammy asap as well.

Procurement Updates:

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGECC Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 8-31-21:

On 8-19-21, Hamid Sharif-Kashani provided a general update on the activities of the current study phase being performed by the University of Nebraska and the FRA:

We continue our work in studying the characteristics of 160 MHz RF band. We are currently working on design and implementation of a computer simulation model to evaluate a number of path loss predictions to be used in our end-to-end transceiver design. Here, we want to determine the performance of a transceiver design – the transmitter and receiver pair – and through different the RF channel conditions for 160 MHz Our focus is on a model that excels at representing different environment scenarios with high accuracy for this RF band. Hope to share our findings with the group next time.

For any questions, please contact Hamid Sharif at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).

- Working Group on Specification Wright Issues as provided by Jeff Gordon, FRA on 8-31-21:

The NGEV Vehicle Weight Working Group has its 7<sup>th</sup> meeting on July 12. There were 15 members in attendance.

The group has agreed on a definition for the baseline production weight for different types of equipment and allowable serial production vehicle weight deviations (including requirements for vehicle scales).

We discussed lateral imbalance and some ideas for how this parameter can be defined in a common way for all specifications.

We also discussed end-to-end imbalance requirements and how these should be defined. The group had much discussion about whether there was really a need for this requirement as it is not a safety issue. The group believes this is more a maintenance concern and we may incorporate proposed specification language addressing this.

Carbuilder members volunteered to review the various specification weights and propose revisions (if any) at the next meeting.

P2 limits for coaches will also be discussed during our next meeting which will be on August 9, 2021, at 1pm Eastern.

Reauthorizing the NGEV:

See Executive Board section of this report for an update on activities related to this topic.

During the month of September 2021, the technical subcommittee met three times, via web conference call, on the 2<sup>nd</sup>, 16<sup>th</sup> and the 30<sup>th</sup>.

Key decisions and action item updates from the month of September 2021, included:

- Backgrounder educational document:

The 2021 NGEV educational document. remains available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

Total distribution is approximately 575 as of 9-30-21. All distributions have been electronic to date.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGEC Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the technical subcommittee will compare them with the NGEC specifications to ensure compliance.

As of 9-30-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update as of 9-30-21:

Status – Trainset Specification Re-write:

The re-write is ready for technical subcommittee review, but is in a holding pattern until the subcommittee completes its review and consideration of the DMU specification DCRs. (See Executive Board section of this report for the status of the DMU specification).

Update – Electronics on Trains Working Group - current activities – list of issues this group is working on:

We received important feedback on how CAL IDOT (Siemens) used (and did not use) the old 919 hardware specification for their builds. We are going to get our latest 919 revision reviewed by Nicolas Brogue of Siemens to help identify how the new 919 can better be written to handle already built coaches for better interchangeability with what will be built in the future.

Review of the DMU Specification DCRs:

Tammy Krause summarized where the subcommittee review left off on the last call (9-16-21).

Initially, it was thought that Aluminum was not permitted under the DMU requirements document. The thought was that it required stainless steel. However, research has confirmed that the requirements document did not call for a specific material but left that to the Technical subcommittee for each of the NGEC specifications. It does, however, call for a 40-year life of the car body. The DMU specification does allow for alternative materials to be used if allowed by the buyer, but the 40-year life of the car body requirement would preclude Aluminum.

When presented with the concerns raised at the Technical subcommittee meeting of 9-16-21, over the proposed changes from Stadler which called for Aluminum car bodies, the Executive Board, on 9-21-21, directed the subcommittee to proceed with the adjudication of the remaining DCRs to advance the DMU update without the changes related to the Aluminum materials - for now. Since it would take a policy change by the Executive Board and a re-write of the specification to include Aluminum the Board may wish to take it up in 2022 but does not want this issue to prevent the current specification from being updated in accordance with current NGEC policy and compliance with the requirements document.

As directed by the Board, Tammy Krause, today, (9-30-21) proceeded to walk through the remaining DCRs in the structural section of the specification rejecting (for now) changes related to Aluminum.

After going through a fairly in-depth discussion on many of the remaining DCRs there were a number of the Stadler proposed changes that needed clarification. Stadler subject material experts for those specific changes were not available to respond to these requests for clarification on today's call. Stadler representatives on the call agreed to have the appropriate subject matter experts on the next call to provide clarification and respond to any questions.

With the allotted time for the meeting having been met, it was agreed that the call would end at this point, and the continuation of the adjudication of the remaining Stadler DCRs would resume on the next Technical subcommittee call (10-14-21).

Tammy Krause was asked by Steve Hewitt to update the DCR summary sheet to the point where the Technical subcommittee left off today (9-30-21) and to provide it to him for distribution in advance of the next call.

Steve Hewitt also suggested, and the Chair agreed, that once the adjudication of all of the proposed DCRs has been completed, Tammy Krause would be asked to prepare a final summary of the DCRs, and the decisions agreed to. Tammy would then send that final summary of changes to Steve Hewitt for distribution in advance of the following call at which point a vote could take place.

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGECE Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 9-2-21:

Hamid Sharif-Kashani was unavailable for this call, but previously had provided Steve Hewitt with the following update for inclusion in the meeting minutes. Steve Hewitt read them into the record:

"We continue our work in studying the characteristics of 160 MHz RF band. We are currently working on design and implementation of a computer simulation model to evaluate a number of path loss predictions to be used in our end-to-end transceiver design. Here, we want to determine the performance of a transceiver design – the transmitter and receiver pair – and through different the RF channel conditions for 160 MHz. Our focus is on a model that excels at representing different environment scenarios with high accuracy for this RF band. Hope to share our findings with the group next time. "

For any questions, please contact Hamid Sharif at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).

- Working Group on Specification Wright Issues as provided by Jeff Gordon, FRA on 9-30-21:

The 9-27-21 call was canceled as the strawman that was to be developed was not yet complete. Jeff Gordon reported that he has not yet scheduled the next call but will do so in the near future.

The last update was provided on 9-2-21:

The NGECE Vehicle Weight Working Group has its 8<sup>th</sup> meeting on August 9. There were 11 members in attendance.

We discussed lateral imbalance and some ideas for how this parameter can be defined in a common way for all specifications. Some carbuilders expressed concern that the clearer definition of the vehicle condition(s) under which the imbalance is evaluated is required. Discussions ensued about clearance issues and that lateral imbalance is most often corrected by ballasting.

It was noted that the specifications do not explicitly require that production cars must be vertically plumb (although carbuilders achieve this by ballasting as required). Some carbuilders do not

consider imbalance until all requirements related to wheel load equalization, derailment safety, ride quality and clearance are addressed.

It was noted that generally food service (café) cars pose the greatest challenge as it relates to lateral imbalance.

The Working Group lead proposed to assemble the information the group has deliberated upon to date and synthesize this into a single document for review at the next WG meeting on September 27 at 1pm ET. This document will eventually become the Working Group's report to the Technical Subcommittee.

Please let Jeff know if you are interested in attending the next WG meeting.

During the month of October 2021, the technical subcommittee met twice via web conference call, on the 14<sup>th</sup> and the 28<sup>th</sup>.

Key decisions and action item updates from the month of October 2021, included:

- Backgrounder educational document:

The 2021 NGECE educational document remains available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

Total distribution is approximately 615 as of 10-31-21. All distributions have been electronic to date.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGECE Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the technical subcommittee will compare them with the NGECE specifications to ensure compliance.

As of 10-31-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update as of 10-31-21:

Document control has been focused on completing the list of Proposed DCRs for the DMU from Stadler. All the comments were reviewed over the past several TSC meetings. Steve Hewitt sent out the final list and status of the DCRs last week. I did receive one correction – 'DCR#172: Final Language: Text currently says, "carbon steal". Correct the spelling to "carbon steel".', and I have made the correction. Hopefully, the changes are approved today and will be submitted to the Executive Board prior to their meeting on 11/2/2021. I continue my weekly meetings with the Technical Writer, and she is ready to complete the DMU specification after it is approved by the Executive Board.

Set Timelines/next steps for Tech subcommittee approval of the Trainset rewrite:

Steve Hewitt asked about the Trainset re-write and its status. Tammy responded that the only changes to this specification beyond what had previously been approved were to the format (for consistency with all PRIIA specs) and the addition of a couple of paragraphs.

Steve asked if these changes will be ready to be discussed on the next technical subcommittee call (12-9-21) and Tammy responded that they will.

Update: Electronics on Trains working group activities:

David Brabb provided the following update for inclusion in today's minutes which Steve Hewitt read into the record:

We had our call this past Tuesday. The results of the call were that 1. we need 3 talking points and issues clarified by Siemens. And 2. we have one that Tammy is helping with. These are found in the notes document sent out yesterday.

Once these issues are clarified/resolved, 305-919 DTL Hardware Spec. revision will be issued. We will begin the outline for the 920 DTL Software Spec., and begin listing questions for the group, this month.

Our next call is planned for November 30th at 3pm eastern.

Steve Hewitt asked for clarification on the next steps. Tammy Krause responded that the 305-919 hardware specification will come from the working group to the technical subcommittee and that it will follow the Trainset specification re-write consideration.

Consideration of technical subcommittee approval of the DMU DCRs – George Hull:

After some discussion regarding DCR #84 - clarification was provided and there is no change to the DCR summary sheet as presented.

A motion to approve the summary of changes to proceed to the Executive Board and its Review Panel was offered by Jennifer Bastian, Illinois DOT, and was seconded by Ed Engle, Iowa DOT.

With no further discussion forthcoming, George Hull asked Steve Hewitt to call the roll of voting members:

George Hull, Amtrak – in favor  
Jeff Gordon, FRA – in favor  
Gurleen Boparai, Caltrans – in favor  
Curtis McDowell for NCDOT – in favor  
Ray Hessinger, NYSDOT – in favor  
Ed Engle, Iowa DOT – in favor  
Jennifer Bastian, IDOT – in favor  
Jennifer Bastian as proxy for MODOT – in favor  
Jason Biggs, WSDOT – in favor  
Mike Jenkins, Oregon DOT – in favor

With a quorum having been established and all votes having been cast in the affirmative, Chairman Hull determined that consensus has been achieved and the changes, as approved, will be sent on to the NGECE Executive Board Chairman Ray Hessinger.

George Hull thanked the members of the subcommittee for their hard work in adjudicating the DMU DCRs and noted that he was pleased to get this accomplished and moving forward to the Executive Board.

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGECE Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 10-31-21:

Hamid reported that work is continuing with the results of propagation modeling on the 160Mega Hertz channel and performance modeling on different channels including propagation and velocity in different rail environments (such as going through tunnels). Two abstracts have been produced and will be presented.

For any questions or more information, please contact Hamid Sharif-Kashani at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).

- Working Group on Specification Wright Issues as provided by Jeff Gordon, FRA on 9-30-21:

The 9-27-21 call was canceled as the strawman that was to be developed was not yet complete. Jeff Gordon reported that he has not yet scheduled the next call but will do so in the near future.

The last update was provided on 9-2-21:

The NGEC Vehicle Weight Working Group has its 8<sup>th</sup> meeting on August 9. There were 11 members in attendance.

We discussed lateral imbalance and some ideas for how this parameter can be defined in a common way for all specifications. Some carbuilders expressed concern that the clearer definition of the vehicle condition(s) under which the imbalance is evaluated is required. Discussions ensued about clearance issues and that lateral imbalance is most often corrected by ballasting.

It was noted that the specifications do not explicitly require that production cars must be vertically plumb (although carbuilders achieve this by ballasting as required). Some carbuilders do not consider imbalance until all requirements related to wheel load equalization, derailment safety, ride quality and clearance are addressed.

It was noted that generally food service (café) cars pose the greatest challenge as it relates to lateral imbalance.

The Working Group lead proposed to assemble the information the group has deliberated upon to date and synthesize this into a single document for review at the next WG meeting on September 27 at 1pm ET. This document will eventually become the Working Group's report to the Technical Subcommittee.

Please let Jeff know if you are interested in attending the next WG meeting.

The next meeting of this group is expected to take place in the second week of November 2021.

- Technical subcommittee schedule revision for November 2021:

Due to the fact that Veterans Day and Thanksgiving Day landed on the Technical subcommittee scheduled call dates, the subcommittee did not meet in November 2021. It will next meet on 12-9-21.

The next call will take place on 12-9-21.

During the month of December 2021, the NGEC Technical Subcommittee met twice – on 12-9 – 21 and 12-23-21.

Key decisions and action item updates from the month of October 2021, included:

- Backgrounder educational document:

The 2021 NGEC educational document remains available in hard copy and/or in a PDF by sending a request to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

Total distribution is approximately 615 as of 12-31-21. All distributions have been electronic to date.



The 2022 NGEC two pager is under review by the NGEC Executive Board.

- Document Control Update as of 12-31-21:

See update in the Executive Board section of this report.

Update: Electronics on Trains working group activities:

On 12-9-22, Chairman Hull asked that this effort be assigned to the Electronics on Trains Working Group as he believes it is the best suited working group to address this topic.

Tammy Krause will inform Team Leader, David Brabb on the next Working Group call.

No activities were reported in the month of December 2021.

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGEC Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 10-31-21:

Hamid reported that work is continuing with the results of propagation modeling on the 160Mega Hertz channel and performance modeling on different channels including propagation and velocity in different rail environments (such as going through tunnels). Two abstracts have been produced and will be presented.

For any questions or more information, please contact Hamid Sharif-Kashani at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).

There were no updates provided on this study during the month of December 2021.

- Working Group on Specification Wright Issues as of 12-23-21:

The last update was provided on 9-2-21:

The NGEC Vehicle Weight Working Group has its 8<sup>th</sup> meeting on August 9. There were 11 members in attendance.

We discussed lateral imbalance and some ideas for how this parameter can be defined in a common way for all specifications. Some carbuilders expressed concern that the clearer definition of the vehicle condition(s) under which the imbalance is evaluated is required. Discussions ensued about clearance issues and that lateral imbalance is most often corrected by ballasting.

It was noted that the specifications do not explicitly require that production cars must be vertically plumb (although carbuilders achieve this by ballasting as required). Some carbuilders do not

consider imbalance until all requirements related to wheel load equalization, derailment safety, ride quality and clearance are addressed.

It was noted that generally food service (café) cars pose the greatest challenge as it relates to lateral imbalance.

The Working Group lead proposed to assemble the information the group has deliberated upon to date and synthesize this into a single document for review at the next WG meeting on September 27 at 1pm ET. This document will eventually become the Working Group's report to the Technical Subcommittee.

No meetings were held by the working group on weight issues in December 2021.

During the month of January 2022, the NGECE Technical Subcommittee met twice – on the 6<sup>th</sup> and the 20<sup>th</sup>.

Key decisions and action item updates from the month of January 2022, included:

- Backgrounder educational document:

The 2022 NGECE two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update as of 1-31-22:

See update in the Executive Board section of this report.

Update: Electronics on Trains working group activities:

Team Leader David Brabb resigned his position due to a job change. Tammy Krause, Document Control Manager was to attend the next call (1-25-22) to assist in naming a new team leader and get a sense of the ongoing and planned activities of the group. She is also asked to ensure that NGECE procedures are being followed.

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECE Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 10-31-21:

Hamid reported that work is continuing with the results of propagation modeling on the 160Mega Hertz channel and performance modeling on different channels including propagation and velocity in different rail environments (such as going through tunnels). Two abstracts have been produced and will be presented.

For any questions or more information, please contact Hamid Sharif-Kashani at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).

There were no updates provided on this study during the month of January 2022.

- Working Group on Specification Weight Issues as of 1-31-22:

There was nothing new to report on the activities of this working group in January 2022. It was scheduled to meet during the last week in January and report on its activities during the NGEA Technical subcommittee call scheduled for 2-3-22.

During the month of February 2022, the NGEA Technical Subcommittee met once – on the 3<sup>rd</sup> and also participated in the 2-25-22 NGEA Annual Meeting.

Key decisions and action item updates from the month of January 2022, included:

- During the Annual meeting, NGEA Technical subcommittee chair provided a comprehensive review of the subcommittee's activities throughout 2021 and looked ahead to 2022.

- Backgrounder educational document:

The 2022 NGEA two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com). To date 370 electronic copies and 125 hard copies have been distributed.

- Document Control Update as of 2-25-22:

See the update provided in the Executive Board section of this report and the Annual Meeting full presentation that is posted to the website.

Update: Electronics on Trains working group activities:

Team Leader David Brabb resigned his position due to a job change. Tammy Krause, Document Control. The team met in January. A new team leader has not been named but should be in place by the next call. Tammy is asked to ensure that NGEA procedures are being followed.

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report and the Annual Meeting full presentation that is posted to the website.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEA Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report and the Annual Meeting full presentation that is posted to the website.

- Connecticut DOT Rail Car Procurement:

As of 2-28-22 this procurement remains in the "cone of silence".

- University of Nebraska study on High Speed wireless technology as of 2-3-22:

They are studying the properties and capabilities of the 160MHz RF band, and its suitability for different rail applications.

As a part of implementing a computer model for simulations of different sceneries for 160MHz, they have designed and implemented an end-to-end transceiver model and have also evaluated a number of path loss prediction models for use in the transceiver design.

Before the holidays, the focus was on efforts on a single-carrier transceiver architecture. They completed that design effort and evaluated the design for its performance using several different channel models.

They are currently working on an OFDM-based transceiver architecture, and plan to conduct an evaluation of OFDM design as well. After this, they will have a complete model for different application evaluations.

For any questions or more information, please contact Hamid Sharif-Kashani at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).

- Working Group on Specification Weight Issues as of 2-3-22:

On 1-25-22, the working group reconvened after several months in hiatus.

Jeff Gordon prepared a DRAFT summary document with collected comments received and the topics and general consensus.

There were 17 participants on the last call which is the most ever!

Jeff Gordon distributed the draft after the discussion, and he is working on the comments.

The next meeting is yet to be scheduled but was expected to be the week of 2-28-22.

During the month of March 2022, the NGECE Technical Subcommittee met twice – on the 17<sup>th</sup> and 30<sup>th</sup>.

Key decisions and action item updates from the month of March 2022, included:

- Backgrounder educational document:

The 2022 NGECE two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 425 electronic copies and 125 hard copies have been distributed.

- Document Control Update as of 3-22-22:

See the update provided in the Executive Board section of this report.

- Discussion: Addressing the issue of car body materials – George Hull:

On 3-22-22, Technical subcommittee Chair, George Hull noted that there had been a discussion during the update of the DMU specification about the issue of alternate carbody materials. It was decided at that time that rather than try to take the issue on as a part of the update, it would be better taken up in more depth separate from a specific specification.

At the Annual Meeting 2-25-22, NGECE Chair Ray Hessinger identified this issue as one of his priorities for 2022.

On the NGECE Executive Board call on 3-22-22, Chairman Hessinger asked the Technical subcommittee to take it up and Tech subcommittee Chairman George Hull agreed to introduce it on the 3-31-22 Tech subcommittee call and have a discussion as to whether a special working group to address the issue should be established (similar to the weight issues working group) or if the subject matter should be taken up within the structural and mechanical permanent working groups.

Tammy Krause, on 3-31-22, recommended that this issue (carbody materials) would be better served in a temporary working group established for this specific subject matter rather than have it incorporated within the permanent working groups.

Jeff Gordon, FRA, agreed with Tammy Krause's recommendation and Ray Hessinger, NYSDOT also voiced his agreement.

With no objection or further discussion, George Hull established the Car Body Material working group and Tammy Krause was asked to organize it and schedule the first meeting. She will ask for volunteers to be a part of the working group and a volunteer to serve as team leader.

Tammy Krause agreed to "send an informational email to Steve Hewitt about the new Carbody Material Working Group and set up a meeting for around the 4-13-22 to get the group started".

- Update: Electronics on Trains working group activities:

Team Leader David Brabb resigned his position due to a job change. To date there has been no notification by the group as to whether a new team leader has been named. Tammy Krause has been asked to monitor the activities of this working group and provide information on when it will meet next and who the team leader will be. This item will be on the next Technical subcommittee agenda for an update from Tammy Krause.

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECE Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

As of 3-22-22 this procurement remains in the "cone of silence".

- University of Nebraska study on High Speed wireless technology as of 2-3-22:

On 3-31-22, Hamid Sharif provided the following update for inclusion in the meeting minutes:

We have been investigating 160 MHz for rail applications. We have designed and implemented a detailed analytical and computer simulation model for 160 MHz with the capabilities and constraints of this band. One of our objectives is to come up with a RF transceiver design for maximum end to end throughput. In doing so, we have gone through detailed channel models and parameters such as two ray ground reflection, path loss, Doppler effect, and other signal distortions to evaluate the performance of 160Mhz channel.

We have presented our findings in two papers with the following titles:

- 1) Modeling and Performance Evaluation of an RF Transceiver System at 160 MHz for Railroad Environments
- 2) Maximizing RF Communications Throughput for Railroad Applications at 160 MHz

These papers are accepted and will be presented at the 2022 Joint Rail Conference Railroad Engineering scheduled for April 20 – 21 - (<https://event.asme.org › Joint-Rail-Conference>).

For questions, please contact:  
Hamid Sharif  
hsharif@UNL.edu

- Working Group on Specification Weight Issues as of 3-17-22:

The NGEC Vehicle Weight Working Group last met on March 3, 2022. Nine participants were in attendance.

Jeff had prepared a draft summary document to collect the items the working group had discussed to date which was distributed in advance for review.

We reviewed some of the topics including vehicle imbalance requirements and the potential for providing allowances for certain vehicle types such as café cars which have inherent imbalance challenges. The allowance is to be considered while continuing to observe requirements for protection against derailment, ride quality, clearance, and maintenance.

We discussed the specification requirements for determining P2 forces and will be reviewing those requirements in the context of the APTA Recommended Practice for Truck Design to ensure consistency between the NGEC specifications and that industry standard.

The next meeting of the working group will be on April 6, 2022, at 11:00am ET.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of April 2022, the NGEC Technical Subcommittee met twice – on the 14<sup>th</sup> and 28<sup>th</sup>.

Key decisions and action item updates from the month of April 2022, included:

- Backgrounder educational document:

The 2022 NGEC two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 450 electronic copies and 125 hard copies have been distributed.

- Document Control Update as of 4-28-22:

On 4-28-22, Tammy Krause provided the following update for inclusion in today's minutes and asked Steve Hewitt to read them into the record on her behalf:

The Electronics Working Group is now being headed by Ken Martin of Sharma & Associates. They have scheduled a meeting, but I do not have the info at the moment.

Jeff Gordon confirmed that the Electronics on Trains working group will meet on 5-3-22 at 3:00pm Eastern.

The Materials Working Group met yesterday, and Michael Gill of SNC Lavalin/Atkins is heading the group. We are still looking for volunteers. The next call is 5-11-22 at 11:00am Eastern and we will be discussing Chapter 4 of the Single Level Specification.

If you are interested in joining the Carbody Materials Working Group, please let Tammy know.

The new DCR form has not been approved by the NGEC Executive Board yet because they did not meet last week. The form has been updated and improved based upon the last call.

Steve Hewitt will provide the revised DCR Form and the sample DCR to the Executive Board for their discussion on the next call (5-3-22) and it will be up to them whether to consider it for adoption on that call or wait until the call scheduled for 5-17-22.

Steve Hewitt also noted that the Bi-Level Specification update is underway, and he will ask Tammy to provide a status on the next subcommittee call (5-12-22).

Steve also noted that he had hoped to hear from Tammy on the status of finalizing the technical writing of the approved DMU specification Revision A. He will hear for a status update on the 5-12-22 call.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 4-28-22:

The Cab Car Shell final design has been approved and the cab cars are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents have been sent to the FRA for review, and the Cab Car Clearance information has been approved by Amtrak. IDOT Café Car FDRs are in the closure stage and Galley open items are being addressed.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the test report is in review with FRA and the states. The revised cab car Compression test report is also in review. Cab Locking Luggage tower FAI will occur in May.

107 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items related to Conditional Acceptance are being addressed.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGECC Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

As of 4-28-22 this procurement remains in the "cone of silence".

- University of Nebraska study on High Speed wireless technology as of 4-28-22:

From Hamid Sharif:

In our study, we have been exploring the properties and capabilities of the 160 MHz RF band, and its suitability for a variety of applications, including Wireless Digital Trainline. This includes a key factor of investigating if 160MHz can alleviate the pressure on the 220MHz.

In this process, we designed and evaluated both a single-carrier transceiver architecture and an OFDM-based transceiver architecture, and conducted evaluations of both designs.

This quarter we expanded on our efforts by incorporating Forward Error Correction (FEC) Coding into these architectures. FEC is a way to improve the receive-side bit error rate, and thus communication distance, by sacrificing throughput capacity. The released throughput is instead used to carry additional information that the transmitter inserts into the data stream.

We plan to publish our results this summer.

Thank you.

Please contact Hamid Sharif @ University of Nebraska-Lincoln for any additional information.

- Working Group on Specification Weight Issues as of 4-28-22:

There was no activity by this working group in April 2022. A meeting was scheduled for the first week in May.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of May 2022, the NGEC Technical Subcommittee met twice – on the 12<sup>th</sup> and 26<sup>th</sup>.

Key decisions and action item updates from the month of May 2022, included:

- Backgrounder educational document:

The 2022 NGEC two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 450 electronic copies and 125 hard copies have been distributed.

- Document Control Update as of 5-31-22:

See update provided in the Executive Board section of this report.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 5-31-22:

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

- See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 4-28-22:

From Hamid Sharif:

In our study, we have been exploring the properties and capabilities of the 160 MHz RF band, and its suitability for a variety of applications, including Wireless Digital Trainline. This includes a key factor of investigating if 160MHz can alleviate the pressure on the 220MHz.

In this process, we designed and evaluated both a single-carrier transceiver architecture and an OFDM-based transceiver architecture, and conducted evaluations of both designs.

This quarter we expanded on our efforts by incorporating Forward Error Correction (FEC) Coding into these architectures. FEC is a way to improve the receive-side bit error rate, and thus communication distance, by sacrificing throughput capacity. The released throughput is instead used to carry additional information that the transmitter inserts into the data stream.

We plan to publish our results this summer.

Thank you.

Please contact Hamid Sharif @ University of Nebraska-Lincoln for any additional information.



- Working Group on Specification Weight Issues as of 5-12-22:

The NGEC Vehicle weight Working Group had its 12<sup>th</sup> meeting on May 11 at 11am ET.

There were 9 members in attendance.

The group discussed ways to reconcile how P2 forces are characterized in the various NGEC specifications.

Two versions of the P2 formula are in general use. The NGEC specifications do not use a common formula, nor do they use common values for certain of the input parameters related to track stiffness and damping.

On the last call, the group requested that a sensitivity study be performed to assess the impact of these parameters on the calculated P2 forces.

This was done and we learned that some of the parameters have very little influence on the result and the parameter affecting P2 the most is the value chosen for the rail dip angle.

Additional work will be done on this, and the draft write-up being prepared by the group will be revised based on these discussions.

Members also suggested that the procedures described in the APTA Recommended Practice (RP) on Truck Design be referenced in the NGEC Specifications as it includes comprehensive guidance on how to calculate the unsprung mass term used in the equation.

The APTA RP also identifies the British Rail version of the P2 formula as the current best practice. The Working Group will recommend this version as the standard for use in the NGEC Specifications.

The next meeting of the Working Group will be during the week of June 6. A poll has been distributed to the members to assist in selecting the meeting date and time.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of June 2022, the NGEC Technical Subcommittee met once – on the 9th.

Key decisions and action item updates from the month of June 2022, included:

- Backgrounder educational document:

The 2022 NGEC two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 450 electronic copies and 125 hard copies have been distributed.

- Document Control Update as of 6-28-22:

See update provided in the Executive Board section of this report.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 6-28-22:

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement as of 6-28-22:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates as of 6-28-22:

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement as of 6-28-22:

- See the update provided in the Executive Board section of this report.
- University of Nebraska study on High Speed wireless technology as of 5-12-22:

From Hamid Sharif:

In our study, we have been exploring the properties and capabilities of the 160 MHz RF band, and its suitability for a variety of applications, including Wireless Digital Trainline. This includes a key factor of investigating if 160MHz can alleviate the pressure on the 220MHz.

In this process, we designed and evaluated both a single-carrier transceiver architecture and an OFDM-based transceiver architecture, and conducted evaluations of both designs.

This quarter we expanded on our efforts by incorporating Forward Error Correction (FEC) Coding into these architectures. FEC is a way to improve the receive-side bit error rate, and thus communication distance, by sacrificing throughput capacity. The released throughput is instead used to carry additional information that the transmitter inserts into the data stream.

We plan to publish our results this summer.

Please contact Hamid Sharif @ University of Nebraska-Lincoln for any additional information.

- Working Group on Specification Weight Issues as of 6-28-22:

The NGEC Vehicle weight Working Group had its 12<sup>th</sup> meeting on May 11 at 11am ET.

There were 9 members in attendance.

The group discussed ways to reconcile how P2 forces are characterized in the various NGEC specifications.

Two versions of the P2 formula are in general use. The NGEC specifications do not use a common formula, nor do they use common values for certain of the input parameters related to track stiffness and damping.

On the last call, the group requested that a sensitivity study be performed to assess the impact of these parameters on the calculated P2 forces.

This was done and we learned that some of the parameters have very little influence on the result and the parameter affecting P2 the most is the value chosen for the rail dip angle.

Additional work will be done on this, and the draft write-up being prepared by the group will be revised based on these discussions.

Members also suggested that the procedures described in the APTA Recommended Practice (RP) on Truck Design be referenced in the NGEC Specifications as it includes comprehensive guidance on how to calculate the unsprung mass term used in the equation.

The APTA RP also identifies the British Rail version of the P2 formula as the current best practice. The Working Group will recommend this version as the standard for use in the NGEC Specifications.

The next meeting of the Working Group will be during the week of June 6. A poll has been distributed to the members to assist in selecting the meeting date and time.

The scheduled Working Group meeting for 6-9-22 was canceled due to a schedule conflict. Jeff Gordon is looking at dates for the next meeting.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of July 2022, the NGEC Technical Subcommittee met twice – on the 7<sup>th</sup> and the 21<sup>st</sup>.

Key decisions and action item updates from the month of July 2022, included:

- Backgrounder educational document:

The 2022 NGEC two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 455 electronic copies and 125 hard copies have been distributed.

- Document Control Update as of 7-31-22:

See update provided in the Executive Board section of this report.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 7-31-22:

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement as of 7-31-22:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates as of 7-31-22:

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement as of 7-31-22:

- See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 7-21-22:

From Hamid Sharif:

- On 7-21-22, Hamid Sharif provided the following update for inclusion in the meeting minutes:

For this project, we have been studying less utilized RF spectrum to ease the scarce RF resources issue. We selected 160 MHz since this band has been mainly used for voice applications. We designed and implemented computer models to explore the properties and capabilities of the 160 MHz RF band, and its suitability for a variety of applications.

We designed both a single-carrier transceiver architecture and an OFDM-based transceiver architecture for 160 MHz, and conducted evaluations of both designs. We also implemented and evaluated different channel models for this band.

This quarter, we designed the network layers for working with the 160MHz channel to evaluate end-to-end applications.

We are in the process of collecting computer simulation results for end-to-end applications. The plan for the next phase is to perform field tests to verify our 160 MHz model and its performance.

- Working Group on Specification Weight Issues as of 7-21-22:

The NGEC Vehicle weight Working Group had its last meeting on May 11 at 11am ET.

There were 9 members in attendance.

The group discussed ways to reconcile how P2 forces are characterized in the various NGEC specifications.

Two versions of the P2 formula are in general use. The NGEN specifications do not use a common formula, nor do they use common values for certain of the input parameters related to track stiffness and damping.

On the last call, the group requested that a sensitivity study be performed to assess the impact of these parameters on the calculated P2 forces.

This was done and we learned that some of the parameters have very little influence on the result and the parameter affecting P2 the most is the value chosen for the rail dip angle.

Additional work will be done on this, and the draft write-up being prepared by the group will be revised based on these discussions.

Members also suggested that the procedures described in the APTA Recommended Practice (RP) on Truck Design be referenced in the NGEN Specifications as it includes comprehensive guidance on how to calculate the unsprung mass term used in the equation.

The APTA RP also identifies the British Rail version of the P2 formula as the current best practice. The Working Group will recommend this version as the standard for use in the NGEN Specifications.

The next meeting of the Working Group will be during the week of June 6. A poll has been distributed to the members to assist in selecting the meeting date and time.

The scheduled Working Group meeting for 6-9-22 was canceled due to a schedule conflict. Jeff Gordon is looking at dates for the next meeting.

The next meeting is expected to take place the first or second week of August.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of August 2022, the NGEN Technical Subcommittee met twice – on the 4<sup>th</sup> and the 18<sup>th</sup>.

Key decisions and action item updates from the month of August 2022, included:

- Backgrounder educational document:

The 2022 NGEN two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 581 copies have been distributed.

- Document Control Update as of 8-31-22:

See update provided in the Executive Board section of this report.

- A new Communications Working Group that has been formed from the Electronics on Trains Working Group. If anyone has an interest in joining this Working Group, please let me know. The focus will be on-car communications. The sunseting of the Digital Hardware Specification and stopping work on the Software specification was approved by the Executive Board on 8-23-22.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 8-31-22:

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement as of 8-31-22:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates as of 8-31-22:

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement as of 8-31-22:
- See the update provided in the Executive Board section of this report.
- University of Nebraska study on High Speed wireless technology as of 7-21-22:

From Hamid Sharif:

- On 7-21-22, Hamid Sharif provided the following update for inclusion in the meeting minutes:

For this project, we have been studying less utilized RF spectrum to ease the scarce RF resources issue. We selected 160 MHz since this band has been mainly used for voice applications. We designed and implemented computer models to explore the properties and capabilities of the 160 MHz RF band, and its suitability for a variety of applications.

We designed both a single-carrier transceiver architecture and an OFDM-based transceiver architecture for 160 MHz, and conducted evaluations of both designs. We also implemented and evaluated different channel models for this band.

This quarter, we designed the network layers for working with the 160MHz channel to evaluate end-to-end applications.

We are in the process of collecting computer simulation results for end-to-end applications. The plan for the next phase is to perform field tests to verify our 160 MHz model and its performance.

- Working Group on Specification Weight Issues as of 7-21-22:

The NGEC Vehicle weight Working Group had its last meeting on May 11 at 11am ET.

There were 9 members in attendance.

The group discussed ways to reconcile how P2 forces are characterized in the various NGEC specifications.

Two versions of the P2 formula are in general use. The NGEC specifications do not use a common formula, nor do they use common values for certain of the input parameters related to track stiffness and damping.

On the last call, the group requested that a sensitivity study be performed to assess the impact of these parameters on the calculated P2 forces.

This was done and we learned that some of the parameters have very little influence on the result and the parameter affecting P2 the most is the value chosen for the rail dip angle.

Additional work will be done on this, and the draft write-up being prepared by the group will be revised based on these discussions.

Members also suggested that the procedures described in the APTA Recommended Practice (RP) on Truck Design be referenced in the NGEC Specifications as it includes comprehensive guidance on how to calculate the unsprung mass term used in the equation.

The APTA RP also identifies the British Rail version of the P2 formula as the current best practice. The Working Group will recommend this version as the standard for use in the NGEC Specifications.

The next meeting of the Working Group will be during the week of June 6. A poll has been distributed to the members to assist in selecting the meeting date and time.

The scheduled Working Group meeting for 6-9-22 was canceled due to a schedule conflict. Jeff Gordon is looking at dates for the next meeting.

The next meeting is expected to take place the first or second week of August.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

During the month of September 2022, the NGECE Technical Subcommittee met twice – on the 1<sup>st</sup> and the 15th.

Key decisions and action item updates from the month of September 2022, included:

- Backgrounder educational document:

The 2022 NGECE two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 625 copies have been distributed.

- Document Control Update as of 9-15-22:

See update provided in the Executive Board section of this report.

- A new Communications Working Group that has been formed from the Electronics on Trains Working Group. If anyone has an interest in joining this Working Group, please let me know. The focus will be on-car communications. The sunsetting of the Digital Hardware Specification and stopping work on the Software specification was approved by the Executive Board on 8-23-22. The working group has begun to meet.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 9-15-22:

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement as of 9-15-22:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates as of 9-15-22:

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement as of 9-15-22:

- See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 9-15-22:

From Hamid Sharif:

- On 7-21-22, Hamid Sharif provided the following update for inclusion in the meeting minutes:

For this project, we have been studying less utilized RF spectrum to ease the scarce RF resources issue. We selected 160 MHz since this band has been mainly used for voice applications. We designed and implemented computer models to explore the properties and capabilities of the 160 MHz RF band, and its suitability for a variety of applications.

We designed both a single-carrier transceiver architecture and an OFDM-based transceiver architecture for 160 MHz, and conducted evaluations of both designs. We also implemented and evaluated different channel models for this band.

This quarter, we designed the network layers for working with the 160MHz channel to evaluate end-to-end applications.

We are in the process of collecting computer simulation results for end-to-end applications. The plan for the next phase is to perform field tests to verify our 160 MHz model and its performance.

No update was provided since the 7-21-22 report.

- Working Group on Specification Weight Issues as of 9-15-22:

Jeff Gordon reported that the last meeting of the working group was held on 8-19-22.

The document is nearly complete. Jeff has some work to do on it before sending back out to the working group members.

The document is turning out a bit differently than expected. Jeff said he is not sure exactly how the Technical subcommittee will use it.

He noted that the group has uncovered things that need to be changed in the spec. None of these are controversial. Some are simply updates to the references and some are corrections to equations that have changed. Jeff will handle these through the DCR process that is ongoing now on the Bi-Level specification update.

Jeff expects the work to be complete by November with working group meetings to be held in September and October 2022.

During the month of October 2022, the NGE Technical Subcommittee met twice – on the 13<sup>th</sup> and the 27<sup>th</sup>.

Key decisions and action item updates from the month of October 2022, included:

- Backgrounder educational document:

The 2022 NGE two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 625 copies have been distributed.

The FASC will be reviewing possible updates for the 2023 version

- Document Control Update as of 10-30--22:

On 10-27-22, Tammy Krause reported that all Bi-Level Specification document change requests (DCRs) are with the appropriate technical working group team leaders. The October 15<sup>th</sup> deadline for completing the working group review has been extended until October 31, 2022.

Tammy Krause and the Technical Writer, Camren Cordell have gone through the Metro-North Dual Mode locomotive specification format and have compared it to the PRIIA format. They are now in the process of incorporating the Metro-North Dual Mode Specification's administrative/format changes into the Bi-Level Specification and will do the same for each of the PRIIA specifications as they are updated.

- A new Communications Working Group that has been formed from the Electronics on Trains Working Group. If anyone has an interest in joining this Working Group, please let me know. The focus will be on-car communications. The sunseting of the Digital Hardware Specification and stopping work on the Software specification was approved by the Executive Board on 8-23-22. The working group has begun to meet.

Ken Martin – team leader – provided the following update and questions which were forwarded to Tammy Krause:

Update following 10-18-22 working group meeting:

We continue to meet roughly every four weeks with our previous meeting having been Oct. 18 and our next scheduled for Nov. 15. I have updated the group regarding the decision to halt work on the 305-919 and 305-920 specifications in favor of working directly with the trainline communications sections of the existing car specifications. According to Tammy, there were no Bi-level DCRs related to trainline communications for the group to review.

Questions:

During our previous meeting, discussions were held regarding trainline communications specifications for the single-level Amtrak cars that are being ordered. I reiterated that the trainline communications section of the single-level specification would be the governing reference.

It was asked if the section was going to be reviewed and also, in the event of problems, how we would go about ensuring the cars would be constructed appropriately related to trainline communications. We can definitely add reviewing the section to our tasks, but I'm unsure how to proceed in the event problems are identified and/or changes requested.

Are there plans to perform a formal review of the single-level specification in the near future, or has it already been completed recently? Are there procedures in place for making changes/amending the specifications outside of the periodic review cycle?

- Multi-State Car Procurement - Caltrans (Lead State) update:

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates:

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

- See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 10-13-22:

Hamid Sharif Report 10/13/2022:

During the previous phase of this project, which was completed in August, our team systematically explored the reusability of underutilized RF resources such as the 160MHz RF band. In this work, we studied the distinct capabilities - and limitations - of the 160 MHz RF frequency bands through our theoretical and computer models to design an RF communications solution to maximize achievable performance, reliability, and security for rail applications.

In the new phase, which started in September, we aim to research the transition from the developed model to a full prototype and conduct extensive field testing utilizing the rail facility to demonstrate our model capabilities. This phase also includes collections of a variety of performance metrics. We also aim to leverage these to accelerate research into a universal and modular cognitive radio solution for the rail industry that intelligently adapts to any usable RF band, for any rail wireless application.

I hope in the next report, provide more details about our plan for field testing. Please contact me ([hsharif@UNL.edu](mailto:hsharif@UNL.edu)) for any questions. Thank you.

- Working Group on Specification Weight Issues:

Jeff Gordon reported that the last meeting of the working group was held on 8-19-22.



The document is nearly complete. Jeff has some work to do on it before sending back out to the working group members.

The document is turning out a bit differently than expected. Jeff said he is not sure exactly how the Technical subcommittee will use it.

He noted that the group has uncovered things that need to be changed in the spec. None of these are controversial. Some are simply updates to the references and some are corrections to equations that have changed. Jeff will handle these through the DCR process that is ongoing now on the Bi-Level specification update.

Jeff expects the work to be complete by November with working group meetings to be held in September and October 2022 and will provide an update during the December 8<sup>th</sup> meeting of the Technical subcommittee.

During the month of November 2022, due to Thanksgiving Holiday (11-24-22), the NGECE Technical Subcommittee met once – on the 10<sup>th</sup>.

Key decisions and action item updates from the month of November 2022, included:

- Backgrounder educational document:

The 2022 NGECE two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 625 copies have been distributed.

See update in the Executive Board section of this report.

- Document Control Update as of 11-30-22:

See update in the Executive Board section of this report.

- A new Communications Working Group that has been formed from the Electronics on Trains Working Group. If anyone has an interest in joining this Working Group, please let me know. The focus will be on-car communications. The sunseting of the Digital Hardware Specification and stopping work on the Software specification was approved by the Executive Board on 8-23-22. The working group has begun to meet.

Ken Martin – team leader – provided the following update and questions which were forwarded to Tammy Krause:

Update following 10-18-22 working group meeting:

We continue to meet roughly every four weeks with our previous meeting having been Oct. 18 and our next scheduled for Nov. 15. I have updated the group regarding the decision to halt work on the 305-919 and 305-920 specifications in favor of working directly with the trainline communications sections of the existing car specifications. According to Tammy, there were no Bi-level DCRs related to trainline communications for the group to review.

Questions:

During our previous meeting, discussions were held regarding trainline communications specifications for the single-level Amtrak cars that are being ordered. I reiterated that the trainline communications section of the single-level specification would be the governing reference.

It was asked if the section was going to be reviewed and also, in the event of problems, how we would go about ensuring the cars would be constructed appropriately related to trainline communications. We can definitely add reviewing the section to our tasks, but I'm unsure how to proceed in the event problems are identified and/or changes requested.

Are there plans to perform a formal review of the single-level specification in the near future, or has it already been completed recently? Are there procedures in place for making changes/amending the specifications outside of the periodic review cycle?

There was no response to these questions on 11-10-22. It is anticipated that Tammy will connect with Ken Martin prior to 12-8-22 Technical subcommittee.

- Multi-State Car Procurement - Caltrans (Lead State) update:

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates:

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

- See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 10-13-22:

Hamid Sharif Report 10/13/2022:

During the previous phase of this project, which was completed in August, our team systematically explored the reusability of underutilized RF resources such as the 160MHz RF band. In this work, we studied the distinct capabilities - and limitations - of the 160 MHz RF frequency bands through our theoretical and computer models to design an RF communications solution to maximize achievable performance, reliability, and security for rail applications.

In the new phase, which started in September, we aim to research the transition from the developed model to a full prototype and conduct extensive field testing utilizing the rail facility to demonstrate our model capabilities. This phase also includes collections of a variety of performance metrics. We also aim to leverage these to accelerate research into a universal and modular cognitive radio solution for the rail industry that intelligently adapts to any usable RF band, for any rail wireless application.

I hope in the next report, provide more details about our plan for field testing. Please contact me ([hsharif@UNL.edu](mailto:hsharif@UNL.edu)) for any questions. Thank you.

Hamid Sharif is on the Annual meeting agenda to give a presentation on this study.

- Working Group on Specification Weight Issues:

Jeff Gordon is scheduled to give an update to the Technical subcommittee on 12-8-22.

During the month of December 2022, due to the Holiday season the NGEC Technical Subcommittee met once – on the 8th.

Key decisions and action item updates from the month of December 2022, included:

- Backgrounder educational document:

The 2022 NGEC two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 625 copies have been distributed.

The 2023 version is being formatted by MODOT Graphic Arts using proposed changes and approved photos as provided by the FASC.

- Document Control Update as of 12-27-22:

See update in the Executive Board section of this report.

- A new Communications Working Group that has been formed from the Electronics on Trains Working Group. If anyone has an interest in joining this Working Group, please let me know. The focus will be on-car communications. The sunsetting of the Digital Hardware Specification and stopping work on the Software specification was approved by the Executive Board on 8-23-22. The working group has begun to meet.

Ken Martin – team leader – provided the following update and questions which were forwarded to Tammy Krause:

Update following 10-18-22 working group meeting:

We continue to meet roughly every four weeks with our previous meeting having been Oct. 18 and our next scheduled for Nov. 15. I have updated the group regarding the decision to halt work on the 305-919 and 305-920 specifications in favor of working directly with the trainline communications sections of the existing car specifications. According to Tammy, there were no Bi-level DCRs related to trainline communications for the group to review.

Multi-State Car Procurement - Caltrans (Lead State) update:

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates:

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

- See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 10-13-22:

Hamid Sharif Report 10/13/2022:

During the previous phase of this project, which was completed in August, our team systematically explored the reusability of underutilized RF resources such as the 160MHz RF band. In this work, we studied the distinct capabilities - and limitations - of the 160 MHz RF frequency bands through our theoretical and computer models to design an RF communications solution to maximize achievable performance, reliability, and security for rail applications.

In the new phase, which started in September, we aim to research the transition from the developed model to a full prototype and conduct extensive field testing utilizing the rail facility to demonstrate our model capabilities. This phase also includes collections of a variety of performance metrics. We also aim to leverage these to accelerate research into a universal and modular cognitive radio solution for the rail industry that intelligently adapts to any usable RF band, for any rail wireless application.

I hope in the next report, provide more details about our plan for field testing. Please contact me ([hsharif@UNL.edu](mailto:hsharif@UNL.edu)) for any questions. Thank you.

Hamid Sharif is on the Annual meeting agenda to give a presentation on this study.

- Working Group on Specification Weight Issues:

Jeff Gordon is scheduled to give an update to the Technical subcommittee in January 2023.

During the months of January and February 2023 the subcommittee met on 1-5, 1-19 and 2-3 (Annual Meeting):

Key decisions and action item updates from the month of December 2022, included:

- Backgrounder educational document:

The 2023 NGEN two-page educational document/handout was released in January and distributed widely during the Annual Meeting on 2-3-23. It is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 325 copies have been distributed.

- Document Control Update as of 2-28-23:

A detailed update presentation was provided to the NGEN during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngen.org](http://www.ngen.org)

The approval of the Bi-Level Specification Revision D took place in January and was sent through the NGEN Process where it ultimately was adopted on 2-3-23 by the Executive Board. All approved revisions are now being incorporated into the specification by the technical writer.

- Communications Working Group that has been formed from the Electronics on Trains Working Group. The focus is on-car communications. The sunseting of the Digital Hardware Specification and stopping work on the Software specification was approved by the Executive Board on 8-23-22. The working group has begun to meet.

Ken Martin is the team leader and keeps Document Control Manager, Tammy Krasue apprised of activities.

Multi-State Car Procurement - Caltrans (Lead State) update:

A detailed update presentation was provided to the NGEN during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngen.org](http://www.ngen.org)

- Metro North Dual Mode Locomotive Procurement:

A detailed update presentation was provided to the NGEN during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngen.org](http://www.ngen.org)

- Amtrak Equipment Procurement Updates:

A detailed update presentation was provided to the NGEN during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngen.org](http://www.ngen.org)

- Connecticut DOT Rail Car Procurement:

This procurement has advanced to the "cone of silence" phase.

- University of Nebraska study on High Speed wireless technology as of 2-28-23:

A detailed update presentation was provided to the NGEN during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngen.org](http://www.ngen.org)

- Working Group on Specification Weight Issues:

Jeff Gordon is scheduled to give an update to the Technical subcommittee in March 2023.

During the month of March 2023, the subcommittee met on the 2<sup>nd</sup> and the 30<sup>th</sup>:

Key decisions and action item updates from the month of March 2023, included:

- Backgrounder educational document:

The 2023 NGEC two-page educational document/handout was released in January and distributed widely during the Annual Meeting on 2-3-23.

It remains available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 330 copies have been distributed.

- Document Control Update as of 3-30-23:

On 3-21-23, Tammy Krause was asked by the NGEC Executive Board to prioritize the next steps in her work plan as presented at the Annual Meeting. Steve pointed out that it is important that activities do not cease while the Committee awaits the FRA's decision on Amtrak's NGEC CRISI Grant application. It is better to finish the ongoing technical writing of the Bi-Level specification Revision D, but not stop there. There are other items in the work plan Tammy presented at the Annual Meeting that should progress at the working group level and be ready to go through the full document management procedures once funding is provided beyond the end of the current grant agreement performance period. On 3-21-23, Tammy suggested that it would be better to hear from the technical subcommittee first, before determining what PRIIA specs should be updated next.

Tammy Krause provided the following report/update:

The Bi-level specification is currently being revised and I will let you know when it is completed. The anticipated completion date is May 2023.

The current tasks for document control and the technical subcommittee are:

1. Determine which equipment specification should be updated next. (below is the list of specs and the last update)
  - a. Next Generation Dual Mode Passenger Locomotive – IR 2/2/16
  - b. Next Generation Diesel Electric Locomotive –Revision B 6/20/17
  - c. Next Generation Single Level Car – Revision B.2 2/12/19
  - d. Next Generation Trainset –Revision B 10/22/19
2. Review and update as needed, the PRIIA Support Technical Drawings and Specifications.
  - a. There are 27 documents and drawings.
  - b. They will be sent to the technical working group team leaders to review with their groups.
  - c. The distribution would be:
    - i. Interiors – 5 documents and 5 drawings
    - ii. Electrical – 6 documents and 1 drawing.
    - iii. Mechanical – 4 documents and 5 drawings
    - iv. Communications – 1 document
3. Review the updated APTA PRESS Standards and Recommended Practices:
  - a. There are at present 16 APTA documents that have been updated and released since the first PRIIA specification.
  - b. They will be sent to the technical working group team leaders to review with their groups.
  - c. The distribution would be:
    - i. Structural – 1 document
    - ii. Interiors – 1 document
    - iii. Mechanical – 14 documents

Tammy added that the primary question is which of the specifications should be taken up next for updating. Should it be in the order of the oldest or is there an upcoming procurement which would be using a specific spec – making that the priority. One exception noted by Tammy was the Dual Mode Locomotive specification which is currently being used for the Metro-North procurement and it would be best to wait until that procurement is complete and look at lessons learned.

George Hull asked the states on the call if they had a preference. Hearing none, he recommended the subcommittee proceed with updating the oldest to the newest - in that order. The one exception would be the Dual Mode Locomotive specification which would be on hold until the Metro-North procurement is completed. (The next oldest would be the Diesel-Electric Locomotive spec)

Jeff Gordon, FRA, asked if there was an actual work plan? Steve Hewitt commented that the work plan is what was presented by Tammy Krause at the Annual Meeting, and the Board is asking her to prioritize those activities to be sure progress is made over these next 6 months while awaiting word on the CRISI grant or other funding options beyond the 9-30-23 grant agreement performance period. The work plan is basically the items listed in today's agenda.

Jeff asked Tammy to what extent was the review of the APTA PRESS Standards and Recommendations?

Tammy responded that it was a peripheral review to see if/how those standards impact the PRIIA specs. She added that APTA has modified the way standards and recommended practices are identified, so the PRIIA specs, at a minimum, should be modified to match the current nomenclature.

Jack Madden asked if the Amtrak procurement of the Diesel-Electric Locomotives used in the Airo trains is in the same boat as the Metro-North Dual Mode Locomotive.

George Hull responded that the Airo's are considered trainsets and are further along. He does not believe it is the same situation.

Ray Hessinger agreed and added that "my concern" on the Dual Mode Locomotive procurement is that there be a technical subcommittee review while FDR and FAI is underway and changes are made before they can finish the vehicle.

Ray added that the Chargers (Diesel-Electric Locomotive) have been in production for several years and are in service in many locations. It would be good to see how much has changed or is changing. This is a more mature specification which is in production and probably should be the "next one up" for updating.

George Hull agreed and added the Airo is part of a trainset and is further down the road in the process. On the Long Distance Locomotives there have been a lot of lessons learned by the states making it prime candidate for the next review and update.

Jeff Gordon, commented that the Executive Board should be the ones to tell the subcommittee which is the priority, not the other way around.

Steve Hewitt noted that that is why Tammy was asked to have this discussion with the Executive Board on 3-21-23 and she asked to first take it to the technical subcommittee to get its input. The subcommittee is being asked to make recommendations to the Executive Board which meets next week (4-4-23).

George Hull agreed, as did Ray Hessinger. George will present the subcommittee's recommendations to the Executive Board next week and Tammy Krause can describe implementation.

Dave Warner suggested that the discussion with the Board be framed to say something like - in absence of any compelling vehicle procurement in need of a specific spec update, the subcommittee is recommending that it begin review of the support and administrative documents (305-800 and 305-900 series) that have not been looked at for a dozen years as well as a review of the APTA press Standards as they relate to the PRIIA spec. Steve Hewitt added that the recommendation should

also note that the next specification update will be the Charger Locomotive (Diesel-Electric Locomotive) and that, basically, along with the administrative updates, the specification updates will begin from the oldest to the newest with the exception of the Dual Mode Locomotive spec which will be looked at after the current procurement is complete and a lessons-learned review can take place.

Action: On 4-4-23, George Hull will present the subcommittee's recommendations for prioritizing its activities. Tammy Krause will discuss implementation.

- Communications Working Group that has been formed from the Electronics on Trains Working Group. The focus is on-car communications. The sunseting of the Digital Hardware Specification and stopping work on the Software specification was approved by the Executive Board on 8-23-22. The working group has begun to meet.

Ken Martin is the team leader and keeps Document Control Manager, Tammy Krasue apprised of activities.

Multi-State Car Procurement - Caltrans (Lead State) update as of 3-30-23:

The remaining Cab Car FDR submittals are in the final closure stage and the Cab Car dynamic framing representative approach has been submitted to FRA for review, with comments from FRA under review. IDOT Café Car system level FDR reviews are nearly closed.

The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car emergency egress demo occurred on October 25 with Amtrak and FRA in attendance and the Car Complete FAI for Cab Car is tentatively scheduled for July.

127 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is targeting revenue start in May of 2023 once all necessary agreements are in place.

- Metro North Dual Mode Locomotive Procurement as of 3-30-23:

Metro-North and Siemens are finishing Final Design Review with only a few yet to be resolved. The first car shell is in production in at the Siemens facility Sacramento, Ca. The initial FAI's are being scheduled.

- Amtrak Equipment Procurement Updates as of 3-30-23:

On the Acela – Work is progressing well.

On the Charger Locomotives – There are 22 locomotives in service and 30 units on site.

On the new Airos – they continue with Final Design Review and the production of the first car shell is complete and going through inspection.

- Connecticut DOT Rail Car Procurement:

This procurement has advanced to the “cone of silence” phase.

- University of Nebraska study on High Speed wireless technology as of 3-31-23:

A detailed update presentation was provided to the NGEAC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

- Working Group on Specification Weight Issues:

On 3-30-23, Jeff Gordon, FRA, and the working group team leader, reported that he intends to update the document based on working group feedback rather than schedule a meeting. He will then ask for input from the members via email. His issue is that he has been called for Jury duty and if enpaneled could be serving for 3 months and he would not be able to hold a working group

meeting. If he is not enpaneled, this may change, but for now he intends to begin updating the document based on feedback received to date.

Steve Hewitt asked Jeff to let him know when he is ready to present an update to the technical subcommittee and he will add it to the agenda at that time.

During the month of April 2023, the subcommittee met on the 13th and the 27th:

Key decisions and action item updates from the month of April 2023, included:

- Backgrounder educational document:

The 2023 NGEC two-page educational document/handout was released in January and distributed widely during the Annual Meeting on 2-3-23.

It remains available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 330 copies have been distributed.

- Document Control Update as of 4-27-23:

Tammy Krause is on leave with her return anticipated on 5-2-23. On 4-27-23, Steve Hewitt provided the updates on issues related to Document Control:

On the Bi-level specification update:

The technical writer's incorporation of the adopted changes to the Bi-Level specification Revision D continues. The timeline for completion remains on schedule for May 2023.

On the work plan for the next six months:

The PRIIA sub specifications – reference specs/drawings (305-900 and 305-800 series) are all going to be reviewed by the technical working groups. Tammy planned to send them out to the working group team leaders by the end of the day on 4-13-23. (To Steve Hewitt's knowledge this occurred). Tammy set 5-20-23 as the deadline for comments from the working groups after their review and has asked that they use the DCR form for submitting their comments.

After these are reviewed, she planned to send out the APTA standards for review. Following the technical subcommittee call on 4-13-23, industry member Paul Jamieson contacted Steve Hewitt to volunteer to give some time to review of the APTA PRESS standards in relation to the PRIIA specs. (Thank you Paul) We appreciate Paul's willingness to begin the review and Steve sent a message to Tammy to let her know. Work on both items can begin simultaneously. Although the working groups will not receive the comments on the APTA Press standards until after the review the 305-900 and 305-800 series is complete.

Developing a plan to acquire specifications from entities that used the PRIIA specs as a baseline and made changes:

Next Steps:

1. Developing a list of entities that have used PRIIA specs and made changes:  
Steve Hewitt noted that, in the minutes, he would include a list of the entities that he is aware of Steve asked that others let him know if he has missed any:  
  
Amtrak, VIA Rail. All Aboard Florida, CtDOT, Metro-North/LIRR, NCDOT as well as the Mid-West states, Caltrans, WSDOT and Oregon.
2. Begin with the Charger Locomotive Specification as the first – next update/revision. It was previously agreed that the next spec update/revision will be the Charger Locomotive. This would be the first where the NGEC should gather DCRs from entities that have used the specs and made changes, and incorporate those changes, where appropriate, into an updated revision of the current specification.



3. Develop a plan to reach out.  
The Executive Board has tasked the tech subcommittee to begin the effort of developing a plan to reach out to the entities that have used the PRIIA specs as baseline and ask that they provide those changes to the Document Control Manager – using the NGECDCR form.
4. Utilizing the NGECDCR process:  
It was pointed out on the last call that all changes should use the PRIIA DCR process and provide those DCRs. Steve Hewitt reiterated this on today's call 4-27-23.  
Steve asked for questions and/or comments from those on the call. Hearing none, he noted that this work is under the purview of Tammy Krause as Document Control Manager and she will be asked to begin the effort. It is understood that due to the limited amount of funds remaining in the current grant, the bulk of this work will take place under the next grant or funding source after the current grant has expired. However, beginning to develop a plan and a list of contacts for outreach to entities to provide DCRs on changes made to the PRIIA specs should begin now.

- Communications on Rail Cars working group – status as of 4-13-23:

On 4-13-23, Ken Martin, Sharma and Associates and team leader for the Communications on Rail Cars Working Group, reported that they are working on writing a DTL specification to include in the single level Rail car specification once completed and approved.

Ken is working on the first draft and will distribute it to the working group members in advance of their next meetin (a week or week and a half from now). It will be a few months down the line before it will be ready for review outside of the Working Group. Ken noted that this spec may well be applicable to some of the other PRIIA specs. There are similarities but also some differences. Ken noted that he was able to get the updated Amtrak specification and is including it.

Additionally, Ken noted that there have been some requests that the Working Group also look at developing a CCTV specification. Ken would welcome input from leadership on whether this is something that the Working Group should do.

Joe Paul commented that he believes a CCTV specification is a good idea. Amtrak is working on video surveillance for the Venture cars and it is clear that there is a need for standardization.

Ken asked if this should be a “global spec”?

Joe responded that there will need to be further discussion to determine how to approach this. He invited input from subcommittee members - “feel free to reach out”.

Multi-State Car Procurement - Caltrans (Lead State) update as of 4-27-23:

- On 4-27-23, Jodi Lehmkuhl, Caltrans, provided the following update:
  - The remaining Cab Car FDR submittals are in the final closure stage and the Cab Car dynamic framing representative approach has been submitted to FRA for review, with comments from FRA under review. IDOT Café Car system level FDR reviews are nearly closed.
  - The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car Complete FAI for Cab Car is tentatively scheduled for July, to be followed by the FRA Sample Car Inspection.
  - 128 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is targeting revenue start in first half of 2023 once all necessary agreements are in place.
- Metro North Dual Mode Locomotive Procurement as of 4-27-23:

On 4-27-23, Ray Hessinger, NYSDOT provided the following update:

Production on car shells 301 and 302 is progressing ahead of schedule with car shell 301 being ready for the first FAI inspection.

Metro-North and Siemens closed the FDR on third rail current collection and have scheduled FAI's for several components.

Ray also reported that there has been a change at the Project Engineer Level, but it should not impact the project.

- Amtrak Equipment Procurement Updates as of 4-27-23 reported by George Hull, Amtrak:

On the new Acela:

Work continues on completing qualification and acceptance.

On the Charger Locomotives:

Twenty-four are in service. They are averaging about two per month.

On the Airo trainset:

They are finishing Final Design Review (FDR).

The first car shell is in production.

- Connecticut DOT Rail Car Procurement:

This procurement has advanced to the "cone of silence" phase.

- University of Nebraska study on High Speed wireless technology as of 4-13-23:

- On 4-13-23, Hamid Sharif provided the following update:

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Our work at the University of Nebraska-Lincoln has been in the area of better utilization of RF resources for the rail industry. In short, it is becoming harder and harder to locate available spectrum resources for rail industry applications. Our work has been to concentrate on better utilization of 160 MHz. So, we have designed and built a computer simulation model for the 160 MHz. We have verified this model and have done a number of application tests in the lab.

Currently, we are transitioning our transceiver design into a prototype implementation using a software radio platform, in preparation for extensive field testing to evaluate the accuracy of our prediction models and the reliability of our design. It also provides the basis for the exploration of cognitive radio principles in the pursuit of a unified communications architecture for the rail industry. We continue our work on the transceiver implementation, by evaluating and refining our receiver synchronization capabilities to be more robust against phase, frequency, and timing offsets. We also have begun our work to implement the higher-layer functionalities of our protocol stack. These are all ahead of our field tests next month.

For any questions, please contact Hamid Sharif at:

[hsharif@UNL.edu](mailto:hsharif@UNL.edu)

Hamid was asked if there were interim reports that have been published. He responded that interim reports went to FRA in August (2022) He will check with FRA and provide to anyone in the subcommittee who is interested. He added that two papers were published last year.

- Working Group on Specification Weight Issues as of 4-30-23:

On 3-30-23, Jeff Gordon, FRA, and the working group team leader, reported that he intends to update the document based on working group feedback rather than schedule a meeting. He will then ask for input from the members via email. His issue is that he has been called for Jury duty and if enpaneled could be serving for 3 months and he would not be able to hold a working group meeting. If he is not enpaneled, this may change, but for now he intends to begin updating the document based on feedback received to date.

Steve Hewitt asked Jeff to let him know when he is ready to present an update to the technical subcommittee and he will add it to the agenda at that time.

No change in April 2023.

During the month of May 2023, the subcommittee met on the 11th and the 25th:

Key decisions and action item updates from the month of May 2023, included:

- Backgrounder educational document:

The 2023 NGECE two-page educational document/handout was released in January and distributed widely during the Annual Meeting on 2-3-23.

It remains available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 333 copies have been distributed.

- Document Control Update as of 5-30-23:

Please go to the Executive Board section of this report for the update as provided to the Executive Board on 5-30-23.

- Communications on Rail Cars working group – status as of 4-13-23:

On 4-13-23, Ken Martin, Sharma and Associates and team leader for the Communications on Rail Cars Working Group, reported that they are working on writing a DTL specification to include in the single level Rail car specification once completed and approved.

Ken is working on the first draft and will distribute it to the working group members in advance of their next meeting (a week or week and a half from now). It will be a few months down the line before it will be ready for review outside of the Working Group. Ken noted that this spec may well be applicable to some of the other PRIIA specs. There are similarities but also some differences. Ken noted that he was able to get the updated Amtrak specification and is including it.

Additionally, Ken noted that there have been some requests that the Working Group also look at developing a CCTV specification. Ken would welcome input from leadership on whether this is something that the Working Group should do.

Joe Paul commented that he believes a CCTV specification is a good idea. Amtrak is working on video surveillance for the Venture cars and it is clear that there is a need for standardization.

Ken asked if this should be a “global spec”?

Joe responded that there will need to be further discussion to determine how to approach this. He invited input from subcommittee members - “feel free to reach out”.

Multi-State Car Procurement - Caltrans (Lead State) update as of 4-27-23:

Nothing new was reported in May 2023. The Document Control Manager will contact Ken Martin and report back to the subcommittee on 6-8-23.

- On 5-25-23, Jodi Lehmkuhl, Caltrans, provided the following update:

The remaining Cab Car FDR submittals are in the final closure stage with nearly all subsystems ready for approval. The Cab Car dynamic framing representative approach has been submitted to FRA, and additional requested simulations are now complete. IDOT Café Car system level FDR reviews are nearly closed.

The Cab Car Collision and Corner Post Appendix F test reports are approved. The Cab Car Complete FAI is tentatively scheduled for June or July, to be followed by the FRA Sample Car Inspection.

129 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches are currently in revenue service and Caltrans is targeting revenue start in first half of 2023 once all necessary agreements are in place.

- Metro North Dual Mode Locomotive Procurement as of 5-16-23:

On 5-16-23, Ray Hessinger, NYSDOT provided the following update:

Siemens and Metro-North have closed all Final Design Review items and are performing FAIs on various components such as brakes, air compressors, and roofs. Car Shells are scheduled to be done in the May-June timeframe.

Car Shells 301 and 302 are ready for blasting and are way ahead of schedule.

On 5-16-23, Ray also noted that they have identified the fact that Pueblo has no under running third rail so they cannot test third rail there. They are looking at options for testing the locomotive in third rail mode.

- Amtrak Equipment Procurement Updates as of 5-25-23 reported by George Hull, Amtrak:

On the new Acela:

Work continues on testing and modeling for submittal for acceptance.

On the Charger Locomotives:

ATC issues have been cleared. They are waiting on documentation and should be able to add the locomotives to more routes. They are currently running on the City of New Orleans, the Empire Builder, Coast Starlight and should be able to "head East soon."

On the Airo trainset:

They are progressing well, with the first car shell is nearly completed. Final Design Review (FDR) is finished. Overall, the Procurement is on track.

On the Long Distance Trains:

Submittals have been received and the preliminary process is being worked on.

- Connecticut DOT Rail Car Procurement:

This procurement has advanced to the "cone of silence" phase.

- University of Nebraska study on High Speed wireless technology as of 4-13-23:

- On 4-13-23, Hamid Sharif provided the following update:

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Our work at the University of Nebraska-Lincoln has been in the area of better utilization of RF resources for the rail industry. In short, it is becoming harder and harder to locate available spectrum resources for rail industry applications. Our work has been to concentrate on better utilization of 160

MHz. So, we have designed and built a computer simulation model for the 160 MHz. We have verified this model and have done a number of application tests in the lab.

Currently, we are transitioning our transceiver design into a prototype implementation using a software radio platform, in preparation for extensive field testing to evaluate the accuracy of our prediction models and the reliability of our design. It also provides the basis for the exploration of cognitive radio principles in the pursuit of a unified communications architecture for the rail industry. We continue our work on the transceiver implementation, by evaluating and refining our receiver synchronization capabilities to be more robust against phase, frequency, and timing offsets. We also have begun our work to implement the higher-layer functionalities of our protocol stack. These are all ahead of our field tests next month.

For any questions, please contact Hamid Sharif at:

[hsharif@UNL.edu](mailto:hsharif@UNL.edu)

Hamid was asked if there were interim reports that have been published. He responded that interim reports went to FRA in August (2022) He will check with FRA and provide to anyone in the subcommittee who is interested. He added that two papers were published last year.

Next Update: 6-22-23

- Working Group on Specification Weight Issues as of 4-30-23:

On 3-30-23, Jeff Gordon, FRA, and the working group team leader, reported that he intends to update the document based on working group feedback rather than schedule a meeting. He will then ask for input from the members via email. His issue is that he has been called for Jury duty and if enpaneled could be serving for 3 months and he would not be able to hold a working group meeting. If he is not enpaneled, this may change, but for now he intends to begin updating the document based on feedback received to date.

Steve Hewitt asked Jeff to let him know when he is ready to present an update to the technical subcommittee and he will add it to the agenda at that time.

No change in May 2023

- Status: NGEF Funding – CRISI Grant Timeline – potential next steps:

See Executive Board section of this report for current status of this item.

During the month of June 2023, the subcommittee met on the 8th and the 22nd:

Key decisions and action item updates from the month of June 2023, included:

- Backgrounder educational document:

The 2023 NGEF two-page educational document/handout was released in January and distributed widely during the Annual Meeting on 2-3-23.

It remains available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 334 copies have been distributed.

- Document Control Update as of 6-30-23:

Please go to the Executive Board section of this report for the update as provided to the Executive Board on 6-27-23.

- Communications on Rail Cars working group – status as of 6-8-23:

On 6-8-23, Tammy Krause reorted the following update:

- The Communications on Rail Cars Working Group is working on the communications chapter 12 of the single level specification. They were asked to bring the communications section up to current. They are currently working on the Digital Train Line section. The PRIIA sub specification was sunset but the concept is still needed. The new section being written by the communications group includes newer technology and options as opposed to the original ethernet cables. Their next meeting will be on June 20, 2023.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 6-22-23:

See Executive Board section of this report for the status of the Venture car multi- state procurement as of 6-27-23.

- Metro North Dual Mode Locomotive Procurement as of 6-27-23:

See Executive Board section of this report for the status of this procurement as of 6-27-23.

- Amtrak Equipment Procurement Updates as of 5-25-23 reported by George Hull, Amtrak:

See Executive Board section of this report for the status of this procurement as of 6-27-23.

- Connecticut DOT Rail Car Procurement:

This procurement has advanced to the “cone of silence” phase.

- University of Nebraska study on High Speed wireless technology as of 4-13-23:

“We continued our field testing for verification of our transceiver design. This is to investigate a better utilization of some of the sub-giga-Hertz frequencies for rail applications to ease the spectrum saturation. We have been investigating 160 MHz which has been used primarily for voice communications but believe this band can be utilized more efficiently for some of the data rail applications and this is the core of our study. We have built computer models for the physical layer transmission of 160 MHz as well as the upper layers to simulate and field test different rail applications. Our developed transceiver has been implemented using software-defined radios for field tests. Hope to provide the results later in the summer.”

For any questions, please contact Hamid Sharif at: [hsharif@UNL.edu](mailto:hsharif@UNL.edu)

- Working Group on Specification Weight Issues as of 6-30-23:

On 3-30-23, Jeff Gordon, FRA, and the working group team leader, reported that he intends to update the document based on working group feedback rather than svchedule a meeting. He will then ask for input from the members via email. His issue is that he has been called for Jury duty and if enpaneled could be servibg for 3 months and he would not be able to hold a working group meeting. If he is not enpaneled, this may change, but for now he inetends to begin updating the document based on feedback received to date.

No change in June 2023

- Status: NGEF Funding – CRISI Grant Timeline – potential next steps:

See Executive Board section of this report for current status of this item.

During the month of July 2023, the subcommittee met on the 8th and the 22nd:

Key decisions and action item updates from the month of July 2023, included:

- Backgrounder educational document:

The 2023 NGEC two-page educational document/handout was released in January and distributed widely during the Annual Meeting on 2-3-23.

It remains available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 336 copies have been distributed.

- Document Control Update as of 7-25-23:

Please go to the Executive Board section of this report for the update as provided to the Executive Board on 7-25-23.

- Communications on Rail Cars working group – status as of 6-8-23:

On 6-8-23, Tammy Krause reorted the following update:

The Communications on Rail Cars Working Group is working on the communications chapter 12 of the single level specification. They were asked to bring the communications section up to current. They are currently working on the Digital Train Line section. The PRIIA sub specification was sunset but the concept is still needed. The new section being written by the communications group includes newer technology and options as opposed to the original ethernet cables. Their next meeting will be on June 20, 2023.

No update was provided in July 2023.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 7-20-23:

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 7-11-23:

See Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 7-20-23 reported by George Hull, Amtrak:

See Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement:

This procurement has advanced to the “cone of silence” phase.

- University of Nebraska/FRA study on High Speed wireless technology as of 6-22-23:

Report from Hamid Sharif:

“We continued our field testing for verification of our transceiver design. This is to investigate a better utilization of some of the sub-giga-Hertz frequencies for rail applications to ease the spectrum saturation. We have been investigating 160 MHz which has been used primarily for voice communications but believe this band can be utilized more efficiently for some of the data rail applications and this is the core of our study. We have built computer models for the physical layer transmission of 160 MHz as well as the upper layers to simulate and field test different rail applications. Our developed transceiver has been implemented using software-defined radios for field tests. Hope to provide the results later in the summer.”

For any questions, please contact Hamid Sharif at: [hsharif@UNL.edu](mailto:hsharif@UNL.edu)

- Working Group on Specification Weight Issues as of 7-31-23:

Jeff Gordon, FRA, the working group team leader, reported in March 2023, that he intends to update the document based on working group feedback rather than schedule a meeting. He will then ask for input from the members via email. His issue is that he has been called for Jury duty and if enpaneled could be serving for 3 months and he would not be able to hold a working group meeting. If he is not enpaneled, this may change, but for now he intends to begin updating the document based on feedback received to date.

No change in July 2023

- Status: NGEF Funding – CRISI Grant Timeline – path forward:

See Executive Board section of this report for current status of this item.

During the month of August 2023, the subcommittee met on the 17th and the 31st:

On August 8<sup>th</sup> the technical subcommittee discussed the cadence of its meetings as directed by the Executive Board and determined that the meetings would remain bi-weekly with the Chair and Steve Hewitt making the determination to cancel an up-coming meeting if the agenda was light.

Key decisions and action item updates from the month of August 2023, included:

- Backgrounder educational document:

The 2023 NGEF two-page educational document/handout was released in January and distributed widely during the Annual Meeting on 2-3-23.

It remains available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 338 copies have been distributed.

- Document Control Update as of 8-31-23:

Please go to the Executive Board section of this report for the latest actions/decision made by the technical subcommittee and transmitted to the Executive Board on 8-31-23.

- Communications on Rail Cars Working Group and the Carbody Materials Working Group's – status as of 8-31-23:

Status: Communication on Rail Cars Working Group Activities: They are still working on finalizing the DTL software specification. They have had several meetings to discuss proposed changes – in particular those by one member. Thus far they have not been able to come to a resolution on this. Team Leader Ken Martin expects that the group will come to consensus and complete the DTL software spec by late September 2023.

Status: Carbody Materials Working Group Activities: Not much to report on this group's work as they have had difficulty getting together. It is expected that after the summer vacation season they will be able to re-convene and resume work.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 8-17-23:

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 8-17-23:

See Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 8-17-23 reported by George Hull, Amtrak:

See Executive Board section of this report for the status of this procurement.



- Connecticut DOT Rail Car Procurement:
- See Executive Board section of this report for the status of this procurement.
- University of Nebraska/FRA study on High Speed wireless technology as of 8-31-23:

Report from Hamid Sharif:

- "The University of Nebraska Advanced Telecommunications Engineering Lab has been studying the sub-giga-Hertz frequencies for rail applications to ease the current spectrum saturation for railroads, under the direction of FRA. We have studied the 160 MHz frequency as an example of these sub-giga Hertz bands. Theoretical and computer models were designed to represent a typical Transmitter, a Receiver, and a channel model for this frequency band. Then, different applications and rail scenarios were simulated, and performance data were collected. We have been doing field tests this summer to verify our lab data. We plan to publish our results this Fall. Any interested parties, please feel free to contact me for more information.

Additionally, as we plan for the next phase of this project, we are interested to hear any suggestions for implementing any other sub-giga frequencies or any specific rail application utilizing the 160 MHz.

Please feel free to contact me to discuss any utilization of our current work or suggestions and ideas for the next phase of this project. Thank you."

Hamid Sharif  
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University of Nebraska-Lincoln

Phone: 402-917-6363  
Email: [HSCHARIF@UNL.EDU](mailto:HSCHARIF@UNL.EDU)

- Working Group on Specification Weight Issues as of 8-31-23:

Jeff Gordon, FRA, the working group team leader, reported in March 2023, that he intends to update the document based on working group feedback rather than schedule a meeting. He will then ask for input from the members via email. His issue is that he has been called for Jury duty and if enpaneled could be serving for 3 months and he would not be able to hold a working group meeting. If he is not enpaneled, this may change, but for now he intends to begin updating the document based on feedback received to date.

No change in August 2023

- Status: NGEF Funding – CRISI Grant Timeline – path forward:

See Executive Board section of this report for current status of this item.

An award announcement re: the NGEF was not forthcoming in August 2023.

During the month of September 2023, the subcommittee met once the 14th:

Key decisions and action item updates from the month of September 2023, included:

- Backgrounder educational document:

The 2023 NGEF two-page educational document/handout was released in January and distributed widely during the Annual Meeting on 2-3-23.

It remains available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 338 copies have been distributed.

- Document Control Update as of 9-14-23:

On 9-14-23, Dave Warner reported that on 9-5-23, the NGENC Executive Board, PRIIA Reference Specification 305-901 Revision A was adopted. The document is now with the Technical Writer (Camren Cordell) and she is incorporating the administrative changes approved by the Technical Subcommittee and adopted by the Executive Board.

- Communications on Rail Cars Working Group & the Carbody Materials Working Group's status as of 9-30-23:

No change – there were no updates provided in September 2023:

Status: Communication on Rail Cars Working Group Activities: They are still working on finalizing the DTL software specification. They have had several meetings to discuss proposed changes – in particular those by one member. Thus far they have not been able to come to a resolution on this. Team Leader Ken Martin expects that the group will come to consensus and complete the DTL software spec by late September 2023.

Status: Carbody Materials Working Group Activities: Not much to report on this group's work as they have had difficulty getting together. It is expected that after the summer vacation season they will be able to re-convene and resume work.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 9-27-23:

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 9-27-23:

See Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 9-14-23 reported by George Hull, Amtrak:

On 9-14-23 Tech subcommittee Vice Chair Joe Paul provided the following update:

On the new Acela – Testing continues.

On the Charger Locomotives – Amtrak continues to take delivery and commissioning at Wilmington. Joe estimated that 33 of 34 have been received from Siemens. He also noted that they are expanding where the units are running to the Northeast and Southeast.

On the Airo Trainset – Design Review continues and they are on schedule.

- Connecticut DOT Rail Car Procurement:

- See Executive Board section of this report for the status of this procurement.

- University of Nebraska/FRA study on High Speed wireless technology as of 9-27-23:

No change from the 8-31-23 report.

Report from Hamid Sharif:

- "The University of Nebraska Advanced Telecommunications Engineering Lab has been studying the sub-giga-Hertz frequencies for rail applications to ease the current spectrum saturation for railroads, under the direction of FRA. We have studied the 160 MHz frequency as an example of these sub-giga Hertz bands. Theoretical and computer models were designed to represent a typical Transmitter, a Receiver, and a channel model for this frequency band. Then, different applications and rail scenarios were simulated, and performance data were collected. We have been doing field tests this summer to verify our lab data. We plan to publish our results this Fall. Any interested parties, please feel free to contact me for more information.

Additionally, as we plan for the next phase of this project, we are interested to hear any suggestions for implementing any other sub-giga frequencies or any specific rail application utilizing the 160 MHz.

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- Working Group on Specification Weight Issues as of 9-27-23:

Jeff Gordon, FRA, the working group team leader, reported in March 2023, that he intends to update the document based on working group feedback rather than schedule a meeting. He will then ask for input from the members via email. His issue is that he has been called for Jury duty and if enpaneled could be serving for 3 months and he would not be able to hold a working group meeting. If he is not enpaneled, this may change, but for now he intends to begin updating the document based on feedback received to date.

No change in September 2023

- Status: NGEN Funding – CRISI Grant Timeline – path forward:

The NGEN did not receive a 2022 CRISI Grant. The announcement of grants awarded was released on 9-25-23 and the NGEN was not included in the award list.

See the Executive Board section of this report for more detail on a potential path forward.

During the month of October 2023, the subcommittee met twice – on the 12<sup>th</sup> and the 26<sup>th</sup>:

Key decisions and action item updates from the month of October 2023, included:

- Backgrounder educational document:

The 2023 NGEN two-page educational remains available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 354 copies have been distributed.

The FASC is in the process of developing the 2024 version of the two-pager.

- Document Control Update as of 10-26-23:

On 10-26-23, the Technical Subcommittee approved the FY 2024 Document Control Work Plan.

The plan can be seen in the Executive Board section of this report.

- Communications on Rail Cars Working Group & the Carbody Materials Working Group's status - 10-12-23:

The Communications Working Group met last week and have finalized their changes to the DTL Section of the Single Level Specification. The Working Group decided to create the section for the Single Level and it will be applied to other specifications. They have submitted a DCR with all of the changes.

The Materials Working Group has not met and there is no update for them.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 10-31-23:

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 10-31-23:

See Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 10-31-23 reported by George Hull, Amtrak:

See Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement:

See Executive Board section of this report for the status of this procurement.

- University of Nebraska/FRA study on High Speed wireless technology as of 10-31-23:

No change from the 8-31-23 report.

Hamid will provide an update on the 11-9-23 Technical Subcommittee meeting.

Report from Hamid Sharif on 8-31-23:

- "The University of Nebraska Advanced Telecommunications Engineering Lab has been studying the sub-giga-Hertz frequencies for rail applications to ease the current spectrum saturation for railroads, under the direction of FRA. We have studied the 160 MHz frequency as an example of these sub-giga Hertz bands. Theoretical and computer models were designed to represent a typical Transmitter, a Receiver, and a channel model for this frequency band. Then, different applications and rail scenarios were simulated, and performance data were collected. We have been doing field tests this summer to verify our lab data. We plan to publish our results this Fall. Any interested parties, please feel free to contact me for more information.

Additionally, as we plan for the next phase of this project, we are interested to hear any suggestions for implementing any other sub-giga frequencies or any specific rail application utilizing the 160 MHz.

Please feel free to contact me to discuss any utilization of our current work or suggestions and ideas for the next phase of this project. Thank you."

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- Working Group on Specification Weight Issues as of 10-31-23:

On 10-31-23, Jeff Gordon, FRA, reported that he is looking to set a meeting of the working group for 11-9-23 from noon to 1:00pm Eastern. He asked that anyone not on his list, but interested in participating on the working group to contact him at [jeffrey.gordon@dot.gov](mailto:jeffrey.gordon@dot.gov).

Jeff added that he is planning to have another meeting in December which "maybe" will finalize the document for submittal to the Technical Subcommittee for further action.

At this point, Jeff informed the Technical Subcommittee members on today's call that he will be retiring from FRA at the end of December 2023 after 39 years.

Jeff announced that upon his retirement the following FRA representatives will fill his NGEC roles in an interim capacity:

Mike Murray will serve as FRA's voting member of the NGECE Executive Board and the Finance and Administrative Subcommittee (FASC). Melissa Shurland will serve as the voting member of the Technical Subcommittee and as team leader for the Mechanical working group.

Jeff also noted that he is hoping at the November meeting of the Working Group on Weight Issues to poll the members to get a team leader in place in case the work is not completed in November.

After hearing the news of Jeff's retirement from FRA, Ray Hessinger (NGECE Exec Board Chair) congratulated Jeff and expressed his appreciation for the work Jeff has done with the Committee and with the states throughout the years.

Steve Hewitt also offered his congratulations and thanked him for all that he did for the NGECE since its inception. Steve noted that Jeff was always "the voice of reason" for the NGECE and such a strong contributor and an invaluable member of the Committee that he will be impossible to replace.

George Hull weighed in as well with his congratulations and commented on what Jeff meant to FRA and to all those he worked with. George added "you will be missed".

- Status: NGECE Funding – CRISI Grant Timeline – path forward:

The NGECE did not receive a 2022 CRISI Grant. The announcement of grants awarded was released on 9-25-23 and the NGECE was not included in the award list.

See the Executive Board section of this report for more detail on a potential path forward.

- Follow-up: Question of changing the web-conference service provider from WebEx to Teams:

On 10-26-23, Steve Hewitt reported that he had heard two comments on the question of preference of a webconference service provider – either stay with WebEx or change to Microsoft Teams. Both comments stated an inclination to stay with WebEx.

Steve asked if there were any further comments/thoughts/opinions?

Steve did note that FRA – Mike Murray – had recommended to the Executive Board that the NGECE begin using Microsoft Teams rather than WebEx. Mike and others have had difficulties with WebEx.

George Hull asked if members had comments. Hearing none, he noted that he and others at Amtrak have problems with WebEx as well and he would like to see the NGECE switch to Teams.

Steve Hewitt agreed that there were issues with WebEx for some and today was a prime example of those problems as several members had difficulties getting on this call or staying connected.

George asked what the next steps are. Steve said that it is a Board decision and suggested that George add his concerns to those of FRA at next week's Exec Board call (10-31-23) and inform Board members that the question was brought to the Technical Subcommittee and there did not appear to be any concerns with moving to Teams.

- 2024 NGECE Annual Meeting:

On 10-31-23 Steve Hewitt reminded members that the NGECE Annual meeting will be held on 2-2-24 at the Hyatt Regency Capitol Hill Washington, DC.

A DRAFT agenda has been prepared and will be discussed on the next Executive Board meeting scheduled for 10-31-23. The plan is to hold the meeting as a hybrid – in-person and virtually. The time is anticipated to be registration at 8:00am Eastern with the meeting kicking off at 8:30AM and ending around 12:30PM Eastern.

AASHTO has provided the hotel link for the rail meetings to be held during that week. As always, the NGECE is a part of several meetings held in conjunction with AASHTO's Council on Rail Transportation.

During the month of November 2023, the subcommittee met once – on the 9th:

Key decisions and action item updates from the month of November 2023, included:

- Backgrounder educational document:

The 2023 NGECE two-page educational remains available in electronic or hard copy versions.

Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 368 copies have been distributed.

The FASC is in the process of developing the 2024 version of the two-pager. (see Exec Board section of this report for updates recommended to the Board on 11-28-23)

- Document Control Update as of 11-28-23:

See the update in the Executive Board section of this report.

- Communications on Rail Cars Working Group & the Carbody Materials Working Group's status - 10-12-23:

The Communications Working Group met last week and have finalized their changes to the DTL Section of the Single Level Specification. The Working Group decided to create the section for the Single Level and it will be applied to other specifications. They have submitted a DCR with all of the changes.

No update provided in November.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 11-28-23:

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 11-28-23:

See Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 11-28-23 reported by George Hull, Amtrak:

See Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement:

See Executive Board section of this report for the status of this procurement.

- University of Nebraska/FRA study on High Speed wireless technology as of 11-28-23:

Hamid Sharif, University of Nebraska, provided an update on the High-Speed Wireless Study. He gave a brief background/overview of the study and the progress thus far in its current phase:

The University of Nebraska Advanced Telecommunications Engineering Lab has been studying the sub-giga-Hertz frequencies for rail applications to ease the current spectrum saturation for railroads, under the direction of FRA. We have studied the 160 MHz frequency as an example of these sub-giga Hertz bands. Theoretical and computer models were designed to represent a typical Transmitter, a Receiver, and a channel model for this frequency band. Then, different applications and rail scenarios were simulated, and performance data were collected.

After conducting modeling and simulation testing, they began to conduct field testing. Up to now the data from the field testing is close to the modeling and simulations.

They will continue on this phase through the end of December and will look to FRA for funding to continue the study in different areas.

Additionally, as they plan for the next phase of this project, they are interested in hearing any suggestions for implementing any other sub-giga frequencies or any specific rail application utilizing the 160 MHz.

Hamid also noted that he has been invited by Steve Hewitt to give a presentation on the study during the Annual Meeting of the NGEC in Washington, DC on 2-2-24.

Hamid Sharif  
Advanced Telecommunications Engineering Lab  
University of Nebraska-Lincoln

Phone: 402-917-6363  
Email: [HSHARIF@UNL.EDU](mailto:HSHARIF@UNL.EDU)

- Working Group on Specification Weight Issues as of 11-9-23:

On 11-9-23, Jeff Gordon reported that the working group met earlier in the day with 7 members present. Jeff had “fluffed” up the DRAFT document and distributed it to members of the group. He has highlighted the areas that needed additional input/changes and asked that members return it to him by 11-25-23. He has scheduled the next meeting for 12-4-23 with the intent of adjudicating the document to send it on to the full Technical subcommittee

- Status: NGEC Funding – CRISI Grant Timeline – path forward:

The NGEC did not receive a 2022 CRISI Grant. The announcement of grants awarded was released on 9-25-23 and the NGEC was not included in the award list.

See the Executive Board section of this report for more detail on a potential path forward.

- Follow-up: Question of changing the web-conferenec service provider from WebEx to Teams:

As reported in the Executive Board section of this report, the NGEC will move to Teams as the web conference service. The change will likely take place after the first of the year (2024).

- 2024 NGEC Annual Meeting:

A DRAFT agenda has been presented to the Executive Board, with some speakers yet to be determined. The current draft has been circulated to NGEC members – including the industry – and will be reviewed with the Technical subcommittee on 12-7-23 and, again, with the Board on 12-19-23.

AASHTO has provided the hotel link for the rail meetings to be held during that week. As always, the NGEC is a part of several meetings held in conjunction with AASHTO’s Council on Rail Transportation.

Below is an updated link for the 2024 Winter Rail Meeting provided by Kamasha Hendrickson, AASHTO Senior Meeting Planner:

The per diem rate is now \$193 per night (single/Double rooms).  
<https://www.hyatt.com/en-US/group-booking/WASRW/G-HTO4>  
Cut-Off Date: January 5, 2024

AASHTO Meeting Planner:

Kamasha Hendrickson, CMP, CGMP  
Senior Meeting Planner  
American Association of State Highway and Transportation Officials (AASHTO)  
555 12th St, NW, Suite 1000  
Washington, DC 20004

Tel: 202-624-5403  
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During the month of December 2023, the subcommittee met once – on the 7th:

Key decisions and action item updates from the month of December 2023, included:

- Backgrounder educational document:

The 2023 NGECE two-page educational remains available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 368 copies have been distributed.

The Executive Board has approved FASCE proposed changes for updating to the 2024 version of the two-pager.

- Document Control Update as of 12-31-23:

See the update in the Executive Board section of this report.

- Communications on Rail Cars Working Group & the Carbody Materials Working Group's status - 10-12-23:

The Communications Working Group met last week and have finalized their changes to the DTL Section of the Single Level Specification. The Working Group decided to create the section for the Single Level and it will be applied to other specifications. They have submitted a DCR with all of the changes.

No update provided in December.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 12-31-23:

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 12-31-23:

See Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 12-31-23 reported by George Hull, Amtrak:

See Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement:

See Executive Board section of this report for the status of this procurement.

- University of Nebraska/FRA study on High Speed wireless technology as of 12-31-23:

On 11-28-23, Hamid Sharif, University of Nebraska, provided an update on the High-Speed Wireless Study. He gave a brief background/overview of the study and the progress thus far in its current phase:

The University of Nebraska Advanced Telecommunications Engineering Lab has been studying the sub-giga-Hertz frequencies for rail applications to ease the current spectrum saturation for railroads, under the direction of FRA. We have studied the 160 MHz frequency as an example of these sub-giga Hertz bands. Theoretical and computer models were designed to represent a typical Transmitter, a Receiver, and a channel model for this frequency band. Then, different applications and rail scenarios were simulated, and performance data were collected.



After conducting modeling and simulation testing, they began to conduct field testing. Up to now the data from the field testing is close to the modeling and simulations.

They will continue on this phase through the end of December and will look to FRA for funding to continue the study in different areas.

Additionally, as they plan for the next phase of this project, they are interested in hearing any suggestions for implementing any other sub-giga frequencies or any specific rail application utilizing the 160 MHz.

Hamid also confirmed his attendance at the NGEC Annual Meeting 2-2-24 and that he will give a presentation on the study.

Hamid Sharif  
Advanced Telecommunications Engineering Lab  
University of Nebraska-Lincoln

Phone: 402-917-6363

Email: [HSCHARIF@UNL.EDU](mailto:HSCHARIF@UNL.EDU)

- Working Group on Specification Weight Issues as of 11-9-23:

The Weight Working Group plans on submitting their final recommendations to the TSC next week so that it can be discussed at the next TSC meeting on 1-4-24.

The recommended specification was provided to all Technical Subcommittee members during the last week of December and will be discussed during the 1-4-24 meeting of the subcommittee.

- Status: NGEC Funding – CRISI Grant Timeline – path forward:

See the Executive Board section of this report for more detail on a potential path forward.

- Follow-up: Question of changing the web-conference service provider from WebEx to Teams:

As reported in the Executive Board section of this report, the NGEC will move to Teams as the web conference service. The change will likely take place after the first of the year (2024).

- 2024 NGEC Annual Meeting:

The most recent DRAFT agenda has been approved by the Executive Board with some speakers yet to be confirmed.

AASHTO has provided the hotel link for the rail meetings to be held during that week. As always, the NGEC is a part of several meetings held in conjunction with AASHTO's Council on Rail Transportation.

Below is the link for the 2024 Winter Rail Meeting provided by Kamasha Hendrickson, AASHTO Senior Meeting Planner:

The per diem rate is now \$193 per night (single/Double rooms).  
<https://www.hyatt.com/en-US/group-booking/WASRW/G-HTO4>  
Cut-Off Date: January 5, 2024

AASHTO Meeting Planner:

Kamasha Hendrickson, CMP, CGMP  
Senior Meeting Planner  
American Association of State Highway and Transportation Officials (AASHTO)  
555 12th St, NW, Suite 1000  
Washington, DC 20004  
Tel: 202-624-5403

E-mail: [khendrickson@ashto.org](mailto:khendrickson@ashto.org)

During the month of January 2024, the subcommittee met twice – on the 4<sup>th</sup> and 18<sup>th</sup>:

Key decisions and action item updates from the month of January 2024, included:

- Backgrounder educational document:

The 2024 NGEC two-page educational will be released on 2-2-24 at the NGEC Annual meeting. It will be available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update as of 1-18-24:

See the update in the Executive Board section of this report.

- Communications on Rail Cars Working Group & the Carbody Materials Working Group's status - 10-12-23:

The Communications Working Group met last week and have finalized their changes to the DTL Section of the Single Level Specification. The Working Group decided to create the section for the Single Level and it will be applied to other specifications. They have submitted a DCR with all of the changes.

No update provided in January 2024.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 1-31-24:

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 12-31-23:

See the Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 1-31-24:

See the Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement:

See the Executive Board section of this report for the status of this procurement.

- University of Nebraska/FRA study on High Speed wireless technology as of 1-31-24:

On 11-28-23, Hamid Sharif, University of Nebraska, provided an update on the High-Speed Wireless Study. He gave a brief background/overview of the study and the progress thus far in its current phase:

The University of Nebraska Advanced Telecommunications Engineering Lab has been studying the sub-giga-Hertz frequencies for rail applications to ease the current spectrum saturation for railroads, under the direction of FRA. We have studied the 160 MHz frequency as an example of these sub-giga Hertz bands. Theoretical and computer models were designed to represent a typical Transmitter, a Receiver, and a channel model for this frequency band. Then, different applications and rail scenarios were simulated, and performance data were collected.

After conducting modeling and simulation testing, they began to conduct field testing. Up to now the data from the field testing is close to the modeling and simulations.

They will continue on this phase through the end of December and will look to FRA for funding to continue the study in different areas.

Additionally, as they plan for the next phase of this project, they are interested in hearing any suggestions for implementing any other sub-giga frequencies or any specific rail application utilizing the 160 MHz.

Hamid has confirmed his attendance (virtually) at the NGEAC Annual Meeting 2-2-24 and give a detailed presentation on the study. As of 1-31-24, FRA had not approved funding for the next phase of the study.

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- Specification for Rolling Stock Weight:

On 1-18-24, Dave Warner, acting team leader of the Vehicle Weight working group, provided a background on when the Draft specification proposed by the weight working group was provided to Technical Subcommittee (TSC) members and what the plan forward should be.

"The NGEAC Rolling Stock Vehicle Weights specification was sent to the entire TSC on 12-20-23 to provide ample review opportunity in advance of the 1-4-24." TSC meeting. The intent was to consider approval of the proposed specification on 1-4-24, but due to the lack of a quorum, consideration was tabled until the 1-18-24 meeting.

"At the 1-4-24 meeting, an industry member brought up some concerns he had with certain aspects of the document. He was asked to send those concerns to me, the Acting Team Leader of the Vehicle Weight Working Group. I received those comments, and requested he reach out to any of the members of the working group to discuss the concerns." Working group members should be able to provide the "insight, and background as to the reasons the document reads as it does. Further, he was requested to submit DCRs if he still contended items needed to be changed."

During this week I have been contacted by two additional individuals who disagree with various aspects of the document." In reviewing the concerns brought up by multiple industry members, Dave concluded that they "do need to be looked at by the Vehicle Weight Working Group".

"Therefore, I recommend, Mr. Chairman, that we do not move forward today with approval of the Rolling Stock Vehicle Weights specification."

"I have already told the industry members who have approached me to submit their concerns to Tammy Krause in the form of DCRs. While normally only used for approved documents, DCRs serve a valuable purpose to require the author to specifically identify both the language to be changed and provide the suggested replacement language. Having DCRs will enable the Vehicle Weight Working Group to focus the discussion at the next meeting."

- "The end of January (2024) is a reasonable deadline for the submission of DCRs. In the meantime, I will 'go to the doodle poll' to find time in early February (2024) for the Vehicle Weight Working Group to reconvene. I'm counting on the participation of the persons' submitting the DCRs, as well as the current members of the Working Group who have already put in a significant effort to bring the document to a vote."

"Finally, as an industry member, I can't make a motion on which the TSC can vote, but I can recommend a motion. So, in keeping what I said a bit earlier, Mr. Chairman, I recommend you make a motion 'to send the Rolling Stock Vehicle Weights specification back to the Vehicle Weights Working Group to provide an opportunity for resolving the concerns recently presented by industry members'."

Technical Subcommittee Consideration of approval of the Specification for Rolling Stock Weight:

While agreeing with Dave's recommendation, George Hull noted that he would give members the opportunity to offer either a motion to send the spec back to the working group for further discussion, or a motion to consider the specification for approval as presented.

At this point, Art Peterson, IDOT, offered a motion to send the Rolling Stock Vehicle Weight Specification back to the working group for further discussion to resolve the concerns that have been raised. Ed Engle, Iowa DOT, seconded the motion.

George Hull asked if there was any further discussion or any objections to the motion. Hearing none, George Hull determined that consensus had been achieved and the motion is approved.

- 2024 NGEC Annual Meeting:

The Annual Meeting is set to take place on 2-2-24 at the Hyatt Regency Hotel, Capitol Hill, Washington, DC. It will also be held virtually for those who cannot attend in-person.

The agenda is primarily finalized with only a few speakers yet to be confirmed.

During the month of February 2024, the subcommittee met once – on the 29th:

Key decisions and action item updates from the month of January 2024, included:

- Backgrounder educational document:

The 2024 NGEC two-page educational was released on 2-2-24 at the NGEC Annual Meeting. It is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update as of 2-29-24:

See the update in the Executive Board section of this report and go to the website at [www.ngec.org](http://www.ngec.org) to see the Annual meeting presentation.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 2-29-24:

See Executive Board section of this report for the status of the Venture car multi- state procurement.

Go to the website at [www.ngec.org](http://www.ngec.org) to see the Annual Meeting presentation on the Venture Cars Procurement and on the experience the states have had with the new railcars that are in service.

- Metro North Dual Mode Locomotive Procurement as of 2-29-24:

See the Executive Board section of this report for the status of this procurement.

Go to the website at [www.ngec.org](http://www.ngec.org) to see the Annual Meeting presentation on the Metro-North Dual Mode Locomotive procurement.

- Amtrak Equipment Procurement Updates as of 2-29-24:

See the Executive Board section of this report for the status of this procurement.

Go to the website at [www.ngec.org](http://www.ngec.org) to see the Annual Meeting presentation on the Amtrak Vehicle procurements and its experience with the equipment that has been placed in service.

- Connecticut DOT Rail Car Procurement:

Go to the website at [www.ngec.org](http://www.ngec.org) to see the Annual Meeting presentation on the CtDOT Passenger Rail Car procurement.

- University of Nebraska/FRA study on High Speed wireless technology as of 2-29-24:

Hamid Sharif, University of Nebraska, provided a summary presentation on the High-Speed Wireless Study during the NGEAC Annual Meeting.

The presentation is available on the NGEAC website at [www.ngec.org](http://www.ngec.org).

This study, as of 2-2-24 had not been granted funding from FRA for its next phase. The item will be tabled until further information is received.

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- Specification for Rolling Stock Weight:

The Weight working group is scheduling a meeting to discuss DCRs that have been submitted. Once the group can get all entities that have submitted DCRs available, a meeting will be scheduled to resolve them and re-submit the proposed specification to the Technical Subcommittee.

During the month of March 2024, the subcommittee met once – on the 28th:

Key decisions and action item updates from the month of March 2024, included:

- Backgrounder educational document:

The 2024 NGEAC two-page educational was released on 2-2-24 at the NGEAC Annual Meeting. As of 3-31-24, 460 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update as of 3-28-24:

See the update in the Executive Board section of this report.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 2-29-24 (no updates were provided by Caltrans in March 2024.):

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 3-28-24:

See the Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 3-28-24:

See the Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement:

See the Executive Board section of this report for the status of this procurement.

- University of Nebraska/FRA study on High Speed wireless technology as of 2-29-24:

Hamid Sharif, University of Nebraska, provided a summary presentation on the High-Speed Wireless Study during the NGEAC Annual Meeting.

The presentation is available on the NGEAC website at [www.ngec.org](http://www.ngec.org).

This study, as of 2-2-24 had not been granted funding from FRA for its next phase. The item will be tabled until further information is received.

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- Discussion: Potential future presentations – developing a list of presentations/topics:

Dan Ruppert introduced this discussion as a follow-up from the Annual meeting. He was very interested in the University of Nebraska Study and the presentation given during the Annual Meeting and would like to have some similar presentations throughout the year. He believes that it is important to leverage the knowledge that this group has to help those who are new to this field or simply interested in learning more about new technologies.

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Ray Hessinger, NYSDOT, commented that when this was brought up at the last Executive Board meeting, there was interest. He added that not all of the Board members are on the Technical Subcommittee but would like to be informed when a presentation is to be given during a subcommittee call so that they would have an opportunity to attend.

Dan Ruppert added that he thinks such presentations are an opportunity to present technology discussions to a broad group. He believes the effort may have to be solicited to get input and involvement.

Ray Hessinger added that it will be important to be sensitive with regard to commercial propriety.

Blair Slaughter commented on the fact that the FRA has an activity around technology transfer and thinking outside of railroads to solve railroad issues.

Melissa Shurland, FRA, noted that they are trying to be pro-active in the field of technology transfer. "We are waiting to see hard technology on the trains and would welcome input from this group." Melissa added "We have a mandate to be more pro-active on technology transfer."

Action:

Melissa Shurland, FRA, will introduce Steve Hewitt to the Director of the FRA's program related to Technology Transfer issues. Steve is happy to have the introduction and would hope that someone from that group would give a presentation on what the FRA is doing in this area and what they are looking for. This would, hopefully, stimulate further discussions/presentations.

Dan Ruppert believes there is interest and desire to go forward with technology presentations and asked for input from members on topics or points that the NGEC should be discussing.

During the month of April 2024, the subcommittee met once – on the 25th:

Key decisions and action item updates from the month of April 2024, included:

- Backgrounder educational document:

The 2024 NGEC two-page educational was released on 2-2-24 at the NGEC Annual Meeting. As of 4-30-24, 460 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update as of 4-16-24:

See the update in the Executive Board section of this report.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 4-25-24

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 4-25-24:

See the Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 4-25-24:

See the Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement as of 4-25-24:

See the Executive Board section of this report for the status of this procurement.

- University of Nebraska/FRA study on High Speed wireless technology as of 2-29-24:

Hamid Sharif, University of Nebraska, provided a summary presentation on the High-Speed Wireless Study during the NGEC Annual Meeting.

The presentation is available on the NGEC website at [www.ngec.org](http://www.ngec.org).

This study, as of 2-2-24 had not been granted funding from FRA for its next phase. The item will be tabled until further information is received.

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Discussion: Potential future presentations – Dan/Steve:

- a. Technological advances/emerging technologies/technology transfer:

Steve Hewitt reported that Melissa Shurland had reached out to the FRA's lead on the topic of Technology Transfer, but he has not heard from her yet.

Melissa said she would follow up. She noted that they are interested in a standardized specification for technology transfer.

Dan suggested that he, Steve, Melissa and the Technology Transfer person discuss "our baseline thinking" and then invite the individual to participate on the next call (5-9-24) or whatever works best.

Melissa agreed and will check back with dates and times for a brief call with Dan and Steve Hewitt.

(Following the meeting, Melissa connected with Michel Geary, FRA and offered 4-30-24 at 2:00pm or 5-2-24 at 10:00am for a call with Dan, Steve, Melissa and Michele. Steve has reached out to Dan about his availability.)

- b. Lessons learned during Equipment Acquisitions/Procurements

Steve Hewitt reminded industry and state members that we are looking for suggestions on additional topics on either emerging technologies or even lessons learned from vehicle acquisitions. This information could lead to an update of the Best Practices Document the NGEC created a few years ago. Ideas on topics of interest should be sent to Steve Hewitt and Dan Ruppert.

- NGEC future funding – CRISI Grant Application:

The NOFO for the next round of CRISI Grants came out at the end of March 2024. Amtrak intends to, once again, apply for a CRISI Grant for long-term funding for the NGEC. Work has begun on developing the application. All CRISI applications are due to FRA by 5-28-24.

In the last round, Amtrak applied for a CRISI grant for funding the NGEC. In the end, with many great applications and too little money to go around, the grant for funding the NGEC was not awarded. In the debrief with FRA, Amtrak learned that the application was very well done and compelling and there was no major flaws or any real flaws at all, simply not enough money to fund all of the many requests received. Amtrak was encouraged to apply again on behalf of funding the NGEC and is doing so.

In the last round, one of the critical factors that carried weight was the tremendous support the NGEC received from the industry through letters of support. It is hoped that we are able to get that kind of support and more this time around. It will be critical for sure.

As was done in the previous round, Amtrak will send out a letter to industry members from Tim Ziethen requesting letters of support and providing information as to where to send the letters and other guidance.

Please watch for Tim's request letter and, if so inclined, please support the CRISI application for funding the NGEC. The NGEC is currently being funded by Amtrak out of its AOP, but this was simply a 12-month interim funding to bridge the gap until long-term funding could be secured. It is critical that the NGEC be funded long-term and this should come by way of an FRA grant. The best vehicle at this time seems to be through CRISI. The NGEC Executive Board and Amtrak, as well, continue to look for other possible funding options.

During the month of May 2024, the subcommittee met twice – on the 9<sup>th</sup> and 23<sup>rd</sup>:

Key decisions and action item updates from the month of April 2024, included:

- Backgrounder educational document:

The 2024 NGEC two-page educational was released on 2-2-24 at the NGEC Annual Meeting. As of 5-23-24, 462 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update as of 5-23-24:

See the update in the Executive Board section of this report.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 5-23-24

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 5-24-24:

See the Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 5-24-24:

See the Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement as of 5-24-24:

See the Executive Board section of this report for the status of this procurement.

- University of Nebraska/FRA study on High Speed wireless technology:

Hamid Sharif, University of Nebraska, provided a summary presentation on the High-Speed Wireless Study during the NGEC Annual Meeting.

The presentation is available on the NGEC website at [www.ngec.org](http://www.ngec.org).



This study has not been granted funding from FRA for its next phase. The item will be tabled until further information is received. For further information, please contact:

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Advanced Telecommunications Engineering Lab  
University of Nebraska-Lincoln

Phone: 402-917-6363  
Email: HSHARIF@UNL.EDU

Discussion: Potential future presentations – Dan/Steve:

- FRA Rolling Stock Research – Review Potential Topic List:

On 5-23-24, Melissa Shurland, FRA, provided an overview on FRA Rolling Stock Research potential topics for discussion on future NGECC Technical subcommittee calls. This list followed a discussion that Melissa Shurland and others from FRA R&D had with Steve Hewitt and Dan Ruppert last week.

1. FRA Safety Approach for Review and Issuance of Letter of Concurrence for Use of Advanced On-Board Energy Storage Systems
2. Review of RDI-22 Rail Decarbonization Technology R&D
3. Glazing Research
4. Passenger Rail Equipment Crashworthiness (side Impact)
5. US-ISO Standards Group
6. WhMD (wheeled mobility device) Sled Test

On 5-23-24, it was agreed that the first presentation will be on topic 1 (above) and will take place on 6-20-24. The FRA Office of Safety will give the presentation. Melissa Shurland will let Steve Hewitt know who the presenter will be prior to 6-20-24.

The order of the other items on the FRA list will be determined based on FRA availability. The intent is to have one topic covered each month.

- NGECC future funding – CRISI Grant Application:

See the Executive Board section of this report for the status of this procurement.

During the month of June 2024, the subcommittee met twice – on the 6<sup>th</sup> and 20<sup>th</sup>:

Key decisions and action item updates from the month of June 2024, included:

- Backgrounder educational document:

The 2024 NGECC two-page educational was released on 2-2-24 at the NGECC Annual Meeting. As of 6-30-24, 463 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update as of 6-30-24:

See the update in the Executive Board section of this report.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 6-30-24

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 6-30-24:

See the Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 6-30-24:

See the Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement as of 6-30-24:

See the Executive Board section of this report for the status of this procurement.

- FRA Rolling Stock Research Topics for monthly presentations:

Melissa Shurland, FRA, provided an overview on FRA Rolling Stock Research potential topics for discussion on future NGECE Technical subcommittee calls. This list followed a discussion that Melissa Shurland and others from FRA R&D had with Steve Hewitt and Dan Ruppert.

1. FRA Safety Approach for Review and Issuance of Letter of Concurrence for Use of Advanced On-Board Energy Storage Systems
2. Review of RDI-22 Rail Decarbonization Technology R&D
3. Glazing Research
4. Passenger Rail Equipment Crashworthiness (side Impact)
5. US-ISO Standards Group
6. WhMD (wheeled mobility device) Sled Test

It was agreed that the first presentation will be on topic 1 (above) and will take place on 6-20-24. The FRA Office of Safety will give the presentation. Melissa Shurland will let Steve Hewitt know who the presenter will be prior to 6-20-24.

First Presentation 6-20-24 "FRA's Requirements and Approval Procedures for New Technology Use in Rail Operations" – Dr. Phani Raj, FRA Office of Safety:

On 6-20-24, Dr. Phani Raj, FRA Office of Safety, kicked off the first in a series of FRA presentations to be given on different topics related to areas of technology research related to Rail rolling stock. These presentations will be given monthly, schedule permitting.

Dr. Raj gave an excellent presentation entitled "FRA's Requirements and Approval Procedures for New Technology Use in Rail Operations".

The presentation will be available on the NGECE website and will be distributed with the 6-20-24 DRAFT minutes.

Next presentation – 9-5-24

- NGECE future funding – CRISI Grant Application:

See the Executive Board section of this report for the status of this procurement.

- NGECE Website Recovery:

AASHTO has about completed its efforts to re-post all of the information that was lost when AASHTO had a cyber-attack which affected its website and the NGECE's as well. Steve Hewitt has been providing information for the uploads as needed.

- 2025 NGECE Annual Meeting:

The 2025 Annual Meeting will be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

- NGECE Future Funding – Status: CRISI Grant Application:

The CRISI Grant Application for funding the NGECE was submitted on time to the portal. It included many letters of support. Tim did not have the exact number, but it was a good representation. It is not too late to send in support letters. They should be sent to Tim Ziethen and Meghan Hestand, Amtrak Grants.

Letters of Support:

Submitting letters of support for the NGEC by members of the industry and states is most critical to the success of the application. It is extremely important that NGEC members – both states and industry – prepare and submit letters of support.

During the month of July 2024, the subcommittee met once – on the 18th:

Key decisions and action item updates from the month of July 2024, included:

- Backgrounder educational document:

The 2024 NGEC two-page educational was released on 2-2-24 at the NGEC Annual Meeting. As of 7-31-24, 488 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update as of 7-31-24:

See the update in the Executive Board section of this report.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 7-31-24

See Executive Board section of this report for the status of the Venture car multi- state procurement.

- Metro North Dual Mode Locomotive Procurement as of 7-31-24:

See the Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 7-31-24:

See the Executive Board section of this report for the status of this procurement.

- Connecticut DOT Rail Car Procurement as of 7-31-24:

See the Executive Board section of this report for the status of this procurement.

- FRA Rolling Stock Research Topics for monthly presentations:

On July 18, 2024, Melissa Shurlad presented the second in a series of presentations to the technical subcommittee:

“Rail Decarbonization: Overview of FRA Research on Advancing Clean Energy Technologies for Rail”

Melissa Shurland gave an excellent presentation on the topic noted above. The presentation will be distributed to all NGEC Technical subcommittee members along with the DRAFT minutes from this meeting.

This is the second in a series of presentations to be given over the next several months by FRA. The presentations will be held monthly with a pause in August due to schedule conflicts including vacation time. The presentations will resume in September.

Dan Ruppert thanked Melissa for the presentation and noted that there is “great information here”. He added, “On the Amtrak side there is a lot of energy (pun intended) around alternative sources.”

Ron Lammerts asked if the presentation would be available. Melissa responded that she would send it to Steve Hewitt with the video section removed and a link to it in its place so as not to make the presentation too large to transmit.

Dan Ruppert commented that these are important topics for the NGEC to get a foundation of information to provide for passenger rail.

Due to vacations and the calendar, the FRA take a pause on its presentations in August and will begin again in September 2024.

Next presentation – 9-5-24 (tentative)

- NGEC future funding – CRISI Grant Application:

See the Executive Board section of this report for the status of this procurement.

- NGEC Website Recovery:

AASHTO has about completed its efforts to re-post all of the information that was lost when AASHTO had a cyber-attack which affected its website and the NGEC's as well. Steve Hewitt has been providing information for the uploads as needed.

- 2025 NGEC Annual Meeting:

The 2025 Annual Meeting will be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

- NGEC Future Funding – Status: CRISI Grant Application:

The CRISI Grant Application for funding the NGEC was submitted on time to the portal. It included many letters of support. It is not too late to send in support letters. They should be sent to Tim Ziethen and Mehgan Histan, Amtrak Grants.

Letters of Support:

Submitting letters of support for the NGEC by members of the industry and states is most critical to the success of the application. It is extremely important that NGEC members – both states and industry – prepare and submit letters of support.

During the month of August 2024, the subcommittee met once – on the 15th:

Key decisions and action item updates from the month of August 2024, included:

- Backgrounder educational document:

The 2024 NGEC two-page educational was released on 2-2-24 at the NGEC Annual Meeting. As of 8-31-24, 488 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update as of 8-15-24:

The Mechanical WG met on Aug 13 to review the DCRs proposed for the single-level specification. They have not decided yet on those DCRs but they have agreed to meet every two weeks to review and decide on the DCRs. During review the working group realized the door section in the single-level spec is not as detailed as the bi-level spec. It was decided that a smaller task force would review the two specs and update the door section in the single level spec. Door experts are encouraged to volunteer for the task force. The first meeting for the Door task force is tentatively set for August 20<sup>th</sup> at 2:30PM. The next Mechanical WG meeting is Aug 26 at 2:30PM EST.

The Communication on Rail Cars WG is continuing their work on the DTL specs to be included in the various equipment specifications. They have completed a version of the DTL spec for inclusion in the trainset spec but holding off on submission until they see the final version for the single level spec as they are very similar. They are currently working on a version of the DTL specification for inclusion in

the bi-level specification. This was just recently started and won't be complete for at least a few months. Their next meeting is August 27.

The Materials WG has had a slow summer with little activity. However, the draft of the structural section for aluminum is nearly complete and the materials section will be mostly derivative from the requirements in the structural section so a draft will be easily assembled. The plan is to start meetings back up in September with a goal to finish the single car spec drafts by the end of November.

I have continued to meet weekly with the Technical Writer to work on the de-Amtrak'ing the PRIIA specs.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 8-15-24

All coach type FDR and FAI stages are complete, including Cab Car and Café Car.

The Cab Car FAI and FRA sample car inspections are complete, and the first cars are being prepared for conditional acceptance. The Cab Car 238.111(b) testing is complete, and the test report is in work. The first café cars have been shipped to Chicago and are being prepared for revenue service.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are currently in revenue service and additional cars are being added as they are commissioned and accepted.

- Metro North Dual Mode Locomotive Procurement as of 8-31-24:

See the Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 8-15-24:

On the new Acela:

Qualification testing continues. All parties are working well together (Amtrak, the OEM and FRA).

QPT 2 test runs, which are needed for revenue services, continue.

All in all, the project continues to progress and is "picking up steam"

On Airo:

This procurement is progressing well and is on schedule. There are 55 cars in production - 51 coach cars and 4 locomotives. A variety of FAIs are progressing – closing them down.

The intent is to have the first trainset on the corridor in the spring of 2025.

On the ALC 42:

Dan reported that they are progressing well with an average of 1-2 locomotives accepted per month.

Overall, this procurement is in a "steady state". FMI testing continues.

Because track time is needed for a variety of reasons there could be a slowdown – "stretch it out a little". Still, progressing well towards completing the initial 75 base order with the 50-option order after.

On the Long-Distance Trainsets:

Continues in the RFP process. It is moving along well with Amtrak working with carbuilders – with questions back and forth.

- Connecticut DOT Rail Car Procurement as of 8-15-24:

CtDOT is still working through finalizing PDR, and have had an FAI of the engineer's seat.

- FRA Rolling Stock Research Topics for monthly presentations:

The September FRA R&D presentation will be Sep 26, 2024. The presentation info is below.

Presenter: Patricia Llana, Mechanical Engineer, Structures & Dynamics Division

Title: Locomotive Crashworthiness Research Program

The presentation will feature an overview of the Train Occupant Protection Research Program on crashworthiness. A series of tests were completed that successfully developed and verified a crash energy management system (CEM) that can be retrofit onto existing locomotives. Through extensive computer simulations validated by multiple full-scale dynamic impact tests, the program has demonstrated that employing CEM on locomotives greatly reduces the propensity for derailment and override, while absorbing collision energy in a controlled, predictable manner.

- NGEC future funding – CRISI Grant Application:

See the Executive Board section of this report for the status of this procurement.

- 2025 NGEC Annual Meeting:

The 2025 Annual Meeting will be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

- NGEC Future Funding – Status: CRISI Grant Application:

The CRISI Grant Application for funding the NGEC was submitted on time to the portal. It included many letters of support. It is not too late to send in support letters. They should be sent to Tim Ziethen and Mehgan Histan, Amtrak Grants.

Letters of Support:

Submitting letters of support for the NGEC by members of the industry and states is most critical to the success of the application. It is extremely important that NGEC members – both states and industry – prepare and submit letters of support.

During the month of September 2024, the subcommittee met twice – on the 12<sup>th</sup> and the 26<sup>th</sup>:

Key decisions and action item updates from the month of August 2024, included:

- Backgrounder educational document:

The 2024 NGEC two-page educational was released on 2-2-24 at the NGEC Annual Meeting. As of 8-31-24, 488 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Document Control Update – as of 9-12-24

The Mechanical Working Group (WG) met on September 10 and will meet again on the 24<sup>th</sup>. They have not decided yet on those DCRs but hope to finish working through them next month. The working group is also forming a smaller task force for working on the door section in the single-level spec. Door experts are encouraged to volunteer for the task force.

Communications WG is continuing to work on the DTL specs to be included in the various equipment specifications. They are currently working on a version of the DTL specification for inclusion in the bi-level specification. This was just recently started and won't be complete for at least a few months.

The Materials WG will be restarting their meetings this month. The draft of the structural section for aluminum is nearly complete and the materials section will be mostly derivative from the

requirements in the structural section so a draft will be easily assembled with a goal to finish the single car spec drafts by the end of November.

Tammy Krause has continued to meet weekly with the Technical Writer to work on the de-Amtrak the PRIIA specs.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 9-26-24

All coach type FDR and FAI stages are complete, including Cab Car and Café Car.

The Cab Car FAI and FRA sample car inspections are complete, and the first cab cars are being prepared for Amtrak acceptance and revenue service. The Cab Car 238.111(b) testing is complete, and the test report is in final review. The first café cars have been shipped to Chicago and are entering revenue service.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are being added to revenue service as they are commissioned and accepted.

- Metro North Dual Mode Locomotive Procurement as of 8-31-24:

See the Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 8-15-24:

On the new Acela:

Qualification testing continues. All parties are working well together (Amtrak, the OEM and FRA). There have been no significant issues during testing -the trainset is performing well. Within the next month or so the final report should be submitted to FRA.

All in all, the project continues to progress well.

On Airo:

This procurement is progressing well and is on schedule. There are 63 cars in production - 59 coach cars and 4 locomotives. A variety of FAIs are wrapping up. They are working with the car builder on several subcomponents such as HVAC, seating etc. The intent is to have the first trainset on the corridor for testing in the spring of 2025.

On the ALC 42:

Dan reported that they are progressing in a steady state. There are 58 locomotives in service 4 are in for commissioning. FMI testing is taking place "as we speak" mitigating a few issues.

On the Long-Distance Trainsets:

Continues as an active RFP. It is moving along well with Amtrak working with carbuilders – with questions going back and forth.

- Connecticut DOT Rail Car Procurement as of 8-15-24:

CtDOT is still working through finalizing PDR, and have had an FAI of the engineer's seat.

- Presentation: Locomotive Crashworthiness Research Program - Presenter: Patricia Llana, Mechanical Engineer, Structures & Dynamics Division

Patricia Llana gave an excellent and comprehensive overview of FRA's Crashworthiness Research.

The presentation can be found on the NGECC website and was distributed prior to today's meeting by Steve Hewitt to all NGECC Technical Subcommittee members and industry participants.

This was the third presentation in the series to be given on a monthly basis by FRA.

- NGEN future funding – CRISI Grant Application:

See the Executive Board section of this report for the status of this procurement.

- 2025 NGEN Annual Meeting:

The 2025 Annual Meeting will be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

During the month of October 2024, the subcommittee met once – on the 10th:

Key decisions and action item updates from the month of October 2024, included:

- Backgrounder educational document:

The 2024 NGEN two-page educational was released on 2-2-24 at the NGEN Annual Meeting. As of 8-31-24, 488 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

Updating this document for 2025 is on hold until the future of the NGEN is determined.

- Document Control Update – as of 10-10-24

The Mechanical Working Group (WG) met on September 24<sup>th</sup> and they are down to their last DCR. They have reached out to the AAR to answer a question about it and will meet again to discuss after they received the information. I mentioned last month that they are forming a smaller task force for working on the door section in the single-level spec. If anybody has any interest in participating in this please reach out to Melissa Shurland, Steve Hewitt or myself.

The Communications WG is continuing their work on the DTL specs to be included in the various equipment specifications. Their next meeting will be on November 12, 2024 at 2:00 central time.

Tammy Krause has continued to meet weekly with the Technical Writer to work on the de-Amtrakking the PRIIA specs.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 10-10-24

All coach type FDR and FAI stages are complete, including Cab Car and Café Car.

The Cab Car FAI and FRA sample car inspections are complete, and the first cars have been conditionally accepted. The Cab Car 238.111(b) testing is complete, and the test report is nearly complete. The IDOT café cars are being shipped to Chicago and placed into revenue service as available.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are being added to revenue service as they are commissioned and accepted.

- Metro North Dual Mode Locomotive Procurement as of 10-10-24:

See the Executive Board section of this report for the status of this procurement.

- Amtrak Equipment Procurement Updates as of 10-10-24:

On the new Acela:



QTP2 testing has been completed and they are working on the report. Workshops are being planned with the builder, FRA and Amtrak.

All in all, the project continues to progress well and there is a sense of “optimism”.

On Airo:

This procurement is progressing well and is on schedule. There are 70 cars in production - 66 coach cars and 4 locomotives.

They are wrapping up FAIs.

The intent is to have the first trainset on the corridor for one year of testing in the spring of 2025.

On the ALC 42:

Dan Ruppert reported that this procurement continues in a “steady state” of progress with one or two per month entering into service.

On the Long-Distance Trainsets:

Continues as an active RFP. It is moving along well with Amtrak working with carbuilders – with questions going back and forth with Amtrak “hoping to award the contract sometime next year”.

On the GP38:

Progressing well – 19 in service with several on-site for conditional acceptance in Wilmington and Albany. “Moving along well.”

- Connecticut DOT Rail Car Procurement as of 9-26-24:

AS of 9-26-24 CTDOT reported that they were still working system PDRs with progress being made.

No update was provided October.

FRA monthly presentation to the NGEC Technical subcommittee – October 10, 2024:

Presentation: “Overview of Planned Sled Testing with Autonomous Wheelchair Securement Systems & ATD Restraint”

Presenter: Kristine Severson, Volpe:

Kristine Severson, Volpe provided an excellent and quite comprehensive presentation “Overview of Planned Sled Testing with Autonomous Wheelchair Securement Systems & ATD Restraint”.

The presentation is rather large to distribute, but the plan is to provide Steve Hewitt, Dan Ruppert and Joe Paul access to it on the Volpe website and Steve will ask AASHTO to post it.

Once again, we thank Melissa Shurland for arranging this presentation - the fourth is a series - and we thank Kristine Severson for giving the presentation.

- NGEC future funding – CRISI Grant Application:

On 10-29-24, the Executive Board Chair – Ray Hessinger, reported that the Amtrak application for funding for the NGEC was unsuccessful.

The Executive Board is looking at its options for the continuation of the NGEC.

- 2025 NGEC Annual Meeting:

The 2025 Annual Meeting will be held in the afternoon on 1-30-25 at a new location: Crystal City, VA at the [Renaissance Arlington Capital View](#). It will, once again, be held in conjunction with other rail meetings taking place throughout the week.

Due to funding uncertainty a decision on the NGEAC Annual Meeting taking place is on hold. A decision is expected to take place on 11-12-24 during the next Executive Board meeting.

During the month of November 2024, the subcommittee met twice – on the 7<sup>th</sup> and the 21<sup>st</sup>:

Key decisions and action item updates from the month of November 2024, included:

- Backgrounder educational document:

The 2024 NGEAC two-page educational was released on 2-2-24 at the NGEAC Annual Meeting. As of 8-31-24, 488 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

Updating this document for 2025 is on hold until the future of the NGEAC is determined.

- Document Control Update – as of 11-26-24 – presented to the Executive Board:

Due to the current unknown future of PRIIA, I am working on determining what can be approved by the EB by the end of March.

The Technical Writer and I believe that we should be able to finish de-Amtrakking all of the subspecs before March.

The Single-Level specification will be completed as soon as the Mechanical WG can finish their last DCR. They are waiting on some information from AAR. This should be completed by March.

The Vehicle Weight WG is working to expedite their recommendations before March. I still need to determine the timelines for the Communications and Materials WGs.

- Multi-State Car Procurement - Caltrans (Lead State) update as of 10-10-24

All coach type FDR and FAI stages are complete, including Cab Car and Café Car.

The Cab Car FAI and FRA sample car inspections are complete, and the first cars have been conditionally accepted. The Cab Car 238.111(b) testing is complete, and the test report is nearly complete. The IDOT café cars are being shipped to Chicago and placed into revenue service as available.

All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are being added to revenue service as they are commissioned and accepted.

There were no updates provided by Caltrans in November 2024.

- Metro North Dual Mode Locomotive Procurement as of 11-21-24:

As of 11-21-24, the first two Locomotives had been delivered to Metro-North at Croton Harmon, NY in late October 2024 and were starting the process of inspection for acceptance.

- Amtrak Equipment Procurement Updates as of 11-7-24:

On the new Acela:

All is moving along at a steady rate – they are working on final qualification testing and going forward with training.

On Airo:

This procurement is progressing well and is on schedule for spring 2025 for testing the first trainset on the corridor. There are 72 coach cars and 7 locomotives in production.

On the ALC 42:

Dan reported that this procurement continues at a steady state – averaging one or two a month. There are 64 in service out of a base order of 75. There will be a little slower rate going forward as they turn to the option order of 50.

On the Long-Distance Trainsets:

Continues as an active RFP. Amtrak is continuing to work with carbuilders with a goal of an award next year.

On the GP38 – 10 are in production, 5 are on site and 21 of 36 have been conditionally accepted. (Nothing new reported on this procurement on 11-7-24.)

- Connecticut DOT Rail Car Procurement as of 11-7-24:

Reviewing and approving the last of the PDR documents continues. Planning for in person IDR meetings with the design team in December 2024 and January 2025.

- FRA monthly presentations to the NGEN Technical subcommittee:

The November presentation was given on 11-7-24 to the Technical Subcommittee by Anand Prabhakaran, Sharma and Associates on:

“Overview of FRA's Glazing Retention Research”

The PowerPoint presentation from 11-7-24 will be provided to Steve Hewitt and distributed to members and to AASHTO for posting to the NGEN website.

Next Presentation: Second Tech SC meeting in January 2025.

- NGEN future funding – CRISI Grant Application:

On 10-29-24, the Executive Board Chair – Ray Hessinger, reported that the Amtrak application for funding for the NGEN was unsuccessful.

The Executive Board is looking at its options for the continuation of the NGEN.

Amtrak has agreed to provide short-term funding for the first 6-months of FY 2025 through 3-31-25) n the amount of \$100,000.

- 2025 NGEN Annual Meeting:

Due to the unresolved funding issues, the NGEN in-person Annual Meeting scheduled for 1-30-25 has been CANCELED. If the funding issue is resolved the Annual Meeting will take place as a virtual meeting at a date yet to be determined.

***During the month of December 2024, the subcommittee did not meet – this was due to the holidays and other scheduling issues:***

***Key decisions and action item updates from the month of December 2024, included:***

- ***Backgrounder educational document:***

***The 2024 NGEN two-page educational was released on 2-2-24 at the NGEN Annual Meeting. As of 8-31-24, 488 copies have been distributed. The document is available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)***

*Updating this document for 2025 is on hold until the future of the NGEC is determined.*

- *Document Control Update – as of 12-10-24 – presented to the Executive Board:*

*Due to the current unknown future of PRIIA, I am working with the Tech Writer to de-Amtrak as many sub-specs as possible that can be completed in time to be approved by the TSC and EB by the end of March.*

*The Single-Level specification will be completed as soon as the Mechanical WG can finish their last DCR. They are waiting on some information from AAR. This should be completed by March 2025.*

*The Vehicle Weight WG should have their document approved in the WG by Thursday. It will then be submitted to the Technical Subcommittee.*

- *Multi-State Car Procurement - Caltrans (Lead State) update as of 10-10-24*

*All coach type FDR and FAI stages are complete, including Cab Car and Café Car.*

*The Cab Car FAI and FRA sample car inspections are complete, and the first cars have been conditionally accepted. The Cab Car 238.111(b) testing is complete, and the test report is nearly complete. The IDOT café cars are being shipped to Chicago and placed into revenue service as available.*

*All 137 cars are in production or have been produced at Siemens Sacramento Facility. IDOT coaches and Caltrans trainsets are being added to revenue service as they are commissioned and accepted.*

*There were no updates provided by Caltrans in November or December 2024.*

- *Metro North Dual Mode Locomotive Procurement as of 11-21-24:*

*As of 11-21-24, the first two Locomotives had been delivered to Metro-North at Croton Harmon, NY in late October 2024 and were starting the process of inspection for acceptance.*

- *Amtrak Equipment Procurement Updates as of 11-7-24:*

*On the new Acela:*

*All is moving along at a steady rate – they are working on final qualification testing and going forward with training.*

*On Airo:*

*This procurement is progressing well and is on schedule for spring 2025 for testing the first trainset on the corridor. There are 72 coach cars and 7 locomotives in production.*

*On the ALC 42:*

*Dan reported that this procurement continues at a steady state – averaging one or two a month. There are 64 in service out of a base order of 75. There will be a little slower rate going forward as they turn to the option order of 50.*

*On the Long-Distance Trainsets:*

*Continues as an active RFP. Amtrak is continuing to work with carbuilders with a goal of an award next year.*

*On the GP38 – 10 are in production, 5 are on site and 21 of 36 have been conditionally accepted. (Nothing new reported on this procurement on 11-7-24.)*

- **Connecticut DOT Rail Car Procurement as of 11-7-24:**

*Reviewing and approving the last of the PDR documents continues. Planning for in person IDR meetings with the design team in December 2024 and January 2025.*

- **FRA monthly presentations to the NGEN Technical subcommittee:**

*Next Presentation: Second Tech SC meeting in January 2025.*

- **NGEC future funding**

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*The Executive Board is looking at its options for the continuation of the NGEN.*

*Amtrak has agreed to provide short-term funding for the first 6-months of FY 2025 through 3-31-25) n the amount of \$100,000.*

- **2025 NGEN Annual Meeting:**

*Due to the unresolved funding issues, the NGEN in-person Annual Meeting scheduled for 1-30-25 has been CANCELED. If the funding issue is resolved the Annual Meeting will take place as a virtual meeting at a date yet to be determined.*

**Finance Subcommittee – was sunset and combined with the NGEN Administrative Task Force to form the Finance and Administrative Subcommittee:**

The Finance subcommittee was comprised of members of the Executive Board, as well as state financial officers and Amtrak and FRA members and observers. The subcommittee continues to reach out, through AASHTO, to add financial officers from additional state DOTs.

The Finance subcommittee had been meeting on a regular basis (every other week) via conference call and continues to look at financing/funding and procurement strategies for fleet acquisition, as well as institutional and organizational structure issues. The work of the Finance subcommittee, at this point, is to evaluate, strategize and identify institutional opportunities (and structure) for successful implementation of procurement strategies. The subcommittee is working closely with the Administrative task force in looking at, and evaluating, the need for outside legal counsel; as well as considering what type of entity/corporation, if any, will need to be established to effectively carry out the work of the S 305 NGEN.

The subcommittee is also looking into funding and financing opportunities such as; RRIF, P3s, joint applications for future HSIPR grants – collaborative/supportive efforts among Amtrak and the states.

The subcommittee has focused on linkages between the work of this group and that of the Administrative task force. Much of the work of the subcommittee overlaps with that of the Administrative task force, thus the two groups have regularly interacted and worked together on key areas of commonality.

The subcommittee worked with the task force to develop a procurements approval process for the NGEN.

At the meeting of the Executive Board on August 31, 2010, the task force presented a draft approval process matrix, initially drafted by the Administrative task force, and reviewed and modified by the Finance subcommittee. After Board members provided input and guidance; it was agreed that the subcommittee and task force should form a subset of the two groups to work together to revise and refine the approval process.

On the September 8, 2010 conference call of the subcommittee, Chairman DJ Stadtler asked for volunteers to serve on the joint sub set/working group to develop the approval process.

DJ Stadtler, Leo Penne, Ken Uznanski and David Ewing agreed to participate in the joint effort. Steve Hewitt agreed to provide support services.

The joint subgroup met on a conference call on October 14, 2010, and discussed, at length, the draft matrix as presented to the Executive Board on August 31, 2010. It was agreed that there remained more questions than

answers and it was agreed that a small working group comprised of members of both the subcommittee and the task force would meet with AASHTO program and accounting staff, and with members of Amtrak's accounting department in November, 2010, to receive input on some of the issues raised on the conference call.

On November 23, 2010, the subgroup met in Washington, DC and agreed on key points for revising and refining the original matrix. Caitlin Hughes Rayman was tasked with drafting a revised matrix based on those discussions. The revised matrix was distributed to the Finance subcommittee and the Administrative task force for consideration.

On January 26, 2011, the Finance subcommittee approved the revised matrix, as approved by the Administrative task force on January 21, 2011. The Executive Board subsequently approved the matrix, with minor modifications during its January 28, 2011 conference call.

On October 20, 2010, the Finance subcommittee convened a joint conference call with the members of the Administrative task force. The primary purpose of this conference call was to have members of both groups engage with Amtrak's consultants – Steve Patterson and George Howell, of Hunton & Williams, on the issues related to possible NGECC incorporation. Mr. Patterson and Mr. Howell gave a power point presentation of preliminary considerations that the NGECC should look into when considering forming a corporation or other entity. The presentation described options, types of entities to be considered, tax implications, etc. The members of the subcommittee and task force interacted with the presenters and, it was agreed that state members of the Executive Board of the NGECC need to determine what their need and objectives for the NGECC are to even consider what, if any, entity should be established.

It was agreed that members of the subcommittee and task force would prepare a list of needs/objectives for the NGECC, and submit it to Support Services Manager, Steve Hewitt, by COB on October 29, 2010. Along with the list of needs, the members were asked to provide feedback – comments, suggested additions – on the presentation in order to assist the Hunton & Williams team in refining it for a possible Executive Board presentation in February at the next in person meeting of the Board.

The Finance subcommittee held a second joint conference call with the Administrative task force on November 3, 2010, at which point the comments, feedback and needs lists were discussed and next steps for moving towards a presentation to the Board were agreed to.

DJ Stadler, Chair of the subcommittee, presented an overview of the joint efforts in regards to the issue of creating an entity to the Executive Board during its November 18, 2010 webinar meeting. The Board agreed to DJ's request (on behalf of the two groups) to develop a subgroup with the task of polling states in regards to their needs/objectives for the NGECC. As described in the Action items section of this report, Rod Massman and David Ewing volunteered to work with Steve Hewitt to conduct a poll of the 11 NGECC Board Member states, and utilized 3 questions developed by Rob Edgcumbe as the basis for the poll. It was agreed that this information is essential in determining what type of entity, if any, should be established going forward.

Subsequently, on January, 19, 2011, Rob Edgcumbe, Nancy Greene, David Ewing, Rod Massman and Ken Uznanski met to review and assess the responses received, and it was agreed that Rob Edgcumbe would develop a paper on "Options for an NGECC Entity" and provide it to the subcommittee and task force. This paper was developed, and further discussions will take place at the Annual Meeting of the Executive Board on February 15, 2011. Rob Edgcumbe will give a presentation to the Board on the subject and the status of the states poll and surveys with regards to incorporation.

Note: By January 31, 2011, all 11 NGECC Board member states had submitted responses to the poll.

On its January 5th conference call, the subcommittee agreed to explore the possibility of developing a "101 Syllabus on Rolling Stock" to assist or educate states with minimal experience in procuring equipment. A draft outline of a syllabus was prepared by Rob Edgcumbe for consideration and further development by the Finance subcommittee members and has also been reviewed by the Administrative task force.

After considerable discussion and input from both groups, the Finance subcommittee included the development of a plan to conduct a series of "Rolling Stock 101" webinars as a part of its proposed work plan for April 1, 2011 through March 31, 2012. AASHTO agreed to prepare a cost estimate and general plan for conducting the webinars.

The Finance subcommittee met again, via conference call, on February 23, 2011 and discussed next steps for implementing its work plan, as approved by the Executive Board on February 15, 2011. A working group was established to begin to draft a scope of work and budget for developing an options paper on issues related to funding and structure of the NGEC. The subcommittee presented a draft scope of work to the Executive board on its March 29, 2011 conference call and will present a revised scope of work and budget for Board consideration on April 12, 2011.

(Note, the Finance subcommittee also met on March 9, 2011, March 23, 2011 and April 6, 2011)

The Rolling Stock 101 webinar series was accepted as part of the Finance subcommittee work plan, as well as being a part of the Administrative task force's work plan and budget. A draft scope of work and budget, along with an outline time schedule was developed by the working group comprised of members of the task force and the Finance subcommittee. On April 6, 2011, the draft work plan and budget was approved by the subcommittee and was to be presented to the Board for its consideration on April 12, 2011.

On April 12, 2011 the Executive Board approved the revised Scope of Work and Budget for the Structure and Finance Options Working Group. (SFWG)

The Rolling Stock 101 webinar series draft scope of work and budget was also presented to the Board on April 12, 2011. Additional clarification of its scope and purpose was called for by FRA, and subsequently, the Board asked for a small "working group" to meet separately to discuss further.

Due to the Easter and Passover seasons, the April 20, 2011 conference call of the subcommittee was cancelled. The next call was scheduled for May 4, 2011.

On May 4, 2011, the subcommittee met via conference call. (May 18<sup>th</sup> call was postponed due to unavailability of the Chair and Vice Chair) The subcommittee continues to advance the efforts of the Finance and Structure Options Working Group (SFWG). Regular updates are to be provided to the subcommittee and to the Board on its conference calls, as this effort progresses. The current status is that the SFWG has formed three subgroups: Structure – led by Nancy Greene, Amtrak; Finance, led by Reuben Vabner, Amtrak; and Management, led by Larry Salci, Consultant to the Committee.

In June, 2011, the Finance subcommittee met via conference on June 15 and June 29, 2011.

In June, the primary focus of the Finance subcommittee was to progress the work of the SFWG. On June 29, 2011, the working group reported that it had finalized its first draft report and would be providing it to Steve Hewitt for distribution to the subcommittee members for review and comment. The report will be distributed to subcommittee members by July 5, 2011. The next steps will be to receive subcommittee approval and send the report on to the Executive Board for its input and eventual approval.

As noted previously, Finance subcommittee Chairman DJ Stadtler has developed a draft letter to be submitted from the Board to the Appropriations Committees in Congress requesting additional funding be provided for the S305 NGEC in FY2012. On the June 29, 2011 Finance subcommittee call, members agreed with the strategy and began to develop general high level goals and funding requirements for inclusion in the proposed letter. Mr. Stadtler will finalize the goals and funding requirements based on subcommittee member input and distribute for review prior to submitting it to the Board.

In July, 2011, the Finance subcommittee met on July 13 and July 27, 2011.

All high level goals and funding requirements have been submitted by the subcommittees, the Administrative Task Force and AASHTO (for support services) The draft letter to the Appropriations Committees has not yet been finalized. On the July 27, 2011 Finance subcommittee conference call, DJ reported that he will complete the draft and distribute it to the Board (and Finance subcommittee members) in advance of the Board's August 2, 2011 webinar meeting.

The SFWG initial report in regards to their efforts to look at structure, finance and management of the S305 NGEC moving forward has been distributed to the subcommittee members. Although some comments have been received; the subcommittee has not gotten input from the FRA representatives on the subcommittee. This is a concern because FRA staff attending the June 23, 2011 Executive Board meeting heard a preliminary summary of the SFWG report and appeared to be surprised by the direction the working group was taking in regards to structure and management.

On July 27, 2011, the subcommittee agreed that the comments received to date should be incorporated into the draft document and it should be re-circulated to all subcommittee members. Since a number of FRA representatives are on the recipients list, it is hoped that they will provide input to the document prior to it being brought forward for consideration by the Executive Board. It is now the intent of the subcommittee to have the SFWG report as an agenda item for the August 16, 2011 Board conference call.

During the July 27, 2011 call, Bill Bronte provided a report on the activities to date of the Joint Procurement Task Force. The Task Force has held a number of conference calls and met in-person in Chicago July 19-20, 2011.

Bill Bronte reported that the meetings were very productive. California and Illinois DOT (and the other states involved) agreed that a cooperative procurement agreement is the appropriate document to proceed with. California will be the lead for the procurement. There will be a draft cooperative agreement available to those parties involved by September 1, 2011.

It was also agreed that IDOT will do an MOU with the Mid-west states to define the role of each state. This will be a post obligation deliverable.

They agreed that there will be an RFI – and it will be out by late August – early September, 2011. This should give the industry a chance to have input in a variety of areas such as; Buy America; bonding; warranty; standardization; and intellectual property.

There will be an RFP process which will focus on qualifications – with an extensive series of items requiring a bidder to demonstrate the ability to deliver on time and on budget.

Mr. Bronte also informed the subcommittee members that the second round of funding for California was obligated the day before yesterday (\$68 million). The FRA anticipates a press release will be forthcoming soon and it is likely it will mention the mid-west states as well and the fact that a joint procurement will result in approximately 150 bi-level cars of different types being ordered.

Because most of (about 80%) the funding is from ARRA, Bill raised a concern in regards to their ability to meet the delivery and expenditure requirements by the September 30, 2017 deadline.

Rob Edgcumbe agreed that obligating and spending the money in accordance with the deadline was a concern, but emphasized that the "locomotive acquisition will be problematic".

Bill Bronte agreed, and said that IDOT has been in touch with California on this issue. Staffing is a problem.

DJ Stadler noted that Amtrak would try to assist where they can, but they are not likely to be a part of the procurement as funding is an issue. He will have a discussion with Mario Bergeron in regards to offering Amtrak staffing assistance, but noted that Amtrak also has "resource issues".

On another matter, Ken Uznanski reported that the Amtrak grants people still had not received proposed language changes from FRA to the current Grant Agreement modification. The status of the modification will be an agenda item for the Board on August 2, 2011.

The Finance subcommittee met once in August (August 24, 2011) via conference call. The key issues discussed included:

- The appropriations request letter has been submitted to the Executive Board for review and sign off. (as reported in the Executive Board section of this report – the Board approved the letter – with 9 signatures and DJ Stadler will send it to the Hill on August 31, 2011).
- Rob Edgcumbe, Amtrak consultant, is limited to Amtrak's "two year rule" and cannot have his contract renewed with Amtrak. Rob's work has been invaluable to the Committee, and it is intended that he will be contracted by the 305 NGEA to continue his work for the Committee (primarily the Technical subcommittee). It is hoped that this situation will be resolved shortly.
- The work of the SFWG, led by Rob Edgcumbe, is pending resolution of Rob's contract. The SFWG had provided a report and had received comments from the FRA, which will be addressed as the SFWG regroups.



- The Grant Agreement modification was approved and signed by Amtrak and FRA. It continues the current NGEC funding through March 31, 2012. It is the hope of the Committee that additional funding will be granted to the NGEC in the FY 2012 Appropriations Act.

The Finance subcommittee met once in September (on the 7<sup>th</sup>) of 2011. The key items /actions coming out of that call were:

- The Appropriation's request letter has been sent to the Appropriations Committees (House and Senate). Copies of the letter have been sent to all NGEC Board members.
- On the September 7, 2011 call of the subcommittee, there still had not been confirmation on whether or not the FRA was going to provide additional funding to the NGEC to continue its work through 2012 and into 2013. As described in the Executive Board section of this report, the FRA did, ultimately provide an additional \$2 million to the NGEC. DJ Stadler has now signed the grant agreement providing the additional funds and, it is believed that FRA Administrator Joe Szabo has also signed on behalf of FRA.
- The Finance subcommittee will develop a proposed work plan and budget for the period from April 1, 2012 through March-31-2013; and will, as requested by the Executive Board, take a specific look at the need for outside consultants to assist in the work of the subcommittee, especially in regards to the SFWG activities.
- On the next call of the Finance subcommittee (October 5, 2011) DJ Stadler will present a proposed Statement of Work for contracting with Rob Edgcumbe.

The Finance subcommittee met once in October (on the 19<sup>th</sup>) of 2011. The key items/actions coming out of that call were:

- DJ Stadler had completed a proposed Statement of Work (SOW) for the Committee to contract with Rob Edgcumbe. DJ asked that all members review the SOW and provide comments to him with regard to those sections that pertain to tasks to be performed for the finance subcommittee. DJ asked for suggested hours to be assigned to Rob per task.
- DJ asked Steve Hewitt to provide the SOW for Rob Edgcumbe to all subcommittee chairs and the Chair of the Administrative task force asking for their input on hours to be assigned per task to areas of their responsibility. It was unclear who would ultimately negotiate an hourly rate with Rob. The contract was anticipated to have a "not to exceed" cap.
- DJ raised a request from Amtrak to begin charging Ken Uznanski's time related to his work for the NGEC to the grant. It is estimated that 80-85% of Ken's work responsibilities are NGEC related. Subcommittee members expressed the view that this request made sense. DJ agreed to attend the Administrative task force call on October 21, 2011 to raise this for their consideration as well.
- DJ also reported that he was working on a scope of work and budget for the subcommittee for the period beginning 4-1-12 through 3-31-13 and would have it ready for the Board meeting on October 25, 2011. He will first send it to all subcommittee members for their input.
- A discussion regarding AASHTO's request to correct inconsistencies between its Support Services budget request for the 4-1-11 through 3-31-12 period. AASHTO believes there is a discrepancy between what was requested for overhead rates in the AASHTO budget and what is being accounted for in the current grant agreement. AASHTO had initially offered to charge only half of its overhead rates for the first agreement, but in the 4-1-11 through 3-31-12 modified agreement, AASHTO did not make that same offer. They budgeted for full overhead rates. However, the grant is providing only half of their normal overhead rates. DJ will raise this issue with the Administrative task force as well as with the Board.

In November, 2011, the Finance subcommittee met once – November 2, 2011. The key decisions and action items resulting from that call included:

- The subcommittee agreed to provide the FRA with additional time to review the proposed Statement of Work (SOW) for a potential contract with Rob Edgcumbe. The FRA will provide its input, including suggestions for monitoring and receiving deliverables.
- The FRA also asked for additional time to review a proposed Scope of Work for Ken Uznanski. (Ken has served as Amtrak's Project Manager for the NGECC and Amtrak has requested that it be reimbursed for Ken's work related to the NGECC). A Scope of Work identifying the responsibilities and duties that Ken has been doing since the NGECC's inception was developed and presented as part of the Finance subcommittee work plan and budget.
- The Finance subcommittee will not present its revised budget and work plan for 4-1-12 thru 3-31-13 until it has received FRA input on the two Statements of Work.
- The Finance subcommittee agreed to revise the initial (July, 2011) draft report of the Structure and Finance Working Group (SFWG) to include comments received from FRA in August, 2011. Steve Hewitt and David Ewing were tasked with revising the report to incorporate the FRA comments, and to then distribute the revised report to members of the Finance subcommittee, the Administrative task force, and FRA representatives for their review and comment. Once comments have been received, the report will be revised again, and submitted to the Executive Board for its consideration. Once accepted by the Board, the document will be posted to the website as a draft reference report.
- The subcommittee also agreed to FRA's request to broaden the scope of work of the SFWG to include planning elements as contained in Section 6 of the grant agreements with the states; and to begin identifying tasks before looking further at structure.
- DJ Stadler agreed to attend the next Administrative task force meeting to inform its members of the proposed changes to the SFWG and the commitment to allow FRA time to review the SOW for Rob Edgcumbe and Ken Uznanski.
- At the request of the Finance subcommittee, FRA has agreed to name a voting member of the subcommittee and become an active participant.

In December, 2011, the Finance subcommittee met on December 7<sup>th</sup> and December 28<sup>th</sup> for informal discussions. (as there was not a presence of a quorum no votes could be formally taken) Key Action items coming out of those meetings included:

- The Finance subcommittee members on the calls have reviewed proposed voting procedures prepared by Nancy Greene. The voting procedures mirror those of the Technical subcommittee and the Executive Board. It is anticipated that the subcommittee will officially adopt the procedures on its first call in January, 2012. (January 11<sup>th</sup>)
- The members on the calls also reviewed the proposed budget and work plan for 4-1-12 through 3-31-13 and modifications proposed to the current grant agreement. While no formal vote has taken place, it was agreed to send the proposal forward to the Amtrak NGECC Project Manager for inclusion in the presentation of all budgets and work plans to the board scheduled for January 3, 2012.
- The FRA has named Chad Edison as its voting member on the Finance subcommittee.
- The Finance subcommittee will adhere to its current schedule of bi-weekly conference calls throughout 2012. The next call is scheduled for January 11, 2012 at 3:00pm Eastern.

In January, 2012, the Finance subcommittee met on January 11, 2012. Once again, the discussions were essentially informal due to the lack of a presence of a quorum. The subcommittee will endeavor to recruit additional state representatives to participate on the subcommittee to advance its work plan and resolve the quorum issue. Some of the key discussion points made during the January 11, 2012 call were:

- The members on the call generally agreed that it makes sense to do a separate audit for the NGECC. Jeff Gordon, FRA, will check with FRA (John Winkle and/or Dharm Guruswamy) to find out what kind of audit FRA is currently doing on 305. The subcommittee will then determine whether that is adequate enough or if more needs to be done.

- If a separate audit is to be performed, the type of audit must be determined –financial or performance and what the audit is to accomplish.
- Shayne Gill will ask AASHTO's finance department about AASHTO's audit and what it entails.

The Finance subcommittee met once in February, 2012, via a conference call on February 15<sup>th</sup>

- The subcommittee will continue to recruit additional state members as it continues to be difficult to maintain a quorum with only 3 state members on the subcommittee.
- DJ Stadtler prepared a summary report on the 2011 activities of the subcommittee. The presentation can be found on the website and a summary of it is included in the minutes of the Annual Meeting (February 23, 2012)

The Finance subcommittee met once in March, 2012, via conference call on March 14<sup>th</sup>. The key actions and/or decisions made during that conference call included:

- DJ Stadtler and Gordon Hutchinson, Amtrak, will explore options for conducting an audit or a review of the NGECC, and will talk to the Amtrak OIG as well. They will report on their findings on the next subcommittee call.
- The subcommittee agreed to reduce their regularly scheduled conference call meetings to once every four weeks, rather than the current bi-weekly meetings. The next call will take place on April 11, 2012.
- A voting procedure proposal has been developed, and the intent is to approve the procedures at the next call of the subcommittee.
- Recruiting additional members to ensure the presence of a quorum remains a priority.
- The subcommittee agreed to provide support to the Structure and Finance Task Force (SFTF) as it explores funding alternatives moving forward.

The Finance subcommittee met once in April, 2012, via conference call on April 11<sup>th</sup>. The key actions and/or decisions made during that conference call included:

- On April 11, 2012, the Finance subcommittee approved the voting procedures, as developed by Nancy Greene, and distributed previously to all subcommittee members. The procedures closely mirror those of the other subcommittees and task forces, as well as being consistent with those of the Executive Board.
- Steve Hewitt distributed the Structure and Finance Task Force (SFTF) "context" proposal for comments from the Finance subcommittee members. Input was to be sent to Steve Hewitt, Eric Curtit, and David Ewing by COB April 18, 2012. The proposal was an agenda item for discussion on the April 23, 2012 SFTF call. Since no comments had been received from the subcommittee or the SFTF members, Eric Curtit extended the comment period to COB May 2, 2012. Comments are to go to Eric Curtit with a cc to Steve Hewitt.
- It was agreed that DJ Stadtler will talk to Paul Nissenbaum, FRA, about the two IG offices (DOT and Amtrak) that have expressed willingness to help with an NGECC "high level" audit. Following this discussion, DJ will provide a recommendation to the subcommittee members for moving forward with the audit.

The Finance subcommittee met once in May, 2012, via conference call on May 9<sup>th</sup>. The key actions and/or decisions made during that conference call included:

- During the call, it was agreed that the Amtrak IG will be asked to conduct a high level audit of the NGECC. Subcommittee chair, DJ Stadtler, will contact the Amtrak IG and ask that the audit be conducted.

- Chad Edison, FRA, noted that a bi-level car RFP pre-proposal webinar was to take place prior to the May 20, 2012 due date for Notices of Intent to Bid. At their request, Chad Edison agreed to provide Ron Pate, Washington State DOT, and DJ Stadtler with information in regards to attending the bi-level car RFP pre-proposal webinar.
- With the amendment to the NGEC grant agreement still not completed,(as of May 9, 2012) Ken Uznanski, Amtrak NGEC Project Manager agreed to keep the subcommittee apprised of progress being made and to continue to contact FRA and Amtrak for status updates, and to note a sense of urgency on the part of the NGEC to have the new agreement executed.

The Finance subcommittee met once in June, 2012, via conference call on June 6th. The key actions and/or decisions made during that conference call included:

- Steve Hewitt agreed to distribute the Accessibility DCR Handling Document to all subcommittee members following today's call. All subcommittee members are asked to provide any comments they may have to DJ Stadtler by June 11, 2012. (CC to Steve Hewitt). No comments were received, and on June 12, 2012, the Executive Board approved the DCR as presented by the Technical subcommittee
- Ken Uznanski agreed to continue to keep the subcommittee informed as to the status of the grant agreement amendment. As noted in the summary of Board activities in this report, on June 29, 2012 the FRA and Amtrak signed the final Amendment #3 of the S305 Grant Agreement and the Board was notified that the agreement was fully executed. The agreement runs from April 1, 2012 through March 31, 2014.
- On June 6, 2012, DJ Stadtler agreed to ask the Amtrak IG to begin the audit of the NGEC around the first of August, 2012.
- On the June 26, 2012 Executive Board conference call, subcommittee Chair DJ Stadtler, resigned from the NGEC due to his recent elevation to the position of COO of Amtrak. The Board, on June 26, 2012, appointed Amtrak Acting CFO, Gordon Hutchinson to serve on the Executive Board, and to assume DJ's position as Treasurer of the NGEC and Chair of the Finance subcommittee. With the next subcommittee call falling on July 4, 2012, it was cancelled and it was agreed that the next call would be held on schedule on August 1, 2012.

The Finance subcommittee did not meet during the month of July, 2012. Finance subcommittee chair, Gordon Hutchinson, however, did announce that Darrel Smith, Amtrak Finance, will provide finance support to the NGEC and will serve as Amtrak project manager for the Committee.

During the month of August, the Finance subcommittee met, via conference call, on August 1, 2012. This meeting was the first presided over by new Chair, Gordon Hutchinson. Key decisions and action items made during August, 2012, by the Finance subcommittee were:

- Gordon Hutchinson agreed to take the action to progress the NGEC audit, (previously agreed to be done by Amtrak), and will provide a status update in advance of the next Finance subcommittee call. It is anticipated that this will be a "simple" audit now that the grant agreement is in good order and expenditures of the NGEC are fairly minimal.
- Darrell Smith and Amtrak purchasing are working with AASHTO to finalize and formalize the agreement for all of the support services, and will clean up any of the items still open. This will encompass all of the support AASHTO provides including the consulting contracts (PB and Larry Salci). (As noted in the Executive Board section of this update report – a great deal of progress has been made and on or around September 4, 2012, it is expected that the AASHTO/Amtrak agreement will be fully executed, thus freeing up AASHTO to execute the PB and Salci contracts.
- Gordon Hutchinson agreed to ask Amtrak staff to look at TIFIA and RRIF in regards to the potential for future funding opportunities for passenger rail equipment. Gordon and Darrell will put something together for subcommittee members to react to on the next call.
- Bill Bronte, Chair of the NGEC executive Board, and member of the Finance subcommittee agreed that looking at RRIF and TIFIA as potential funding sources is a good next step, and he encouraged

the subcommittee, as a part of this activity, put some thought into where equipment is to be maintained? He noted that a facility for maintaining equipment can be in excess of \$100 million. He added that "these are things that we, as an entity, need to get pulled together."

During the month of September, 2012 the Finance subcommittee met, via conference call, on September 5, 2012. Key decisions and action items made during September 2012, by the Finance subcommittee were:

- It was reported that Gordon Hutchinson, Amtrak, will be working with Amtrak's OIG to determine a scope for the NGEA audit and will provide a status update on the next Finance subcommittee call.
- Gordon Hutchinson and Darrell Smith will be working with Amtrak staff to look at TIFIA and RRIF and put something together for subcommittee members to react to. Gordon will get something out to members in advance of the October 24, 2012 conference call.
- The AASHTO/Amtrak Support Services agreement was sent to AASHTO, fully executed by Amtrak, just prior to the September 5, 2012 call. This freed up AASHTO to "give the green light" to Larry Salci and to PB.
- Steve Hewitt, Darrell Smith, Chad Edison, Bill Bronte, Leo Penne and Shayne Gill will try to get together in Portland to talk about re-programming the pre-March 31, 2012 balance and finding a way to expeditiously execute upcoming consultant contracts for review panel efforts anticipated to be forthcoming in the near future.
- Gordon and Darrell are preparing a Treasurer's report to present to the Board on September 20, 2012. Darrell will get the presentation to Steve Hewitt in advance of the meeting.
- At the Executive Board meeting on September 20, 2012, Darrell Smith, on behalf of Gordon Hutchinson presented the Treasurer's report along with suggested budget adjustments described in the Executive Board section of this activities report.
- Within the next several weeks, AASHTO invoice # 9 should be reconciled, and a truer picture of the pre-March 31, 2012 balance will be presented.
- Steve Hewitt will work with AASHTO to revise the form to be used for reimbursement of state officials and others, as appropriate, for NGEA travel expenses. The intent is to begin using the revised form for the September 20<sup>th</sup> meeting in Portland.
- On September 19, 2012, the revised reimbursement form was sent to all appropriate state personnel electronically, for use beginning with the September 20<sup>th</sup> meeting. Steve Hewitt also provided hard copies of the revised form to Board members on the 20<sup>th</sup>.

During the month of October, 2012 the Finance subcommittee met, via conference call, on October 26, 2012. Key decisions and action items made during October, 2012, by the Finance subcommittee were:

- On October 26, 2012, Finance subcommittee chair Gordon Hutchinson reported on the status of the NGEA Audit. The Amtrak OIG is expected to have completed its audit of the NGEA by the February 21, 2013 NGEA Annual Meeting.
- On October 26, 2012, Gordon Hutchinson provided an overview of the RRIF program and Amtrak's experience with it. Members who would like to have an in-depth discussion with Gordon and the Amtrak Treasurer should contact Gordon directly or notify Steve Hewitt, and Gordon will make the arrangements. A TIFIA overview will be presented on a future subcommittee call.
- On the October 26, 2012 Finance subcommittee call, a budget presentation was given to subcommittee members by Darrell Smith, Amtrak Finance,. It was agreed that Darrell will give the budget presentation to the Executive Board on its call on Tuesday, October 30, 2012, (Due to Hurricane Sandy this call was canceled, but the budget presentation will be on the Board agenda for November 13, 2012). As part of the presentation, Darrell will alert the Board to the Finance subcommittee's recommendation that the continuing activities portion (\$729,700) of the budget be advanced first before a scope is developed for programming the remaining \$575,000.

- Steve Hewitt distributed the budget presentation power point to the Executive Board members following the October 26, 2012 conference call.
- On October 26, 2012, it was agreed that Gordon Hutchinson will provide Steve Hewitt with Amtrak's view in regards to strengthening the RRIF program. Steve will make a distribution to subcommittee members. The intent is to provide the members with some useful information that may help as PRIIA reauthorization discussions get underway in Congress.

During the month of November, 2012 the Finance subcommittee met, via conference call, on November 28, 2012. Key decisions and action items from November, 2012 were:

- On November 28, 2012 in regard to the NGEA Audit, Darrell Smith reported that the Amtrak OIG has nearly everything required other than a few items from AASHTO. Darrell Smith will provide an update on the next call. It is expected that by the next Finance subcommittee call, he will have an idea of when the audit report will be complete.
- On October 26, 2012, Gordon Hutchinson provided an overview of the RRIF program and Amtrak's experience with it. State members who would like to have an in-depth discussion with Gordon and the Amtrak Treasurer should contact Gordon directly or notify Steve Hewitt, and Gordon will make the arrangements. In regard to the TIFIA Program overview: Darrell Smith will reach out to the FHWA to schedule a TIFIA briefing in the near future.
- It was agreed, on the call, that Gordon Hutchinson will provide Steve Hewitt with Amtrak's view in regards to strengthening the RRIF program. Steve will make a distribution to subcommittee members. The intent is to provide the members with some useful information that may help as PRIIA reauthorization discussions get underway in Congress.
- On November 28, 2012 it was agreed that the Finance subcommittee will vote electronically on a proposed budget for the continuing activities, and if approved, submit it to the executive Board for its consideration on December 11, 2012. Darrell Smith will reach out to Leo Penne to confirm AASHTO's Support Services budget needs for the continuing activities budget. Once he has AASHTO's number, he will finalize the proposal and it will be sent out to Finance SC members for the electronic vote.
- Darrell Smith, on November 28, 2012, suggested that the Finance subcommittee may wish to submit a budget request (new item) for retaining a consultant to take a look at funding sources for the NGEA. Steve Hewitt will reach out to Leo Penne about contacting Jack Basso to see if he would be interested in looking at funding sources for the NGEA or if he could recommend a path forward.
- As the Finance subcommittee has struggled with establishing the presence of a quorum, an effort will be made to recruit additional state members. Currently there are only three states participating on the subcommittee. One member of the three states has had time constraints and has not made recent subcommittee calls. Steve Hewitt will contact him to confirm his interest in remaining on the subcommittee, and/or see if he can recommend a replacement or designated representative on his behalf.

Due to scheduling conflicts and the holiday season, the Finance subcommittee's regular monthly meeting (December 26, 2012) was postponed until January 2, 2013.

During the month of January, 2013, the Finance subcommittee met twice – January 2<sup>nd</sup> and 16<sup>th</sup> – via conference call. Key decisions and action items from the month of January, 2013 were:

- In regard to the ongoing NGEA Audit, Amtrak's IG is completing its report and it should be made available to Finance SC members and Board members in advance of the NGEA Annual meeting.
- On the action item concerning procuring a facilitator for the February 20, 2013 Future of the NGEA Workshop, on January 16, 2013, Steve Hewitt informed Mr. Bronte that no objections had been noted. Bill Bronte directed AASHTO to contact Synergy Forces LLC (the selected firm) and to proceed in its capacity as contracting agent. Leo Penne reached out to Synergy Forces and learned that, due to a scheduling conflict Synergy Forces was no longer available and its proposal was withdrawn. Subsequently, on January 22, 2013, Executive Board chair Bill Bronte selected, Paul

Cooper, Face to Face Strategies as the facilitator, providing a reduced work plan and cost could be agreed to. An agreement has since been reached and AASHTO, as contracting agent for the NGECC, entered into a contract for facilitator services with Paul Cooper, Face to Face Strategies.

- In regard to developing a scope of work for procuring professional services for exploring sources of financing options for rolling stock and related facilities, members of the Finance subcommittee were asked to continue to review the proposed SOW and submit comments to Darrell Smith, Amtrak, with a cc to Steve Hewitt by January 31, 2013. This will give Darrell Smith and Finance subcommittee vice chair, Brent Thompson, Washington State DOT, time to incorporate any suggested changes, and send out a revised version in advance of the Finance subcommittee's next call (February 13, 2013).
- On January 16, 2013 it was reported by Darrell Smith that the request of FRA to modify grant agreement SOW to include continuing activities services for 4-1-13 thru 3-31-14 and include up to \$10,000 for a facilitator for the February 20, 2013 workshop is moving forward. Darrell is working with Chad Edison, FRA, and the Amtrak grants people to finalize the request to FRA and will keep the subcommittee apprised. On the January 22<sup>nd</sup> executive Board call, it was reported that the formal request would be submitted to FRA by January 25, 2013.

During the month of February, 2013, the Finance subcommittee met once – February 13, 2013 – via conference call. Key decisions and action items from the month of February, 2013 were:

- On February 13, 2013, the Finance subcommittee agreed to hold an electronic vote on whether or not to recommend Executive Board acceptance of the NGECC Audit Report and Amtrak's draft response to it.
- On February 19, 2013, the Finance subcommittee unanimously agreed to recommend that the Executive Board accept the NGECC Audit Report and Amtrak's response to it. On February 21, 2013, the Finance subcommittee chair suggested that the Board, having only received the report and response on February 20, 2013, take additional time to review and consider acceptance. The Board agreed that it would like more time for review and would take formal action at a future meeting of the executive Board.
- In regard to requesting Board approval of the scope of work for procuring professional services for exploring sources of financing options for rolling stock and related facilities, the Finance subcommittee approved the proposed SOW and funding on February 13, 2013.
- On February 21, 2013, the Executive Board adopted the SOW and funding for professional services for exploring sources of financing options for rolling stock and related facilities as previously approved by the Finance subcommittee. Subsequently the Board approved adjusting the 4-1-13 through 3-31-13 budget accordingly.
- On February 21, 2013, the Executive Board also approved \$50,000 for the Finance subcommittee to have the Amtrak OIG conduct an audit of the NGECC for the 4-1-123 through 3-31-13 period, and adjusted the budget for the current year accordingly.

During the month of March, 2013, the Finance subcommittee met once – March 13<sup>th</sup> – via conference call. Key decisions and action items from the month of March, 2013 included:

- On March 13, 2013, it was agreed that Steve Hewitt would add an agenda item for the March 19<sup>th</sup> Executive Board call which would call for a formal action by the Board to consider acceptance of the NGECC Audit and Amtrak's draft response to it.
- On March 19<sup>th</sup>, the Executive Board voted to accept the Audit report and Amtrak's response to it.
- On March 13<sup>th</sup>, Darrell Smith, Amtrak Finance reported that Amtrak procurements would be issuing a letter to AASHTO formally extending the period of service (NGECC support services) through 3-31-14. Darrell Smith will keep the subcommittee informed of the status of the letter.
- It was also reported on the March 13<sup>th</sup> call that FRA is currently reviewing the revised grant agreement SOW which includes adjustments made during the meeting of the Board at the NGECC Annual Meeting. Darrell Smith will keep the subcommittee informed on the status of FRA's review

and the issuance of a letter informing Amtrak to go ahead and make the requested modifications to the SOW.

- It was agreed that, once the AASHTO support services agreement has been extended, AASHTO would begin the process for going out for an RFP for procuring consultant services for the exploration of financing options.
- It was also agreed that AASHTO will serve as the contracting vehicle and Gordon Hutchinson, chair of the Finance subcommittee, will serve in the role of contracting officer, and will be responsible for approval of all invoices and products, etc. Darrell Smith will keep the subcommittee apprised of the status of the agreement, and, subsequently, Leo Penne will keep the subcommittee apprised of the contracting process as it moves forward.
- During the March 13<sup>th</sup> call, Chairman Hutchinson re-emphasized his intention to ensure that the financing options effort will address the tie-in with Section 6.

Due to scheduling conflicts for a number of members, and to provide the new Finance subcommittee Chair, Bill Auve, an opportunity to be briefed on subcommittee activities, the April 10<sup>th</sup> conference call was canceled. The next scheduled conference call meeting of the Finance subcommittee is May 8, 2013.

With Dan Black Amtrak acting CFO, coming on board as NGEC Treasurer and Finance subcommittee chair in early May, the Finance subcommittee meeting for May 8, 2013 was canceled.

During the months of April, May and June, 2013, the Finance subcommittee did not meet due to scheduling conflicts and a change in the chairmanship of the subcommittee from Gordon Hutchinson to Bill Auve to Dan Black. The next call of the subcommittee is scheduled for July 31, 2013.

During the month of July, 2013, the Finance subcommittee met once, on the 31<sup>st</sup>. Key decisions and action items for the month of July, 2013 included:

- The July 31, 2103 conference call was the first held by new Chairman and NGEC Treasurer Dan Black.
- It was agreed that the Finance subcommittee schedule of calls will remain as is, with a call every four weeks at 3:00pm EDT. (the next call is August 28, 2013) The passcode for the call in number will be changed. Dan Black will provide the new number to Steve Hewitt who will send it out, and revise the appointment calendar by adding the new call in information.
- It was agreed that on the next subcommittee call, Steve Hewitt and Darrell Smith will update the subcommittee on the August 6<sup>th</sup> meeting with AASHTO. The meeting is to be held in DC and will include a review of the year to date and anticipated total support services expenses through 3-31-14. This is intended to provide a clearer picture as to the NGEC finances going forward as the Executive Board moves towards austerity with no new funding anticipated for FY 2014.
- The subcommittee will also be making a decision on whether to advance the approved RFP for exploring financing options or to suspend that effort, in deference to the need for austerity, and look internally for potential financing tools.
- In light of the move to austerity, the subcommittee agreed with a suggestion by David Ewing that he begin developing a hypothetical case study of financing dual mode locomotives and provide a progress report on this effort on the next subcommittee call.
- Darrell Smith agreed to review the RRIF white paper prepared by Amtrak last year, and determine if anything has changed. Darrell will report back to the subcommittee on his findings on its next call.
- Dan Black will update the Executive Board on the Finance subcommittee's activities with regard to efforts to move forward during a period of austerity.

Due to scheduling conflicts, the Finance subcommittee did not meet in August, 2013. The scheduled August 28<sup>th</sup> call has been re-set for September 11, 2013, with the regularly scheduled September 27, 2013 call canceled as well.

During the month of September, 2013, the Finance subcommittee met, via conference call, once, on the 11<sup>th</sup>. Key decisions and action items from the month of September included:



- It was agreed on September 11<sup>th</sup> that the next Finance subcommittee call will take place on October 23, 2013 – a new calendar appointment has been sent to all subcommittee members scheduling the calls for every 4 weeks beginning on October 23, 2013. The new access code will be included in the calendar appointment.
- Darrell Smith will continue to apprise the subcommittee members of the status of compliance with the OIG audit recommendations.
- Darrell Smith will present the Treasurer's report at the September 26, 2013 Executive Board meeting and report back to the Finance subcommittee on its next call.
- Once the Executive Board has determined its next steps in moving towards austerity, the Finance subcommittee will look at its next steps for exploring finance options.
- On September 11, 2013, David Ewing provided the Finance subcommittee with an update on the action assigned to him on the last call – to develop a hypothetical case study for financing Dual Mode Locomotives. David also noted two TRB NCRRP reports (NCRRP 03-01 Intercity Passenger Rail Service and Development Guide and NCRRP 07-01 Alternative Financing Approaches for Passenger and Freight Rail Projects) and suggested that "when and if the 305 NGEA begins a financing study, a literature search should begin with these two reports". Additionally, David suggested that the following should be considered:
  1. Determine if Safe Harbor Leasing is a way to go
  2. Draft a scope of work to ask for consultant assistance of "fleshing out" what an education effort on safe harbor would look like.
  3. The scoping effort might be \$5K."

In closing David added, "I think that once the tax code is opened for the "Grand Bargain," we have a chance if we are prepared".

During the month of October, 2013, the Finance subcommittee met, via conference call, once, on the 23rd. Key decisions and action items from the month of October included:

- On October 23, 2013 it was agreed that Darrell Smith would provide Steve Hewitt with the SOW for the current grant agreement which Steve would send along with a reminder to subcommittee, task force, and working group chairs to submit their anticipated budget and SOW requests for the period beginning April 1, 2014 to Darrell Smith by November 7, 2013. It was agreed that providing the chairs with the current SOW will help them to know what type of detail is needed.
- The intent is for Darrell Smith to provide a draft SOW and budget to the Board for its consideration on the November 12, 2013 conference call.
- Dan Black will remind Board members on the October 29<sup>th</sup> call of what is needed and when to pursue a grant agreement extension. The Board will be asked to approve not only a budget and SOW, but also an extended to date.
  - Steve Hewitt agreed to contact Dave Warner, Amtrak, to request that he provide an estimate of the anticipated Review Panel Specification Revision activities and subsequent contracting with Larry Salci on those Review Panel efforts. He will also ask Dave to estimate the upcoming needs for the services of Camren Cordell – (professional spec writing services) for the period to be covered by the revised grant agreement SOW.
  - Darrell Smith will continue to apprise the subcommittee members of the status of compliance with the OIG audit recommendations. As of the October 23, 2013 call – most items were about to be closed out.

During the month of November, 2013, the Finance subcommittee met, via conference call, once, on the 20th. Key decisions and action items from the month of November included:

- On November 20, 2013, Darrell Smith, Amtrak, informed the Finance subcommittee members that Amtrak has named Gerald Sokol as its Chief Financial Officer, effective December 3, 2013. It is anticipated that Mr. Sokol will assume the NGEC role of Treasurer and Chair of the Finance subcommittee at that point.

Steve Hewitt, NGEC Support Services Manager, asked Darrell to express the NGEC's gratitude to Dan Black for his efforts as chair of the Finance subcommittee and as the NGEC Treasurer over the past several months.

- Also on November 20, 2013, Darrell Smith provided a status update on activities related to developing a draft budget and revised SOW for a grant agreement extension. He noted that he had received budgets and SOW from all of the chairs as requested. The SFTF, Finance subcommittee and the Capital Access Charge working group had submitted "new items" which came to a total of \$200,000 in new costs. Adding the \$200,000 into the total and factoring it as a part of the monthly continuing rate, Darrell reported "we can go for 14 months (beyond March 31, 2014)." He added "we are still in pretty good shape."

The next step is for Darrell to develop a draft SOW for a grant agreement extension and submit it to the Executive Board for its consideration on its first conference call in December (12-10-13). Once the Board has approved it, the SOW will be submitted to FRA as a part of the request for a grant agreement extension.

- Darrell Smith, Amtrak, reported that all but one of the OIG recommendations have been closed out. The last one remaining has to do with questionable charges in the very early AASHTO NGEC invoices. The total amount in question is minimal (approximately \$11,000.). Darrell noted that he needs to get together with AASHTO to work through this last item, and, once resolved all of the OIG recommendations will have been complied with.

During the month of December, 2013, the Finance subcommittee met, via conference call, once, on the 18th. Key decisions and action items from the month of December included:

On December 18<sup>th</sup>, a motion to 'grandfather in' existing contract arrangements with AASHTO and the current subcontractors under the new NGEC procedures was approved. The motion will be forwarded to the ATF for its consideration on December 20, 2013, and, if approved, will be submitted to the Executive Board for consideration of approval on January 7, 2014.

- Also on December 18, 2013, Darrell Smith provided a status update on activities related to developing a draft budget and revised SOW for a grant agreement extension. He reported that the Executive Board, on December 10, 2013, had approved the revised SOW and budget with the budget approval pending FRA review of supporting documents. The FRA expressed an intent to complete its review in time for the January 7, 2014 Board call.

Kevin Kesler, FRA, agreed to contact FRA grants management to remind them of the anticipated timeline for review of the budget for the grant agreement extension request. Kevin will also provide them with Darrell Smith's name as the point of contact for any questions or issues which may need clarification.

- It was agreed that on the next Finance subcommittee call, (January 15, 2014) there will be an agenda item in regard to looking at strategies for financing equipment and/or follow on organizations. Eric Curtit and David Ewing will frame the discussion.
- Finance subcommittee members are asked to provide any input they may have for the Annual Meeting Treasurer's Report to Darrell Smith by COB on January 14, 2014.

During the month of January, 2014, the Finance subcommittee met, via conference call, once, on the 15th. Key decisions and action items from the month of January, 2014 included:

- On January 15, 2014 it was agreed that on the next Finance subcommittee call, (February 12, 2014) there will be an agenda item to begin the process of having the Finance subcommittee do an "in-house" review of the finance section of the Task 1 report.

- Also on January 15, 2014 it was agreed that Darrell Smith, Amtrak, will prepare the Finance subcommittee report and the Treasurer's report for the February 21, 2014 NGEAC Annual Meeting.
- Steve Hewitt agreed to provide the DRAFT of the SFTF's Section 6 Task 1 report to all Finance subcommittee members following the January 15<sup>th</sup> call. It was emphasized that the report is still a draft, and is currently undergoing an SFTF approval vote with Board consideration to follow.
- Darrell Smith agreed to contact AASHTO to complete the reconciliation of the final remaining items necessary to close out the audit recommendations.
- The status of the grant agreement extension request will remain as a standing agenda item up until it has been executed. On the call of January 15, 2014, Kevin Kesler, FRA, confirmed that the request had been received by the FRA grants office and was progressing through the system. No problems are foreseen.

Due to scheduling conflicts and the NGEAC Annual Meeting, the February, 2014 call of the Finance subcommittee was canceled.

The Finance subcommittee held its monthly conference call on March 12, 2014. Some of the key decisions and action items from the month of March, 2014 included:

- Darrell Smith and AASHTO will continue to complete reconciliation of the last remaining OIG recommendation item, and keep the subcommittee apprised of progress.
- It was agreed that the subcommittee will move forward with exploring financing options – an effort begun in 2013. Following the March 12, 2014 call, Brent Thompson, Washington State DOT, provided Steve Hewitt with the financing options draft scope developed in 2013, for distribution to David Ewing and Eric Curtit. Eric and David Ewing will use the Draft scope as a starting point in developing a conceptual work plan, and will give a progress report on the April 9, 2014 Finance subcommittee call.
- It was also agreed that there would be a series of presentations – possibly 4-6 – on potential financing options that may be available. Last year Amtrak presented a white paper on the RRIF program. This series will build on that presentation model. David Ewing will contact Larry Salci to see if he would be willing to give a presentation on safe harbor leasing on the next Finance subcommittee call as the first of the planned series.
- On March 25, 2014, Mr. Ewing contacted Mr. Salci, who has agreed to brief the Finance subcommittee on federal tax law – with safe harbor leasing as an aspect of the presentation. Mr. Salci will be a part of the April 9, 2014 Finance subcommittee call agenda.

The Finance subcommittee held its monthly conference call on April 9, 2014. Some of the key decisions and action items from the month of April, 2014 included:

- Darrell Smith announced that the last remaining OIG recommendation has been completed with AASHTO and Amtrak having reconciled the remaining item.
- The Finance subcommittee approved the work plan for exploring options for financing equipment as presented and directed David Ewing to begin contacting presenters and setting a schedule.

Eric Curtit will announce the effort on the next Executive Board call, and encourage broad participation.

Larry Salci will make the first presentation in this series on the topic of: The Federal Tax Code and Passenger Rail Cars. The presentation will be a part of the regularly scheduled Finance subcommittee call on May 7, 2014 at 3:00 PM Eastern.

The Finance subcommittee held its monthly conference call on May 7, 2014. Some of the key decisions and action items from the month of May, 2014 included:

- The Finance subcommittee approved the work plan for exploring options for financing equipment as presented and directed David Ewing to begin contacting presenters and setting a schedule.

Eric Curtit will announce the effort on the next Executive Board call, and encourage broad participation.

David Ewing will reschedule Mr. Salci's presentation, as well as contacting other presenters.

- Darrell Smith announced that the last remaining OIG recommendation has been completed with AASHTO and Amtrak having reconciled the remaining item.

The Finance subcommittee held its monthly conference call on June 4, 2014.

On June 4<sup>th</sup> the Finance subcommittee received two presentations as a part of its efforts to explore options for financing equipment.

- Larry Salci, SalciConsult, gave a presentation on the Federal Tax Code and Passenger Rail Car Financing.
- Jennifer Moczygemba. Hatch Mott MacDonald: gave a presentation on Transportation Development Credits
- The next presentation in this series will take place on July 30, 2014 and will be provided by Allan Rutter.
- The July 2, 2014 Finance subcommittee call is canceled – the next call will take place on July 30, 2014

The Finance subcommittee held its monthly conference call on July 30, 2014.

- On July 30, 2014 the Finance subcommittee received a presentation from Allan Rutter, Texas A&M Transportation Institute Research Scientist, as a part of its efforts to explore options for financing equipment.

The presentation was entitled "Send Lawyers, Trains and Money" and it can be found in the minutes of the meeting – at: [www.ngec305.org](http://www.ngec305.org).

- David Ewing will prepare a draft summary of the presentations given thus far as a part of the effort to explore financing options. David will include in the summary a description of some next step presentations such as PFCs, WMATA and Joint Power Authorities.
- Eric Curtit will provide the subcommittee with particulars on the Missouri passenger rail surcharge.
- Darrell Smith will reach out to Amtrak's revenue management group in regard to PFCs.
- Darrell Smith will also reach out to WMATA about a possible presentation from a multi-state organizational perspective.
- David Ewing will reach out to David Kutrosky in regard to a possible presentation on the California Joint Power Authority experience.
- The Finance subcommittee will begin looking at next steps to fund the NGECE beyond the end of the current grant agreement (6-30-15)

The Finance subcommittee held its monthly call on August 27, 2014.

- The Finance subcommittee has begun to look at next steps to fund the NGEC beyond the end of the current grant agreement (6-30-15)

Actions:

Shayne Gill will reach out to AASHTO planning and FHWA to provide a definition for how the process works and confirm eligibility for use of SPR funds.

The concept of using SPR funds to sustain the NGEC in the short term will be presented to the executive Board on the September 16<sup>th</sup> conference call. Darrell will introduce the topic and Tim and Eric will lead the discussion.

Jeff Gordon will provided an expanded description of his suggestion that a long term funding solution may be to assess a fee for the use of the NGEC specifications. He will present his expanded concept on the next Finance subcommittee call – September 24, 2014.

- The subcommittee accepted the summary report on the Finance subcommittee's efforts to explore options for financing passenger rail equipment. The report will be transmitted to the Executive Board for its consideration of acceptance on September 2, 2014.

The subcommittee will consider the report as a living document and will continue to pursue additional speakers and topics going forward.

- Eric Curtit will provide the subcommittee with particulars on the Missouri passenger rail surcharge on the September 24<sup>th</sup> call.
- Darrell Smith will reach out to Amtrak's revenue management group in regard to PFCs.
- Darrell Smith will continue to reach out to WMATA about a possible presentation from a multi-state organizational perspective.
- Darrell Smith will provide a status update of NGEC funds at the NGEC Board meeting in Wilmington on October 24, 2014.

The Finance subcommittee held its monthly call on September 24, 2014 with the following decisions and actions taken:

- The Finance subcommittee will continue to look at next steps to fund the NGEC beyond the end of the current grant agreement (6-30-15) and will coordinate/assist the NGEC Future Working Group in its efforts.
- Darrell Smith will work with Amtrak's revenue management group to schedule a presentation on PFC's to the Finance subcommittee on November 19, 2014. Shayne Gill will notify/invite states beyond the NGEC to participate on the call, once the presentation has been confirmed.
- Darrell Smith will continue to reach out to WMATA about a possible presentation from a multi-state organizational perspective. Other Finance subcommittee members who may have a contact at WMATA are asked to reach out or provide that contact information to Darrell Smith.
- The subcommittee members have agreed to conduct an electronic vote on a motion offered by Eric Curtit and seconded by Brent Thompson to use the remaining available funds (approximately \$51,000) from the Ewing contract for the continued operation of the NGEC. Steve Hewitt will send out the motion and a call for an electronic vote to all Finance subcommittee members following today's call.

The motion passed unanimously via electronic vote and was submitted to the Executive Board where it was approved without objection on September 30, 2014.

- Darrell Smith will provide a status update of NGEC funds at the NGEC Board meeting in Wilmington on October 24, 2014 in a Treasurer's Report. He will provide members of the Finance subcommittee with a copy of the draft report for their review and comment prior to the Board meeting.

- The October 22, 2014 Finance subcommittee call will be canceled in deference to those traveling to Wilmington for the upcoming NGEF meetings on October 23 and 24. Steve Hewitt will send a cancellation notice.
- The next conference call meeting of the Finance subcommittee will take place on November 19, 2014.

The Finance subcommittee meeting in October was canceled in deference to the October 23 and 24 NGEF Fall Meetings held in Wilmington, DE.

During the Board meeting it was agreed that the Finance subcommittee and the Administrative Task Force will be consolidated and reorganized as one subcommittee – The Finance and Administrative subcommittee (FASC). This newly formed subcommittee will combine the work plans of the two groups and will be chaired by Darrell Smith, Amtrak with Brent Thompson, WSDOT and Ray Hessinger, NYSDOT serving as vice chairs.

The first meeting of the FASC will take place on November 19<sup>th</sup>, 2014.

The Finance and Administrative subcommittee (FASC), as established by the Board on 10-24-14 will:

Organize itself and set its agenda. The first call is currently scheduled for November 19, 2014.

Will begin its review of the by-laws to revise, where necessary, to reflect the changes approved on 10-24-14. (Chairman Smith will contact Ray Hessinger to discuss beginning a by-law review with the assistance of Steve Hewitt)

Will begin to develop a revised Statement of Work and budget for a no-cost extension of the current grant agreement through September 30, 2017, as agreed on 10-24-14 and as so directed by the Executive Board.

Will begin developing a proposal for potential funding options to present to the Board for its consideration by October, 2015.

**NOTE:** On October 24, 2014 – the Executive Board reorganized its subcommittees and/or task forces to more efficiently conduct business and improve time management for its members. In so doing, the Board discontinued the Finance subcommittee and the Administrative Task Force (FASC) and combined the activities of both into one subcommittee by establishing the Finance and Administrative Subcommittee. Further on in this report, the meetings of the FASC are reported on.

**Administrative task force – this task force was sunset and combined with the Finance Subcommittee to form the Finance and Administrative Subcommittee:**

The Administrative task force had been holding regular conference call meetings every 3rd Friday @ 11:00am EST. (In 2011 the task force began holding bi-weekly calls) The initial task force work plan called for the it to oversee budget issues; manage the operation of the S305 NGEF, determine protocols that may come up; define what is presented to congress; serve as the keeper of the By-Laws; serve as the policy development arm of the Executive Board; and the keeper of open records and relevant policies; while also performing additional tasks as defined by the task force and/or requested by the Board or its subcommittees.

The Administrative task force has been working closely with the subcommittees, especially the Finance subcommittee, to coordinate efforts in examining issues such as obtaining outside counsel and/or establishing a corporate structure.

The task force had approved a series of technical amendments to the By-laws and an amendment to allow the Executive Board to vote by e-mail. All but one were approved unanimously at the August 31, 2010 meeting of the Board (one item was withdrawn from consideration after discussion at the Board meeting)

The task force also presented a proposed policy statement in regards to electronic voting for Board consideration and it, too, was approved unanimously (with a minor word change).

The task force presented its draft approval process matrix to the Board and as described above in the Finance subcommittee section of this report, the Board provided input and asked that the Finance subcommittee and the task force form a joint subset to work together to refine and revise the initial draft matrix and an approval policy.

On its September 10, 2010 conference call, the Task Force added Rod Massman and Caitlin Hughes Rayman as members of the joint subset and Nancy Greene agreed to participate as observer and monitor the activities of the group. Marvin Winston, FRA, agreed to check into who the appropriate FRA representative should be to participate in this effort.

Other key agenda items/activities of the task force discussed over the first fifteen months of the NGEAC's existence, include; issues related to the possible Incorporation of the S305 NGEAC; the development of a "questions" document related to issues to be resolved, if, or when considering incorporation; and developing a contact list for attorneys that deal with states intercity passenger rail programs; developing a list of models of multi-state compacts; and gathering examples of liability statements used by other organizations, states, Amtrak, AASHTO, etc; and using this research to develop a liability statement for consideration by the task force and, subsequently, by the Executive Board.

Thus far the models of multi-state compacts that the Task Force has compiled includes; the Georgia-Tennessee-Kentucky-Indiana Rail compact; North Carolina-Virginia compact; WMATA and enabling federal legislation for compacts; and the Midwest Interstate Passenger Rail Compact.

The task force developed a questionnaire/survey to look into the ability of states to participate in a legally cognizable entity in the context of Section 305 (c) of the Passenger Rail Investment and Improvement Act (PRIIA). This questionnaire/survey was distributed to states at the September Annual Meeting of the AASHTO Standing Committee on Rail Transportation (SCORT) and states have been asked to submit the completed document to Steve Hewitt.

The task force also developed, and presented to the Board, a draft liability statement for discussion purposes. It was agreed at the Board meeting that this item should be set aside until such time as the Board has incorporated or become an entity or has begun to procure. At that time, the Board will include the development of a liability statement as part of the work of legal counsel if and when counsel is procured.

In January, 2011, the task force approved a draft liability statement prepared by Missouri DOT. This statement notes that Board members will be protected through the liability policies of the organizations or agencies in which they are employed. The draft statement will be presented for consideration at the February 15, 2011 meeting of the Executive Board.

In regards to issues pertaining to corporations/incorporating – the Task Force held a special conference call on September 28, 2010 to have a focused discussion on the issue.

The questionnaire/survey responses received as of January 31, 2011 came from 11 states (of which 8 were NGEAC Board member states). Copies of the completed surveys have been distributed to Administrative task force Finance subcommittee members. The survey responses were also provided to Steve Patterson and George Howell (Hunton & Williams) in advance of their presentation on the call of October 20<sup>th</sup>.

As noted in the Finance subcommittee section of this report, at the Executive Board webinar meeting of November 18, 2010, it had been agreed that the subcommittee and the Administrative task force would form a subgroup to take on the task of polling the states in regards to their needs/objectives for the S305 NGEAC.

The Administrative task force joined the Finance subcommittee on its conference call on October 20, 2010 and interacted with the presenters on the issue of incorporation.

The Administrative task force once again joined the Finance subcommittee on its November 3, 2010 conference call. The primary purpose was to review the lists and comments submitted following the October 20, 2010 joint call; and to determine next steps in progressing towards a presentation on the topic to the full Executive Board on February 15, 2011. No states had submitted their lists by the time the November 3, 2010 call had taken place, although AASHTO consultant David Ewing did submit a list for consideration in regards to a possible structure and purpose for the S305 NGEAC as an entity.

At the Executive Board webinar meeting of November 18, 2010, it was agreed that the Finance subcommittee and the Administrative task force would form a subgroup to take on the task of polling the states in regards to their needs/objectives for the S305 NGECC. It was agreed that this step was necessary before any determination could be made as to what kind of, if any, entity is needed moving forward.

As noted in the Finance subcommittee update, a poll of the states has taken place, in which the NGECC Board member states were asked to respond to questions ascertaining their needs/objectives for the NGECC. Poll responses were received from all 11 NGECC Board member states by January 31, 2011, and Rob Edgcumbe will give report on the poll/surveys at the February 15, 2011 Annual Meeting.

On November 23, 2010, a joint Finance subcommittee and Administrative task force subgroup met in Washington, DC, and agreed on key points for revising and refining the procurements approval process matrix. Caitlin Hughes Rayman was then tasked with drafting a revised matrix based on those discussions. On January 21, 2011, the Administrative task force approved the revised matrix and sent it to the Finance subcommittee for its review and approval. On January 26, 2011, the Finance subcommittee approved the matrix as well. On January 28, 2011, the Executive Board adopted the matrix with minor modifications.

The Administrative Task Force also began to look at possible next steps in specification development for the NGECC. At the request of the task force, Rob Edgcumbe drafted a "white paper" - "Next Steps for NGECC Specification Development". The task force reviewed the document, and, subsequently, the Technical subcommittee circulated among its members for review and comment. As part of the Technical subcommittee's report to the Executive Board on February 15, 2011, Rob Edgcumbe will give a presentation on this topic.

On its' January 7, 2011 conference call, the task force asked Rob Edgcumbe to prepare a statement describing where things currently stand in regards to intellectual property and change control. The statement was prepared; it was discussed on the next task force call, January 14, 2011, and is expected to be presented to the Board on February 15, 2011.

Administrative task force Chair, Rod Massman, prepared a By-laws amendment, which was approved by the task force on January 7, 2011. The proposed amendment will allow for future By-law changes/amendments to be approved by the Executive Board at meetings of the Board held throughout the year; rather than, as currently written, only at the Annual Meeting. Any such amendment will need to be distributed to Board members 30 days prior to the Board meeting at which the amendment will be considered. This specific By-law change was sent to Board members on January 11, 2011.

The issue of indemnification of Executive Board members has been ongoing. On January 14, 2011, Rod Massman presented a sample liability policy statement to serve as a temporary protection while the Board is determining its possible structure as a corporation or other type of entity. The temporary policy is predicated upon Board members being currently covered by their own organization's indemnification policies. Amtrak legal staff reviewed the draft statement and found it to be fine. Rod will present the proposed statement to the Board on February 15, 2011.

On the January 28, 2011 Executive Board conference call, Rod Massman, on behalf of the task force, presented a work plan and budget for the 12 month period from April 1, 2011 through March 31, 2012. As previously noted, Ken Uznanski worked with all subcommittee and task force chairs, as well as AASHTO, to reconcile the proposed work plans and budgets; and presented a summary to the chairs and Board members on Wednesday February 2, 2011.

At the February 15, 2011 meeting of the Executive Board, the proposed By-law amendments were accepted; the work plan and budget for the task force for April 1, 2011 through March 31, 2012 was approved; the indemnification statement was accepted, as proposed; and the Rolling Stock 101 webinar series (contained in both the Finance subcommittee's work plan and the task force's budget) was approved as an effort to be taken up by the NGECC.

On February 25, 2011, the task force met, via conference call, and began to address the implementation of its approved work plan and budget.

A task force comprised of Al Ware, Georgia DOT; Rob Edgcumbe, Amtrak; David Ewing, AASHTO consultant; Leo Penne, AASHTO; and Shayne Gill, AASHTO, has begun to develop a plan to conduct the Rolling Stock



101 webinar series. Rob Edgcumbe and David Ewing will prepare an outline for task force consideration on its next call scheduled for March 11, 2011. It is intended that the Rolling Stock 101 webinar series will be an NGECE effort, with input from the Board, both subcommittees, the Administrative task force and AASHTO, rather than housing it in either of the subcommittees or the task force.

At the February 15, 2011 Board Meeting, the issue of intellectual property was discussed and determined to be an open item which needed further discussion. The Board tasked the Finance subcommittee and the Administrative task force with working together to develop recommendations for future consideration by the Board.

At the March 16, 2011 meeting of the Executive Board, the Administrative task force proposed a Disclaimer statement for Board consideration. The Disclaimer was approved unanimously by the Board and will be included with all PRIIA specifications on the inside cover page. It will also be placed on the AASHTO website as a link that will appear when a party is accessing any of the PRIIA approved specifications.

The issue of intellectual property remains an open item. Much of its resolution will depend upon the establishment of the NGECE as an entity. (If and when that occurs)

The task force met via conference call on April 8, 2011. It was agreed that, while the intellectual property issue remains an open item, one area has been addressed – that of issuing a disclaimer statement. The Board approved disclaimer statement was to be added to all PRIIA specification documents and a link would be established on the AASHTO website. The disclaimer will be placed inside the cover page of the specifications. The process of revising the specifications to add the disclaimer is likely part of the document control process currently underway as a pilot process.

Further discussion on intellectual property resulted in the general opinion that the specifications should not have a lot of restrictions on their use. The intent is that the specifications be widely used by the industry.

It was agreed that, consultant Larry Salci, should be contacted to discuss the issue further, as he initially raised it as a major issue at the last meeting of the Executive Board. (March 16, 2011)

The April 22, 2011 task force call was cancelled due to observance of Good Friday. The next call is scheduled for May 6, 2011.

In May, 2011, the Administrative Task Force met on May 6, 2011 and May 20, 2011.

The task force continues to monitor the progress of the Railroading 101 Webinar Series Working Group. Rob Edgcumbe reported that he had sent out a draft of the equipment module to working group members for their feedback/input. To date, he has heard from Al Ware and Shayne Gill. Once other members of the core working group have submitted their comments, he will circulate it more widely for comment. In general, Rob summed up the activity as, "it is moving, but slowly."

It was agreed that the issue of intellectual property (an open action item) will be addressed through the Finance subcommittee's FSWG analysis, rather than as an action item of the Administrative Task Force.

Task force Chair, Rod Massman, raised the need for a by-law change to No. 5.2-State Representation on Executive Board. Rod pointed out that the last sentence of paragraph 1 states that each representative will have an alternate person designated to participate in and vote in meetings in the absence of the designated representative.

The concern expressed by Rod was that none of the states has actually designated an alternative representative. Many states do not have enough staff available to even name an alternate representative.

After a fair amount of discussion, on a motion by Rod Massman, seconded by Pat Simmons, (no objections) it was agreed that the By-law be revised by changing the word will to may in the referenced sentence. Each representative may have an alternate person designated to participate in and vote in meetings in the absence of the designated representative.

This proposed by-law change was distributed to the members of the Executive Board by Steve Hewitt on May 19, 2011 for its future consideration.

Chairman Massman raised the issue of the need to keep a record or history of the use of 305 specifications. He also raised the question as to whether or not there should be a quality review process regarding procurement – “did it meet the specification?”

The general discussion focused on the need to create a framework of what is being done and a follow up document/audit.

Pat Simmons recommended that “we do a, who, what, when and where form as part of the specification.” Once the specification has been used, the user sends the form back to the NGEC with a contact name, who, what, when and where - what did you learn? The form could be inserted at the end of the specification, similar to the way the disclaimer statement is to be inserted inside the front cover of each specification.

It was agreed that Rod Massman would draft a proposed form based on this concept, and “bounce it off Al Ware” for his comments/input, and distribute it to the Administrative Task Force members in four weeks – on the June 3, 2011 conference call.

Due to numerous schedule conflicts, the Administrative task force did not hold a conference call in June, 2011. The task force did meet, via conference call, on July 1, 2011 and will next meet on August 12, 2011.

During the July 1, 2011 conference call, the task force approved its high level goals and funding requirements for the period from April 1, 2012 through March 31, 2013.

As agreed, the High Level Goals and Funding Requirements for the Administrative task force are:

1. Coordinate with Executive Board and Finance Committee (which is the developing arm) on incorporation/procurement/organizational re-structuring activities; and serve as the implementation arm; while also providing support for those activities as needed in getting details worked out.
2. Conduct periodic reviews of PRIIA requirements and keep Executive Board apprised of the two subcommittees’ adherence to PRIIA guidelines.
3. Serve as budget overseer.
4. Perform other duties as assigned by Executive Board or requested by the two committees.

Budget for these activities: \$100,000.00 will include costs for travel, and consultant, coordination, and AASHTO support for activities other than the implementation of the procurement. (Overall AASHTO support needs to be enumerated elsewhere in the budget).

There was discussion on ensuring that somewhere in the overall proposal to Congress – the AASHTO support services costs are factored into the total request.

On other business, the task force also approved an “instructions” document prepared by Rod Massman and revised by Nancy Greene. The document is intended to be a forward look – something a customer would fill out when using a PRIIA specification. The plan, moving ahead, is to take the proposed document forward to the Executive Board at an upcoming conference call. (Possibly August 16, 2011)

Due to the resignation from Missouri state service by the Administrative task force Chair, Rod Massman, the task force did not meet in August. The Executive Board will look to fill the chair position at its September 15, 2011 meeting in Charlotte, NC.

On September 15, 2011, the Executive Board named Alan Ware, Georgia DOT, as the new Chair of the Administrative task force. Alan held his first conference call meeting of the task force on September 23, 2011.

Key decisions/action resulting from this initial task force call under Alan’s leadership were:

- Alan will contact DJ Stadtler in regards to the Rob Edgcumbe contract status and ensure that the Statement of Work include the Railroading 101 webinar series. Alan will also ask that a placeholder for additional funding to be set aside with respect to the SFWG to have outside review of the structure section of the report released in July, 2011.
- David Ewing will provide Ken Uznanski with a draft write up of a proposal for additional resources (between \$30 and \$40 k) for outside review of the structure section of the SFWG report.

- The task force discussed, at length, the need for FRA involvement in the task force and attendance on the calls. Steve Hewitt will contact Chad Edison to see where FRA representation will come from moving forward.
- The task force members also recognize the need for additional state representation. With the resignation of Rod Massman, Missouri, and Scott Witt, Washington State, the Administrative task force has only two states represented – Georgia and North Carolina. Alan Ware will reach out to Eric Curtit, Missouri to see if he would be interested in joining the task force. Alan will also reach out to Joe Kyle, Oklahoma, to see if he would be willing to provide a staff member to represent Oklahoma on the task force. Steve Hewitt will reach out to Tim Hoeffner, Michigan, requesting that he provide a representative to the task force, as well.
- The task force will bring the by-law change to number 5.2 to the Board for its consideration on September 27, 2011. (As described in the Executive Board section of this report – the by-law change was approved on September 27, 2011)
- Nancy Greene will begin to look into possible templates for preparing a disclaimer protecting industry members (and NGECC members) from any liability when preparing reports which are based on “opinions” – expert opinion, but opinions none the less. David Ewing will look into possible state disclaimer templates. (The request for this disclaimer has come from the Locomotive Technology Task Force of the Technical subcommittee).
- The task force will continue to pursue the development of a legal pool of states rail lawyers for purposes such as this – where their insight would be most helpful.
- The task force agreed to begin meeting every other Friday (rather than every third Friday). The next call will take place on October 7, 2011 at 11:00 am Eastern.

The Administrative task force met, via conference call, twice in October, 2011 (October 7 and 21, 2011). Key decisions and action items resulting from those calls included:

- In regards to issues of incorporation, the task force and the Finance subcommittee have agreed to continue moving forward to get a better sense from FRA on its view of the direction the SFWG should take and to get a clearer understanding of the comments provided by the FRA to the first SFWG report. It was also agreed that the SFWG budget will reside within the Finance subcommittee budget. It is anticipated that Rob Edgcumbe will resume his activities related to the SFWG once a contract has been finalized. David Ewing was tasked to meet with senior management at FRA and possibly Amtrak and states in regards to the structure aspect of the SFWG report. (David met with Paul Nissenbaum, FRA, during the week of October 25, 2011, and is expected to report on the discussion on the November 4, 2011 call of the task force and to recommend next steps.
- The task force requested that the Railroad 101 webinar series be included in the SOW for Rob Edgcumbe. DJ Stadtler agreed that this item should be included in the SOW and on October 21, 2011, he participated in the task force call and asked the task force to provide an estimate of hours anticipated to complete this task. (At the October 25, 2011 Executive Board meeting it was agreed that Alan Ware, joined by DJ Stadtler will negotiate Rob Edgcumbe’s hourly rate once the SOW and hours required per task have been finalized/approved.
- DJ Stadtler also raised the issue of charging Ken Uznanski’s NGECC time to the grant, and was met with agreement among task force members. All on the call felt that this made sense.
- As a result of the Executive Board meeting of October 25, 2011, the task force was charged with developing a scope of work for Ken Uznanski’s activities related to being the NGECC project manager. David Ewing was assigned to work with Al Ware to develop a draft scope for task force consideration on its November 4, 2011 conference call.
- Alan Ware reported that Joe Kyle, Oklahoma DOT, and Eric Curtit, Missouri DOT had agreed to become members of the Administrative task force. Both agreed to name alternate representatives from their offices in the event that they are unavailable for a call.

- Steve Hewitt reached out to FRA (Chad Edison) to request that the FRA appoint a voting representative to the task force and to the Finance subcommittee. Both groups have been clearly lacking FRA involvement, and are requesting official participation. Chad was to talk among FRA staff to try to resolve this situation. In the meantime, he assigned Nico Lindenau, an FRA contractor, to attend all subcommittee and task force meetings to ensure that FRA is aware of issues that require their attention, and to provide continuity. Nico, however, will not be named as their voting representative.
- The task force asked that Nancy Greene, Amtrak, help to develop a disclaimer statement that would be included in various reports to note that the opinions expressed in the reports were just that – opinions - and should not be construed as representing the views of a specific company or agency. The request for the task force to develop the statement came from the Locomotive Technology Task Force (LTTF) of the Technical subcommittee. Nancy will look for samples of such disclaimer statements and/or provide a suggested disclaimer statement to the task force for consideration. It is anticipated that a proposal will be coming forward in November – possibly on the November 4<sup>th</sup>, 2011 call of the task force.
- Alan Ware submitted a proposed work plan and budget for 4-1-12 through 3-31-13 to the task force for consideration on October 21, 2011. The members agreed to have the proposal submitted for Board consideration on the 25<sup>th</sup> of October, 2011.

In November, 2011, the Administrative task force met twice – November 4 and November 18, 2011. Key decisions and action items resulting from these calls included:

- The Administrative task force agreed to await FRA input before progressing further with task force activities included in the SOW for Ken Uznanski and Rob Edgcumbe.
- The task force agreed to develop a broader scope of work for the SFWG to include identifying tasks and adding the components of Section 6 to the work plan.
- The task force recommended to the Executive Board that the SFWG be elevated to a task force reporting directly to the Board. The Board has asked that a scope of work be developed first before considering elevating the working group to a task force.
- The task force agreed with the Finance subcommittee to have Steve Hewitt and David Ewing revise the SFWG July, 2011 report (as described in the Finance subcommittee section of this document). The task force agreed with FRA's request to provide it with additional time to review the revised report. The due date for Hewitt and Ewing to complete the revision is November 30, 2011 and FRA has agreed to target its final review for completion by early January, 2012 for submission to the Board. ( Note: Hewitt and Ewing completed the revision and distributed it to FRA representatives, Finance subcommittee members and Administrative task force members on November 28, 2011).
- David Ewing was charged with interviewing key leaders from Amtrak, FRA and the states to get a better sense of the direction they would like to see the SFWG take in moving ahead. David met with Paul Nissenbaum, FRA; Stephen Gardner, Amtrak; and Bill Bronte, Caltrans, and provided a summary of those interviews to members of the task force and the Finance subcommittee.
- The task force agreed to develop guidelines and a process for contracting with consultants and for developing a scope of work for consultants which include monitoring and receiving deliverables.
- The task force will propose a disclaimer statement, as requested by the Locomotive Technology Task Force (see October), for Executive Board consideration in December, 2011.
- The task force continues to recruit new state members, and has gotten a commitment from FRA to name a voting member to the task force and to become an active participant in the work of the task force.
- Leo Penne, AASHTO, will provide task force members with a list of Legal contacts provided to him by the responding states.

In December, 2011 the Administrative task force met on December 2<sup>nd</sup> and December 16<sup>th</sup>. The key decisions and action items resulting from these conference call meetings included:

- The task force approved the proposed disclaimer statement requested by the Locomotive Technology task force (LTTF). The statement will be taken to the Executive Board for its consideration during its January 3, 2012 conference call.
- On December 16, 2011, the task force approved procedures developed by the FRA for procuring consultants for the NGEC. The procedures document will be taken to the Board for its consideration of adoption on December 20, 2011.
- The task force, on December 16, 2011, approved a resolution proposing the elevation of the Structure and Finance Working Group to that of a task force reporting directly to the Board. It also approved a draft work plan outline for the task force with a focus on Section 6 grant agreement requirements. The resolution will be presented to the Board for its consideration on its December 20, 2011 conference call.
- The "Reporting Requirements for NGEC PRIIA Section 305" will be held as an agenda item until the Technical subcommittee has had a chance to provide input or until it is determined that this has already occurred.
- Faced with a heavy work load, the task force has tabled developing a framework for handling industry requests for meetings with Executive Board and/or responding to letters to the Board until early in January, 2012.
- The FRA named Kevin Kesler as its voting member on the Administrative task force.
- Leo Penne, AASHTO, has contacted states to obtain contact information on state DOT attorneys who are familiar with passenger rail. 25 states have replied to the request thus far. Mr. Penne will provide task force members with a contact list once he has finalized it.

In January, 2012, the Administrative task force met, via conference call, on January 13, 2012. Key decisions/action resulting from this call included:

- Task force members are asked to review the Missouri and Oklahoma submittals in regards to meeting request protocols those states use; and be prepared to develop a framework/process that works for the NGEC on the next task force conference call scheduled for February 3, 2012. The intent is to provide the Executive Board will a proposal for its consideration at the February 23, 2012 NGEC Annual Meeting.
- The Administrative task force will revise its bi-weekly call schedule so as to meet the Friday before the Executive Board's Tuesday calls. The next meeting will be February 3, 2012 and from that point on, every other Friday at 11:00 am Eastern. Steve Hewitt has informed all task force members.
- Steve Hewitt, Al Ware and Eric Curtit will connect to schedule the first SFTF meeting and prepare an invite list. Eric will contact Bill Bronte in regards to Eric agreeing to become chair of the SFTF. (As noted in the Executive Board section of this report – on January 24, 2012, the Board officially appointed Eric as chair of the newly created SFTF).
- Leo Penne, AASHTO has completed his outreach to State DOTs to obtain contact information on state DOT lawyers with passenger rail legal experience. Andrea Ryan, AASHTO, will put the legal pool contacts in an Excel work sheet and provide to Steve Hewitt for distribution upon completion.

In February, 2012, the Administrative task force met, via conference call, on February 3<sup>rd</sup> and February 17<sup>th</sup>. Chairman Al Ware provided an overview presentation of the activities of the task force in 2012 at the Annual Meeting.

- The complete presentation is posted on the website. Accomplishments described in the presentation included:

- Development of a Disclaimer Statement for those providing opinions as part of NGECE Technical reports and specifications
- Establishment of AASHTO as the Contracting agent for the NGECE
- Developing a Process and Guidelines for Contracting with Consultants for NGECE Work
- Develop a Pool of State Lawyers that are Involved with State Passenger Rail Programs
- Working to elevate the Structure and Finance Working Group to that of a task force directly reporting to the Executive Board
- Tasks to be completed as part of the 2012-13 Administrative task force work plan include:
  - Developing Instructions for the use of NGECE developed equipment specifications
  - Developing a Committee Policy dealing with process and procedures for external requests to address the NGECE or for handling other external communications with the Committee
  - Continue to Develop Railroad 101
  - Recruiting New State Members for the Administrative task force

The Administrative Task Force met, via conference call, twice in March, 2012 – on the 2<sup>nd</sup> and 16<sup>th</sup>. Key decisions/action items resulting from those calls included:

- The External Contact proposal, as revised, was approved by the task force and was submitted to the Executive Board for its consideration on its March 20, 2012 call. The Executive Board deferred voting for approval of the procedures in order to allow more time to review the proposal. It is expected that the Board will vote on the procedures on April 3, 2012.
- The Administrative task force approved a motion to request that the RR101 program and budget be transferred to the AASHTO Support Services budget and scope as a separate project with a budget of \$21, 500. This action was taken up by the Executive Board on its March 20, 2012 call as part of the approval of the overall NGECE Scope and Budget for 2012 -13.
- Al Ware will provide Ken Uznanski with language for the use of the remaining \$13,500 in the Admin task force budget. This too, was done in advance of the March 20, 2012 Board meeting and is included in the approved NGECE Scope and Budget.
- Ken Uznanski will use the RR101 draft SOW to develop a scope of work for insertion in the AASHTO Support Services budget and scope. This too, was done in advance of the March 20, 2012 Board meeting and is included in the approved NGECE Scope and Budget.
- It was, on March 16<sup>th</sup>, agreed that the task force call schedule frequency will be reduced from bi-weekly to once every 4 weeks. Steve Hewitt sent an appointment notice reflecting this change. The next call will take place on April 13, 2012.
- Steve Hewitt will notify task force members of action items two weeks prior to conference calls.

Following its decision to meet once every 4 weeks rather than bi-weekly, the Administrative Task Force met, via conference call, once in April, 2012 – on the 13<sup>th</sup>. Key decisions/action items resulting from those calls included:

- It was agreed that David Ewing, Shayne Gill and Leo Penne will meet to begin taking steps to develop the Railroading 101 (RR 101) work plan.
- It was noted, by Ken Uznanski, Amtrak, that although there is funding provided in the recently adopted 2012-13 NGECE budget for RR 101 as part of AASHTO's Support Services, no money can be expended for this activity until the FRA and Amtrak have executed the grant agreement amendment.

- David Ewing agreed to continue his outreach to states for a representative to serve as the Administrative Task Force lead for oversight of the RR 101 effort. Shortly after the April 13<sup>th</sup> call, David was successful in completing this task. Tammy Nicholson, Iowa DOT, agreed to become a member of the task force and serve in the oversight role. Tammy has also named Mary Jo Key, Iowa DOT, to serve as her alternate when she is unavailable.
- All members were asked to assist in recruiting new state members for the task force. Even with the addition of Iowa, the task force is still in need of additional state members. Al Ware has reached out to a number of states not currently involved in the NGEC in hopes of expanding membership beyond just the Executive Board member states.

The Administrative Task Force met, via conference call, once in May, 2012 – on the 11th. Key decisions/action items resulting from those calls included:

- The “Reporting Requirements for NGEC PRIIA Section 305” was discussed on the May 11, 2012 call and revisions were recommended. Jeff Gordon, FRA, will draft a skeleton for task force review in advance of the June 8, 2012 Administrative task force call.
- All members were asked to assist in recruiting new state members for the task force, and provide suggested contacts to Steve Hewitt and Al Ware prior to the June 8<sup>th</sup> call.
- Leo Penne, AASHTO, was tasked to prepare a detailed RR101 work plan with budget, and send it to Tammy Nicholson and David Ewing for input by the middle of next week (May14, 2012). Once finalized it will be brought forward to the Administrative task force for consideration of approval. The target for approval is the June 8<sup>th</sup> call.
- Ken Uznanski, Amtrak NGEC Project Manager, will continue to monitor the progress of the execution of the grant agreement amendment and keep members of the task force informed.
- As noted in the Executive Board activities update contained in this document, the task force conducted an electronic vote to consider a proposed SOW for Review Panel Efforts for the DMU Specification and locomotive Revision A. The proposal had been prepared by Jeff Gordon, FRA, and was reviewed by the task force electronically. Amtrak counsel and FRA (Chad Edison) provided some recommended additions to the document. All voting members of the task force agree to the proposal with the suggested revisions included. On May 29, 2012, the task force reported the results of its electronic vote and recommended that the Board accept the SOW, as revised. Subsequently, on May 29, 2012, the Board accepted the task force’s recommendation and unanimously approved the revised SOW. It has now been forwarded to AASHTO contracts staff for execution. (AASHTO serving as the contract agent)

The Administrative Task Force met, via conference call, once in June, 2012 – on the 8th. Key decisions/action items resulting from that call included:

- On June 8, 2012, the task force reviewed the “Reporting Requirements for NGEC PRIIA Section 305” that had been revised by Jeff Gordon, FRA. It was agreed that comments provided by Nancy Greene would be incorporated into a revised version 2, and members the new draft would be circulated to task force members prior to the next call – July 6, 2012.
- Leo Penne, AASHTO, will provide a draft RR 101 work plan to Tammy Nicholson on June 20, 2012. The intent is to have the draft work plan ready for consideration by the full task force on July 6, 2012.
- Ken Uznanski briefed the task force on the status of the amendment to the grant agreement and, as noted previously in this report, the grant agreement was fully executed on June 29, 2012 and will run from April 1, 2012 through March 31, 2014.

The Administrative Task Force met, via conference call, once in July, 2012 – on the 6th. Key decisions/action items occurring in July included:

- Recruiting new members remains a task force open action item. The task force agreed to take an aggressive approach by drafting a letter from Al Ware to states with state supported rail corridors explaining what the NGEC is, what it does and how it is financed. Steve Hewitt and Al will connect to

further discuss the letter early next week. Al reported on this concept to the Board on July 10, 2012 and the Board concurred, but also asked that efforts to promote the NGECS September 20, 2012 in-person meeting to members of SCORT and the S4PRC be made. The thought is to have interested members of those organizations attend the meeting (which is being held in conjunction with SCORT, to get a sense of the Committee and its activities.

- Tammy Nicholson, ATF lead for the RR101 program, held 3 meetings in July with the RR101 Review Team. A final draft work plan for RR 101 was agreed to and sent to Steve Hewitt for distribution to the full ATF. Consideration of the work plan by the ATF will take place on August 3, 2012. If approved, it will be submitted to the Executive Board for its consideration.
- Jeff Gordon made the suggested refinements to the NGECS Specification Utilization Form in July and Steve Hewitt sent it to the Executive Board Members on July 30, 2012 for consideration during its next conference call.

The Administrative Task Force met, via conference call, twice in August, 2012 – on the 3<sup>rd</sup> and 31<sup>st</sup>. Key decisions/action items occurring in August included:

- The August 3, 2012 call did not have a quorum present, so no official votes were taken. On the call, however, Chairman Al Ware appointed Darrell Smith, Amtrak Finance, as the Vice Chair of the ATF. Although his action did not need a vote, Al wanted to get a consensus affirmation from the ATF when a quorum was present. On August 31, 2012, with a quorum present, Al asked for affirmation of his appointment of Darrell to the role of Vice Chair, previously held by Ken Uznanski. (Darrell is also serving as the NGECS Project Manager for Amtrak as did Ken) The task force unanimously affirmed Darrell's appointment.
- On August 31, 2012, Tammy Nicholson, Iowa DOT, and ATF lead for the Railroad 101 (RR101) webinar series effort, reported that the RR101 Review team had met via conference call on August 14, 2012 to review and discuss the proposed changes provided by FRA just prior to the August 3, 2012 ATF call. The team came to agreement on revisions, and incorporated them into the "final" draft work plan. On August 24, 2012, this version was sent to Al Ware and Steve Hewitt, and subsequently to all ATF members that same day.
- On August 31, 2012, the ATF unanimously approved the RR101 work plan as presented by Tammy Nicholson and the review team. The next step is to present the plan to the Board on September 4, 2012 for its consideration.
- On August 31, 2012, Al Ware reported that he and Steve Hewitt had developed a strategy for maximizing recruiting efforts during the SCORT and S4PRC meeting in Portland in September:

Steve will draft a letter inviting states to join the NGECS. The letter will be succinct and positive and will serve two purposes – one – to describe what the NGECS is and what it does, and - two - to encourage anyone who is at SCORT to attend the September 20<sup>th</sup> NGECS Board meeting, to get a sense of what the NGECS is and how it functions. Steve will provide Al and Bill Bronte with a draft during the week of September 3<sup>rd</sup>.

Al reported that he asked Caitlin Hughes Rayman, S4PRC, if the letter could be included in the meeting packet for its meeting in Portland. Caitlin has agreed to include it in the packet.

Steve and Al asked Shayne Gill if AASHTO would also add the letter to the SCORT meeting packet. Shayne said it would, as long as the letter is submitted to AASHTO by September 7<sup>th</sup>. This is when AASHTO staff is going to do the printing and preparing of handout packets.

The Administrative Task Force met, via conference call, in September, 2012 once – on the 28<sup>th</sup>. Key decisions/action items occurring in September included:

- As directed by the Executive Board on September 20, 2012, Steve Hewitt is assembling all documents pertaining to previous NGECS future discussions – Steve Hewitt expects to complete this action by the end of next week (October 5, 2012). He will then ask AASHTO to post these items on the website in one specific location and he will distribute the compilation of documents to the ATF and SFTF members.



- On September 28, 2012, Leo Penne, AASHTO, presented a draft outline of the marketing/educational document to the ATF. Leo Penne, David Ewing and Steve Hewitt will follow up on what they heard on today's call and develop a draft paper. The timeline for ATF approval is by November 23, 2012. If approved (or when) it will be submitted to the Executive Board for its consideration.
- The RR101 webinar session on the topic of Developing a State Rail Office will take place in October, 2012. The date and time will be forthcoming.
- On the issue of recruiting new members to the NGECC – Eric Curtit will call Al Ware next week (week of October 1, 2012) to discuss the status of a potential new member from Minnesota. Al will follow up with Caitlin Hughes Rayman, MDOT, to see if she has had any feedback from S4PRC members. Steve will talk about next steps after giving the initial letters some time to have impact.
- Effective September 28, 2012, it was agreed that Steve Hewitt will watermark all minutes for all NGECC related calls or meetings as DRAFT but will continue the practice of posting them to the website (as DRAFT) and, once approved, will replace the DRAFTs with a final version.

The Administrative Task Force met, via conference call, in October, 2012 once – on the 26th. Key decisions/action items occurring in October included:

- Efforts to develop the marketing/educational outline and draft document continue. Leo Penne, AASHTO, will be sending out the next iteration of the proposed paper by mid next week (week of October 29, 2012) to Al Ware and Steve Hewitt for distribution to all ATF members. Comments are to be sent directly to Leo. Leo will include a proposed distribution list along with the draft document.
- On October 26, 2012, Tammy Nicholson, Iowa DOT, and Shayne Gill, AASHTO, provided the ATF members an overview of the RR101 webinar held on October 24, 2012. Approximately 45 participants attended the webinar which was on the topic of establishing a State Rail Office and workforce development.
- The next RR101 webinar session will be on Rail Planning and any suggestions for speakers or format should be sent directly to Shayne Gill, AASHTO.
- All of the webinar presentations and the recording of the webinars will be posted on the AASHTO website as soon as AASHTO has completed the changes being made to the site.
- On October 26, 2012, it was agreed that Steve Hewitt will maintain the NGECC Future section of the website (once AASHTO has created it) adding updates and new items relating to this topic as a living document.
- Recruiting new members to the NGECC continues to be a priority effort with minimal results. It was agreed on October 26, 2012 that Eric Curtit and Al Ware will talk about the status of a potential new member from Minnesota. Al Ware will follow up with Caitlin Hughes Rayman to see if she has had any feedback from S4PRC members. Al will also contact a local University to get ideas on recruiting.
- ATF members are asked to provide any suggestions they have to Al and Steve.

The Administrative Task Force did not meet during the month of November, as its scheduled meeting conflicted with the Thanksgiving holidays.

- Efforts to develop a marketing/educational document/paper continue. Leo Penne, AASHTO, will be sending out the next iteration of the proposed paper by mid next week – week of December 3, 2012 to Al Ware and Steve Hewitt for distribution to all ATF members. Comments are to be sent directly to Leo. It was agreed that he will also include a proposed distribution list along with the draft document.
- The next RR101 webinar session will be on Rail Planning and any suggestions for speakers or format should be sent directly to Shayne Gill, AASHTO at [Sgill@ashto.org](mailto:Sgill@ashto.org)
- All of the webinar presentations and the recording of the webinars will be posted on the AASHTO website as soon as AASHTO has completed changes that are currently being made to the site.

- The effort to recruit new members to the NGEC continues to be a priority effort with minimal results. It was agreed on October 26, 2012 that Eric Curtit and Al Ware will talk about the status of a potential new member from Minnesota. Al Ware will follow up with Caitlin Hughes Rayman, Maryland DOT, and Secretary for the States for Passenger Rail Coalition (S4PRC) to see if she has had any feedback from Coalition members. Al will also contact a local University in Georgia to get ideas on recruiting.

During the month of December, 2012, the Administrative task force met once on the 21<sup>st</sup>. Key decisions/action items occurring in December included:

- On December 21, 2012, Leo Penne, AASHTO reported that the RR101 webinar session on Rail Planning was held on December 18, 2012 and the presentations have been posted to the ARC website. There were 60 participants (up from around 46 on the first webinar) representing 30 states. Key things coming out of the webinar included:
  - o That a couple of states not considered to be passenger rail state leaders “demonstrated that they are passenger rail state leaders.
  - o A Class 1 Railroad representative was a presenter. The presentation was very informative and “opened the door for collaboration”.
- Leo Penne, AASHTO, provided an overview of the 4 page description/educational document he had put together for ATF review and comment. An active discussion took place and, ultimately it was agreed that Al Ware and Leo Penne would provide a progress report to the Board, including a review of a cleaned up 4 pager and a description of what the next steps are, and what some of the next pieces are going to be.
- It was also agreed that a one page descriptive piece was needed as well as a more “marketable” piece with graphics. Leo Penne will ask for proposals from AASHTO designers for the ATF call scheduled for January 18, 2013.
- It was also agreed that a FAQs section was needed for the website. Steve Hewitt and Leo Penne will work together to develop the FAQs section.
- Recognizing the need for additional state members, a renewed recruitment effort will be made as the 2013 unfolds.

During the month of January, 2013, the Administrative task force met once on the 18<sup>th</sup>. Key decisions/action items occurring in January included:

- In regard to the development of the educational document- now referred to as the “backgrounder”, ATF members were asked to provide additional comments, language, suggested graphics, etc. to Leo Penne, AASHTO. In the time that has passed since the January 18<sup>th</sup> call, a revised version of the “backgrounder” was finalized and is ready to go to the printer. It was approved by the Board on January 22, 2013. Additional items derived from the “backgrounder are under development.
- Steve Hewitt and Leo Penne will continue to work on developing a FAQs section for the website.
- On January 18, 2013, it was agreed that a renewed effort will be made to recruit new members. Steps that were agreed upon are as follows:
  - Steve Hewitt will contact Leo Penne in regards to setting a time and location aside during SCORT for an NGEC “mixer”.
  - Steve Hewitt will ask Leo to include the “backgrounder” and one pager in the SCORT meeting packets.
  - David Ewing will look into including the same items in the S4PRC meeting packets.

- Darrell Smith will send the “backgrounder” to groups Amtrak deals with on a contractual basis, and an effort will be made to also contact states who looking at beginning passenger rail services.
- All ATF members will “spread the word” while at SCORT and S4PRC the week of February 17<sup>th</sup>.
- Steve Hewitt will ask Leo Penne for the SCORT attendance list – Eric Curtit will call all those on the list who are not on the NGECC and rally them to become involved.
- On January 18<sup>th</sup> it was agreed that all ATF members should send suggested items for the ATF Annual Meeting presentation (such as RR101) to Al Ware and Steve Hewitt by January 31, 2013.

Due to scheduling conflicts the Administrative task force did not meet during the month of February, 2013.

During the month of March, 2013, the Administrative task force met, via conference call on March 15<sup>th</sup>. Key decisions and action items occurring during the month of March, 2013 included:

- In regard to maintaining the NGECC Future section of the website, it was reaffirmed that Steve Hewitt will continue adding updates and new items relating to this topic as a living document.
- On March 15, 2013, the ATF agreed with Leo Penne’s recommendation that he and the AASHTO design staff move forward in developing a tri-fold document and a one pager as a follow up to the Backgrounder document. Leo agreed to provide a draft to all ATF members within two weeks for their review and comment.
- In regard to recruiting new members, Al Ware and Steve Hewitt agreed to have a discussion off line to try to develop a new strategy for recruiting new members.
- Steve Hewitt recommended that the ATF begin a review of the NGECC By-Laws. It was agreed that all members would do a thorough review and provide any suggested by-law changes to Al Ware and Steve Hewitt prior to the next ATF call (April 12, 2013). Steve and Al will discuss the proposed changes and put them together. On the April 12th call an action will be established to complete this process.
- Backgrounder – next steps: The Backgrounder is going to go to its third printing next week (March 25, 2013) with a few editorial edits. When it is ready, Steve Hewitt will notify the Board members and provide an electronic version to all. Steve will also remind members to use the document and to suggest ideas for additional ways to use it. Steve also agreed to add a tag line to his emails in regards to the Backgrounder.
- Steve Hewitt agreed to assist in getting a date and coordinating speakers for the next RR101 webinar which is to focus on equipment. Presenters are suggested to be: Mario Bergeron, Kevin Kesler and Bill Bronte. The target date is the first week of April, 2013.
- On March 22, 2013, Steve Hewitt confirmed Bill Bronte’s availability during the second week in April for the Equipment webinar and will now reach out to Mario Bergeron and Kevin Kesler to see if this will work for their schedules.

Due to scheduling conflicts, the Administrative task force did not hold its regular monthly call in April, 2013. The next ATF call is scheduled to be held on May 10, 2013.

During the month of May, 2013, the Administrative task force met on May 10, 2013. Key decisions action items for the month of May, 2013 included:

- Steve Hewitt continues adding updates and new items relating to the topic of the future of the NGECC, as a living document, and continues an ongoing effort to make general improvements to the website as a whole.
- On May 10, 2013, it was reported that Leo Penne is working with AASHTO design staff to develop a 4-fold document building off of the Backgrounder. He hopes to have a draft to distribute to ATF members within two weeks.

- Recruiting new members: This effort will continue by aggressively promoting membership during larger meetings such as the AASHTO SCORT meeting in September. States with advancing rail programs should also be a target. Oregon has been approached by Darrell Smith in an effort to get the state DOT to join the NGEC. Thus far, this has not happened – but it is suggested that ATF members who have a contact in Oregon DOT, reach out and educate them on the value of the NGEC.
- Review of By-Laws: All members are asked to continue to send suggested by-law changes to Al Ware and Steve Hewitt. Steve and Al will discuss the proposed changes and put them together. The process will not be rushed as the ATF waits to see what comes out of the Executive Board strategic goals task force effort. If a member sees a fatal flaw in the current by-laws, it should be brought to Steve and Al's attention; otherwise, it was agreed on May 10, 2013, to wait until there are more substantive changes than a few minor tweaks.
- Backgrounder – next steps: The Backgrounder has begun its fifth printing. Copies are available through a request to Steve Hewitt. Please let Steve know how many copies and where to send them.
- On May 30 2013 a RR101 webinar on Revenue Modeling was held. Presentations from the webinar can be found on the website. A summary report on the webinar will be provided on the June 7, 2013 ATF call.

During the month of June, 2013, the Administrative task force (ATF) met on the 7<sup>th</sup>. Key decisions action items for the month of June, 2013 included:

- In regard to maintaining the NGEC Future section of the website, Steve Hewitt, NGEC Support Services manager, reported that he continues to monitor and add updates and new items relating to this topic as a living document, and continues an ongoing effort to work closely with AASHTO to make general improvements to the website as a whole.
- In regard to developing additional educational document(s), Leo Penne, AASHTO, is working with AASHTO design staff to develop a 4-fold document building off of the Backgrounder. It is hoped that drafts of the documents will be available for review by the next ATF call – July 12, 2013.
- In regard to efforts to recruit new NGEC members, it was agreed that the effort will continue by aggressively promoting membership during larger meetings such as the AASHTO SCORT meeting in September. Further, it was agreed that states with advancing rail programs should also be a target. Oregon has been approached by Darrell Smith, Amtrak, and vice chair of the ATF, in an effort to get the state DOT to join the NGEC. Thus far this has not happened but Darrell will be in Oregon soon and will continue the effort. Darrell agreed, too, to develop a draft fact sheet for posting to the website to inform potential new members of what type of people the NGEC needs and where they are needed.

Steve Hewitt agreed to try do outreach to Connecticut DOT at the NASTO meeting (June 9-11, 2013) and through their Technical subcommittee rep.

- A subgroup has been formed to review and make recommendations for streamlining the NGEC contract procedures. The intent is to have a draft proposal in advance of the next ATF call. Darrell Smith leads the effort and will provide updates on its progress to the ATF and the Board as well.
- It has been reported that the Backgrounder educational document has now gone to a sixth printing. Copies are available through a request to Steve Hewitt. Please let Steve know how many copies and where to send them. Steve agreed to ask Andy House to send a quantity to David Ewing as soon as possible, and agreed to send Darrell Smith 10 copies out of his supply to be used for Oregon.
- Due to the July 4<sup>th</sup> holiday, it was agreed that the next ATF call will take place on July 12, 2013 at 11:00am EDT. Steve Hewitt sent a calendar appointment to all ATF members and a July 5 cancellation notice.
- At his request, Steve Hewitt agreed to send information on the RR101 curriculum to Kevin Kesler following the June 7<sup>th</sup> ATF call – and did so.

- It was agreed that a plan will be developed to survey states about topics for future RR101 (or 201) webinars, as the current curriculum is about to conclude.

During the month of July, 2013, the Administrative task force met on the 12<sup>th</sup>. Key decisions action items for the month of July, 2013 included:

- In regard to the revision of the NGECE Contract procedures, a draft of revisions to the original procedures was discussed during the July 12<sup>th</sup> call with additional recommendations provided. Darrell Smith revised the draft to reflect the input received during the call and sent it to Steve Hewitt on July 17<sup>th</sup>. Steve distributed the new draft to all ATF members asking that they provide additional comments by COB July 19<sup>th</sup>. On July 22, 2013 a revised draft, with new comments incorporated, was sent to ATF members for an electronic vote. On July 23, 2013, the electronic voted concludes with unanimous consent in favor of approval of the new procedures. The document was then distributed to the Executive Board, just prior to their meeting on July 23 with a request that it be taken up for consideration of adoption on the August 6<sup>th</sup> Executive Board call.
- On July 12, 2013 Kevin Kesler, Shayne Gill and Tammy Nicholson agreed to form a subgroup with the task of developing a plan for a potential RR201 webinar series, and to develop a survey of states in regard to topics they would find useful. Shayne Gill also agreed to contact the FRA Planning Office to see what webinar topics they are planning so as not to have any duplication.
- In regard to the continued need to recruit new members, it was agreed that the effort should continue by aggressively promoting membership during larger meetings such as the AASHTO SCORT meeting in September. Steve Hewitt and Al Ware will develop a letter and informational packet and present it to the ATF members on the next call (August 2, 2013).
- On July 29, 2013, ATF Chair Al Ware notified the Executive Board that he has resigned from Georgia State DOT, and consequently, from the NGECE. The Executive Board will need to make a new appointment to the Board and name a new chair of the ATF.

During the month of August, 2013, the Administrative task force met on the 30<sup>th</sup>. Key decisions action items for the month of August, 2013 included:

- In August, the ATF learned that its Chair, Al Ware, Georgia DOT, had left state services, and consequently resigned from the NGECE Executive Board, leaving a vacancy in the position of Chair of the ATF. Members wish Al well in his future endeavors and thank him for the hard work he has put in on behalf of the NGECE and, in particular, the ATF.
- In the absence of a chair, Darrell Smith, Amtrak, the current ATF vice chair has agreed to serve in an acting capacity until a state Board member is appointed as chair.
- On August 30, 2013, the ATF members unanimously approved the proposed contract for review of the Trainset Specification Revision A. Shayne Gill, AASHTO, informed consultant Larry Salci that the contract is approved and work can begin. Steve Hewitt informed Board Chair Bill Bronte and Technical subcommittee chair Mario Bergeron of the ATF action.
- It was agreed that Vice Chair, Darrell Smith will prepare the ATF presentation to the Board for the September 26, 2013 face to face meeting, and will share it in advance with ATF members for review and comment.
- A survey is being developed on what topics states would like to see in a RR201 webinar series. During the AASHTO SCORT meeting in Columbus, Ohio, on September 23-25, 2013 this will be a discussion item.
- This effort will continue by aggressively promoting membership during larger meetings such as the AASHTO SCORT meeting in September.
- It was agreed that due to the Executive Board meeting being held in Columbus, Ohio on September 26, 2013, the September 27, 2013 call of the ATF would be canceled. Steve Hewitt will send a calendar notification. The next call will be held as scheduled in October, 2013, on the 18<sup>th</sup>.

During the month of September, 2013, the Administrative task force (ATF) did not convene a meeting, as it had been agreed in August that the September 27, 2013 call would be canceled. The next call will take place on October 18, 2013. It should be noted that on September 26, 2013, Executive Board chair Bill Bronte appointed Eric Curtit, Missouri DOT, as the new chair of the ATF. Eric will fill out the remainder of Al Ware's term which ends at the NGEAC Annual Meeting in February, 2014.

During the month of October, 2013, the Administrative task force met once, via conference call on the 25<sup>th</sup>. Some of the key decisions and actions taken by the ATF during the month of October, 2013 included:

- Maintaining the NGEAC Future section of the website: Steve Hewitt will continue adding updates and new items relating to this topic as a living document and continues an ongoing effort to make general improvements to the website as a whole.
- In regard to developing additional educational document(s): An updated version of the original Backgrounder is being finalized with updates. A new one pager (two sides) was distributed to the Executive Board on September 26, 2013 for its review. To this date no comments have been submitted other than edits/updates from Steve Hewitt. AASHTO staff has revised the document with the inclusion of those updates. Steve Hewitt reviewed the revised version and confirmed that his changes have been included. FRA asked to review the document as it had not had a chance to do so initially. Steve Hewitt has provided the updated version to FRA, through Nico Lindenau, and is awaiting any comments they may have in regards to "fatal flaws". Once those comments are received, Steve will give AASHTO the ok to go to print.

Kevin Kesler agreed to will check on the status of the FRA review of the new backgrounder.

David Ewing is developing a one page document on economic benefits of passenger rail equipment. Once a complete draft has been prepared it will be shared with the ATF for its review and comment.

- Recruiting new members: It was agreed that this effort will continue to be a priority of the ATF. Outreach and message will be a key to recruiting new members and creating new interest in the work of the NGEAC.
- Developing a RR201 webinar series: A survey is being developed on what topics states would like to see in a RR201 webinar series.
- Preparing for the Annual Meeting – February 21, 2013 – Washington, DC – Board elections, by-law revisions etc.: Eric Curtit and Steve Hewitt will talk in the next week or so and take a look at the current state members, as well as all states with passenger rail service that may be recruited for membership. Eric and Steve will also talk about potential by-law revisions with a sense of the direction of the future entity in mind. Eric and Steve will try to put something together before the next ATF call to help facilitate the discussion as we move towards the Annual meeting.

During the month of November, 2013, the Administrative task force met once, via conference call on the 22<sup>nd</sup>. Some of the key decisions and actions taken by the ATF during the month of November, 2013 included:

- Preparing for the Annual Meeting – February 21, 2013 – Washington, DC – Board elections, by-law revisions etc.: The ATF approved proposed changes to the by-laws (as described below). These changes will be sent to the Executive Board by Steve Hewitt, on behalf of the ATF, along with a recommendation that they be reviewed/discussed on the December 10, 2013 conference call. After fulfilling the 30 day requirement, a vote will be taken by Board members to consider approval the by-law revisions.

During the month of December, 2013, the Administrative task force met once, via conference call on the 20<sup>th</sup>. Some of the key decisions and actions taken by the ATF during the month of December, 2013 included:

- The ATF approved proposed changes to the by-laws (as described in last month's report and as inserted - below). These changes were sent to the Executive Board by Steve Hewitt on behalf of the ATF, along with a recommendation that they be reviewed/discussed on the December 12, 2013 conference call. The Board discussed the changes, and the general sense was that they would be accepted after fulfilling the 30 day advance notice requirement. On January 7<sup>th</sup>, 2014, a vote will be taken by Board members in consideration of approval of the by-law revisions.

- With regard to status compliance with OIG Audit Recommendations Darrell Smith reported on the need for action as part of the contract process. The Finance subcommittee approved (on December 18, 2013) a motion to take the action needed to "grandfather in" continuing contracts under the new NGECE procedures. An electronic vote was taken by the ATF and the motion was approved unanimously. The motion will be taken up by the Executive Board for consideration of approval on January 7, 2014.
- NGECE budget – next steps for grant agreement extension: The Executive Board, on December 12, 2013, approved the revised SOW and budget (pending FRA review of supporting material) for a grant agreement extension request. Once completion of FRA review, the Board (January 7<sup>th</sup>) will formally ask Amtrak to submit the revised SOW and budget to FRA with a formal request for an extension through June 30, 2015.
- Developing a RR201 webinar series: A survey is being developed on what topics states would like to see in a RR201 webinar series. Shayne Gill, AASHTO, will send solicit topics for the next round of webinars via email.
- The one page- two sided NGECE backgrounder is printed and available. Copies (5) went to all Board members, and to David Ewing (50) and Steve Hewitt (50). Requests for copies should be submitted to Steve Hewitt along with the number of copies and address to send them to.
- David Ewing is developing a one page document on economic benefits of passenger rail equipment. Once a complete draft has been prepared it will be shared with the ATF for its review and comment.

**Proposed by-law revisions approved by the ATF – to be considered by the Executive Board – January 7, 2014:**

***Note: These changes were adopted by the Executive Board on January 7, 2014***

**ARTICLE V – EXECUTIVE BOARD**

**5.1 Number and Qualifications**

*The business and affairs of the Committee shall be managed by an Executive Board which shall consist of no less than twelve (12) members of the Committee. (removed the maximum members requirement– 14) The Executive Board shall be comprised of the following individuals or their representatives: the FRA Administrator, the Amtrak Chief Financial Officer, the Amtrak Chief Mechanical Officer and the participating State representatives.*

**5.3 Term of Office**

*The Executive Board members shall hold office until their successors shall have been selected. With the exception of the FRA Representative, the Amtrak Chief Financial Officer and the Amtrak Chief Mechanical Officer who are not limited to specific terms, all Executive Board members shall serve terms of two (2) years. Terms may be staggered. (removed term limitation sentence)*

**5.8 Quorum and Voting**

*No less than two-thirds of the members of the Executive Board in office, including at least one representative from Amtrak and the representative from FRA, shall constitute a quorum for the transaction of business of the Executive Board.*

*Decisions of the Executive Board shall be made consensus as determined by the Chair. Where there is lack of consensus, a decision will be made by a majority of the following votes:*

*Votes cast individually by each State representative of the Executive Board;  
The same number of votes as state representatives en bloc by Amtrak; and  
The same number of votes as state representatives en bloc by the FRA Administrator or designee.*

*Note that the number of votes cast will depend on the number of state representatives present on the Executive Board at the time a vote is taken.*

**Foot note: in the event of a deadlock, the chair or highest ranking officer in the state block will cast the deciding vote.**

During the month of January, 2014, the Administrative task force met once, via conference call on the 17th. Some of the key decisions and actions taken by the ATF during the month of January, 2014 included:

- The ATF had approved proposed changes to the by-laws (as described in previous activities reports). These changes were sent to the Executive Board by Steve Hewitt on behalf of the ATF, along with a recommendation that they be reviewed/discussed on the December 10, 2013 conference call. The Board discussed the changes, and the general sense was that they would be accepted after fulfilling the 30 day advance notice requirement. On January 7<sup>th</sup>, 2014, the Executive Board unanimously approved the changes and adopted updated by-laws.
- On January 17, 2014, Darrell Smith, Amtrak, reported on the status of full compliance with OIG Audit Recommendations. The motion regarding continuing/existing contracts was approved by the ATF and submitted to the Board on January 3, 2014. The Board subsequently approved the motion on January 7, 2014. This item is now fully closed. One last OIG recommendation remains open – reconciling early invoice issues with AASHTO- and this is expected to be resolved soon.
- On January 17, 2014, Darrell Smith also reported that the Board, on January 7, 2014, approved the SOW and Budget for a grant agreement extension through June 30, 2015. The request was formally submitted by Amtrak to FRA on January 7, 2014 and is working through the FRA's system. This will remain a standing agenda item until the grant extension agreement is executed.
- Shayne Gill, AASHTO, reported that he had received responses from 5 states with suggested topics for the next round of webinars. Shayne will provide the topics list to ATF members and asks that additional topics for inclusion to the list be sent to him.
- The one page - two - sided NGECEC backgrounder remains available and has been revised to reflect recent changes in leadership as a result of Bill Bronte's retirement. Requests for copies should be submitted to Steve Hewitt along with the number of copies and address to send them to. Supplies are limited.

Due to scheduling conflicts and the NGECEC Annual Meeting, the February call of the Finance subcommittee was canceled.

However, as a result of the Executive Board election of new officers at the February 21, 2014 NGECEC Annual Meeting, the ATF has a new chairman – Ray Hessinger, NYSDOT. The first call to be held under Ray's chairmanship will be March 14, 2014.

The Administrative task force held its monthly conference call on March 14, 2014. Some of the key decisions and action items from the month of March, 2014 included:

- In regard to developing educational documents, it was reported that the one page-two sided NGECEC backgrounder has been updated to reflect changes in the Board and in the various task forces and sub-committees. The org charts have also been updated. These items are now available for distribution.
- The effort to recruit new members to the NGECEC will continue to be a priority of the ATF. Outreach and message will be a key to recruiting new members and creating new interest in the work of the NGECEC. It was noted that the NGECEC has added new members as of the February 21, 2014 Annual meeting with Oregon DOT and Maine DOT (with NNEPRA as its representative) joining the Executive Board. Connecticut DOT has also joined the NGECEC as a member of the Technical subcommittee. On the first Executive Board meeting chaired by Eric Curtit, NGECEC state members were appointed to the subcommittees, task forces and review panels to more adequately fill out the rosters of voting members.



- In regard to developing a RR201 webinar series, on the March 14, 2014 ATF call, it was reported that Shayne Gill, AASHTO, had received responses from 5 states with suggested topics for the next round of webinars. Most of the topics, however, were not related to passenger rail equipment, and additional topics are needed. Following the call, Shayne Gill sent the list of topics received thus far to Steve Hewitt, who in turn, distributed the list to ATF members. Members are asked to provide input on potential topics to Shayne Gill prior to the next ATF call.
- With regard to the status of complying with the Amtrak OIG's Audit Recommendations, it was reported that one of the four OIG recommendations remains open – reconciling early invoice issues with AASHTO. It is expected that it will be resolved soon with a minimal amount (less than \$4,000) yet to be reconciled.
- The topic of educational outreach on reauthorization was discussed during the March 14, 2014 conference call. Ultimately it was agreed that Eric Curtit and Ray Hessinger will discuss the concept of high level outreach in regard to potential changes to the NGEC in reauthorization, and offer a plan to move it forward, as appropriate. The intent is to have this topic fleshed out a bit for discussion on the April 1, 2014 Executive Board call. The ATF will request direction from the Board before advancing this effort.

The Administrative task force held its monthly conference call on April 11, 2014. Some of the key decisions and action items from the month of April, 2014 included:

- In regard to developing educational documents, it was reported that the one page-two sided NGEC Backgrounder has been updated to reflect changes in the Board and in the various task forces and sub-committees. The org charts have also been updated. Andy House will be sending out copies of the updated Backgrounders to all Board members and a distribution to Steve Hewitt, David Ewing and Kevin Kesler over the next few days.
- The effort to recruit new members to the NGEC will continue to be a priority of the ATF. Outreach and message will be a key to recruiting new members and creating new interest in the work of the NGEC.
- In regard to developing a RR202 webinar series David Ewing is pursuing a number of potential topics and speakers for the RR202 series. Shayne Gill has arranged for the first in the RR202 series to take place on May 1, 2014 on the Basics of Program Management. The ATF approved this webinar as a part of the RR202 series. Eric Curtit will address the topic of RR202 on the next Executive Board call to get clarification topics that resolve any potential concerns that FRA may have. Kevin Kesler will brief Paul Nissenbaum on today's discussion to check in with him as to whether his concerns are resolved. (As noted in the Executive Board section of this report – it was decided that the May 1 webinar would NOT be an NGEC sponsored activity – rather it would be supported through the AASHTO Rail Resource Center.)
- With regard to the status of complying with the Amtrak OIG's Audit Recommendations, AASHTO and Amtrak have completed reconciling all of the remaining items from the OIG audit. The package of documentation has been sent to OIG and a final close out is expected from OIG on its audit recommendations.
- The Executive Board will be discussing potential strategies for reauthorization on the April 15, 2014 conference call.
- Section 6 project moving forward: Eric Curtit has reached out to Strat Cavros; AASHTO (as the contracting agent) in regard to the Executive Board's decision to move Tasks 2 and 3 to the mid-west states, and Eric also has reached out to the contractor about finalizing task 1. It is anticipated that there will be one last task 1 invoice forthcoming soon.

The Administrative task force held its monthly conference call on May 9, 2014. Some of the key decisions and action items from the month of May, 2014 included:

- Maintaining the NGECC website: Steve Hewitt continues to do monthly reviews of the website and provides updates to AASHTO for posting. He works with AASHTO to continue to make general improvements to the website as well. (ongoing)
- Revising the Backgrounder: Status: The updated, double sided NGECC Backgrounder has been distributed to all Board members with additional copies going to David Ewing (50), Steve Hewitt (50), Kevin Kesler (25) and by special request, 60 copies were sent to Al Engel –an industry participant – for distribution at a conference he spoke at last weekend (May 2-3-14). Anyone who would like copies of the Backgrounder should contact Steve Hewitt. Andy House will order an additional 200 copies printed.
- Recruiting new members: This effort will continue to be a priority of the ATF. Outreach and message will be a key to recruiting new members and creating new interest in the work of the NGECC. (Ongoing).
- Developing a RR202 webinar series: Tammy Nicholson will work with Shayne Gill to develop DRAFT evaluation criteria to determine whether not a topic meets the criteria as an NGECC RR202 webinar. A proposal will be presented b Tammy to the ATF for its consideration on the June 6<sup>th</sup> conference call.
- Section 6 project moving forward: It is anticipated that a final invoice will be submitted by the contractor to complete task 1 and allow AASHTO to close out the contract.

The Administrative task force held its monthly conference call on June 6, 2014. Some of the key decisions and action items from the month of June, 2014 included:

- Maintaining the NGECC website: Steve Hewitt continues to do monthly reviews of the website and provides updates to AASHTO for posting. He works with AASHTO to continue to make general improvements to the website as well. (ongoing)
- Recruiting new members: This effort will continue to be a priority of the ATF. Outreach and message will be a key to recruiting new members and creating new interest in the work of the NGECC. (Ongoing).
- Developing a RR202 webinar series: Tammy Nicholson will work with Shayne Gill to develop DRAFT evaluation criteria to determine whether not a topic meets the criteria as an NGECC RR202 webinar. A proposal will be presented by Tammy to the ATF for its consideration on the August 1st conference call.
- The July 4<sup>th</sup> ATF call is canceled – next call will take place on August 1, 2014.

The Administrative task force did not meet in July, 2014 due to the July 4<sup>th</sup> holiday.

- The next call will take place on August 1, 2014.

The Administrative task force held its monthly meeting on August 1, 2014.

- Developing a RR202 webinar series evaluation scoring sheet: The ATF members unanimously approved the proposed evaluation scoring sheet as presented with a few minor revisions –described above. Tammy Nicholson will revise the form as indicated and send to Steve Hewitt on Monday, August 4<sup>th</sup> for distribution to the Executive Board in preparation for its August 5<sup>th</sup> call.
- Maintaining the NGECC website: Steve Hewitt continues to do monthly reviews of the website and provides updates to AASHTO for posting. He works with AASHTO to continue to make general improvements to the website as well. (ongoing)
- Revising the Backgrounder: Status: The Backgrounder remains available - anyone who would like copies of the Backgrounder should contact Steve Hewitt

- Recruiting new members: This effort will continue to be a priority of the ATF. Outreach and message will be a key to recruiting new members and creating new interest in the work of the NGEC. (Ongoing).

The Administrative task force held its monthly meeting on September 26, 2014 and agreed upon the following actions:

- Maintaining the NGEC website: Steve Hewitt continues to do monthly reviews of the website and provides updates to AASHTO for posting. He works with AASHTO to continue to make general improvements to the website as well. (ongoing)  
  
Steve Hewitt will ask AASHTO for data in regard to the number of hits on the website.  
  
Steve Hewitt will send out a request to NGEC members for suggestions on improving/refreshing the website.  
  
Steve Hewitt will contact Andy House in regard to issues related to scrolling down on the website.
- Revising the Backgrounder: Status: The Backgrounder remains available - anyone who would like copies of the Backgrounder should contact Steve Hewitt.  
  
Steve Hewitt will contact AASHTO to ascertain how many copies of the Backgrounder have been distributed.
- ATF Presentation to the Board: Ray Hessinger will prepare an ATF update presentation for the upcoming Executive Board Meeting (Steve Hewitt will send the latest NGEC presentation template to Ray). Ray will provide a draft to the ATF members for review and comment prior to the Board meeting. In the meantime members are asked to submit any suggestions they may have for items to be included in the presentation.
- All members are asked to review the ATF mission statement and provide any suggested revisions to Ray Hessinger and Steve Hewitt by COB October 10, 2014. The intent is to consider revisions on the next call (11-7-14).

The Administrative Task Force meeting in October was canceled in deference to the October 23 and 24 NGEC Fall Meetings held in Wilmington, DE.

During the Board meeting it was agreed that the Finance subcommittee and the Administrative Task Force will be consolidated and reorganized as one subcommittee – The Finance and Administrative subcommittee (FASC). This newly formed subcommittee will combine the work plans of the two groups and will be chaired by Darrell Smith, Amtrak with Brent Thompson, WSDOT and Ray Hessinger, NYSDOT serving as vice chairs.

The first meeting of the FASC will take place on November 19<sup>th</sup>, 2014.

At the Board meeting, the FASC was directed to begin work on the following tasks:

The Finance and Administrative subcommittee (FASC), as established by the Board on 10-24-14 will:

Organize itself and set its agenda. The first call is currently scheduled for November 19, 2014.

Will begin its review of the by-laws to revise, where necessary, to reflect the changes approved on 10-24-14. (Chairman Smith will contact Ray Hessinger to discuss beginning a by-law review with the assistance of Steve Hewitt)

Will begin to develop a revised Statement of Work and budget for a no-cost extension of the current grant agreement through September 30, 2017, as agreed on 10-24-14 and as so directed by the Executive Board.

Will begin developing a proposal for potential funding options to present to the Board for its consideration by October, 2015.

NOTE: As noted previously, on October 24, 2014 – the Executive Board reorganized its subcommittees and/or task forces to more efficiently conduct business and improve time management for its members. In so doing, the Board discontinued the Finance subcommittee and the Administrative Task Force (FASC) and combined the activities of both into one subcommittee by establishing the Finance and Administrative Subcommittee. Below, are reports on meetings of the FASC beginning in November, 2014.

**The Finance and Administrative Subcommittee (FASC) held its first conference call on November 19<sup>th</sup>, 2014 and organized itself.**

Chair: Darrell Smith, Amtrak CFO

Vice Chair: Brent Thompson, Washington State DOT

Vice Chair: Ray Hessinger, New York State DOT

The Finance and Administrative subcommittee will hold a conference call every four weeks on Wednesdays at 3:00pm Eastern.

**Voting Members:**

- \*Darrell Smith, Amtrak - Chair – [darrell.smith@amtrak.com](mailto:darrell.smith@amtrak.com)
- \*Brent Thompson, Washington State DOT – Vice Chair - [thompbr@wsdot.wa.gov](mailto:thompbr@wsdot.wa.gov)
- \*Ray Hessinger - Chair – New York State DOT – Vice Chair - [raymond.hessinger@dot.ny.gov](mailto:raymond.hessinger@dot.ny.gov)
- \*Eric Curtit, Missouri DOT [eric.curtit@modot.mo.gov](mailto:eric.curtit@modot.mo.gov)
- \*Arun Rao Wisconsin DOT – [arun.rao@dot.wi.gov](mailto:arun.rao@dot.wi.gov)
- \*Tim Hoeffner, Michigan DOT -[Hoeffnert@michigan.gov](mailto:Hoeffnert@michigan.gov)
- \*Brian Beeler II, NNEPRA for Maine DOT - [brian@nnepra.com](mailto:brian@nnepra.com)
- \*Tammy Nicholson, Iowa DOT – [tamara.nicholson@dot.iowa.gov](mailto:tamara.nicholson@dot.iowa.gov)
- \*Michael Lestingi, FRA – [Michael.lesting@dot.gov](mailto:Michael.lesting@dot.gov)

**Support:**

Nikki Rudnick, Amtrak (alternate for Darrell Smith) [Nicole.rudnick@amtrak.com](mailto:Nicole.rudnick@amtrak.com)  
Jeff Gordon, FRA – [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov)  
Sal DeAngelo, FRA – [Salvatore.deangelo@dot.gov](mailto:Salvatore.deangelo@dot.gov)  
Vincent Brotski, Amtrak Legal– [Vincent.brotski@amtrak.com](mailto:Vincent.brotski@amtrak.com)  
Martha Gebbie, Washington State DOT – (alternate) [gebbieM@wsdot.wa.gov](mailto:gebbieM@wsdot.wa.gov)  
Jason Biggs Jr., Washington State DOT – [biggsjr@wsdot.wa.gov](mailto:biggsjr@wsdot.wa.gov)  
Nico Lindenau, FRA consultant – [nico.lindenau@ch2m.com](mailto:nico.lindenau@ch2m.com)  
Sara Sarkhili, FRA consultant – [sarkhili\\_sara@bah.com](mailto:sarkhili_sara@bah.com)  
Ashok Sundararajan, FRA consultant – [ashok.sundararajan@ch2m.com](mailto:ashok.sundararajan@ch2m.com)  
Shayne Gill, AASHTO – [sgill@ashto.org](mailto:sgill@ashto.org)  
Steve Hewitt, Consultant/Manager, S305 NGEN Support Services – [shewitt109@aol.com](mailto:shewitt109@aol.com)  
Larry Salci, Consultant – [larry@salciconsult.com](mailto:larry@salciconsult.com)  
Strat Cavros, AASHTO – [scavros@ashto.org](mailto:scavros@ashto.org)

Action items and decisions resulting from the first FASC meeting held on November 19, 2014 included:

- Chairman Smith appointed Ray Hessinger, NYSDOT, and Brent Thompson, WSDOT, as vice chairs of the newly formed Finance and Administrative Subcommittee.
- It was agreed that the Finance and Administrative Subcommittee will meet every four weeks on Wednesday's at 3:00pm Eastern. The next call will take place on December 17<sup>th</sup>, 2014. Steve Hewitt previously had sent calendar appointment to all members to reflect this anticipated frequency.
- Chairman Smith established a working group for the purpose of review and revise the by-laws to reflect the changes made by the Board on October 24, 2014.

Members of the working group are:

Ray Hessinger, NYSDOT – Chair  
Eric Curtit, MODOT  
Brent Thompson, WSDOT  
Jeff Gordon, FRA  
Steve Hewitt, NGECE Support Manager

The working group is asked to prepare a DRAFT for discussion (and possibly consideration of approval) on the December 17<sup>th</sup> FASC conference call. The intent is to have a recommendation ready for Board consideration in advance of the 2015 NGECE Annual Meeting (2-20-15).

- Darrell Smith will draft a Scope of Work Change document for review and discussion on the FASC call December 17, 2014.

The intent is to have Board approval of the revised SOW and grant agreement extension through September 30, 2017 by February 20, 2015 (The NGECE Annual Meeting). If approved formally by the Board it will then be submitted to the FRA for approval through the grants office and ultimate execution by Amtrak and the FRA prior to the end of the current agreement – June 30, 2015.

- The Finance and Administrative subcommittee will begin developing a proposal for potential funding options to present to the Board for its consideration by October, 2015.

The intent is to complete this effort, as directed by the Board, by October, 2015 in order to allow time for implementation prior to the end of the anticipated grant agreement extension through September 30, 2017.

- The FASC will continue its exploration of potential funding and financing options begun early 2014. On November 19, 2014 the FASC heard from Robert Pee, Amtrak, Director, Pricing Strategy, on Surcharge or Facility Charge Functionality.
- Darrell Smith will continue to reach out to WMATA about a possible presentation from a multi-state organizational perspective. Other Finance subcommittee members who may have a contact at WMATA are asked to reach out or provide that contact information to Darrell Smith.

Key decisions and action items from the December conference call meeting (December 17, 2014) of the Finance and Administrative Subcommittee included:

- Darrell Smith will continue to reach out to WMATA about a possible presentation from a multi-state organizational perspective. Other Finance subcommittee members who may have a contact at WMATA are asked to reach out or provide that contact information to Darrell Smith. (Ongoing)

WMATA is undergoing organizational changes which will make it difficult, in the near term, to find a contact for making a presentation.

- Developing a DRAFT SOW for a no-cost Grant Extension through 9-30-17:

The intended timeline for action is as follows:

Comments due to Darrell Smith by COB on January 7, 2015

Consideration of approval by the Finance and Administrative Subcommittee on January 14, 2015

If approved, transmittal to the NGECE Executive Board – January 15, 2015.

Executive Board discussion of the proposed revised SOW on January 20, 2015

Further discussion and finalization of the SOW by the Board on February 2, 2015

Formal adoption of the revised SOW by the Executive Board at the Annual Meeting – February 20, 2015

- Revision/updating NGECE By-Laws:

The timeline for finalizing the revised By-Laws is basically the same as that of the SOW:

Consideration of approval by the Finance and Administrative Subcommittee on January 14, 2015

If approved, transmittal to the NGECE Executive Board – January 15, 2015.

Executive Board discussion of the proposed By-Law revisions on January 20, 2015

Further discussion and finalization of the By-Laws by the Board on February 2, 2015  
Formal adoption of the revised By-Laws by the Executive Board at the Annual Meeting – February 20, 2015

- Developing Funding Option recommendations for continuing the NGEC:

By the January 14, 2015 conference call, FASC members are asked to think about and be ready to discuss any potential models of a type of consortium similar to the NGEC that could be used as examples for going forward.

This will be a focus of the Subcommittee in the New Year and will be an agenda item for January 14<sup>th</sup> as a starting point.

Key decisions and action items from the January, 2015 conference call meeting of the Finance and Administrative Subcommittee included:

- Revision/updating NGEC By-Laws: On January 14, 2015, the Finance and Administrative Subcommittee approved the revised/updated NGEC Bylaws and transmitted them to the Executive Board with a recommendation of adoption.
- Developing a DRAFT SOW for a no-cost Grant Extension through 9-30-17: On January 14, 2015, the Finance and Administration Subcommittee approved the revised SOW, as presented, with agreed upon language proposed by FRA to be inserted as part of the final document to be transmitted to the Executive Board. The language was received from FRA, included in the SOW, and transmitted to the Board with a recommendation of its adoption.
- Developing Funding Option recommendations for continuing the NGEC:

For the next FASC call (February 11, 2015, Darrell Smith and Steve Hewitt will put together an outline of what has been done to date with regard to the NGEC future – funding options, functions and structure. Steve will distribute the David Ewing summary as well as the presentation given by Eric Curtit at the October Board meeting; and the original NGEC future working group's concept paper.

- Preparing the Treasurer's report and FASC update presentation for the Annual Meeting: On January 14, 2015, it was agreed that Darrell Smith will draft the presentation(s) for distribution to FASC members by 2-2-15. The presentation(s) will be discussed and commented on during the 2-11-15 conference call.

Key decisions and action items from the February, 2015 (11<sup>th</sup>) conference call meeting of the Finance and Administrative subcommittee included:

- Developing a DRAFT SOW for a no-cost Grant Extension through 9-30-17:

The FASC approved the revised SOW on 1-14-15.

The Board reviewed and discussed the SOW, as approved by the FASC and a final DRAFT was distributed and was approved by the Executive Board at the Annual Meeting – February 20, 2015.

- Revision/updating NGEC By-Laws: On February 3, 2015, the Executive Board adopted the revised/updated Bylaws as presented.
- Developing Funding Option recommendations for continuing the NGEC:

Darrell Smith put together a one page summary of items/concepts discussed to date, to help form the basis for the Board discussion at the Annual Meeting. The Board was presented with this one pager and a discussion took place at the Annual meeting.

- Treasurer's report and FASC update presentation for the Annual Meeting:

It was agreed that FASC members will have until COB on Thursday 2-12-15 to submit any comments they may have on the DRAFT presentation prepared by Darrell Smith. At that point, Darrell will finalize the presentation and send it to Steve Hewitt for the Annual Meeting. The presentation was given at the Annual meeting, and the Board accepted the Treasurer's report as submitted.

During the Month of March, 2015, due to the proximity of the NGEAC Annual Meeting, the Finance and Administrative Subcommittee did not hold its monthly conference call.

During the Month of April, 2015, the Finance and Administrative Subcommittee met on April 8<sup>th</sup>:

- Adopting a SOW for a no-cost Grant Extension through 9-30-17:

The NGEAC Executive Board approved the revised SOW at the Annual Meeting, February 20, 2015 and on March 31, 2015, Darrell Smith reported to the Board that the SOW had been submitted to the Amtrak Grants Office. On April 8, 2015, Darrell Smith reported that the SOW was submitted to FRA on Monday (4-6-15). Michael Lestingi, FRA, added, that there are no apparent issues with it, and he expects it to be signed soon.

- Michael Lestingi and Jeff Gordon will look into the possible availability of R&D funds for the NGEAC – with the safety/research aspect. They will ask the question of John Tunna.
- Darrell Smith established a Funding Options Task Force to take a look at assessing specification use fees and to look into the NGEAC's ability to accept receipt of costs. The Task Force will report back to the FASC with recommendations on the June 10, 2015 conference call of the full subcommittee. The Task Force chair is Brent Thompson, WSDOT – co-vice chair of the FASC.
- The Funding Options Task Force met on April 22 and 29 and established a bi-weekly call schedule and timeline for completion.

FRA was asked, on April, 22 to respond to a series of questions:

If the NGEAC determines that it will charge a fee for specification use, would it need to be incorporated and to do so would a statutory change be needed?

If the NGEAC was to create a corporate entity would it harm its ability to get a federal grant?

If a grant goes to Amtrak – is it eligible only to Amtrak - or to a subsidiary as well?

- Review/revise NGEAC Specification Utilization Form: As a way to track/monitor and potentially assess fees, the members of the task force were asked to review and provide comments/edits/changes to the current NGEAC Specification Utilization Form to Steve Hewitt with a CC to Brent Thompson by COB May 8, 2015.
- Outreach to AAR: On April 29, it was agreed that AAR should be asked/encouraged to re-join the Technical subcommittee as a member of the industry participation group. Jeff Gordon, FRA, agreed to reach out to his contact at AAR to invite/encourage participation.

During the Month of May, 2015, the Finance and Administrative Subcommittee met on May 6<sup>th</sup>:

- Jeff Gordon agreed to look into the possible availability of R&D funds for the NGEAC – with the safety/research aspect. He has asked the question of John Tunna. At this point, it does not appear as though the NGEAC would not meet the required criteria to receive R&D funds.
- On May 6<sup>th</sup> it was agreed that a strategy for educating the Hill on the NGEAC accomplishments and on its future activities is needed. Steve Hewitt agreed to prepare an outline for the next version of the Backgrounder – to be a look ahead – Foregrounded – and to begin developing a potential progress report to Congress to go from the NGEAC Chair.

- In April, 2015, Darrell Smith established a Funding Options Task Force to take a look at assessing specification use fees and to look into the NGECC's ability to accept receipt of costs. The Task Force will report back to the FASC with recommendations on the June 10, 2015 conference call of the full subcommittee. The Task Force chair is Brent Thompson, WSDOT – co-vice chair of the FASC.
- The Funding Options Task Force met twice in May – on the 13<sup>th</sup> and 27<sup>th</sup>:

On May 27<sup>th</sup> FRA respond to a series of questions posed by the task force in April:

c. Status of the Amended Grant Agreement:

It was reported by Michael Lestingi, FRA that the amended grant agreement is in the signature stage at FRA. He (Michael) has initialed it and it is now with Paul Nissenbaum for his sign off. From there it will go to FRA Acting Administrator Feinberg and it is expected that it will be signed by the end of the week. All paper work is in order and staff has recommended sign off.

d. NGECC as a corporation – assessing fees - would a statutory change be needed?

Michael Lestingi responded that if the NGECC was to become a corporation there would not be a statutory change required – it was envisioned that the NGECC could/would potentially establish itself as a corporate entity. As for assessing/collecting fees, to do so the NGECC would need to incorporate or change its status to a new legal framework.

e. NGECC as a corporate entity – is its ability to get a federal grant hindered?

Michael Lestingi reported that whether or not the NGECC, as a corporate entity would hinder its ability to receive a federal grant depends on the way the funding is. Currently the NGECC is funded through Amtrak – with Amtrak as the eligible recipient. If the NGECC was to become a subsidiary of Amtrak, (there are examples of other such arrangements with Amtrak) it would be eligible for federal grants. If it is a separate corporation or entity – its eligibility as a recipient would need to be established in the appropriations language.

f. Grants to Amtrak – eligible only to Amtrak - or to a subsidiary as well?

Michael Lestingi reported that grants to Amtrak appear to be eligible for subsidiaries as well. He noted that “it is happening now, so we think, or we understand that it is being done, so we don't see why it couldn't be done” with the NGECC as a subsidiary. It may, however, be at Amtrak's discretion, depending on how the appropriations language was written.

Michael suggested that this was FRA's legal view on the matter, but suggested that “we get a second opinion” from Amtrak.

Darrell Smith stated that he believes it would be eligible, as he believes it is being done in similar situations today, but he will take the question back to Vincent Brotski, Amtrak Legal, to get his opinion.

g. Outreach to AAR – participation on the Technical subcommittee - Jeff Gordon:

Jeff Gordon, FRA, reported that his call with Dave Cackovic, AAR, originally scheduled for this morning was pushed back, so he has not had the discussion yet. Once he has talked to Dave, (Likely later today) he will send an email on the results of that discussion. Jeff did note that it is possible that AAR will determine that it is already represented on the NGECC Technical subcommittee because Amtrak is a member of AAR.

Review/revise NGECC Specification Utilization Form: The revised form, with changes suggested by Jeff Gordon was approved by the task force and will be submitted to the full subcommittee for its consideration on its next call – June 10, 2015. Jeff will finalize the document to reflect today's date, and send to Steve Hewitt for distribution.



Brent Thompson will prepare a draft summary of the task force's decisions/actions/findings for consideration as recommendations to the full subcommittee. The draft summary will be distributed to all members in advance of the next task force call – June 10<sup>th</sup>, at which time a decision will be made as to whether or not the task force will bring it forward to the subcommittee, or will meet again to continue to explore options.

During the Month of June, 2015, the Finance and Administrative Subcommittee met on June 10<sup>th</sup>:

- Executing the Amended Grant Agreement for a no cost extension through 9-30-17: On the June 9<sup>th</sup> call of the NGEC Executive Board, Chairman Curtit reported that Grant Agreement Amendment #5 through federal fiscal year 2017 (9-30-17) was signed by FRA, and thus, formally executed on June 8, 2015.
- Extending existing contracts: With the FRA having signed the Grant Agreement Amendment #5, thus executing the amended agreement through 9-30-17, the NGEC can move forward in accordance with the SOW and budget approved previously. In compliance with the SOW and Budget, and in compliance with the OIG Audit, it is necessary for the FASC and the Executive Board (upon recommendation from the FASC) to approve a motion to extend the existing contracts including AASHTO's, Hewitt Consulting and SalciConsult.

Following the action taken after the last grant agreement amendment, Darrell Smith called for a motion to approve the following:

The Finance and Administrative Subcommittee recommends that the NGEC Executive Board approve the following:

"As was intended in past NGEC budget approvals and to ensure compliance with the Audit of Grant Agreement of March 27, 2013, and the NGEC's updated Procedure of Establishing Contract Support adopted August 6, 2013, the NGEC authorizes Amtrak to contract with AASHTO for administrative support services as well as subsequent sub-contracts per the statement of work for entities such as; with Hewitt Consulting for Manager of Support Services, and with SalciConsult for Specification Consultant services. In addition, the Federal Railroad Administration's June 8<sup>th</sup>, 2015, approval of the NGEC's Supplemental Statement of Work and related budget extension through September 30, 2017, Amtrak is authorized to extend its agreement with AASHTO and AASHTO's sub-consultants in accordance with the Statement of Work."

The motion was approved with all members present voting in favor. It was subsequently submitted to the Executive Board with a request that it take up the motion electronically with a deadline for voting set for COB on Monday, June 15, 2015.

- Looking into the availability of FRA R&D funds for the NGEC: Jeff Gordon looked into the possible availability of R&D funds for the NGEC and provided this update. The answer to this question is "generally no".

In order for FRA Research and Development to dispense grant funds the following is necessary: The applicant must demonstrate a clear link to safety. As the NGEC does not directly provide safety benefits it is not likely that it would qualify for an R&D grant.

The FRA R&D program goes through a ranking process with an elaborate decision model. The applicant would need to receive a rank equal to or higher than a project within the same area. This would be somewhat possible for the NGEC – but not probable.

- Funding Options Task Force activities: The task force completed its work and provided a report with recommendations to the full subcommittee. On June 10, 2015, the FASC accepted the report and recommendations with all members present voting in the affirmative.

One item called for a request that the Executive Board adopt the revised specification utilization report form as developed by the task force. Steve Hewitt will send the revised form to the executive Board for consideration on its next call – 6-23-15. It was accepted and has been posted to the NGEC website.

- Developing educational documents for getting the message out: Steve Hewitt will prepare an outline for the next version of the Backgrounder – to be a look ahead – Foregrounder.

Steve will also begin developing a potential progress report to Congress to go from the NGECC Chair.

It was agreed that a working group be established to consider and review potential efforts to educate the Hill. The group will be comprised of Governmental or Legislative affairs “types” from the states and from Amtrak and FRA, and it was agreed that FRA and Amtrak staff familiar with the federal budget process be asked to participate.

Members on the call agreed to submit names and contact information for potential working group participation from their agency, and FRA and Amtrak should also submit names of potential participants with knowledge of the federal budget process.

Shayne Gill, AASHTO, agreed to provide to Darrell Smith a list of state representatives from the policy/governmental affairs side that he is familiar with.

Ultimately, it was agreed that names and contact information should be provided to Darrell Smith, with a cc to Steve Hewitt, by COB on June 25, 2015; and the subcommittee would endeavor to establish a working group on the July 1, 2015 FASC call.

- Obtaining data in regard to potential/future acquisition needs: FRA has prepared “a back of the envelope” look at “the best sense of what the needs might be”. It was emphasized that this is not a well vetted body of work. The information was provided by Beth Nachreiner and distributed to FASC members for discussion on the July 1, 2015 FASC call.
- Eric Curtit will prepare a draft “white paper/memo” for FASC review in regard to taking a closer look at the concept proposal for establishing the NGECC as a subsidiary of Amtrak for matters related to Fleets. Eric will have a draft memo ready for distribution to FASC members in advance of the next call – 7-1-15.
- On the next call, the FASC will begin developing a potential scope for seeking outside professional expertise to help the FASC to understand what is needed organizationally and to help with the mechanics of accepting fees, etc.

During the Month of July, 2015, the Finance and Administrative Subcommittee met on the 1<sup>st</sup> and the 29<sup>th</sup>:

- Legislative Outreach Task Force: As noted in the Executive Board section of this report, the FASC has established a Legislative Outreach Task Force which will hold its first conference call on August 13<sup>th</sup>. Eric Curtit will Chair the task force.
- Obtaining data in regard to potential/future acquisition needs: FRA has prepared “a back of the envelope” look at “the best sense of what the needs might be”. It was emphasized that this is not a well vetted body of work. The information was provided by Beth Nachreiner and distributed to FASC members for discussion on the July 1, 2015 FASC call.

Nico Lindenau and Brent Thompson have agreed to add more detail to the concept and provide a report on the next subcommittee call – August 17<sup>th</sup>, 2015.

- Eric Curtit is developing a draft “white paper/memo” for FASC review in regard to taking a closer look at the concept proposal for establishing the NGECC as a subsidiary of Amtrak for matters related to Fleets. Eric will have a draft memo ready for distribution to FASC members in advance of the next call – 8-17-15.
- On the next call, the FASC will begin developing a potential scope for seeking outside professional expertise to help the FASC to understand what is needed organizationally and to help with the mechanics of accepting fees, etc.

- Proposal to assess a membership fee: On July 29<sup>th</sup>, Darrell Smith agreed to develop a spreadsheet for a potential NGE/209 membership fee. Darrell will present his concept in more detail on the next call.
- Assessing Specification use fees: On July 29<sup>th</sup>, Shayne Gill agreed to talk to AASHTO's publication department to get a sense of how it collects fees for documents and specs, and how it charges different fees based on being a member or non-member etc. Shayne will report back on his findings on the next call.

During the Month of August, 2015, the Finance and Administrative Subcommittee held its monthly meeting on the 17<sup>th</sup>:

- Legislative Outreach Task Force: As noted in the Executive Board section of this report, the FASC has established a Legislative Outreach Task Force which held its first conference call on August 13<sup>th</sup>. Eric Curtit is the Chair of the task force. It is comprised of members of 5 states; Amtrak and AASHTO, and the NGE/209 Support Manager.
- Obtaining data in regard to potential/future acquisition needs: FRA has prepared "a back of the envelope" look at "the best sense of what the needs might be". It was emphasized that this is not a well vetted body of work. The information was provided by Beth Nachreiner and distributed to FASC members for discussion on the July 1, 2015 FASC call.

Nico Lindenau and Brent Thompson have agreed to add more detail to the concept and provide a report on the next subcommittee call to be held on September 16<sup>th</sup>.

- Eric Curtit has developed a draft "white paper/memo" for FASC review. It takes a closer look at the concept proposal for establishing the NGE/209 as a subsidiary of Amtrak for matters related to Fleets. Subcommittee members were asked to review the document and provide comments to Eric in advance of the September FASC call. After first review, the FASC members were of the view that the draft could be used as the basis for its report to the Executive Board due at the end of October, 2015.
- Proposal to assess a membership fee: Darrell Smith developed a spreadsheet for a potential NGE/209 membership fee and sent it to all FASC members on 8-17-15. Darrell will revise the spreadsheet to include units used and send out to FASC members before the next call. All members, in the meantime, are asked to review and comment on the DRAFT.
- Assessing Specification use fees: On August 17<sup>th</sup>, Shayne Gill reported that he met with the AASHTO publications department and learned that it would be doable to have the NGE/209 specifications available for purchase in the AASHTO online bookstore as a potential source of revenue. Members of the FASC are asked to go online to the AASHTO Bookstore to get a sense of what it looks like and what the prices for AASHTO publications are. AASHTO would need to know how much to charge and how many documents there would be.

During the Month of September, 2015, the Finance and Administrative Subcommittee held its monthly meeting on the 16<sup>th</sup>:

- Legislative Outreach Task Force: As noted in the Executive Board section of this report, the FASC has established a Legislative Outreach Task Force which is developing the message and a strategy for educating the Hill.
- Obtaining data in regard to potential/future acquisition needs: FRA had previously prepared "a back of the envelope" look at "the best sense of what the needs might be. Nico Lindenau and Brent Thompson provided a revised spreadsheet in advance of the September 16<sup>th</sup> call. Comments on the revised spreadsheet should be due in advance of the next FASC call – 10-21-15.
- Eric Curtit and the MODOT staff has developed a draft "white paper/memo" for FASC review. Final comments on the NGE/209 Future "white paper" were due by COB on 9-21-15. At that point the comments will be compiled into a "final draft" for review in advance of the 10-21-15 FASC call.

- Proposal to assess a membership fee: Darrell Smith developed a spreadsheet for a potential NGE/209 membership fee and sent it to all FASC members on 8-17-15. Darrell will revise the spreadsheet to include units used and send out to FASC members before the next call (10-21-15)
- Assessing Specification use fees: On August 17<sup>th</sup>, Shayne Gill reported that he met with the AASHTO publications department and learned that it would be doable to have the NGE/209 specifications available for purchase in the AASHTO online bookstore as a potential source of revenue. Members of the FASC are asked to go online to the AASHTO Bookstore to get a sense of what it looks like and what the prices for AASHTO publications are. AASHTO would need to know how much to charge and how many documents there would be. On the September 16<sup>th</sup> call, it was agreed that a call among several members of the subcommittee and AASHTO publications would be held to narrow down specifics.
- Preparing recommendations for submittal to the Executive Board: Darrell Smith, with assistance from Steve Hewitt, will develop a DRAFT outline of the recommendations and cover letter to be submitted to the Executive Board. The DRAFT will be circulated in advance of the 10-21-15 FASC call.

During the Month of October, 2015, the Finance and Administrative Subcommittee held its monthly meeting on the 28<sup>th</sup>:

On the October 28<sup>th</sup> call, FASC members reviewed a draft report with recommendations for submittal to the Executive Board. The following action items and timeline were reported out of the October 28<sup>th</sup> call:

- The FASC report and recommendations to the Board will be revised, as discussed on the October 28, 2015 call, and will be distributed to the FASC members by COB on November 6<sup>th</sup>.
- Members will provide their comments on the revised draft report by COB on November 13<sup>th</sup>.
- On November 18, 2015, on the next FASC call, members will consider approval of the report with recommendations, and its submittal to the Executive Board.
- If approved by the FASC, on November 18<sup>th</sup>, the report will be submitted to the Executive Board on November 19<sup>th</sup>, for its review, with a request that it be considered by the Board on its call on November 24<sup>th</sup>.

During the Month of November, 2015, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on the 18<sup>th</sup>:

- On that call the FASC members approved the memo and recommendations on funding options. The memo was subsequently (on the 19<sup>th</sup>) submitted to the Board for its consideration on its next call (12-7-15).
- Darrell Smith, Amtrak, and Eric Curtit, MODOT, will begin a review of the NGE/209 website and ultimately recommend changes/updates. This will be carried as an action item on future FASC agendas.
- Ray Hessinger, NYSDOT, will lead an effort to review and proposed changes to the NGE/209 By-Laws and Operating Procedures. This will be carried as an action item on future agendas. It is anticipated that updates will be proposed in time for consideration by the Executive Board at the NGE/209 Annual Meeting in DC on 2-19-16.

Note: Executive Board Members must receive written copies of By-Laws changes 30 days prior to consideration of adoption.

During the Month of December, 2015, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on the 16<sup>th</sup>:

- On December 16<sup>th</sup> the FASC members reviewed the next steps associated with its approved (by the Board on 12-7-15) memo and recommendations on funding options.
- Membership Fee recommendation/outreach to SAIPRC: Darrell Smith agreed to reach out to David Kutrosky, Chair of SAIPRC, to schedule a call to discuss the FASC proposed 209 like membership fee for NGECE States. Participating on the proposed call will be Darrell, David K and Eric Curtit.
- Website review: Darrell Smith and Eric Curtit agreed to begin a review of the NGECE website and ultimately recommend changes/updates. Shayne Gill will ask Bryan Hong to arrange a call with Eric Curtit, Darrell Smith and Steve Hewitt to walk through the website and discuss ways to refresh or update it.
- NGECE Bylaws review: Ray Hessinger is leading an effort to review and proposed changes to the NGECE By-Laws and Operating Procedures. The 514 subcommittee will be providing its bylaws to Ray (and Steve Hewitt) for inclusion in the NGECE Bylaws; In late December, Steve Hewitt provided Ray Hessinger with a Word version of the current Bylaws with track changes in areas where Steve is recommending that changes/updates be made. Ray reviewed the changes and added several additional edits. This draft update will be discussed on the next FASC call – 1-13-16.

Note: Executive Board Members must receive written copies of By-Laws changes 30 days prior to consideration of adoption. The goal is to adopt a revised set of Bylaws at the 2016 NGECE Annual Meeting – 2-19-16.

- Specification User Fee Task Force –A task force was established to flesh out mechanics of a potential specification use fee. The newly established task force will work through the mechanics associated with assessing and collecting specification user fees under the current NGECE structure. Darrell Smith will chair the task force. Steve Hewitt will work with Darrell to schedule the first conference call sometime around January 12, 2016.
- Legislative Outreach Task Force – is charged with developing a strategy and implementation plan to obtain future federal funds for the NGECE: Steve Hewitt will work with Eric Curtit to schedule the next Legislative Outreach task force call after the first of the year. The task force members will also be asked to look into the FAST Act in regard to funding eligibility and potential opportunities for the NGECE.
- Interpreting NGECE related provisions contained in the FAST Act: Jeff Gordon will ask FRA staff to review the NGECE related FAST Act provisions and provide its interpretation of its impacts and implementation. Darrell Smith, Amtrak will ask Amtrak legal for an interpretation as well. This will be carried as an action item with a status update scheduled for the next FASC call (1-13-16)

During the Month of January, 2016, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on the 13th:

- Membership Fee recommendation/outreach to SAIPRC: Darrell Smith will reach out to David Kutrosky, Chair of SAIPRC, to schedule a call to discuss the FASC proposed 209 like membership fee for NGECE States. Participating on the proposed call will be Darrell, David K and Eric Curtit.
- Website review: Agreed upon updates will be incorporated into the website by Bryan Hong, AASHTO. The goal is to have consistency in format throughout the site. Members are welcome to provide additional suggestions to improve the site.
- NGECE Bylaws review: The FASC review is complete, and the FASC, via electronic vote, approved the revisions as presented. On 1-19-16, the revised Bylaws were transmitted to the Executive Board for its review and consideration of approval at the 2-19-16 NGECE Annual Meeting.
- Specification User Fee Task Force: The task force met on 1-20-16. During the call it reviewed its charge from the FASC:

Recommendation 1: Consider a Specification Use Fee as a supplement to funding provided through a continuing federal grant and/or a PRIIA 209 support fee. Narrow the scope of a Specification Use

Fee to the following two components:

- a. Parts Suppliers, being the primary requestors of the specifications, charged a nominal fee to be recommended by the FASC by March 31, 2016.
- b. Non-NGEC Members using a full specification for purchasing rolling stock charged a significant fee, on the order of \$250,000 per equipment-type specification, mechanics of which are to be recommended by the FASC by March 31, 2016. The mechanics include but are not limited to determining who is considered a NGEC Member for this purpose, developing the method of fee collection, and establishing the specification use rights of the purchaser.  
On Part A.:

After a lengthy discussion it was agreed:

The task force should report back to the Finance and Administrative Subcommittee (FASC) that it has reviewed Recommendation 1 and has determined the following:

1. Part A. – the task force agreed to not pursue Part A.
  2. Part B. - The task force has reviewed and discussed the market, and has determined that there is not sufficient enough right now to bear the administrative burden of charging a fee as described in Part B. There may be further opportunities to explore the potential, in the future, for individual funding of specification updates.
- Legislative Outreach Task Force – is charged with developing a strategy and implementation plan to obtain future federal funds for the NGEC. The task force met on 1-15-16 and reviewed a draft two-page educational document. The document, as drafted, was subsequently submitted to the full FASC for its review on 2-10-16.
  - Interpreting NGEC related provisions contained in the FAST Act: Jeff Gordon will ask FRA staff to review the NGEC related FAST Act provisions and provide its interpretation of its impacts and implementation. Darrell Smith, Amtrak will ask Amtrak legal for an interpretation as well. This will be carried as an action item with a status update scheduled for the next FASC call (2-10-16)

During the Month of February, 2016, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on the 10th:

- Membership Fee recommendation/outreach to SAIPRC Darrell Smith will reach out again to David Kutrosky, Chair of SAIPRC, to schedule a call to discuss the FASC proposed 209 like membership fee for NGEC States. Participating on the call will be Darrell, David K and Eric Curtit.
- Website review: Agreed upon updates will be incorporated into the website by Bryan Hong, AASHTO. The goal is to have consistency in format throughout the site. Members are welcome to provide additional suggestions to improve the site. Many of the recommended changes have now been made to the site and it will continue to evolve over time.
- NGEC Bylaws review: The FASC review of the By-laws was completed, and approved on January 18, 2016. They were submitted on January 19, 2016 to the NGEC Executive Board, and, on February 19, 2016, during the NGEC Annual Meeting, the Executive Board formally adopted the revisions as presented by the Finance and Administrative subcommittee. Steve Hewitt has finalized the document and included the "as revised" date and submitted it to AASHTO for posting to the website. The document was also distributed to all NGEC executive Board members.
- Specification User Fee Task Force: On 2-10-16 the task force reported to the full subcommittee, that it has reviewed and discussed the market, and has determined that it is not sufficient enough, right now, to bear the administrative burden of charging a fee as described in Part B. There may be further opportunities to explore the potential, in the future, for individual funding of specification updates.

The FASC members generally agreed with the task force's findings, and determined that other options should be explored. Tim Hoeffner and Eric Curtit agreed to talk to their policy and/or strategic

planning staff most involved with the AASHTO Board of Directors activities to see if there would be plausibility of including a fee for the NGECC as a part of member dues, or if there was potential interest in establishing a pooled technical service fund. They will report back on their discussions on the next FASC call – March 9, 2016.

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGECC: It was agreed that the two-page “message” will be included in the FASC presentation to the Executive Board, with the intent being to get the Board’s approval on the concept and the directive to finalize it and publish it.
- Interpreting NGECC related provisions contained in the FAST Act: Jeff Gordon has asked FRA staff to review the NGECC related FAST Act provisions and provide its interpretation of its impacts and implementation.
- Developing a report to the Executive Board on the FASC findings with regard to Recommendations 1, 2 and 3: A report to the Board is due by March 31, 2016. On the March 9<sup>th</sup> call of the FASC, the report will be discussed with the intent being to finalize it in time to make the March 31<sup>st</sup> deadline.
- On February 19, 2016, Darrell Smith presented the annual Treasurer’s report to members of the NGECC. The Executive Board formally accepted the report and it can be found on the NGECC website.

During the Month of March, 2016, the Finance and Administrative Subcommittee (FASC) canceled its monthly meeting due to schedule conflicts. The next meeting will take place on 4-6-16.

During the Month of April, 2016, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on 4-6-16. Key decisions and action item updates from the meeting included:

- Interpreting NGECC related provisions contained in the FAST Act: Beth Nachreiner, FRA, agreed to follow up with the subcommittee by the next call (5-4-16), and, if a response is prepared by FRA, she will make it available to Steve Hewitt for distribution as a read-ahead -in advance of the call.
- Developing a report to the Executive Board on the FASC findings with regard to Recommendations 1, 2 and 3: A report to the Board is due by May 31, 2016. Darrell Smith will prepare a draft report (based on today’s discussions) and provide it to Steve Hewitt for distribution to FASC members one week (4-27-16) in advance of the 5-4-16 conference call.
- Specification User Fee: This item seems to be a non-starter at this point – as is the possibility of establishing a pooled technical service fee or adding to the AASHTO dues.

During the Month of May, 2016, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on 5-4-16.

Key decisions and action item updates from the meeting included:

- Interpreting NGECC related provisions contained in the FAST Act: On May 4, 2016, the FRA presented its legal office’s interpretation of the provisions related to PRIIA Section 305 found in the FAST Act. The subcommittee accepted the interpretation and subcommittee Chair reported the FRA’s findings on May 10, 2016. (For a complete reading of the FRA review and FASC discussion, see the Minutes from 5-4-16).
- Developing a report to the Executive Board on the FASC findings with regard to Recommendations 1, 2 and 3: This task has been completed. The memo, with two minor corrections was approved by the FASC for submittal to the NGECC Executive Board for its consideration. On May 24, 16, the Board accepted the memo and approved the FASC recommendations.

During the Month of June, 2016, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on 6-1-16.

Key decisions and action item updates from the meeting included:

- Preparing for the No Cost Grant Agreement Extension Request:

Actions:

1. As agreed on 6-1-16, Darrell Smith requested (during the 6-20-16 Executive Board call) that the standing subcommittees review their current budgets and work plans to determine the status of current budget needs and if there are any variations that they are aware of. Also the subcommittees should prepare anticipated budget needs and work plans in for the time frame of 10-1-17 through 9-30-2020 as Darrell begins to develop a SOW and budget for a no-cost grant agreement extension through 9-30-2020.
  2. Darrell will meet with the Amtrak grants office over the next few weeks and will present – prior to the next FASC call – scheduled for 7-27-16 a reverse timeline for developing and processing a no-cost grant agreement extension. This schedule and timeline was sent to FASC members during the week of 6-22-16.
- Responding to a VIA Rail Request: Steve Hewitt drafted a proposed response to the VIA Rail request which was subsequently approved by the Executive Board and sent to VIA Rail.
  - Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGEC: On 6-1-16 it was agreed that each state member and Amtrak is to work with its Government Affairs office and ask that the two pager (currently being finalized) be included in its package during Hill visits to keep the NGEC on Congress' radar even though we are not yet ready to ask for more money.

A “regular update/report card/dash board” will be developed through the NGEC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGEC.

During the Month of July, 2016, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on 7-27-16.

Key decisions and action item updates from the meeting included:

- Preparing for the No Cost Grant Agreement Extension Request:

- a. Darrell Smith provided an overview of the proposed NGEC - FRA Grant Agreement No-Cost Extension Reverse Calendar. Darrell noted that the calendar has been worked out with Amtrak's Grants Department and that it allows for a “worst case” scenario in terms of timing with the FRA.
- b. Darrell reported that “two or so” Executive Board meetings ago he requested that the Chairs of the standing subcommittees take a look at their current and anticipated budgets. He expects that the current budgets will not change much going forward with the possible exception of the Technical subcommittee which is beginning the process of reviewing/updating all of the NGEC specifications. Doing so requires work by the Review Panel consultant Larry Salci. Therefore, the request is to determine what the anticipated costs will be going forward and, is the current budget adequate for the work ahead.

Ultimately, it was agreed that on its first conference call following Labor Day, Darrell will provide an update to the Executive Board on the Reverse Calendar, and will remind subcommittee chairs about the budget assessment that has been requested.

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGEC: Each state member and Amtrak is to work with its Government Affairs office and ask that the two pager (currently being finalized) be included in its package during Hill visits to keep the NGEC on Congress' radar even though we are not yet ready to ask for more money.



A “regular update/report card/dash board” will be developed through the NGECE Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGECE.

The first such update will be the “two-page” educational document being finalized by MO DOT for Executive Board approval. Siemens industry has agreed to take photos of the new Charger locomotive and to provide them to Eric Curtit to consider two for insertion into the document.

- Responding to VIA Rail Request: Steve Hewitt drafted a proposed response to the VIA Rail request, it was approved by the FASC and accepted subsequently by the NGECE Executive Board on 6-8-16. The letter was sent to VIA Rail, and a response thanking the NGECE for authorizing the use of the spec, and inviting VIA Rail to participate as a member of the Industry group on the Technical subcommittee was sent immediately by VIA Rail. VIA Rail has agreed to keep the NGECE apprised of any changes it may make, and, generally provide feedback. They have not yet decided whether or not to become industry members, but, once Bi-Level Spec Revision C.4 has been adopted, (it is anticipated to be adopted by the Board on 8-2-16) Steve Hewitt will contact VIA Rail to inform them of the revisions and ask again about joining the industry group.

During the Month of August, 2016, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on 8-31-16.

Key decisions and action item updates from the meeting included:

As noted in the Executive Board section of this report, the Finance and Administrative subcommittee (FASC) has been tasked with developing the scope, budget, and schedule for the new 3-year grant for the NGECE activities beginning 10-1-16. On 8-31-16, the FASC agreed upon the following timeline and actions

- New Grant Timeline/related actions:

Darrell Smith and Steve Hewitt will have a draft SOW ready by COB Friday, 9-9-16 for distribution to the full Finance and Administrative subcommittee (FASC).

The FASC will meet on 9-14-16 at 3:00PM Eastern to review and hopefully approve the SOW.

The NGECE Executive Board meeting currently scheduled for 9-13-16 will be cancelled and rescheduled for 9-20-16 with the intent being to consider approval of the SOW for submittal to Amtrak Grants.

Amtrak will then finalize the SOW and submit to FRA with a goal of 9-22-16 as the date for submittal.

All drafts of the SOW as they go through this process will be shared with FRA (Michael Lestingi, Jeff Gordon etc.) and with Amtrak grants (Danielle Hawkins) so that ongoing review can take place.

Steve Hewitt will send out the calendar notices for the above noted scheduling, but, as a backup/contingency plan, will keep the currently scheduled 9-21-16 FASC meeting and the 9-27-16 Executive Board meeting on the calendar as scheduled.

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGECE: Each state member and Amtrak is to work with its Government Affairs office and ask that the two pager (currently being finalized) be included in its package during Hill visits to keep the NGECE on Congress’ radar even though we are not yet ready to ask for more money.

A “regular update/report card/dash board” will be developed through the NGECE Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGECE.

The first such update will be the “two-page” educational document being finalized by MO DOT for Executive Board approval. Siemens industry has agreed to take photos of the new Charger locomotive and to provide them to Eric Curtit to consider two for insertion into the document.

- Responding to VIA Rail Request: Steve Hewitt drafted a proposed response to the VIA Rail request, it was approved by the FASC and accepted subsequently by the NGEC Executive Board on 6-8-16. The letter was sent to VIA Rail, and a response thanking the NGEC for authorizing the use of the spec, and inviting VIA Rail to participate as a member of the Industry group on the Technical subcommittee was sent immediately by VIA Rail. VIA Rail has agreed to keep the NGEC apprised of any changes it may make, and, generally provide feedback. They have not yet decided whether or not to become industry members, but, once Bi-Level Spec Revision C.4 has been adopted, (it is anticipated to be adopted by the Board on 8-2-16) Steve Hewitt will contact VIA Rail to inform them of the revisions and ask again about joining the industry group.

During the Month of September 2016, the Finance and Administrative Subcommittee (FASC) met twice – on the 14<sup>th</sup> and 21<sup>st</sup>.

Key decisions and action item updates from those meetings included:

- Preparing the New Grant SOW and budget for the period beginning 10-1-16 through 9-30-19: On 9-14-16, the FASC accepted as amended, the DRAFT Scope and Budget for submittal to the Executive Board for its consideration on - 9-20-16. This action adheres to the schedule as defined on the last call.

Status: On 9-20-16 the NGEC Executive Board approved the SOW as presented, and previously approved, by the FASC. The FRA informed the Board that the format is to be revised, but the Board felt that if there were no objections to the content - scope and budget – it would approve as is in order to keep the process moving. FRA and Amtrak Grants now have the SOW and will make the format changes. The Board has only asked to see the SOW again if scope or budget has changed.

As of 9-21-16 FRA grants had committed to getting redline edits and comments on the current document to Rory Beelek, Amtrak, by COB 9-22-16 and to schedule a phone call after Amtrak grants has had a chance to look at it. Darrell Smith will be included in the call.

FRA has re-affirmed that the start-up date for the new grant will be 10-1-16 – Darrell Smith has asked for a firm commitment to that effect from FRA in writing.

As reported in the Executive Board section of this report, as of 9-27-16, FRA and Amtrak Grants offices had met and reformatted the document, but made no changes to the scope or budget. The grant is working its way through the FRA approval process and is expected to be finalized and executed around 10-14-16. The start date remains 10-1-16.

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGEC: Each state member and Amtrak is to work with its Government Affairs office and ask that the two pager (currently being finalized) be included in its package during Hill visits to keep the NGEC on Congress' radar even though we are not yet ready to ask for more money.

A "regular update/report card/dash board" will be developed through the NGEC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGEC.

The first such update will be the "two-page" educational document being finalized for Executive Board approval.

Status: On 9-20-16 the NGEC Executive Board approved the revised two page educational/outreach document. MODOT will finalize and get it to Steve Hewitt and AASHTO for printing, distribution and posting to the website.

The first such update will be the "two-page" educational document being finalized by MO DOT for Executive Board approval. Siemens Industry has agreed to take photos of the new Charger locomotive and to provide them to Eric Curtit to consider two for insertion into the document.

- Closing out the current Grant Agreement – Final package is being prepared for submittal to FRA. The final invoice should be out to FRA by the end of the month (September)

A close out project report will be due by early to mid-December and will be prepared by the FASC for Executive Board review and approval.

During the month of October, 2016, the FASC met once – on October 19, 2016. Key decisions and action item updates from the October 19<sup>th</sup> meeting included:

- Preparing the New Grant SOW and budget for the period beginning 10-1-16 through 9-30-19: On 9-14-16, the FASC accepted as amended, the DRAFT Scope and Budget for submittal to the Executive Board for its consideration on - 9-20-16. This action adheres to the schedule as defined on the last call.

Status: On 9-20-16 the NGECE Executive Board approved the SOW as presented, and previously approved, by the FASC. Amtrak and FRA grants worked together to revise the format, but did not change the scope or budget. On October 14<sup>th</sup> FRA, informed Amtrak that the Grant application has been filed with the SOW included.

Michael Lestingi was to follow up with the grants office to check on its status. The start date on the application remains 10-1-16.

On 10-25-16, on the Executive Board call, Mr. Lestingi reported that the new Grant agreement had been signed by FRA and had been sent to Amtrak for its counter signature. The Grant Agreement period is from 10-1-16 through 9-30-19.

(Note: The agreement was signed and formally executed on 10-25-16 effective 10-1-16 through 9-30-19.)

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGECE: Each state member and Amtrak is to work with its Government Affairs office and ask that the two pager (currently being finalized) be included in its package during Hill visits to keep the NGECE on Congress' radar even though we are not yet ready to ask for more money.

A "regular update/report card/dash board" will be developed through the NGECE Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGECE.

The first such update is the "two-page" educational/outreach document which has been approved by the NGECE Executive Board approval and an initial order of 300 copies has been submitted to AASHTO publications. Electronic versions have been distributed to all NGECE members with hard copies to be made available upon request.

- Preparing the Project Close Out Report – A close out project report will be due by early to mid-December, 2016, and will be prepared by the FASC for Executive Board review and approval. The form to be used for the project report has been provided to all FASC members.

Darrell Smith will prepare a first Draft of the report for review by the FASC on its next call – 11-16-16. The intent is to get FASC approval on that call and to send it to the Executive Board for its consideration on its call on 11-22-16. This timeline has been presented to the Executive Board and was approved on 10-25-16.

During the Month of November 2016, the Finance and Administrative Subcommittee (FASC) met on the 16<sup>th</sup>.

Key decisions and action item updates from the meeting included:

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGECE.

A “regular update/report card/dash board” will be developed through the NGENC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGENC.

The first such update is the “two-page” educational/outreach document which has been approved by the NGENC Executive Board approval and an initial order of 300 copies has been submitted to AASHTO publications. Electronic versions have been distributed to all NGENC members with hard copies to be made available upon request.

- Preparing the Project Close Out Report – The DRAFT Project Close Out Report, as edited, was approved by the FASC for submittal to the NGENC Executive Board for its consideration on – 11-22-16. As noted in the Executive Board section of this report, the Board approved the report as presented and asked Amtrak to finalize for signature and submit to FRA.
- Syncing the new Grant Agreement with ongoing NGENC contracts: Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.
- Milestones for the new Grant Quarterly Report: Eric Curtit has provided FASC members with recommended milestones. No additional items or changes to Eric’s suggestions have been offered. Members have until the next FASC meeting (12-14-16) to submit additional suggestions for milestones for inclusion in the quarterly report – the first of which will be submitted at the end of the current quarter (12-31-16).
- Review of NGENC By-Laws: Ray Hessinger, FASC co-Vice Chair for Administrative issues and Steve Hewitt, NGENC Support Services Manager, will review the By-Laws with a special focus on how it complies with the new grant agreement to see if any changes are needed. Ray and Steve will report back to the FASC on their findings on the next call – 12-14-16.

During the Month of December 2016, the Finance and Administrative Subcommittee (FASC) did not meet due to schedule conflicts. The next call will take place on January 11, 2017.

During the Month of January 2017, the Finance and Administrative Subcommittee (FASC) met on 1-11-17. Key decisions and action item updates from the month of January, 2017, included:

- Review of NGENC By-Laws: On 1-11-17, the FASC agreed to recommend to the NGENC Executive Board that no changes to the By-Laws be made now. Only minor typos have been indicated in the annual review, and, in and of themselves, they do not warrant a revision. On 1-17-17, the Board accepted this recommendation.
- Syncing the new Grant Agreement with ongoing NGENC contracts: Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.
- Milestones for the new Grant Quarterly Report: Eric Curtit had previously provided FASC members with recommended milestones. No additional items or changes to Eric’s suggestions were offered. Members had until the 12-14-16 to submit additional suggestions for milestones for inclusion in the quarterly report. With no additional items received, the current milestones were used in the last monthly activity report of this quarter by Steve Hewitt to be used as a basis for the Quarterly grant report to be submitted by Darrell Smith.
- Preparing the Treasurer’s Report and the FASC update presentation for the NGENC Annual Meeting: Darrell Smith will draft the Treasurer’s Report and the FASC update presentation for review by FASC members prior to the next FASC call – 2-8-17.

- Legislative Outreach Task Force Activities: Status of the Backgrounder educational document: The new educational document has been printed remains available, by request, through Steve Hewitt. It will also be available at the NGEC Annual Meeting.

During the Month of February 2017, the Finance and Administrative Subcommittee (FASC) met on 2-8-17, via conference call, and participated in the NGEC 7<sup>th</sup> Annual Meeting held on 2-24-17 in Washington, DC. Key decisions and action item updates from the month of February, 2017, included:

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGEC: Each state member and Amtrak is to work with its Government Affairs office and ask that the two-pager (currently being finalized) be included in its package during Hill visits to keep the NGEC on Congress' radar even though we are not yet ready to ask for more money.

A "regular update/report card/dash board" will be developed through the NGEC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGEC.

The first such update was the "two-page" educational document being finalized for Executive Board approval.

Status: The education and outreach document has been printed and is available upon request through Steve Hewitt. Board members have each received 2 copies. Additional copies were provided to all attendees at the NGEC Annual Meeting on 2-24-17 in Washington, DC. Distribution has been proceeding well with over 300 copies having been distributed. Additional printed copies have been ordered through AASHTO.

- Preparing the Treasurer's Report and the FASC update presentation for the NGEC Annual Meeting: On 2-8-17, Darrell Smith presented the DRAFT Treasurer's Report and the FASC update presentation for review by FASC members. On 2-8-17 it was approved by the FASC, and on 2-24-17 Chairman Smith presented the both reports at the Annual Meeting. The NGEC Executive Board unanimously accepted the Treasurer's Report as presented.

During the Month of March 2017, the Finance and Administrative Subcommittee (FASC) did not meet due to several schedule conflicts. The next meeting will take place on April 5, 2017.

During the Month of April 2017, the Finance and Administrative Subcommittee (FASC) held its monthly meeting on 4-5-17

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGEC: Each state member and Amtrak is to work with its Government Affairs office and ask that the two-pager (currently being finalized) be included in its package during Hill visits to keep the NGEC on Congress' radar even though we are not yet ready to ask for more money.

A "regular update/report card/dash board" will be developed through the NGEC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGEC.

The first such update was the "two-page" educational document being finalized for Executive Board approval.

As of 4-5-17, the education and outreach document has been printed and is available upon request through Steve Hewitt. Board members have each received 2 copies. Additional copies were distributed at the NGEC Annual Meeting. Distribution has been proceeding well – additional printed copies (on top of the original 300 copies) have been ordered through AASHTO.

On 4-5-17, after much discussion about the message going forward, FASC members were asked to think more about the strategy and an implementation plan going forward. On the next call (May 3rd)

there will be continued discussion with an eye on actions to be taken and the establishment of timelines.

- Syncing the new Grant Agreement with ongoing NGEC contracts: Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.

On the next call, 5-3-17, the FASC will begin discussions related to AASHTO and subcontractor contract renewals.

During the Month of May 2017, the Finance and Administrative Subcommittee (FASC) met twice – on 5-3-17 and on 5-31-17. Key decisions and actions of the subcommittee during the month of May, 2017 included:

- Developing a strategy and implementation plan to obtain future federal funds for the NGEC: Each state member and Amtrak is to work with its Government Affairs office and ask that the two-pager (currently being finalized) be included in its package during Hill visits to keep the NGEC on Congress' radar even though we are not yet ready to ask for more money.

A "regular update/report card/dash board" will be developed through the NGEC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGEC.

The first such update will be the "two-page" educational document being finalized for Executive Board approval.

The education and outreach document has been printed and is available upon request through Steve Hewitt. Board members have each received 2 copies. Additional copies were distributed at the NGEC Annual Meeting. Distribution has been proceeding well – additional printed copies (on top of the original 300 copies) have been ordered through AASHTO.

On 5-3-17, it was agreed that the Legislative Outreach task force should be re-convened to resume the development of a communications plan.

On 5-31-17, this item was carried over for discussion on the next FASC call – 6-28-17.

- Syncing the new Grant Agreement with ongoing NGEC contracts: Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors/sub consultants currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.

On today's call, a motion and a second were offered to reaffirm the intent to renew the contract between Amtrak and AASHTO as well as the current sub consultant's contracts for the remainder of the current grant agreement – through 9-30-19. The motion (below) will be transmitted to the FASC members for a vote to be taken on the next call – 5-31-17.

"As was intended in past NGEC budget approvals and to ensure compliance with the Audit of Grant Agreement of March 27, 2013, and the NGEC's updated Procedure of Establishing Contract Support adopted August 6, 2013, the NGEC authorizes Amtrak to contract with AASHTO for administrative support services as well as subsequent sub-contracts per the statement of work for entities such as; with Hewitt Consulting for Manager of Support Services, and with SalciConsult for Specification Consultant services. In addition, with the Federal Railroad Administration's June 8th, 2015, approval of the NGEC's Supplemental Statement of Work and related budget extension through September 30, 2017, and its subsequent approval of the Statement of Work and Budget included in the Grant Agreement executed on October 26, 2016 for the period beginning October 1, 2016 through

September 30, 2019 , Amtrak is authorized to extend its agreement with AASHTO and AASHTO's sub-consultants in accordance with the Statement of Work."

On 5-31-17, the above motion was approved by the members of the Finance and Administrative Subcommittee and has been transmitted to the Executive Board with a recommendation that it be approved by the Board on its next call – 6-6-17.

- Review/refresher 2013 NGEC Contract procedures: On 5-3 -17, It was agreed that the NGEC Contract Procedures should be distributed to the FASC and subsequently to the NGEC Board members as a refresher, and for a review.

On 5-31-17, FASC members were asked to review the NGEC contract procedures and send any comments to Steve Hewitt and Darrell Smith in advance of the next subcommittee call – 6-28-17. Following that call, the procedures will be transmitted to the NGEC Executive Board. Darrell Smith will walk through the document on the Executive Board call that follows the 6-28-17 FASC call.

During the Month of June 2017, the Finance and Administrative Subcommittee (FASC) met once 6-28-17:

- Developing a strategy and implementation plan to obtain future federal funds for the NGEC:

Each state member and Amtrak is to work with its Government Affairs office and ask that the two-pager (currently being finalized) be included in its package during Hill visits to keep the NGEC on Congress' radar even though we are not yet ready to ask for more money.

A "regular update/report card/dash board" will be developed through the NGEC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGEC.

The first such update will be the "two-page" educational document being finalized for Executive Board approval.

The education and outreach document has been printed and is available upon request through Steve Hewitt. Board members have each received 2 copies. Additional copies were distributed at the NGEC Annual Meeting. Distribution has been proceeding well – additional printed copies (on top of the original 300 copies) have been ordered through AASHTO.

Status: Eric Curtit reported on 6-28-17, that he is focusing on the NGEC two-pager document which he believes is an effective tool for educating the Hill. Eric believes that the current version needs to be updated to add in something that emphasizes the importance of maintaining/updating/revising the specifications as one of the more critical responsibilities of the NGEC.

Members who have any thoughts on wording changes to the two-pager – especially reflective of maintaining the specs should send those comments to Steve Hewitt and Eric Curtit.

- Syncing the new Grant Agreement with ongoing NGEC contracts:

Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors/sub consultants currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.

On 5-3-17, a motion and a second were offered to reaffirm the intent to renew the contract between Amtrak and AASHTO as well as the current sub consultant's contracts for the remainder of the current grant agreement – through 9-30-19. The motion (below) was transmitted to the FASC members for a vote and, on 5-31-17 it was approved and sent on to the Executive Board for its approval.

"As was intended in past NGECE budget approvals and to ensure compliance with the Audit of Grant Agreement of March 27, 2013, and the NGECE's updated Procedure of Establishing Contract Support adopted August 6, 2013, the NGECE authorizes Amtrak to contract with AASHTO for administrative support services as well as subsequent sub-contracts per the statement of work for entities such as; with Hewitt Consulting for Manager of Support Services, and with SalciConsult for Specification Consultant services. In addition, with the Federal Railroad Administration's June 8th, 2015, approval of the NGECE's Supplemental Statement of Work and related budget extension through September 30, 2017, and its subsequent approval of the Statement of Work and Budget included in the Grant Agreement executed on October 26, 2016 for the period beginning October 1, 2016 through September 30, 2019, Amtrak is authorized to extend its agreement with AASHTO and AASHTO's sub-consultants in accordance with the Statement of Work."

On 6-6-17, the NGECE Executive Board approved the motion as presented and asked AASHTO and Amtrak to finalize their contract in accordance with the motion, and AASHTO was tasked with doing the same with the sub-consultant contracts.

On 6-28-17, Darrell Smith reported that a lot of work is being done internally at Amtrak to make sure the contract extension with AASHTO is compliant with the grant agreement. Darrell does not expect much to change for AASHTO at all, but with the new language applying to DBE's there may need to be an updated goal. Amtrak grants is going through the requirements with a fine-tooth comb to make sure all is done properly. Darrell will report each month on the status until the contract with AASHTO is done.

During the Month of July 2017, the Finance and Administrative Subcommittee (FASC) meeting was canceled due to schedule conflicts. Steve Hewitt, however, provided an updated status on all FASC activities as of 7-25-17:

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGECE: Each state member and Amtrak is to work with its Government Affairs office and ask that the two-pager (currently being finalized) be included in its package during Hill visits to keep the NGECE on Congress' radar even though we are not yet ready to ask for more money.

A "regular update/report card/dash board" will be developed through the NGECE Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGECE.

On 6-28-17, Eric Curtit reported that he is focusing on the NGECE two-pager document which he believes is an effective tool for educating the Hill. Eric believes that the current version needs to be updated to add in something that emphasizes the importance of maintaining/updating/revising the specifications as one of the more critical responsibilities of the NGECE.

Members who have any thoughts on wording changes to the two-pager – especially reflective of maintaining the specs - were asked to provide those comments to Steve Hewitt and Eric Curtit. No comments have been received to date.

Status: On 7-21-17, Eric Curtit provided Steve Hewitt with a summary of suggested changes to the two-pager which are as follows:

Summary of suggested revisions to the two-pager

Add revision name and associated dates to timeline for specification revisions to better show spec maintenance and evolution. Each spec would list associated revisions from production under its name, chronologically.

Top of page two edit Results – add language to Standardize and Maintain the design specifications of passenger rail equipment.

Page two, also top section – revise to include maintenance of specs - PRIIA 305 created, and now maintains, six specifications....



Eric has provided these changes to Missouri DOT graphic arts staff and expects to have a draft to share prior to the next FASC call – 8-23-17.

- Syncing the new Grant Agreement with ongoing NGEC contracts: Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors/sub consultants currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.

On 6-28-17, Darrell Smith reported that a lot of work is being done internally at Amtrak to make sure the contract extension with AASHTO is compliant with the grant agreement. Darrell does not expect much to change for AASHTO at all, but with the new language applying to DBE's there may need to be an updated goal. Amtrak grants is going through the requirements with a fine-tooth comb to make sure all is done properly. Darrell will report each month on the status until the contract with AASHTO is done.

Status: As of 7-25-17, Darrell Smith reports that the contract extension with AASHTO continues to work through Amtrak Purchasing with no issues. This will remain as an open action item and agenda item to be reported on until the process is complete. Next update – 8-23-17.

During the Month of August 2017, the Finance and Administrative Subcommittee (FASC) met on 8-23-17. Key decisions and action items for the FASC during the month of August 2017 include:

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGEC:

On 6-28-17, Eric Curtit reported that the focus is on the NGEC two-pager document which he believes is an effective tool for educating the Hill. Eric believes that the current version needs to be updated to add in something that emphasizes the importance of maintaining/updating/revising the specifications as one of the more critical responsibilities of the NGEC.

Members who have any thoughts on wording changes to the two-pager – especially reflective of maintaining the specs - were asked to provide those comments to Steve Hewitt and Eric Curtit. No comments have been received to date.

On 7-21-17, Eric Curtit provided Steve Hewitt with a summary of suggested changes to the two-pager which are as follows:

Summary of suggested revisions to the two-pager

Add revision name and associated dates to timeline for specification revisions to better show spec maintenance and evolution. Each spec would list associated revisions from production under its name, chronologically.

Top of page two edit Results – add language to Standardize and Maintain the design specifications of passenger rail equipment.

Page two, also top section – revise to include maintenance of specs - PRIIA 305 created, and now maintains, six specifications....

On 8-23-17, it was agreed that the language regarding maintenance of the specs would be developed by Jeff Gordon, FRA, for consideration. Jeff will draft his recommended language and provide it to Steve Hewitt and Eric Curtit in advance of the next FASC call – 9-27-17- far enough in advance to have the MODOT graphics arts team include it in a draft of the updated document.

- Syncing the new Grant Agreement with ongoing NGEC contracts:

On 8-23-17, FASC Chairman Darrell Smith provided the following status update: Amtrak Procurement has completed its review of the FRA Grant Agreement requirements and is now

finalizing the paperwork for the renewed agreement between Amtrak and AASHTO. Amtrak Procurement's Alfreda Stowers is moving it forward, and should soon be in touch with AASHTO.

During the Month of September 2017, the Finance and Administrative Subcommittee (FASC) met on 9-27-17. Key decisions and action items for the FASC during the month of September 2017 included:

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGEC:

Status: Revising two-pager and developing a strategy to secure future federal funding - Eric Curtit/Jeff Gordon:

FRA (Jeff Gordon) is working on providing suggested language to emphasize the importance and commitment of the NGEC to maintain the specifications to keep them up to date and useful.

MO DOT graphics arts will include the additional language and a draft will be forthcoming for FAS review and comment in the coming weeks.

- Status: Contract Extensions – Amtrak/AASHTO – AASHTO/subconsultants:

On 9-27-17, Chairman Darrell Smith reported that Amtrak and AASHTO have executed their contract extension, and, he was aware of at least one of the sub-contractor extensions being completed between that consultant and AASHTO.

The contracts are extended through the life of the grant agreement – 9-30-19.

- 514 subcommittee request to leave the NGEC and move solely to SAIPRC:

On 9-12-17, the 514 subcommittee Chair (Brian Beeler II) requested that the 514 subcommittee be moved out of 305 (NGEC) to SAIPRC. When 514 was established in the NGEC, SAIPRC did not yet exist and the NGEC seemed to be the best fit for it. The NGEC had the structure and procedures in place to do the work required.

With SAIPRC now fully established and funded through an FRA Grant, the 514 – especially regarding 209 - activities relate more to it's the work of SAIPRC than to the NGEC. To keep it in both committees (and with many of the same members) makes it confusing and duplicative.

Eric Curtit, at the 9-26-17 NGEC Executive Board meeting, directed the Finance and Administrative subcommittee (FASC) to look at this request and identify what needs to happen and what the impacts could be on the NGEC Grant agreement SOW and budget, as well as on the NGEC By-Laws. Both are areas of jurisdiction of the FASC (Administrative and Finance arm of the NGEC)

Eric Curtit has spoken to SAIPRC chair – David Kutrosky – and has told him this may take some time, because it is important to take the right steps to not negatively impact either the NGEC grant agreement or that of SAIPRC.

Administrative actions needed

The NGEC By-Laws will need to be revised, as 514 had been added to the By-Laws and Operating Procedures as a Standing subcommittee. To change the NGEC By-Laws, those changes need to be approved by the FASC and then they are to be submitted in writing to members of the Executive Board. They must be in the possession of the Board members for 30 days prior to a vote taking place.

Steve Hewitt recommended that Darrell assign this effort to Ray Hessinger, as Vice Chair for the Administrative side of FASC, and to Steve Hewitt to make the changes and recommendations to the full FASC. This could likely be done by the next FASC call – on October 18<sup>th</sup>.

Impacts on Grant agreement – milestones and approved SOW and Budget

Darrell Smith commented that he had spoken about this to the Amtrak grants office and a no-cost amendment to the grant between Amtrak and FRA will be required and the SOW will need to be revised. It was recommended that the NGEC look at the whole SOW as they are looking to make the 514 changes and see if there are other changes at this point that should be made going forward. If there are any adjustments that should be made, they should all be made at the same time.

Darrell also pointed out that the NGEC is sending at a rate about ½ below the projected spend rate, so this is a very good time to take a good look at the SOW and adjust it going forward. Darrell will have a full report on the budget status on the next FASC call.

Eric Curtit reported that there are a couple of things that are up-coming that will increase that spend rate – but he is not ready to report on the details of those activities yet.

Brian Beeler emphasized that the intent of the 514 and of SAIPRC was to eliminate some of the duplications of service with limited resources and many of the same people involved with both committees. “The intent here is to streamline things and he hopes that this is not too heavy a lift for everyone.” He also believes that making this move will, ultimately, put more money back into the NGEC to use for activities more closely related to its true mission.

Eric Curtit added that there should be an immediate call to action by the Technical subcommittee of the NGEC to review the current grant SOW and to provide input on possible revisions. Eric will send an email to Mario Bergeron asking him to begin that effort.

Tim Hoeffner suggested an MOU between NGEC and SAIPRC may be needed to facilitate the transfer and that 514 would continue to function as is until all steps are taken and SAIPRC.

It was also agreed that Eric will ask SAIPRC to provide him with confirmation on its recent vote to take on the 514 subcommittee responsibilities.

Asked if it was possible to do this without an amendment to the grant agreement, Darrell responded that the Amtrak grants people have said we need to go through the full grant agreement SOW and our grant reporting as well, because part of the quarterly report is related to progress from each of the standing subcommittees of which 514 is one.

On October 24, 2017, Tim Ziethen, Amtrak was named as the Treasurer and Finance and Administrative subcommittee (FASC) chair. Due to this leadership transition, the FASC did not meet as originally scheduled on 10-18-17. The next call will take place with the new Chair, Tim Ziethen convening a meeting on 11-15-17.

During the Month of November 2017, the Finance and Administrative Subcommittee met on 11-15-17. Key decisions and action item updates from the month of November include:

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGEC:

Each state member and Amtrak are to work with its Government Affairs office and ask that the two-pager (currently being finalized) be included in its package during Hill visits to keep the NGEC on Congress' radar even though we are not yet ready to ask for more money.

A “regular update/report card/dash board” will be developed through the NGEC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGEC.

On 6-28-17, Eric Curtit reported that he is focusing on the NGEC two-pager document which he believes is an effective tool for educating the Hill. Eric believes that the current version needs to be updated to add in something that emphasizes the importance of maintaining/updating/revising the specifications as one of the more critical responsibilities of the NGEC.

On 11-15-17, it was agreed that FASC members would review the DRAFT document and provide comments and suggested changes in advance of the next FASC call – 12-13-17. Steve Hewitt was asked to also provide the current draft to the Executive Board in advance of the next call 11-22-17, so

that it is aware of the thinking, and to solicit Board member input as well. Eric Curtit will walk the Board through the document and describe what the goal is for its use going forward.

The plan is to have the educational piece updated, finalized and printed in advance of the NGEAC Annual Meeting in DC on 2-23-18.

- Syncing the new Grant Agreement with ongoing NGEAC contracts:

Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors/sub consultants currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.

A contract extension between Amtrak and AASHTO has been executed and will run through 9-30-19. At least one sub-contractor has now had his contract extended by AASHTO for the same period – through 9-30-19.

As of 11-15-17, AASHTO was in the process of completing a contract modification with Casamar (technical spec writer). AASHTO has reported that it has everything it needs, but confirmation on the full contract amount through 9-30-19. On 11-15-17, call Tim Ziethen confirmed that he and Tammy Krause have talked and agree that \$60,000 is the amount that should be in the contract. Eric Curtit, as NGEAC Chair, agreed and signed off on the amount as well.

On 11-15-17, Steve Hewitt agreed to convey to Strat Cavros, AASHTO, that the amount for the Casamar contract modification is \$60,000 and has been signed off on by Tim Ziethen, Tammy Krause, and Eric Curtit.

- Moving 514 to SAIPRC:

Revising the NGEAC By-Laws and Operating Procedures:

Steve Hewitt and Ray Hessinger prepared proposed By-Law revisions and submitted them to the FASC members in advance of the 11-15-17 conference call.

On 11-15-17, the FASC members approved proposed revisions (version 3) to the NGEAC By-Laws and Operating Procedures. The approved revisions will be submitted to the Executive Board by 11-16-17 by Steve Hewitt to fulfill the requirement of submitting By-Laws changes to Executive Board members 30 days in advance of the meeting in which they will be considered. The intent is to consider adoption of the revisions on 12-19-17 on the regularly scheduled executive Board conference call.

Review of the Grant Agreement SOW and Budget as suggested by Amtrak Grants:

The Amtrak's Grants Office, recommended that instead of reviewing only the sections of the SOW and budget associated with 514, the NGEAC should do a complete review of the SOW and budget, to make any revisions that may better reflect the activities of the Committee over the next two years. The idea is to do it all at once rather than piece by piece.

On 11-15-17, FASC Chair Tim Ziethen agreed to go through the sow and budget and to discuss with Tammy Krause and Charlie King, the anticipated needs of the Technical subcommittee as it revises its plans to review and update all NGEAC specifications to bring them to a baseline. Tammy Krause is currently in the process of developing a revised plan with timeline and milestones to reflect this activity. Tim will follow up with Tammy.

It was agreed that Tim Ziethen would provide FASC members with proposed SOW and budget revisions for review on the next FASC call – 12-13-17. The intent would be to consider the revisions on 12-13-17 and, if approved, submit them to the Executive Board for review and possible consideration of approval on its call on 12-19-17.

During the Month of December 2017, the Finance and Administrative Subcommittee met on 12-13-17. Key decisions and action item updates from the month of December include:

- Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGECC. Each state member and Amtrak is to work with its Government Affairs office and ask that the two-pager (currently being finalized) be included in its package during Hill visits to keep the NGECC on Congress' radar even though we are not yet ready to ask for more money.

A "regular update/report card/dash board" will be developed through the NGECC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGECC.

On 6-28-17, Eric Curtit reported that he is focusing on the NGECC two-pager document which he believes is an effective tool for educating the Hill. Eric believes that the current version needs to be updated to add in something that emphasizes the importance of maintaining/updating/revising the specifications as one of the more critical responsibilities of the NGECC.

On 11-15-17, it was agreed that FASC members would review the DRAFT document and provide comments and suggested changes in advance of the next FASC call – 12-13-17. Steve Hewitt was asked to also provide the current draft to the Executive Board in advance of the next call 11-22-17, so that it is aware of the thinking, and to solicit Board member input as well. Eric Curtit will walk the Board through the document and describe what the goal is for its use going forward.

The plan is to have the educational piece updated, finalized and printed in advance of the NGECC Annual Meeting in DC on 2-23-18.

Status as of 12-13-17:

Eric Curtit was unavailable for the call on 12-13-17, and asked Steve Hewitt to report that comments were received from Dave Warner, and no others at this point. Eric and Steve will take Dave's comments and incorporate them. Eric asks that FASC members take a second look at the most recent DRAFT and submit comments asap so that a revised version can be distributed on the next FASC call.

- Syncing the new Grant Agreement with ongoing NGECC contracts:

Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors/sub consultants currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.

A contract extension between Amtrak and AASHTO has been executed and will run through 9-30-19. At least one sub-contractor has now had his contract extended by AASHTO for the same period – through 9-30-19.

As of 11-15-17, AASHTO was in the process of completing a contract modification with Casamar (technical spec writer). AASHTO has reported that it has everything it needs, but confirmation on the full contract amount through 9-30-19. On 11-15-17, call Tim Ziethen confirmed that he and Tammy Krause have talked and agree that \$60,000 is the amount that should be in the contract. Eric Curtit, as NGECC Chair, agreed and signed off on the amount as well.

On 11-15-17, Steve Hewitt agreed to convey to Strat Cavros, AASHTO, that the amount for the Casamar contract modification is \$60,000 and has been signed off on by Tim Ziethen, Tammy Krause, and Eric Curtit.

- Status: 12-13-17

The contract modification with Casamar for the technical specification consultant (spec writer) was executed by AASHTO and Casamar and runs through 9-30-19 with a not to exceed amount at \$60,000.

- Moving 514 to SAIPRC:

Revising the NGEC By-Laws and Operating Procedures:

As reported in the Executive Board section of this report – on 12-19-17, the Executive Board adopted the proposed revisions as submitted by the FASC.

Review of the Grant Agreement SOW and Budget as suggested by Amtrak Grants:

As reported in the Executive Board section of this report, on 12-19-17, the Board approved the revisions to the SOW as submitted by the FASC. Tim Ziethen has provided the revisions to the Amtrak Grants Office which will work with FRA Grants to approve the changes.

During the Month of January 2018, the Finance and Administrative Subcommittee met on 1-10-18. Key decisions and action item updates from the month of January include:

- Review of the Grant Agreement SOW and Budget as suggested by Amtrak Grants:

Status: 1-30-18:

Tim Ziethen has been working with Emily Chan and others from Amtrak Grants to complete the amendment to the SOW as reflected in the NGEC Executive Board's approved changes. Tim anticipates that today (1-30-18) or tomorrow (1-31-18) they will finish the amendment and send on through Amtrak legal for its review. Shortly thereafter, it will be submitted to FRA.

- Updating the two-page NGEC Educational document:

The Finance and Administrative subcommittee agreed on several revisions in language and in changing the pictures to use more current photos of the Charger and an artist's rendering of the single level car being built for Caltrans and the Mid-West states under the current multi-state procurement. Once these changes were made, the document was to be submitted to the Executive Board for discussion on its 1-30-18 call.

Status 1-30-18:

- The updated DRAFT was submitted to the Executive Board on 1-29-18 and will be discussed on the call today (1-30-18).

- Preparing for the NGEC Annual Meeting:

Tim Ziethen, is completing the DRAFT NGEC Treasurer's Report and a FASC yearly progress report for review by the subcommittee on its next call 2-7-18 to be presented at the Annual Meeting of the NGEC on 2-23-18. He expects to complete the DRAFT this week and have it distributed to all FASC members for review and consideration on the 2-7-18 call.

- Preparing the NGEC Grant Quarterly Report to the FRA:

The Final DRAFT of the quarterly report for the period ending on 12-31-17 was completed on 1-29-18 and for submittal to the FRA on 1-30-18.

During the Month of February 2018, the Finance and Administrative Subcommittee met on 2-7-18 and participated in the NGEC Annual meeting on 2-23-18 with a full year's progress report and the Treasurer's Report being presented. The presentation is available on the website at [www.ngec305.org](http://www.ngec305.org)

Key decisions and action item updates from the month of February include:

The Grant Agreement SOW revisions as approved by the Executive Board were submitted by Amtrak Grants to FRA Grants on 2-7-18. A response is anticipated soon.

The FASC approved the Annual Meeting presentation prepared by FASC Chair and NGECE Treasurer Tim Ziethen which included a progress report on the FASC activities over the past year, and the Treasurer's Report on the NGECE Budget and Finances.

During the Month of March 2018, the Finance and Administrative Subcommittee met on 3-7-18.

Key decisions and action item updates from the month of March include:

Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGECE: Currently the strategy is to get broad circulation to decision makers of the NGECE two-page fact sheet. This document helps to educate the decision makers (federal and state) on what the NGECE is, what results it has produced; and what its goal are. To date 100 hard copies and over 300 electronic versions have been distributed. More are available, by request, through Steve Hewitt.

See the Executive Board Section of this report for a summary of the FASC activities as related to revising the NGECE Grant agreement SOW and establishing a contract for the Document Control Manager outside consultant.

During the Month of April 2018, the Finance and Administrative Subcommittee did not meet due to several schedule conflicts. The next meeting will take place on 5-2-18.

See a status update of Finance and Administrative activities as of 4-24-18, under the Executive Board section of this report.

During the Month of May 2018, the Finance and Administrative Subcommittee met twice, on the 2<sup>nd</sup> and the 30<sup>th</sup>.

Key decisions and action item updates from the month of May 2018, included:

- Status: Approval/execution of the revised NGECE Grant SOW:

SAIPRC's revised SOW has been executed. The NGECE revised SOW is not yet executed as FRA has requested that Amtrak provide clarification on several issues. Tim Ziethen expects to get the Amtrak grants office the responses to FRA's questions later today (5-30-18). Following that, Amtrak grants will work with FRA grants to finalize the SOW and execute the agreement.

- Resolving missing invoice payment Amtrak to AASHTO and determining the mechanism for FRA reimbursement of Amtrak:

On 5-30-18, Tim Ziethen reported that the AASHTO invoice has been paid by Amtrak, and Amtrak is waiting for direction from FRA on reimbursement. Tim noted that he believed that the next step, as agreed on the last Executive Board call was for Chairman Curtit to connect with Michael Lestingi, FRA, to see how this can be resolved. Eric Curtit noted that the call has not taken place yet, but that he will press the issue and emphasize that Amtrak needs to be made whole. He will point out that the end of the last grant early, seems to be the cause, and Amtrak is not culpable and must be paid.

Strat Cavros, AASHTO, was asked by Eric Curtit if AASHTO has been made whole now, and Strat responded "yes, for the most part". He added that there is an issue with an August invoice and that he had sent an email today to Tim Ziethen asking for a status update. Tim commented that he believes that everything has been processed and that the August funds were transmitted. He believes the invoice was vouchered and paid. Tim will confirm the information including the check number and provide it to Strat.

- NGECE Budget Status – Expenditures to date/Balance/Spend Rate:

Two invoices were covered for approximately \$64,000 were processed during this quarter. To date, after 6 quarters of the current grant agreement, the NGECE has spent a total of \$190, 231.84. The

spend rate is well under the planned amount contained in the SOW and budget. The total grant amount was \$1,250,000.

- Requesting a 12 month no-cost grant agreement extension:

On 5-30-18, Tim Ziethen raised the issue of the timing and process for requesting a 12 month no-cost extension of the current grant agreement. Steve Hewitt noted that under the previous grant the NGEC had requested and received several extensions. Steve added that Tim should check with Amtrak and FRA grants as to what actions are required. The NGEC process would be for the FASC to justify the request based on need and the fact that the spend rate will provide for adequate funding to cover the additional period. The FASC would need to revise the SOW and budget to reflect the work plan and costs for the additional 12 months. Once the FASC has approved the SOW and budget for the extension request, it is submitted to the NGEC Executive Board for its consideration. Once approved, the Executive Board submits it to Amtrak asking that they work with FRA and formally request the extension.

Tim Ziethen noted that he believes the current grant has a provision in it to allow for a 12-month extension at no-cost. Tim will confirm this, and the steps required by Amtrak and FRA and report back to the FASC on the next call.

This item will be added as an open action item and will be on the next FASC agenda.

- NGEC Audit – timing and process:

On 5-30-18, Tim Ziethen asked about the timing of the audit that is a part of the NGEC SOW, and Steve Hewitt said that it was a question that should be asked of Amtrak and FRA grants as to the timing, but that there is money budgeted for an audit during the grant period as well as a close out audit. The previous audit was conducted by the Amtrak OIG, and the budget allocates \$50,000.

Tim will check with Amtrak and FRA grants on the timing and report back to the FASC members on the next call 6-27-18. It will remain on the Open action item list until complete.

- Distribution Quarterly Grant Progress Report for January-March 2018:

As agreed on the 5-2-18 FASC call, and subsequently approved by the FRA, Amtrak, and the Executive Board, the NGEC Grant Quarterly Progress Report was distributed to FASC and Executive Board members on 5-29-18 by Steve Hewitt. This is the first such distribution and it was for the quarter ending 3-31-18. This will now part of the regular cadence and each quarterly report will be distributed on a regular basis.

- Annual NGEC By-Laws Review:

On 5-30-18, Steve Hewitt reminded FASC members that one of the responsibilities of the subcommittee is to conduct an annual review of the NGEC By-Laws and Operating Procedures. The purpose is to ensure that they remain current. Last year there were many changes made because of the request to move 514 to SAIPRC and, with that change being made, the FASC agreed to also make several grammatical corrections/improvements that were considered minor clean ups. In the previous year's review, these clean ups were held over until more extensive updates were to be made. All such changes/corrections were included with the major update done in 2017 and were adopted by the NGEC Executive Board on 12-19-17.

Steve noted that the usual process for the annual review has been that he and NGEC secretary (co-vice chair of the FASC) Ray Hessinger, would conduct the initial review and present any proposed changes they may recommend to the FASC for its consideration. If there are changes, and they are approved by the FASC, they are sent to the Executive Board for its consideration. Today, (5-30-18) Steve is not necessarily looking to begin the review but wanted to remind members of the FASC's responsibility and to get the general ok to move forward with this process. A timeline for completion can be set later, but Steve is anticipating that it will be sometime early Fall 2018.

It was agreed that Steve Hewitt, and Ray Hessinger will again conduct the review. They will discuss the timeline off-line, and agree it is not anticipated to be undertaken until early Fall.



During the Month of June 2018, the Finance and Administrative Subcommittee met once, on the 27<sup>th</sup>.

Key decisions and action item updates from the month of June 2018, included:

- Status: Approval/execution of the revised NGEC Grant SOW:  
  
See the update provided in the Executive Board section of this report.
- Resolving missing invoice payment Amtrak to AASHTO and determining the mechanism for FRA reimbursement of Amtrak:  
  
See the update provided in the Executive Board section of this report.
- NGEC Budget Status – Expenditures to date/Balance/Spend Rate:  
  
See the update provided in the Executive Board section of this report.
- Requesting a 12 month no-cost grant agreement extension:  
  
See the update provided in the Executive Board section of this report.
- NGEC Audit – timing and process:  
  
See the update provided in the Executive Board section of this report.
- Distribution Quarterly Grant Progress Report for April-June 2018:  
  
Information for this report has been compiled as a part of the monthly activities report for June 2018, and prepared by Amtrak for submittal to FRA by July 31, 2018.
- Annual NGEC By-Laws Review:  
  
Steve Hewitt and Ray Hessinger will conduct the initial review and make recommendations to the FASC in mid to late Fall – with the intent that the activity will be completed and approved by the NGEC Executive Board by 12-31-18.

During the Months of July and of August 2018, the Finance and Administrative Subcommittee met twice – on July 25<sup>th</sup> and on August 22<sup>nd</sup>.

Key decisions and action item updates from the month of August 2018, included:

Treasurer's Status Updates as of 8-22-18:

- Status Revised Statement of Work/Grant Amendment Request submittal  
  
FRA provided the following update prior to today's call (8-22-18) and they were read into the record by Jeff Gordon, FRA:  
  
FRA finalized the required amendment docs and will be processing the amendment in Grant Solutions in the next day or two.  
  
Anticipate the amendment will be executed before or by end of next week (week of 8-27-18). The adjustments provided below.
  - Extends the period of performance to 9/30/2020.
  - Deletes the Finance and Administrative Subcommittee task to provide for an independent audit function for NGEC activities (audit requirement removed).
  - Deletes the description of the Section 209/305 Equipment Capital Charge "514" Subcommittee and all references to it or tasks related to the "514" Subcommittee (transfers "514" Subcommittee task/responsibilities to SAIPRC)

- Moves management and oversight of the Revision Control Coordinator position from the Technical Subcommittee to AASHTO Support Services.
- Modifies budget by reallocating funds from Labor line item to the AASHTO Support Services line item in project budget.

Tim Ziethen concurred with the FRA update, noting that he had been told by Amtrak Grants that the grant amendment “was good to go as” and that they expected it to be finalized by the end of next week.

- NGECE Budget Balance – expenditures to date and current balance  
Tim Ziethen provided the following update on the NGECE finances:

The full Grant amount: \$1,250,000.00  
Current Balance \$1,018,811.00  
Spent to date: \$231, 189.00  
The Average quarterly spend rate is: \$37,500.00

- Status: April-June 2017 AASHTO Invoice

Tim Ziethen reported that this invoice has been paid, and following the call, Strat Cavros, AASHTO, confirmed payment received. This action item is closed.

- Discussions with AASHTO re: potentially changing to a monthly invoice process:

Tim Ziethen has requested that Linda, from his staff, contact Strat Cavros to talk about the possibility of going to a monthly invoice process rather than quarterly. It would streamline the process that takes place now where there are 3 months' worth of documentation and if questions arise it is a lot more difficult to look back as far 90 days for the answer rather than 30 days.

- Distribution Quarterly Grant Progress Report for April-June 2018:

Information for this report was compiled as a part of this monthly activities report and prepared by Amtrak for submittal to FRA by July 31, 2018. The report was transmitted to the NGECE executive Board and the FASC during the first week of August 2018. The next quarterly report will be completed for the months of July, August and September and will be completed by September 31, 2018.

- Annual NGECE By-Laws Review:

Steve Hewitt reported on 8-22-18, that he will begin the annual By-Laws review and provide initial comments to Ray Hessinger early in September for possible review and comment by the FASC in mid to late September or early October 2018.

During the Month of September 2018, the Finance and Administrative Subcommittee met once, on the 19th.

Key decisions and action item updates from the month of September 2018, included:

Treasurer's Status Updates as of 9-19-18:

- a. Status – Execution of Amended Grant Agreement

Tim Ziethen reported that he has received the fully executed modification to the grant agreement including a 12-month extension of the performance period. The extension is in performance period and does not increase funding (no-cost extension). The grant is for \$1, 250,000 with \$231,189 spent to date. Tim added that “we can apply the unspent funds through the extension period”. The extension will run through 9-30-2020.

- b. Next Steps?

Tim will provide (task complete) Steve Hewitt with the executed modification to the grant agreement for distribution to members of the Executive Board and posting as appropriate.

c. Discussions with AASHTO re: potentially changing to a monthly invoice process

On 9-19-18, Tim Ziethen and staff spoke with Strat Cavros, AASHTO, regarding changing the billing process to monthly rather than quarterly. Both parties have agreed to use the current process through this quarter (ending 9-30-18) and to begin in October using a monthly invoicing and reconciliation process. This will be a trial to see how it works and if it is good for both it will remain monthly, but if it does not work out, it will go back to the original process.

Going to a monthly process would seem to be more efficient and useful especially from a review and audit perspective. Under the current process, more than 50 pages of documentation are submitted, and if there are any questions they could be related to something that occurred 4 or 5 months back.

With the monthly process, AASHTO will receive payment sooner and from the review and audit process for Amtrak it will be much more useful.

Amtrak will check with FRA to see if their process will stay as it is (quarterly) or also move to monthly.

- Distribution Quarterly Grant Progress Report for April-June 2018:

Information for this report will be compiled as a part of this monthly activities report and prepared by Amtrak for submittal to FRA by October 31, 2018. The report will be transmitted to the NGECE Executive Board and the FASC during the first week of November 2018. The next quarterly report will be completed for the months of October, November and December 2018 and will be completed by January 31, 2019.

- Annual NGECE By-Laws Review:

On 9-19-18, Steve Hewitt reported that he has just begun the review of the By-Laws and will send any recommendations he has to Ray Hessinger in advance of the next call with the intent being to submit recommendations to the FASC by the call on October 17<sup>th</sup>. Steve noted that in his initial review he has not had anything jump out at him that would suggest any changes but will take a closer look before submitting his thoughts/comments to Ray.

- Developing a strategy for "making the case" for future federal funding for the NGECE – beyond 9-30-20:

On 9-19-18, NGECE Chairman, Eric Curtit, commented that he was pleased that the modification has been executed and that the NGECE performance period is extended through 9-30-2020. Looking beyond that time frame for securing future federal funds, Eric believes that the most useful tool remains the two-pager. He suggests that states bring the two-pager with them whenever meeting with members on the Hill or at home to educate what the NGECE is and what it has accomplished this far, as well as its value going forward. He also noted that he and Steve Hewitt have talked about taking another look at the two-pager to see if it should be tweaked to better make the case.

Tom Ziethen interjected that "we will need to monitor spending because the last quarter (July-September 2020) could be tight if we ramp up our spending".

During the Month of October 2018, the Finance and Administrative Subcommittee met once, on the 17th.

Key decisions and action item updates from the month of October 2018, included:

Treasurer's Status Updates as of 10-17-18:

- Treasurer's Report – spend rate/balance - Tim Ziethen:

Tim Ziethen reported that the total amount spent to date is \$327, 739.12. The initial grant funding total was \$1,250,000.00 This leaves a current balance of \$922,260.88. At the current spend rate which can vary between quarters from \$22,000 to around \$50,000, there should be no issues in the life of the grant which runs through 9-30-2020.

- Distribution Quarterly Grant Progress Report for July-September 2018:

Information for this report was compiled as a part of this monthly activities report for September and prepared by Amtrak and Steve Hewitt for submittal to FRA on October 31, 2018. The report will be transmitted to the NGECE Executive Board and the FASC during the first week of November 2018. The next quarterly report will be completed for the months of October, November and December 2018 and will be completed by January 31, 2019.

- Annual NGECE By-Laws Review:

On 10-17-18, Steve Hewitt provided a summary of the review of the By-Laws and the minor edits that he and Ray Hessinger, NYSDOT, are recommending. The most critical change being the removal of the reference to the 514 subcommittee on the front page, and the rest of the changes being corrections in punctuation.

Steve Hewitt described the next steps – the FASC votes to accept the proposed amendments and to directs him to submit them to the Executive Board for its review. The Board is required to have the By-Laws proposed changes in writing at least 30 days prior to taking a vote. (see By-Laws excerpt below)

To make it read more smoothly and more grammatically correct, Eric Curtit recommended slight “clean-up” punctuation changes to the front-page section being revised. All members agreed.

On 10-17-18, the FASC voting members approved the recommended changes/corrections to the NGECE by-Laws and they were transmitted to the NGECE Executive Board for its consideration of adoption on 11-20-18.

- Developing a strategy for “making the case” for future federal funding for the NGECE – beyond 9-30-20:

On 9-19-18, NGECE Chairman, Eric Curtit, commented that he was pleased that the modification has been executed and that the NGECE performance period is extended through 9-30-2020. Looking beyond that time frame for securing future federal funds, Eric believes that the most useful tool remains the two-pager. He suggests that states bring the two-pager with them whenever meeting with members on the Hill or at home to educate what the NGECE is and what it has accomplished this far, as well as its value going forward. He also noted that he and Steve Hewitt have talked about taking another look at the two-pager to see if it should be tweaked to better make the case.

Tim Ziethen interjected that “we will need to monitor spending because the last quarter (July-September 2020) could be tight if we ramp up our spending”.

There was no further discussion of this action item on 10-17-18 – it is ongoing.

During the Month of November 2018, the Finance and Administrative Subcommittee met once, on the 14th.

Key decisions and action item updates from the month of November 2018, included:

Treasurer's Status Updates as of 11-14-18:

- Treasurer's Report – spend rate/balance - Tim Ziethen:

Tim Ziethen reported that the amount spent to date against the Grant is \$327, 939.12. This includes an estimate of \$45,000 for the Quarter ending 9-30-18. This amount may change slightly once the invoice from AASHTO has been received. The total grant amount was \$1,250,000 and with the estimate for the last quarter the balance is approximately \$922,260.88.

The grant, as previously reported, has been extended for 12 months with no additional funding and should be in "good shape" since the spend rate continues to be lower than initially anticipated.

- Annual NGEC By-Laws Review:

On 11-20-18, the NGEC Executive Board adopted the changes to the By-Laws as approved by the FASC on 10-17-18.

- Developing a strategy for "making the case" for future federal funding for the NGEC – beyond 9-30-20:

On 11-14-18, Eric Curtit led a brief discussion on the two-page educational document to see if it should be updated for distribution at the NGEC Annual Meeting 2-22-19. The general view was that the specification change timelines should be updated, and at the suggestion of Jeff Gordon, Eric Curtit, and Ray Hessinger, the "vision" statement partially contained in the document and fully contained in all emails and correspondence sent from Steve Hewitt, should be reviewed and potentially "tweaked" to keep it consistent with the FAST Act as pertaining to Section 305.

Eric Curtit will review the "vision" statement and discussion of any changes will take place on the next FASC call 12-12-18. Suggested changes/updates to the educational document and/or the "vision" statement should be sent to Steve Hewitt, Eric Curtit, and Tim Ziethen in advance of the next call.

- Preparing the FASC & Treasurer's Report presentation for the 2019 NGEC Annual Meeting:

On 11-14-18, it was agreed that Tim Ziethen will begin preparing the FASC activities update and the Treasurer's report for the NGEC Annual Meeting. It was generally agreed that the format would remain the same as last year. SC members are asked to provide suggested changes or forward-looking input to the presentation to Steve Hewitt and Tim Ziethen. Tim will have a draft presentation available for the FASC call scheduled for 1-9-19.

During the Month of December 2018, the Finance and Administrative Subcommittee met once, on the 12th.

Key decisions and action item updates from the month of December 2018, included:

- Treasurer's Status Updates as of 12-12-18:

FASC & Treasurer's Report presentation for the 2019 NGEC Annual Meeting:

On 12-12-18, Tim Ziethen provided a first draft of the Treasurer's Report and FASC progress report for the Annual Meeting. The first draft follows last year's format. It is a first draft which does not have the updated spending numbers but will have them in the next version. (As of 12-12-18 the amount spent to date against the Grant is \$319,995. With an estimated expense of about \$40,000 anticipated in the quarter October – December 2018, the balance left at the end of this year will be approximately \$860,000.)

Members are asked to review the presentation with a special eye on the future funding discussion slide (#11). The next draft will be provided to all members a week in advance of the next call (1-9-19) and will be discussed on that call.

- Developing a strategy for "making the case" for future federal funding for the NGEC – beyond 9-30-20:

On 12-12-18, the FASC approved a motion to revise the "vision" statement and update the two - pager accordingly. The proposed new statement was sent to the NGEC Board with a recommendation to adopt it.

"As the national leader in standardization, acquisition, and management of passenger rail equipment, the NGEC is delivering results."

During the Month of January 2019, the Finance and Administrative Subcommittee met once, on the 9th.

Key decisions and action item updates from the month of January 2019, included:

- Review: FASC & Treasurer's Report presentation for the 2019 NGEC Annual Meeting – Tim Ziethen,

On 1-9-19, Tim Ziethen provided an updated draft of the Annual meeting FASC and Treasurer's report presentation.

On the FASC call of 1-9-19, Tim gave an overview of the presentation with a focus on slides related to the Treasurer's report and the level of detail contained therein.

In general, there were few comments from FASC members on the presentation. NGEC Chairman Eric Curtit requested that the report include the spend rate for not only the current grant, but over the life of the NGEC. Eric noted that in the early years with specification development, the spend rate was higher, and it is important to understand that the current rate is reflective of the activities undertaken at this time. He pointed out that going forward, depending on what is asked of the NGEC, there may be a need to develop additional specification or undertake other activities that would increase the spend rate.

Tim Ziethen agreed with Eric's suggestion and will include the overall spend rate as well as the current rate in the next draft.

Tim will also update the numbers in the final draft to include the most recent expenditures.

Tim also agreed to provide the "Final" draft a few days prior to the next FASC call (2-6-19) for review and comment by the subcommittee members.

During the Month of February 2019, the Finance and Administrative Subcommittee met once, on the 6th.

Key decisions and action item updates from the month of February 2019, included:

- Review: Final DRAFT FASC & Treasurer's Report presentation for the 2019 NGEC Annual Meeting:

On 2-6-19, Chairman Tim Ziethen provided an updated draft of the Annual meeting FASC and Treasurer's report presentation.

Tim reviewed the updated version – and noted the changes. He also identified the numbers as related to total spend rate and current spend rate that were requested to be added to the presentation.

- Overview: Quarterly Grant Progress Report to FRA – submitted 1-31-19 – Tim Ziethen:

Tim Ziethen reported that the Quarterly Grant Progress Report to FRA has been submitted. Tim will provide Steve Hewitt with the submittal for distribution to FASC and Executive Board members.

During the Month of February 2019, the Finance and Administrative Subcommittee met once, on the 6th.

Key decisions and action item updates from the month of February 2019, included:

- Legislative Outreach – developing a strategy and implementation plan to obtain future federal funds for the NGEC

The first order of business is to make sure that the NGEC is reauthorized in the successor to the FAST Act. The committee was reauthorized in the FAST act without any additional funds being included and would need to be authorized again – and potentially with funding attached.

The NGEC cannot lobby but can educate – which is the purpose of the two-page educational document. Beyond that, it is most important that other organizations support the reauthorization of the NGEC.

Shayne Gill, AASHTO, reported that AASHTO has called for the NGEC to be reauthorized in its Authorization Principles, and the States for Passenger Rail have included it in its DRAFT principles. Shayne noted that Amtrak should likely also call for it.

Tim Ziethen will follow up with Amtrak's Government affairs office to make that point.

Steve Hewitt noted that, being authorized is one key step, but another important step, one which the FASC should take on, is looking at whether or not it is eligible for another extension of the current grant agreement (no-cost). If the answer is yes, the process should begin soon. If the answer is no, then the effort to get an appropriation for a new grant is crucial.

Tim Ziethen agreed to talk to the grants office at Amtrak to see if it is possible to get another no-cost extension of the grant.

- Overview: Quarterly Grant Progress Report to FRA – submitted 1-31-19:

The Quarterly report was distributed to all FASC members and Board members following the last 2-6-19 FASC call.

The next report is due to FRA April 30, 2019 and will be based on the information attached to this NGEC Monthly Activities report.

During the Month of April 2019, the Finance and Administrative Subcommittee met once, on the 3rd.

Key decisions and action item updates from the month of April 2019, included:

- Treasurer's Report – 4-3-19:

On 4-3-19, Tim Ziethen reported that the accrued amount (spent) from the initial \$1,250,000 Grant through February 2019 is \$380,685.20. This leaves a significant balance of about \$869,314.80.

The invoices are coming in very consistent with a monthly spend rate of around \$10-12,000.

Last year the grant agreement was extended (no cost) through 9-30-2020, and there is enough of a balance to easily extend the grant for several years beyond that date at the current spend rate.

- Overview: Quarterly Grant Progress Report to FRA – submitted 1-31-19:

The next report was due to FRA April 30, 2019 and will be based on the information attached to the March 31, 2019 NGEC Monthly Activities report.

- NGEC Looking Ahead

As of 4-3-19:

The first order of business is to make sure that the NGEC is reauthorized in the successor to the FAST Act. The committee was reauthorized in the FAST act without any additional funds being included and would need to be authorized again – and potentially with funding attached.

Tim Ziethen will follow up with Amtrak's Government affairs office to make that point.

Another important step, one which the FASC should take on, is looking at whether or not it is eligible for another extension of the current grant agreement (no-cost). If the answer is yes, the process should begin soon. If the answer is no, then the effort to get an appropriation for a new grant is crucial.

Tim Ziethen agreed to talk to the grants office at Amtrak to see if it is possible to get another no-cost extension of the grant.

Ensuring that the NGEC is reauthorized in the FAST Act successor:

As of 4-3-19, Tim Ziethen had checked in with Joe McHugh and others at Amtrak to ascertain whether Amtrak will play an active role in requesting that the NGEC be reauthorized in the successor to the FAST act. He has not gotten internal communications back yet but will follow up. Tim added

that there is an awareness within Amtrak of the importance of the NGEC and its need to be reauthorized.

Eric Curtit commented that he believes that Amtrak and the states (and others) should advocate for the NGEC to be reauthorized and noted that he believes NGEC should be a part of Amtrak's reauthorization principles.

Action item from 4-3-19: Tim Ziethen asked Steve Hewitt to keep this as an agenda item for the next call (5-1-19), and he will try to confirm within Amtrak what their role will be in advocating for the NGEC reauthorization.

Determining whether another no-cost grant extension is possible and what the steps are

As of 4-3-19, Tim Ziethen took on the action of checking with Amtrak grants to determine whether they can apply for another no-cost grant agreement extension. The belief internally (Amtrak) is that it is possible to do so. Amtrak grants has submitted the question to FRA asking for confirmation that it is doable and asking whether it can be for two years and what the process is.

Action Items: Mike Murray, FRA, will give the FRA grants office a heads up that this question is coming. Tim Ziethen asked Steve Hewitt to keep this as an agenda item on the 5-1-19 FASC call as a follow up to confirm if another no-cost extension is possible, and if so, for what length.

Looking ahead to long term future funding options – making the case – identifying the needs?

The NGEC Executive Board has looked at various potential funding options several times over the years and it has always come back to the view that it is a federal interest in having these specifications developed and maintained, and a federal responsibility to fund it.

The NGEC grant is a nominal amount and the committee is looking to FRA for investment. The NGEC has been good stewards of its funds and frugal with its spending. Much work is done on a voluntary basis – by the states, Amtrak, FRA and the industry. The volunteer time has never been quantified, but it is substantial.

If the NGEC is at the point where it is in the review and maintain mode (which it seems to be approaching) the total spend rate annually would be about \$120,000. There is a tremendous amount of value derived for a very small grant amount.

It was discussed on 4-3-19 that it may be possible to advocate for a longer-term grant covering a few years with such a low grant amount.

It was agreed that bullet points should be developed highlighting the NGEC value for use in the reauthorization effort.

Action item from 4-3-19: Eric Curtit and Tim Ziethen agreed to work together to develop some bullet points by the next FASC call (5-1-19) and asked Steve Hewitt to add this as an action and agenda item for 5-1-19.

Revising/updating the two-page NGEC Educational Document and the NGEC "vision" statement:

The new two-pager was distributed at the NGEC Annual meeting and is available by request through Steve Hewitt.

As of 4-30-19, 240 hard copies have been distributed and 351 electronic versions have been distributed.



During the Month of May 2019, the Finance and Administrative Subcommittee met twice – on the 1<sup>st</sup> and the 29<sup>th</sup>.

Key decisions and action item updates from the month of May 2019, included:

- Treasurer's Report – 5-29-19:

On 5-29-19, Tim Ziethen provided the following Treasurer's report:

Spent/accrued to date: \$401,255.35

Total Grant amount: \$1,250,000.00

Balance to date: \$848,744.65

Average monthly spend rate: \$13,375.00

The monthly rate can vary somewhat based on technical specification/document management activities during a given month and there is always a bump in spending around the annual meeting.

Still, the overall average is quite consistent at \$13,375.00 per month. Looking at this on an ongoing basis the NGEC balance would sustain the Committee for about 5 years. With the current grant agreement ending on 9-30-20, and with no changes to workload or scope, the spend rate would put the NGEC at 3+ years left beyond the 9-30-20 grant agreement expiration date. Thus, the grant period of performance could reasonably be extended for about 3 more years beyond 9-30-20.

- NGEC Looking Ahead

On 5-29-19 the following discussions took place on topics related to the future of the NGEC:

Ensuring that the NGEC is reauthorized in the FAST Act successor

1. Confirming with Amtrak – its role in advocating for the NGEC reauthorization – following up with Ken Altman and Joe McHugh:

Tim has reached out to Ken Altman and Joe McHugh to request documentation in the Amtrak reauthorization effort that references the NGEC. While he has not received documentation yet, both Joe and Ken have given assurances that Amtrak does want to advocate to fund and reauthorize the NGEC within the required guidelines.

Tim Hoeffner, Michigan DOT, commented on the importance of getting the NGEC reauthorization request in the principle of as many organizations as possible. He noted that it is in AASHTO's paper on reauthorization and in that of the Mid America regional effort as well. Tim noted it is also expected to be in the Mid-West Intercity Passenger Rail Commission's paper – currently DRAFT.

Steve Hewitt added that the NGEC is in the recently adopted SPRC reauthorization principles and is contained in a DRAFT resolution on reauthorization prepared for the Council of State Governments-Eastern Regional Conference and will be taken up for adoption during its annual meeting at the end of July.

Tim Hoeffner recommended that members follow up with other entities that they are working with to make sure it is seen in multiple places.

2. Conveying the message – distribution of the NGEC two-pager – Steve Hewitt:

Steve Hewitt reported that he has distributed 240 hard copies of the NGEC 2 pager educational document and 352 electronic copies. The hard copies have largely been distributed by representatives of transportation associations for distribution on the Hill. Some have also been used by industry members when speaking or attending various industry conferences.

This document is another way of getting the message out and is useful to many organizations to have to include with their information packets as they make their rounds on the Hill.

For copies– contact Steve with the number requested and where to send them.

a. Requesting another no-cost grant extension

Confirming with FRA Grants offices whether this is possible and the next steps/timing – Tim Ziethen:

Tim Ziethen reported that FRA has confirmed in an email that the NGEC Grant is eligible for additional no-cost grant agreement extension(s). There are no issues in the grant language that would preclude making such a request.

The FRA also noted that it would be amenable to such a request. The FRA suggests that the NGEC/Amtrak wait until closer to the end of the current grant agreement (likely first or second quarter 2020) to make the formal request for a no-cost extension.

Again, Tim reiterated, that it looks like there will be available funds at the end of the current period (9-30-20) to extend out three years beyond that date with no new funding.

b. Long term future funding options for the NGEC – making the case – identifying the needs

Status – Developing Talking Points – Eric Curtit:

Eric reported that he and Tim Ziethen have talked and Eric is refining some bullet points with the intent of developing a second NGEC handout document that describes “what we do, how we do it, why we do it and the benefits and need for national standardization of passenger rail equipment. The paper would include economic benefits to the industry – the supply change, cost efficiency and economies of scale derived from standardization etc.

Eric added “it would inform on what we bring to the table, how we are funded, and why”.

The plan is to come with recommendations for FASC discussion on the next call – June 26, 2019.

During the Month of June 2019, the Finance and Administrative Subcommittee did not meet, due to scheduling conflicts but had met as recently as 5-29-19 and had met twice in May.

- Treasurer's Report to the NGEC Executive Board as of 6-18-19:

Total Grant amount: \$1,250,000

Spent (through April 2019) = \$420, 860.50

Balance = \$829,139.50

Talks continued with FRA with regard to an extension beyond the current grant period (9-30-2020). Amtrak has received a nominal “nod of the head” from FRA and will begin looking at the steps to make a formal request as we get closer to the end of the current grant period (about 6 months or so prior).

In June, the Finance and Administrative subcommittee continued to discuss with Amtrak and others various messaging activities related to the NGEC and its future.

During the Month of July 2019, the Finance and Administrative Subcommittee met once, on the 24th.

- Treasurer's Report as of 7-24-19:

Amount Spent through the May 2019 invoices: \$435,409.53

Balance remaining: \$814, 590.67

Spend Rate per month: \$13, 606.54

On 7-24-19, FASC Chair Tim Ziethen noted that FRA has confirmed that “we can request an additional no-cost grant agreement extension for a period of time commensurate with our funding”. This would likely take place around 6 months prior to the end of the current grant period – 9-30-2020.

- NGEC – Looking Ahead – Tim Ziethen:

h. Ensuring that the NGEC is reauthorized in the FAST Act successor

1. Confirming with Amtrak – obtaining documentation – that NGEC is a part - Tim Ziethen of their reauthorization package.

Tim Ziethen reported that he has been talking with Ken Altman and others at Amtrak on how what their request for NGEC reauthorization will be and how it can be supported.

Tim noted that Ken Altman has asked him how much the ask will be for and for how long. There is some proposed language being developed but funding amount and performance period needs to be provided.

Tim noted that he will need FRA to let us know if they have rules around performance period.

Shayne Gill, AASHTO, recommended that the NGEC call for a 5-year authorization – which would match the length of the Surface Transportation Authorization being considered and being called for by AASHTO. Shayne also suggested a possible number in the amount of \$1 million per year (\$5 million total).

Shayne added as background that the SAIPRC number is \$2 million per year and the Northeast Corridor Commission number is \$5 million per year.

Tim welcomed Shayne's recommendations and agreed that a 5-year authorization makes sense. He did raise a concern over being able to justify the \$1 million per year request when the spend rate is currently less than \$15,000 per month. Tim suggested the floor request could be based on a spend rate of \$20,000 per month or a total of \$1,2 million and a ceiling of \$5 million.

Shayne asked if there were other specs that the NGEC is planning to develop. Steve Hewitt responded that there are two minor specifications (hardware and software” for electronics on trains under development, and over a 5-year authorization period, with ever emerging new technology there will likely be other specs forthcoming. Steve recommended that the committee look beyond the current spend rate and request an amount that provides flexibility for expansion of the current activities.

Tim Hoeffner, Michigan noted that with the NGEC may well be asked to look into overhaul and long-term maintenance as well as the relationship between owner and maintainer.

Eric Curtit commented that he has talked to FRA several times asking if they would want the NGEC to begin developing High-Speed Rail specifications to standardize that segment of equipment.

Tim Hoeffner added that the amount – be it \$5million or whatever – is small in the overall scheme of things and that the critical part id to be able to justify whatever is put forward. “We will need documentation”.

Shayne Gill emphasized that AASHTO has not put numbers in its re-authorization request yet but wants to make sure that its request is consistent with whatever the NGEC decides is the right amount.

Ultimately, it was agreed that this topic will be brought forward to the NGEC Executive Board on its next call – 7-31-19. Tim will put something together as food for thought and send it on to Steve Hewitt for distribution prior to the Board Meeting.

Tim Ziethen also noted that he may be asked by Ken Altman for a number and performance period prior to the Board making a decision and if so, he will provide at least a placeholder until the decision is arrived at by the NGEC Board.

## 2. Conveying the message - Distribution of the NGEC two-pager - Steve Hewitt

Steve Hewitt reported that he has distributed 265 hard copies of the NGEC 2 pager educational document and 352 electronic copies. The hard copies have largely been distributed by representatives of transportation associations for distribution on the Hill. Some have also been used by industry members when speaking or attending various industry conferences.

This document is another way of getting the message out and is useful to many organizations to have to include with their information packets as they make their rounds on the Hill.

For copies– contact Steve with the number requested and where to send them.

- Preparation of the Quarterly Grant Progress Report – Due to FRA – 7-31-19:

The progress report for the period ending June 30, 2019, was submitted to FRA, as required, by July 31, 2019.

During the Month of August 2019, the Finance and Administrative Subcommittee met once, on the 21st.

- Treasurer's Report as of 8-21-19:

The Treasurer's report through the last invoice submitted for May 2019 is as follows:

Amount Spent through the May 2019 invoices: \$435, 409.33

Total Initial Grant Amount: \$1,250,000.

Balance remaining: \$814,590.67

Spend Rate per month: \$13,606.

At this rate there is enough funding for several years (around 3). However, the grant period (as extended) runs through 9-30-2020. Tim noted that FRA has given verbal approval for another no-cost extension to be requested. The process for making the extension request should begin in Spring of 2020.

- NGEC – Looking Ahead:

Tim Ziethen provided an intro/background on this agenda item. He reported that Amtrak Government Affairs is using a dollar amount of \$5 million over 5 years as a placeholder awaiting language, scope and funding request from the NGEC. Amtrak's Board will be approving the Amtrak Reauthorization requests in September, but there would still be some ability to revise the NGEC language following that.

Eric Curtit reported that the NGEC Executive Board had a brief discussion on Reauthorization based on the FASC recommendation that the Board approve proposed language, scope and funding for reauthorizing the NGEC in the next federal surface transportation bill. The intent is to provide it to Amtrak and AASHTO and any others who may have an interest in including the language in their principles/requests for the FAST Act successor legislation.

Steve Hewitt and Eric Curtit will be preparing proposed language for Board consideration but have informed the Board that placeholder language may be needed (and – in the case of Amtrak is in place) based on the timelines of Amtrak and/or AASHTO.

- Discussion: NGEC Equipment Acquisition and Ownership Best Practices Working Group:

Status – Developing a Reference Document

The NGEC Equipment Acquisition and Ownership Working Group has developed 4 DRAFT sections: Planning, Implementation, Revenue Service, and Sustainability. The 4 sections are under review by

the working group members. All comments are due to Eric Curtit and Steve Hewitt by 9-5-19. After that they will all be compiled and sent to working group members in advance of the next call – 9-19-19.

On 9-19-19 next steps in compiling all comments and synthesizing the 4 sections into a document without duplication and with one voice will be determined.

Discussion: Procuring professional assistance to compile and complete “report”

It is likely that the recommendation will be to procure professional services to complete the report/reference document.

#### Potential Next Steps

Assuming the next step is developing a SOW and budget for contracting out the completion of the reference document, the working group will need guidance from the FASC and from AASHTO on the mechanics and availability of funds.

Tim Ziethen asked what the anticipated funding need would be for a professional services contract to complete the report/reference document.

Eric Curtit responded that it would likely be in the ballpark of well under \$20,000.

Tim asked if there was any action required by the FASC at this time.

Eric stated – no action now – the intent today was to T it up to let the FASC and AASHTO know what is likely to be coming – as a heads up. Eric added that he will defer to Tim and to Strat (AASHTO) on the appropriate process for developing an RFP and going forward.

- Preparation of the Quarterly Grant Progress Report – Due to FRA – 7-31-19:

The progress report for the period ending June 30, 2019, was submitted to FRA, as required, by July 31, 2019.

Next report (period ending 9-30-19) due to FRA by 10-31-19

During the Month of September 2019, the Finance and Administrative Subcommittee did not meet due to the AASHTO CORT meeting (as well as SPRC and SAIPRC) during the week of 9-16-19. The work of the subcommittee continued with activity updates provided to the Executive Board, as appropriate:

- Treasurer's Report as of 9-10-19:

Spent to date: \$460, 236.38  
Total Grant Amount: \$1,250,000  
Balance: \$789,763.62

The current run rate is just under \$15,000 a month with about one year left on the current grant agreement. To continue, the NGEC has been deemed to be for a no-cost grant agreement extension. The recommendation (with concurrence from the FRA) is to begin the formal request process no later than shortly after the first of the year (January 2020).

- NGEC – Looking Ahead:

The Reauthorization language – scope and funding – was approved by the Executive Board in September with minor edits to follow – primarily an FRA disclaimer to avoid potential conflicts.

The language as approved can be used by Amtrak and AASHTO as well as states and other entities as needed.

- Discussion: NGEC Equipment Acquisition and Ownership Best Practices Working Group:

#### Status – Developing a Reference Document

The NGEC Equipment Acquisition and Ownership Working Group has developed 4 DRAFT sections: Planning, Implementation, Revenue Service, and Sustainability. The 4 sections are under review by the working group members. All comments are due to Eric Curtit and Steve Hewitt by 9-5-19. After that they will all be compiled and sent to working group members in advance of the next call – 9-19-19.

On 9-19-19 next steps in compiling all comments and synthesizing the 4 sections into a document without duplication and with one voice will be determined.

Discussion: Procuring professional assistance to compile and complete “report”

It is likely that the recommendation will be to procure professional services to complete the report/reference document.

#### Potential Next Steps

Assuming the next step is developing a SOW and budget for contracting out the completion of the reference document, the working group will need guidance from the FASC and from AASHTO on the mechanics and availability of funds.

Tim Ziethen asked what the anticipated funding need would be for a professional services contract to complete the report/reference document.

Eric Curtit responded that it would likely be in the ballpark of well under \$20,000.

Tim asked if there was any action required by the FASC at this time.

Eric stated – no action now – the intent today was to T it up to let the FASC and AASHTO know what is likely to be coming – as a heads up. Eric added that he will defer to Tim and to Strat (AASHTO) on the appropriate process for developing an RFP and going forward.

The Working group will next meet on 10-3-19 and the FASC will follow up as needed and discuss potential next steps on its call on 10-16-19.

- Preparation of the Quarterly Grant Progress Report – Due to FRA – 10-31-19:

The progress report for the period ending June 30, 2019, was submitted to FRA, as required, by July 31, 2019.

Next report (period ending 9-30-19) is due to FRA by 10-31-19

Note: Material to be used in preparation of the quarterly report is attached to the end of this monthly NGEC Activities report.

During the Month of October 2019, the Finance and Administrative Subcommittee met on the 16<sup>th</sup>.

Key decisions and action item updates from the month of October 2019, included:

- The Treasurer’s report as of 10-16-19 is as follows:

Amount Spent: \$ 472,593.10  
Total Initial Grant Amount: \$1,250,000.  
Balance remaining: \$ 777,406.90  
Spend Rate per month: \$ 13,899.80

At this rate there is enough funding for several years. The grant period (as extended) runs through 9-30-2020. Tim reminded FASC members that FRA has given verbal approval for another no-cost extension to be requested. The process for making the extension request should begin in Spring of 2020.

Steve Hewitt suggested that the NGECE process for making the extension request begin earlier in order for the Executive Board to formalize its request by the NGECE Annual Meeting – thus providing Amtrak and FRA grants offices with ample time to complete their process.

Tim Ziethen agreed that this makes sense and Steve will discuss it with Chairman Curtit and request that the process at the NGECE level be started.

- NGECE – Looking Ahead:

The Reauthorization language – scope and funding – was approved by the Executive Board and has been made available to states, Amtrak and AASHTO for their use.

- Discussion: NGECE Equipment Acquisition and Ownership Best Practices Working Group:

Status update – Developing a Reference Document

The NGECE Equipment Acquisition and Ownership Working Group has developed 4 DRAFT sections: Planning, Implementation, Revenue Service, and Sustainability. The 4 sections were reviewed by working group members and comments were received and a process for going forward was agreed to on the last call of the working group held on 10-3-19.

Each section leader was asked to revise their section incorporating the suggested comments/changes as deemed appropriate and to provide the revised draft of their section to Eric Curtit and Steve Hewitt by COB on 10-18-19. Steve will then send out, to the full working group, the 4 revised draft sections. This will give each member a full set of the report/reference document to review.

The working group will then meet again on 10-31-19 to discuss the latest drafts of the 4 sections. The intent is to follow that up with the procurement of a professional technical writer to synthesize the 4 sections – remove duplications and convert the complete document into one voice and under one format.

The intent is to complete this effort in time for the next NGECE Annual Meeting – February 21, 2020.

Discussion: Procuring professional assistance to compile and complete “report”:

As noted, the working group agreed that a technical writer should be procured to complete the report – removing duplications or redundancies and writing it in one voice under one format.

Having discussed this last week with Eric Curtit, it was thought that it may be a good use of Cameron Cordell who is already contracted to do the technical specification writing for the NGECE on a case by case basis. Her contract is, we believe, with Jacobs and AASHTO manages it in the same manner as it does Larry Salci’s. Cameron would need to submit a scope and budget for the effort and Tim Ziethen and Eric Curtit would be asked to approve it before AASHTO executes the contract modification.

Is this doable? Is it agreeable? would it simplify the process? We look for FASC and AASHTO guidance.

Strat Cavros, AASHTO noted that Casamar is already under contract for technical writing under the current scope and budget agreement and there is about \$44,000 unexpended to date. There would be no contract modification needed since there is already a contract in place.

Steve asked if it would be appropriate to provide Strat with a scope and budget for this particular assignment and Strat said it would be helpful so that he would be aware of what was coming.

Tim Ziethen agreed that this suggestion makes sense and asked what the next steps are – especially since there is no quorum today.

Steve said he would report back to Eric Curtit that this is a potential way forward and easily doable within the current contract between AASHTO and Casamar. On 10-31-19, the NGECE Equipment

Acquisition and Ownership working group met and discuss next steps. As noted in the Executive Board section of this report, the working group agreed with this plan forward. The next step is to ascertain the availability and willingness to of the technical writer to take on this task.

- Preparation of the Quarterly Grant Progress Report – Due to FRA – 10-31-19:

The progress report for the period ending September 30, 2019, was submitted to FRA, as required, by October 31, 2019.

Next report (period ending 12-31-19) is due to FRA by 1-31-20

- Annual NGECE By-Laws Review:

On 10-16-19, Steve Hewitt reminded FASC members that one of the subcommittee's responsibilities is to conduct an annual By-Laws review and, if there are recommended changes – the FASC must approve them first and then submit them in writing 30 days in advance of a vote on adoption by the Executive Board. Steve suggested that the process be kicked off this month.

In the past, the FASC Chair has asked the Co- Vice Chair – Ray Hessinger and NGECE Program Manager Steve Hewitt to conduct the review and to make recommendations to the full FASC. Steve recommends this process be followed and that the action be assigned today with a timeline of presenting the recommendations on either the November 13<sup>th</sup> or the December 11<sup>th</sup> FASC call)

Tim Ziethen agreed with the process as described by Steve Hewitt and directed Steve to contact Ray Hessinger to begin the review and establish a timeline for completion.

During the Month of November 2019, the Finance and Administrative Subcommittee met on the 13<sup>th</sup>.

Key decisions and action item updates from the month of November 2019, included:

- Treasurer's Update as of 11-14-19:

c. Balance-Spend Rate:

Tim Ziethen reported that the expenditures and balance remains the same as the last report:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$ 472,593.10

Balance remaining: \$ 777,406.90

Spend Rate per month: \$ 13,899.80

Strat Cavros, AASHTO, asked if he should be using the new Amtrak system (AREBA) in submitting the invoices. Tim responded that he will get clarification – the system is brand new – but, for now, Strat should continue submitting the invoices using the same process he has used up to now.

- d. Next Steps in the process of requesting no cost extension through the NGECE Executive Board Process:

Tim Ziethen noted that he had previously checked with Amtrak/FRA Grants to determine if the NGECE would be eligible for another no-cost grant agreement extension, and that it was verbally communicated that it is eligible, and that FRA would be amenable.

Steve Hewitt recommended that the FASC determine what the length of the extension should be based on the burn rate.

Tim Ziethen noted that he thought that extensions are limited to a year at a time. He did note that the balance and spend rate would make a 36-month extension a reasonable period of time.

Jeff Gordon, FRA, commented that he believes that there is no set rule that limits a grant extension to a one-year period, and that it would make sense to request a longer extension rather than go through the fairly lengthy process every 12 months if there is ample balance to support a longer timeframe.



Steve Hewitt and Eric Curtit noted that they believe the NGECC has, in the past, requested, and received grant extensions for longer than 12-months.

The question of reauthorization also arose in relation to a no cost extension and what the impact would be. Ultimately the general view was that there is no certainty to when reauthorization would be complete, and that the extension should be sought on its own track. If reauthorization occurs and there is a new grant – the current one would be closed out and the new one would begin.

After considerable discussion around the next steps, it was agreed that Jeff Gordon, FRA, will get clarification on the question of whether there is a limit on how long the extension can be and will report back to the FASC by the next call – 12-11-19

On the 12-11-19 call, if the question has been answered, the FASC will formalize a recommendation to the Executive Board to formally request a no-cost grant agreement extension for the period of time deemed to be appropriate based on FRA's response and on the current burn rate.

The intent would be for the Board to submit its request in January 2020 to allow ample time to complete the process in advance of the end of the current grant agreement performance period (9-30-20).

- Annual NGECC By-Laws Review:

Ray Hessinger, NYSDOT, reported that he and Steve Hewitt have reviewed the NGECC By-Laws “with a fine-tooth comb” and could not even find typos. It is their recommendation that no revisions are required.

Tim Ziethen called for a motion to accept the recommendation for no changes and advance it to the Executive Board for its next call 11-19-19.

On a motion by Eric Curtit, MODOT, seconded by Ray Hessinger, NYSDOT – the motion to inform the Executive Board that the By-Laws Annual review has been completed by the FASC and that the recommendation is that no changes are required.

- Preparing for the 10<sup>th</sup> NGECC Annual Meeting:

Steve Hewitt reported that the Annual Meeting will take place on 2-21-20 at the Hyatt Regency Hotel Capitol Hill, Washington, DC.

Per the NGECC By-Laws, a formal notice has gone out to all NGECC members, including industry participants. All have been notified of the date, location and the hotel room block link. Steve Hewitt has been working with Chairman Curtit on a DRAFT Agenda for the meeting and the draft has been set to the Executive Board for its review and comment. Once the agenda is firmed up as DRAFT – it will be sent out to all NGECC members as a placeholder subject to refinement and for use by members in gaining travel approvals.

Steve is working with AASHTO and will be provided with timelines for confirming attendees for name badges and head count.

Steve recommended that Tim Ziethen have a DRAFT FASC and Treasurer's Report presentation prepared for member review on the 1-8-20 FASC conference call.

- Discussion: NGECC Equipment Acquisition and Ownership Working Group - Eric Curtit:

Eric Curtit reported that the Equipment Acquisition and Ownership working group has completed the development of the 4 sections of what will be compiled into a reference document/best practices/lessons learned manual.

On the last call of the working group (10-31-19) it was agreed that the best most efficient way forward for compiling the 4 sections of the report into one document, spoken in one voice and without duplications is to utilize Camren Cordell – the NGECC's specification technical writer who is already

under contract. AASHTO has confirmed that there is a remaining balance in the spec writer contract of around \$44,000. This will be more than what is anticipated to spend on this particular effort.

Tammy Krause, Document Control Manager has agreed to reach out to Camren to check on her willingness and availability for taking on this assignment. Once we have her answer, we will be able to proceed forward.

Steve Hewitt suggested that the next step is for the FASC consider a motion to recommend to the Executive Board that it approve this action as the path forward for finalizing a penultimate draft for Board review. The intent is to have a complete DRAFT ready by the time of the NGEAC Annual Meeting (2-21-20).

A motion to accept the working group's recommendation to use the NGEAC's currently contracted technical writer (if available) to complete the DRAFT document was offered by Eric Curtit, MODOT, and seconded by Ray Hessinger, NYSDOT.

With a quorum having been established and no objections having been brought forward, Tim Ziethen determined that consensus has been achieved, and the motion is approved. Tim Ziethen will bring this to the Executive Board for its consideration on its next call – 11-19-19.

During the Month of December 2019, the Finance and Administrative Subcommittee met on the 11<sup>th</sup>.

Key decisions and action item updates from the month of December 2019, included:

- Treasurer's Update as of 12-11-19:

Balance-Spend Rate:

Tim Ziethen reported:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$496,446.52

Balance remaining: \$ 753,553.48

Spend Rate per month: \$13,417.47

Projected spend in the remaining months of the current grant: \$147,592.21

Balance anticipated at the end of the grant period (9-30-20): \$605,961.27

Expenditures anticipated in a 36-month no-cost extension: \$540,000.00

Average Monthly expenditure: \$15,000.00

Balance remaining at the end of the 36-month extension: approximately \$65,000.00

- FRA Clarification – is there a 12-month limit on the length of a no-cost extension – or can it be for multiple years?

During the call today (12-11-19) Tim Ziethen received confirmation from Amtrak grants that they had gotten an affirmative response from FRA that a multiple year no-cost grant extension can be requested.

Amtrak grants also noted that the window for formally requesting the multi-year extension is after July 1<sup>st</sup> and before September. Tim will reach out for clarification and provide the Board with this information next week. Amtrak is also putting together the documents that will be required for submitting the extension request.

Preparing for the 10<sup>th</sup> NGEAC Annual Meeting:

Currently there are 28 registrants for the Annual Meeting. Many more have accepted the calendar appointment but have not notified Steve Hewitt of their intentions to attend.

As Eric Curtit announced on the last Executive Board call, he has taken a new position in MODOT as Director of Planning and will no longer have Rail in his portfolio. In order to facilitate a smooth transition, Eric has agreed to stay on as Chair of the NGEAC to fill out his term of office which ends

with the election of new officers at the Annual Meeting. Eric will not be attending the Annual Meeting and has asked Charlie King to Chair in his place that day.

A nominating committee has been appointed and their job is to confirm with current State Board members if they are willing to continue in their role on the Board and to touch base with several state members who have informed us that they will be retiring. NCDOT (Allan Paul) has announced his retirement – as of the end of December but has provided the name of his replacement on the executive Board – Jason Orthner. NCDOT will provide a name of Allan's replacement on the Technical subcommittee as well. One other state member announced his retirement effective January 10<sup>th</sup> – Tim Hoeffner, Michigan DOT. The nominating committee will need to ascertain if Michigan will remain on the Board and on the FASC and, if so, who will be Tim's replacement for those positions. John Rosacker, Oklahoma DOT has talked to Eric and has agreed to stay on as a member of the NGECC, but not as a Board member. This means the Board, if all other members remain the same will have a representation of 11 states rather than 12 on the Board. This fits within the By-Laws which call for no more than 12 state Board members.

- NGECC Equipment Acquisition and Ownership Working Group reference document Status:

All 4 sections have been revised and submitted to the technical writer. The Planning section came in this week from IDOT. Tammy Krause is contacting the technical writer to ascertain a timeline and anticipated costs for this assignment.

The goal is still to have a complete draft by the Annual Meeting.

During the Month of January 2020, the Finance and Administrative Subcommittee met on the 8<sup>th</sup>.

Key decisions and action item updates from the month of January 2020, included:

Treasurer's Report:

- e. Balance-Spend Rate:

Tim Ziethen reported: (Includes Invoices through October 2019).

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$496,446.52

Balance remaining: \$ 753,553.48

Spend Rate per month: \$13,417.47

Projected spend in the remaining months of the current grant: \$162,351.43

Balance anticipated at the end of the grant period (9-30-20): \$591,202.05

Expenditures anticipated in a 36-month no-cost extension: \$540,000.00

Average Monthly expenditure: \$15,000.00

Balance remaining at the end of the 36-month extension: approximately \$51,202.05

- f. Next Steps/timeline in the process of requesting an extension through the Exec Board process

Tim confirmed the process to formally request a no-cost grant agreement entails submitting a GARF which is first presented to the executive Board for approval. The GARF will request a 36-month extension at no cost with the supporting budget documentation as based on the above information. The GARF must be submitted to the FRA in advance of the 90-day window for grant amendment requests (July 1 – September 30, 2020).

The FRA has previously confirmed that the NGECC is eligible to request a multi-year no-cost grant agreement extension. The FASC has reviewed the current balance remaining and the anticipated monthly run rate and has agreed that there is ample funding remaining to support a 36-month extension beginning 10-1-20 through 9-30-23 with a cushion of around \$51,000 at the end of the extension.

It was agreed that the proposed extension and recommendation of the FASC to move forward with the GARF will be presented for Executive Board approval on the next Board call (1-14-20).

On 1-28-20, the Executive Board approved a motion to move forward with the proposed GARF.

Preparing for the 10<sup>th</sup> NGEC Annual Meeting:

On 1-8-20, Steve Hewitt reminded members that the Annual Meeting will take place on 2-21-20 at the Hyatt Regency Hotel Capitol Hill, Washington, DC.

Per the NGEC By-Laws, a formal notice went out to all NGEC members, including industry participants. All have been notified of the date, location and the hotel room block link.

Currently (as of 2-5-20) there are 73 registrants for the meeting

A draft agenda was approved by the Executive Board in December and was distributed to NGEC members subject to refinements.

As Eric Curtit announced on the last Executive Board call, he has taken a new position in MODOT as Director of Planning and will no longer have Rail in his portfolio. In order to facilitate a smooth transition, Eric has agreed to stay on as Chair of the NGEC to fill out his term of office which ends with the election of new officers at the Annual Meeting. Eric will not be attending the Annual Meeting and has asked Charlie King to Chair in his place that day.

A nominating committee has been appointed – Eric is chairing the committee and its members are: John Oimoen, IDOT, Ron Pate, WSDOT and Ray Hessinger NYSDOT. Their job is to confirm with current State Board members if they are willing to continue in their role on the Board and to touch base with several state members who have informed us that they will be retiring.

Allan Paul), NCDOT, retired at the end of December. His replacement on the Executive Board is Jason Orthner. NCDOT has also named a successor for Allan on the Technical subcommittee – Matthew Simmons.

Tim Hoeffner, Michigan DOT retires at the end of this week. The nominating committee will need to ascertain if Michigan will remain on the Board and on the FASC and, if so, who will be Tim's replacement for those positions. John Rosacker.

Oklahoma DOT has agreed to stay on as a member of the NGEC, but not as a Board member. This means the Board, if all other members remain the same, will have a representation of 11 states. This fits within the By-Laws which call for no more than 12 state Board members.

Tim provided a brief overview of the FASC presentation. When he has completed the first DRAFT, it will be distributed to all FASC members for review (over the next few days). On the 2-5-20 FASC call, a walk- through of the DRAFT presentation will take place.

- Discussion: NGEC Equipment Acquisition and Ownership Working Group – Steve Hewitt:

All 4 sections have been revised and submitted to the technical writer. Tammy Krause had contacted the technical writer (Cameron Cordell) to ascertain a timeline and anticipated costs for this assignment. Steve Hewitt is awaiting a status update from Tammy.

Steve noted that, once the compiled DRAFT has been completed, it will be distributed to all working group members for review and comment. Steve also noted that while the goal is to have a DRAFT ready for review by the Board at the Annual Meeting, it is very possible that that timeline will slip. Steve commented that NGEC chairman Curtit's intent has always been to get it right rather than rush the process.

During the Month of February 2020, the Finance and Administrative Subcommittee met on the 5<sup>th</sup> and as a part of the NGEC's 10<sup>th</sup> Annual Meeting held on 2-21-20 in Washington, DC.

Key decisions and action item updates from the month of February 2020, included:

Treasurer's Report:

g. Balance-Spend Rate:

Tim Ziethen reported the following on 2-5-20 – a complete Treasure's Report was provided during the Annual meeting and can be found at [www.ngec305.org](http://www.ngec305.org).

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$515,042.76

Balance remaining: \$ 734,957.24

Spend Rate per month: \$13,533.76

Balance anticipated at the end of the grant period (9-30-20): \$591,202.05

Expenditures anticipated in a 36-month no-cost extension: \$540,000.00

Average Monthly expenditure: \$15,000.00

Balance remaining at the end of the 36-month extension: approximately \$51,202.05

h. Next Steps/timeline in the process of requesting an extension through the Exec Board process

Amtrak Grants formally submitted to FRA Grants the request for a 36-month no cost Grant Agreement extension, (called a GARF) in February. The FASC will monitor the progress of the request and keep the NGECE Executive Board informed.

- Discussion: NGECE Equipment Acquisition and Ownership Working Group – Steve Hewitt:

See update provided in the Executive Board section of this report as presented by Steve Hewitt during the Annual Meeting on 2-21-20.

During the Month of March 2020, the Finance and Administrative Subcommittee met via conference call on the 4<sup>th</sup>.

Key decisions and action item updates from the month of February 2020, included:

- Treasurer's Report:

Balance-Spend Rate as of 3-5-20:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$542,423.82

Balance remaining: \$ 707,576.18

Spend Rate per month: approximately \$13,000

Projected total remaining at the end of the 36-month extension: \$39,000

Average Monthly expenditure estimated for the extension period is: \$15,000.00

Status: Grant Agreement extension request – Tim Ziethen, Amtrak:

Tim Ziethen reported on 3-5-20 that FRA has received the Grant Adjustment Request Form GARF) which Amtrak's Treasurer signed and submitted to FRA Grants. The FRA has stated that it will likely take a few months to work through the process and that there are a few others in the queue ahead of the NGECE's. Tim noted "as we get closer (to the end of the current agreement) we will need to reach out and ask for an expedited review."

- Conveying the message: Disseminating the two-page NGECE Educational Document and the NGECE "vision" statement:

The revisions/updates to the two-page educational document have been made and 400 copies were printed by MODOT and sent to Steve Hewitt.

Steve Hewitt distributed over 100 copies to attendees at the Annual meeting and 50 more copies were provided to TRB in January. The document is available to upon request in hard copy or PDF. Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

Between the 2019 handout distribution and the new version released in January 2020, over 1000 copies (electronic and hard) have been distributed over the past 12 months.

- Status Update as of 3-5-20: NGEC Equipment Acquisition and Ownership Best Practices Working Group:

Developing a Reference Document

All 4 draft sections have been submitted to the technical writer.

Once the compiled DRAFT has been completed, it will be distributed to all working group members for review and comment. Following approval of the working group, the document will be submitted to the Executive Board for its review and consideration.

During the Month of April 2020, the Finance and Administrative Subcommittee met twice via conference call on the 1<sup>st</sup> and the 29th.

Key decisions and action item updates from the month of April 2020, included:

- Treasurer's Report:

Treasurer's report as of the end of February (not including the AASHTO March invoice – not yet received):

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$557,227.12

Balance remaining: \$ 692,772.88

Spend Rate per month: approximately \$13,590.91

Estimated balance remaining at the end of the current grant period (9-30-20) - \$577,636.54

Average Monthly expenditure estimated for the extension period is: \$15,000.00

Amount utilized if the Grant is extended for 36 months at estimated spend rate \$540,000.00

Projected total remaining at the end of the 36-month extension: \$37,636.54

Note: Strat Cavros, AASHTO, reported on 4-29-20 that AASHTO's March invoice will be for about \$22,000 and is about to be submitted. Strat noted that the higher than usual invoice amount is due to reimbursement for Travel expenses to NGEC state members for the Annual Meeting held on 2-21-20.

- Status: Grant Agreement extension request:

As of 4-29-20, the 36 month no-cost grant agreement extension is with FRA grants. It is anticipated that they will review it in May and, hopefully, it will be accepted and set in place prior to the end of the current grant agreement (9-30-20).

- Conveying the Message (as of 4-29-20):

One of the NGEC Grant requirements is to develop and keep updated an educational document to provide congress and others (states, Amtrak, industry) with information describing what the NGEC is and what it does, and to highlight its accomplishments.

The FASC oversees this effort with Executive Board approval. In January 2020, the NGEC released its updated background and educational document. To date over 150 hard copies and 250 electronic versions have been distributed. Overall, in the past 14 months we have distributed more than 1300 copies of the most recent versions of the educational document.

It remains available, by request, from Steve Hewitt in both versions hard copy and PDF and is useful in conveying the message – (something that is critical with reauthorization on the table).

As the year progresses, the FASC will take another look at this document and update it as appropriate.

- Status Update as of 4-29-20: NGEC Equipment Acquisition and Ownership Best Practices Working Group:

## Developing a Reference Document

The document, which was initially developed by the working group was submitted to technical writer, Cameron Cordell to compile the four DRAFT sections into one comprehensive – one voice document – removing all redundancies among the four separately written sections and re-formatting it into an NGECC document.

As of this date Cameron has not yet provided the DRAFT of the document for distribution to the working group. Tammy Krause has reached out to her to see where things stand but has not yet received a response.

As previously reported, Cameron had much of the compilation done and had re-formatted it to be consistent with other NGECC documents.

### - Quarterly Grant Progress Report – due to FRA 4-30-20:

On 4-29-20, Treasurer Tim Ziethen reported that he and Program Manager Steve Hewitt have been working on the Quarterly grant Progress Report for the period ending 3-31-20. Steve provided Tim with some edits on 4-29-20 and Tim was to give it one last review and then send it on to Amtrak grants for submittal to FRA on 4-30-20.

Tim thanked Steve for his assistance and added that the status notes in the report follow Steve's notes from the monthly and quarterly NGECC Activities updates he prepares.

Once it has been sent to FRA, Tim Ziethen will provide it to Steve Hewitt for appropriate distribution.

Next Progress Report will be for the period ending 6-30-20 and will be due to FRA on 7-31-20.

During the Month of May 2020, the Finance and Administrative Subcommittee met via conference call on the 27<sup>th</sup>.

### - Key decisions and action item updates from the month of May 2020, included:

Treasurer's update as of 5-27-20:

Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$579,201.22 (through March 2020)

Balance remaining: \$ 670,798.78

Estimated balance remaining at the end of the current grant period (9-30-20) - \$568,055

Average Monthly expenditure estimated for the extension period is: \$15,000.00 (just above current spend rate)

Amount utilized if the Grant is extended for 36 months at estimated spend rate \$540,000

Projected total remaining at the end of the 36-month extension: \$28,000

Grant Agreement extension request update:

FRA Grants has reached out to Amtrak Grants suggesting that the grant agreement extension request amend the performance period to include the first 26 months and add the requested 26 months making the grant performance period 72 months.

Tim Ziethen commented that this is really what the extension meant to do so this amendment/clarification is fine, and he will let the grants people know.

FRA also asked that the NGECC budget be reviewed to see if there are any changes to be made at this time within categories/tasks.

Tim Ziethen explained that in conducting a review of the budget – he noted that there is \$100,00 in it for two audits to be conducted by Amtrak's OIG at \$50,000 each. The first would take during the performance period and the second would be at the end of the grant period.

Since the initial execution of the grant and approval of the budget, it has been determined that it is no longer anticipated that the NGECE will incur these costs because it will be covered by the general audit of all Amtrak grants.

Tim noted that there are two options – re-purpose the money or leave it alone, for now, understanding that the NGECE Executive Board has the authority to shift money within the various budget line items as it has done in shifting Amtrak support to AASHTO support for the Document Manager position.

Tim's thoughts were that it makes no sense to do it right now – leave it as it is and come back to it through normal channels which would be a recommendation by the FASC to the Executive Board with its subsequent action at the appropriate time.

Steve Hewitt was asked for his counsel on this issue and he noted that since the Board has the authority to move money with the budget, it would make sense to not amend it now, rather to leave it and address it once the NGECE has a specific purpose for expending those funds. He noted that this would mean there is no change to the budget to be requested of FRA as a part of the grant extension request.

Ray Hessinger, NGECE Chair, agreed with Tim and Steve that there is no need to amend the budget now within the extension request – better to leave as is and use the Board's authority to move it at the appropriate time.

With no further discussion forthcoming, Tim Ziethen formally recommended that Amtrak grants be directed to inform FRA grants that a budget review has been completed, and there are no immediate changes to the budget distribution at this time.

John Oimoen, IDOT, offered a motion to accept the recommendation of Chairman Ziethen. A second was offered by Troy Hughes, MODOT.

After asking if there was any further discussion and/or any objections, Tim Ziethen determined that consensus has been achieved and the motion is approved.

In his next report to the NGECE Executive Board (6-16-20) he will inform the Board members of this action as a part of his update on the progress of the grant extension request.

- Conveying the Message (as of 5-27-20):

One of the NGECE Grant requirements is to develop and keep updated an educational document to provide congress and others (states, Amtrak, industry) with information describing what the NGECE is and what it does, and to highlight its accomplishments.

The FASC oversees this effort with Executive Board approval. In January 2020, the NGECE released its updated background and educational document. To date over 400 hard copies and electronic versions have been distributed. Overall, in the past 15 months we have distributed more than 1300 copies of the most recent versions of the educational document.

It remains available, by request, from Steve Hewitt in both versions hard copy and PDF and is useful in conveying the message – (something that is critical with reauthorization on the table).

As the year progresses, particularly if reauthorization heats up, the FASC will take another look at this document and update it as appropriate and redistribute it.

- Status Update as of 5-31-20- NGECE Equipment Acquisition and Ownership Best Practices Working Group:

Developing a Reference Document

See the update contained in the Executive Board section of this activities report.



- Quarterly Grant Progress Report – due to FRA 7-31-20:

Next Progress Report will be for the period ending 6-30-20 and will be due to FRA on 7-31-20.

During the Month of June 2020, due to schedule conflicts, the Finance and Administrative Subcommittee did not meet. Work of the subcommittee continued with status updates provided to the Executive Board on 6-16-20 and 6-30-20.

Treasurer's update as of 6-30-20:

See update provided to the Executive Board and noted in that section of this report.

- Conveying the Message (as of 6-30-20):

One of the NGEC Grant requirements is to develop and keep updated an educational document to provide congress and others (states, Amtrak, industry) with information describing what the NGEC is and what it does, and to highlight its accomplishments.

The FASC oversees this effort with Executive Board approval. In January 2020, the NGEC released its updated background and educational document. To date over 400 hard copies and electronic versions have been distributed. Overall, in the past 15 months we have distributed more than 1300 copies of the most recent versions of the educational document.

It remains available, by request, from Steve Hewitt in both versions hard copy and PDF and is useful in conveying the message – (something that is critical with reauthorization on the table).

As the year progresses, particularly if reauthorization heats up, the FASC may wish to take another look at this document and update it as appropriate for re-distribution.

- Status Update as of 6-30-20- NGEC Equipment Acquisition and Ownership Best Practices Working Group:

Developing Recommended Practices

See the update contained in the Executive Board section of this activities report.

- Quarterly Grant Progress Report – due to FRA 7-31-20:

The next Progress Report will be for the period ending 6-30-20 and will be due to FRA on 7-31-20.

During the Month of July 2020, the Finance and Administrative Subcommittee met on the 22<sup>nd</sup>.

- Treasurer's update as of 7-22-20:

Balance/Spend Rate:

Through May 2020

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$620,692.48

Balance remaining: \$ 629,307.52

Anticipated spending through the remainder of the current grant period: approximately \$76,000.

Estimated balance remaining at the end of the current grant period (9-30-20): \$552,000.

Approximate current spend rate: \$14,000.

Average Monthly expenditure estimated for the extension period is: \$15,000.00

Amount utilized if the Grant is extended for 36 months at estimated spend rate: \$540,000.00

Projected total remaining at the end of the 36-month extension: \$10-20,000.

Grant Agreement extension request:

Tim Ziethen reported that Amtrak grants has gotten some feedback from FRA on the grant extension request. The most recent interaction was this week. Some suggested verbiage changes have been agreed to, and Tim understands that there is now "conceptual" agreement on the 36 month "no-cost" extension. He believes that most, if not all, reviews have been completed and they are awaiting final confirmation of approval.

As soon as gets an update, Tim will let the FASC members and the Executive Board know.

- Conveying the Message (as of 7-22-20):

One of the NGECE Grant requirements is to develop and keep updated an educational document to provide congress and others (states, Amtrak, industry) with information describing what the NGECE is and what it does, and to highlight its accomplishments.

The FASC oversees this effort with Executive Board approval. In January 2020, the NGECE released its updated background and educational document. To date over 400 hard copies and electronic versions have been distributed. Overall, in the past 15 months we have distributed more than 1300 copies of the most recent versions of the educational document.

It remains available, by request, from Steve Hewitt in both versions hard copy and PDF and is useful in conveying the message – (something that is critical with reauthorization on the table).

With Reauthorization beginning to take shape – at least in the House - it should be noted that, it does not appear to be in the House version of the bill. The NGECE cannot lobby or advocate, which does make it difficult, but other organizations including AASHTO, SPRC, CSG-ERC do have the NGECE reauthorization in their principles.

Steve Hewitt recommended that states check with their government affairs offices individually so that this issue can be worked through the appropriate channels. Tim Ziethen will check with Amtrak government affairs to be sure they have this on their radar as well.

Steve asked Shayne Gill, AASHTO, if his assessment was correct. Shayne acknowledged it is not in the House bill and agreed that Senate Commerce has not yet introduced its DRAFT bill.

Tim Ziethen asked all FASC members to check in with their appropriate channels to make sure this item is on their radar.

- Status Update as of 7-31-20- NGECE Equipment Acquisition and Ownership Best Practices Working Group:

The group last met on 6-25-20 to go over comments received on the most recent draft. It was a productive session with all comments addressed in one way or another. The title of the document was agreed on by the working group members. Unless the Executive Board has a different name for it, the document will be titled "Recommended Practices".

Some edits suggested on the 6-25-20 call required additional rewriting to address comments made and will be incorporated into an updated DRAFT and there will be another round of working group review.

The next meeting was scheduled to take place on 7-30-20, but, as of today, because we have not received the updated DRAFT, Chairman Hessinger asked Steve Hewitt to cancel the call. It will be rescheduled once the updated version has been received and circulated. The intent is to give working group members at least two weeks for review. It is hoped that this will be the last round of reviews by the working group before advancing the DRAFT to the Executive Board for its review and comment.

Once the working group has approved the DRAFT document, the Executive Board will be provided at least two weeks of review prior to discussion on a subsequent Board call.

- Quarterly Grant Progress Report – due to FRA 7-31-20:

The progress report was completed and submitted by the deadline (7-31-20).

During the Month of August 2020, the Finance and Administrative Subcommittee met on the 19th.

- Treasurer's update as of 8-19-20:

See update provided in the Executive Board section of this report.

- Conveying the Message (as of 8-19-20):

One of the NGEC Grant requirements is to develop and maintain an educational document to provide congress and others (states, Amtrak, industry) with information describing what the NGEC is, what it does, and to highlight its accomplishments.

The FASC oversees this effort with Executive Board approval. In January 2020, the NGEC released this year's version of the document. To date about 410 hard copies and electronic versions have been distributed. Overall, in the past 16 months we have distributed more than 1300 copies.

It remains available, by request, from Steve Hewitt in both versions hard copy and PDF and is useful in conveying the message – (something that is critical with reauthorization on the table).

With Reauthorization beginning to take shape – at least in the House - it should be noted that, reauthorization of the NGEC is not in the House version of the bill. The NGEC cannot lobby or advocate, which does make it difficult, but other organizations including AASHTO, SPRC, CSG-ERC do have the NGEC reauthorization in their principles.

SPRC, which has already informed House and Senate members of its' support for reauthorizing the NGEC by including it in its authorizing principles, is now in the process of providing the Senate with proposed language (using what was previously developed within the NGEC for other organizations to use) emphasizing the importance of reauthorizing and funding the NGEC.

Steve Hewitt, again, recommended that states check with their government affairs offices individually so that this issue can be worked through their channels and that AASHTO and Amtrak also re-enforce the request.

Tim Ziethen reported that he spoke to Ken Altman, Amtrak Government Affairs, and Ken confirmed that Amtrak had included the NGEC authorization in a pot of funds for eligible activities when they submitted their authorization requests. Ken confirmed that it was missed in the House bill (the bill is silent on 305/NGEC) He asked Tim for some additional information – such as who is on the committee and what are the risks if it is not reauthorized etc. Tim will provide Ken with the response in a 3-bullet paragraph.

Shayne Gill, AASHTO, confirmed that NGEC authorization was included in their principles for authorization and he will do some follow-up with Senate Commerce – which has not produced a bill yet. He also noted that it is quite unlikely that Congress will enact the FAST Act successor over the next 60 days and, if that would mean it would need to be brought back up in the next Congress so there will be additional opportunities for outreach on both the Senate and House side.

- Status Update as of 8-19-20- NGEC Equipment Acquisition and Ownership Best Practices Working Group:

As reported previously the working group last met on 6-25-20 to go over comments received on the most recent draft. It was a productive session with all comments addressed in one way or another. The title of the document was agreed on by the working group members as "Recommended Practices".

Some edits suggested on the 6-25-20 call required additional rewriting to address comments made and will be incorporated into an updated DRAFT and there will be another round of working group review.

The next meeting was scheduled to take place on 7-30-20, but, that call was canceled, and because we still have not received the updated DRAFT, it has not yet been rescheduled. It will only be scheduled when the updated version has been received and circulated. The intent continues to be to give working group members at least two weeks for review. It is hoped that this will be the last round of reviews by the working group before advancing the DRAFT to the Executive Board for its review and comment.

Once the working group has approved the DRAFT document, the Executive Board will be provided at least two weeks of review prior to discussion on a subsequent Board call.

Last status report from Document Control Manager Tammy Krause was that the updates have been provided to the technical writer, Camren Cordell, and Tammy anticipated getting the updated version over the next week or so. Thus far that has not happened – but we hope to hear from Tammy on tomorrow's technical subcommittee call as to where things stand.

- Quarterly Grant Progress Report:

Tim Ziethen reported that he had submitted the 3<sup>rd</sup> Quarter report to FRA – there had been some feedback – and several “final” versions of the report. Tim will check his files to be sure that he had sent Steve Hewitt the Final version. Steve believe that he did get the last version and it is the one that he sent to the Board members and the FASC members. Tim will double check.

The next report is due October 31, 2020.

During the Month of September 2020, the Finance and Administrative Subcommittee met on the 16th.

- Treasurer's update as of 9-16-20:

Balance/Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$643,857.54.

Balance remaining: \$ 606,142.46.

Anticipated spending through the remainder of the current grant period: approximately \$43,899.38.

Estimated balance remaining at the end of the current grant period (9-30-20): \$562,243.08.

Approximate current spend rate: \$14,107.

Average Monthly expenditure estimated for the extension period is: \$15,000.00.

Amount utilized if the Grant is extended for 36 months at estimated spend rate: \$540,000.00.

Projected total remaining at the end of the 36-month extension: \$22,243.08.

36 month no cost NGEC Grant Agreement extension approved and executed:

Tim Ziethen reported the “good news” – the NGEC 36 month no cost grant agreement extension request has been approved and officially executed by FRA and Amtrak. The extension utilizes current funding with no additional funds and extends the NGEC grant agreement through 9-30-23.

Steve Hewitt will circulate the official documentation (as provided today by Tim Ziethen) to members of the NGEC Executive Board and Finance and Administrative subcommittee (FASC).

Tim expressed his thanks and appreciation to the FRA and Amtrak grants offices for their efforts in getting the extension executed.

- Conveying the Message (as of 9-16-20):

With Reauthorization beginning to take shape – at least in the House - it should be noted that, reauthorization of the NGEC is not in the House version of the bill. The NGEC cannot lobby or advocate, which does make it difficult, but other organizations including AASHTO, SPRC, CSG-ERC do have the NGEC reauthorization in their principles.

The States for Passenger Rail Coalition (SPRC), which has already informed House and Senate members of its' support for reauthorizing the NGEAC by including it in its authorizing principles, is now in the process of finalizing a package to send to Senate Commerce with a copies to the House side.

Steve Hewitt, again, recommended that states check with their government affairs offices individually so that this issue can be worked through their channels and that AASHTO and Amtrak also re-enforce the request.

While it is quite unlikely that Congress will enact the FAST Act successor in this Congress, and that would mean it would need to be brought back up in the next Congress, it is still good to get on the record – again – and to be prepared to do further outreach on both the Senate and House side as the new Congress convenes.

Arun Rao, Chairman of SPRC and a member of the NGEAC executive Board and FASC confirmed Steve's report that SPRC's package is under final review and will be going out soon.

Tim Ziethen confirmed that he has contacted Ken Altman to ensure that this continues to be a part of Amtrak's reauthorization requests. Ken confirmed that they did include it and would continue to do so. He asked Tim for some additional information which Tim has drafted and will provide to Steve Hewitt for his review and comment.

Shayne Gill confirmed that AASHTO did include the NGEAC reauthorization in its authorization request and he agreed that it is helpful to make the request to Senate Commerce and to also send the request to the House T&I Committee. He also noted that it was likely left out of the House bill simply because it was missed rather than intentionally left out.

Shayne also noted that there has been discussion on the Hill of passing a one-year clean extension of the FAST Act rather than let it expire on 9-30-20.

Steve Hewitt added that, because the NGEAC was reauthorized in the FAST Act – a clean extension would mean it would also be included in a clean extension.

There was no funding included in the FAST Act reauthorization of the NGEAC, but the 36 month no-cost grant agreement extension will enable the NGEAC to continue its work for the life of the agreement.

The SPRC request will include an authorization for \$2.5 million over the life of the bill.

- Status Update as of 9-16-20- NGEAC Equipment Acquisition and Ownership Best Practices Working Group:

On 9-8-20, during the Executive Board call, Document Control Manager Tammy Krause reported that the Technical Writer (Cameron Cordell) was completing what would be the 4<sup>th</sup> revision of the "Recommended Practices" document. Tammy reported that the completed revision would be ready to go to the working group members by 9-11-20. As of today, 9-30-20, that has not happened.

The intent continues to be to give working group members at least two weeks for review. It is hoped that this will be the last round of reviews by the working group before advancing the DRAFT to the Executive Board for its review and comment.

Once the working group has approved the DRAFT document, the Executive Board will be provided at least two weeks of review prior to discussion on a subsequent Board call.

- Quarterly Grant Progress Report:

The next quarterly report for the period from July 1, 2020 through 9-30-2020 will be due to FRA by October 30, 2020.

Information on activities to be reported in the Quarterly report are included in this Activities Update.

During the Month of October 2020, the Finance and Administrative Subcommittee met on the 14th.

- Treasurer's update as of 10-20-20:

See the Executive Board section of this report..

- Conveying the Message (as of 10-14-20):

With Reauthorization beginning to take shape – at least in the House - it should be noted that, reauthorization of the NGECE is not in the House version of the bill. The NGECE cannot lobby or advocate, which does make it difficult, but other organizations including AASHTO, SPRC, CSG-ERC do have the NGECE reauthorization in their principles.

The States for Passenger Rail Coalition (SPRC), which has already informed House and Senate members of its' support for reauthorizing the NGECE by including it in its authorizing principles, is now in the process of finalizing a package to send to Senate Commerce with a copies to the House side.

Steve Hewitt, again, recommended that states check with their government affairs offices individually so that this issue can be worked through their channels and that AASHTO and Amtrak also re-enforce the request.

While it is quite unlikely that Congress will enact the FAST Act successor in this Congress, and that would mean it would need to be brought back up in the next Congress, it is still good to get on the record – again – and to be prepared to do further outreach on both the Senate and House side as the new Congress convenes.

Arun Rao, Chairman of SPRC and a member of the NGECE executive Board and FASC confirmed Steve's report that SPRC's package is under final review and will be going out soon.

Tim Ziethen confirmed that he has contacted Ken Altman to ensure that this continues to be a part of Amtrak's reauthorization requests. Ken confirmed that they did include it and would continue to do so. He asked Tim for some additional information which Tim has drafted and will provide to Steve Hewitt for his review and comment.

Shayne Gill confirmed that AASHTO did include the NGECE reauthorization in its authorization request and he agreed that it is helpful to make the request to Senate Commerce and to also send the request to the House T&I Committee. He also noted that it was likely left out of the House bill simply because it was missed rather than intentionally left out.

Shayne also noted that there has been discussion on the Hill of passing a one-year clean extension of the FAST Act rather than let it expire on 9-30-20.

Steve Hewitt added that, because the NGECE was reauthorized in the FAST Act – a clean extension would mean it would also be included in a clean extension.

There was no funding included in the FAST Act reauthorization of the NGECE, but the 36 month no-cost grant agreement extension will enable the NGECE to continue its work for the life of the agreement.

The SPRC request will include an authorization for \$2.5 million over the life of the bill.

This effort has been completed for the 2020 Congressional session:

SPRC submitted a package to the committees of jurisdiction utilizing information provided by the NGECE. AASHTO and Amtrak have also expressed support for reauthorizing the NGECE in the successor to the FAST Act.

Congress has extended the FAST Act for one year and that extension includes the NGECE. It remains to be seen, when the next Congress will take up reauthorization of the Fast Act in the next session.

- Status Update as of 10-29-20- NGEC Equipment Acquisition and Ownership Best Practices Working Group:

As of 10-29-20, The 4<sup>th</sup> DRAFT revision remains with the Technical writer. Document Control Manager, Tammy Krause had scheduled a call with her on 10-29-20 to get a status update.

The intent continues to be to give working group members at least two weeks for review. It is hoped that this will be the last round of reviews by the working group before advancing the DRAFT to the Executive Board for its review and comment.

Once the working group has approved the DRAFT document, the Executive Board will be provided at least two weeks of review prior to discussion on a subsequent Board call.

- Quarterly Grant Progress Report:

The next quarterly report for the period from 10-1-20 through 12-31-20 will be due to FRA by January 31, 2021.

The quarterly report for the period from July 1, 2020 through 9-30-2020 was submitted by Amtrak to FRA on October 30, 2020.

Information on activities to be reported in the Quarterly report were included in the last monthly Activities Update Report (9-30-20).

During the Month of November 2020, the Finance and Administrative Subcommittee met on the 10th.

- Treasurer's update as of 11-17-20:

See the Executive Board section of this report.

- Conveying the Message (as of 10-14-20):

Congress extended the FAST Act for one year and that extension includes the NGEC. It remains to be seen, when the next Congress will take up reauthorization of the Fast Act in the next session.

Prior action taken by other organizations with regard to NGEC organizations in the bill prepared by the House in the current Congress:

The States for Passenger Rail Coalition (SPRC), which earlier informed House and Senate members of its' support for reauthorizing the NGEC by including it in its authorizing principles, submitted a letter further expressing its support for reauthorizing the NGEC and provided proposed language including scope and funding. (The SPRC request included an authorization for \$2.5 million over the life of the bill).

Tim Ziethen, Amtrak contacted Ken Altman, Amtrak Government Affairs, to ensure that this continues to be a part of Amtrak's reauthorization requests. Ken confirmed that they included it and would continue to do so.

Shayne Gill, AASHTO, confirmed that NGEC reauthorization was included in its authorization request and he agreed that it is helpful to make the request to Senate Commerce and to also send the request to the House T&I Committee. He also noted that it was likely left out of the House bill simply because it was missed rather than intentionally left out.

- Status Update as of 11-30-20 - NGEC Equipment Acquisition and Ownership Best Practices Working Group:

The technical writer finished with all of the new edits and the inclusion of acronyms in the front section. All formatting of the draft document is complete and, once approved it will be added to the NGEC documents as PRIIA 305-200 Recommended Practices.

The document was sent to all working group member on 11-17-20 to allow ample time for review and comment. A meeting is scheduled for 12-8-20 to reconcile any comments working group members may have and, hopefully, approve the draft for submittal to the Executive Board for its review and consideration.

- Quarterly Grant Progress Report:

The 4<sup>th</sup> quarter report was submitted to FRA on time – 10-30-20.

The next report will be for the period ending 12-31-20. It will be due to FRA on 1-31-21.

- Annual Review of NGECC By-Law:

As noted earlier in this report, on 11-17-20, the Executive Board adopted the FASC approved By-Laws changes.

During the Month of December 2020, the Finance and Administrative Subcommittee met on the 9th.

- Treasurer's Report as of 12-9-20:

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$681,579.65.

Balance remaining: \$ 568,420.35.

Estimated spend at current rate for the remaining grant period (through 9-30-23) - \$486,842.61.

Current Spend Rate (as info and used in calculating) - \$13,909.79.

Estimated balance at the end of the Extension Period – 9-30-23 – (Contingency) - \$81,577.74.

Status: Execution 36-month contract extensions Amtrak/AASHTO, AASHTO/subcontractors – Hewitt, Casamar (Cameron Cordell), Krause, Salci task order:

Strat Cavros, AASHTO, confirmed that all ongoing sub-contractor extensions for the length of the current grant agreement (through 9-30-23) have been executed and that the Larry Salci task order for the DMU Review Panel Report has also been resolved.

- Conveying the Message (as of 10-14-20):

Congress extended the FAST Act for one year and that extension includes the NGECC. It remains to be seen, when the next Congress will take up reauthorization of the Fast Act in the next session.

Prior action taken by other organizations with regard to NGECC organizations in the bill prepared by the House in the current Congress:

The States for Passenger Rail Coalition (SPRC), which earlier informed House and Senate members of its' support for reauthorizing the NGECC by including it in its authorizing principles, submitted a letter further expressing its support for reauthorizing the NGECC and provided proposed language including scope and funding. (The SPRC request included an authorization for \$2.5 million over the life of the bill).

Tim Ziethen, Amtrak contacted Ken Altman, Amtrak Government Affairs, to ensure that this continues to be a part of Amtrak's reauthorization requests. Ken confirmed that they included it and would continue to do so.

Shayne Gill, AASHTO, confirmed that NGECC reauthorization was included in its authorization request and he agreed that it is helpful to make the request to Senate Commerce and to also send the request to the House T&I Committee. He also noted that it was likely left out of the House bill simply because it was missed rather than intentionally left out.

- Status Update as of 12-31-20 - NGECC Equipment Acquisition and Ownership Best Practices Working Group:



On 12-9-20 Steve Hewitt reported that the NGECEquipment Acquisition and Ownership working group met yesterday (12-8-20) to review member comments/suggested edits to Revision 4 of the Recommended Practices document. Revision 4 was the first DRAFT in PRIIA format and incorporated comments received through the first 3 DRAFTS. It was also the first effort to have the document speak in one voice and with a consistency in format and terminology.

Ray Hessinger facilitated a walk-through of the document to address the comments and suggested edits received. The walk-through was extensive with clarity and continuity being a focus. It was comprehensive, with most revisions/edits being accepted, and comments were explained and resolved. The group was able to get to through about a third of the full document while going over the meeting's allotted time.

Ultimately, it was agreed to pause at section 36-2 and to hold another call on 12-15-20 at 3:00PM Eastern. The group will begin the continued walk through at the point where this call left off. In the meantime, Technical writer, Camren Cordell will accept the changes agreed to, thus far, and change the term "contractor" to "customer" and "builder" to "contractor" throughout the document to maintain terminology consistency.

Great progress was made on the call and the document is coming together very well. It will take some more time to complete the review and get the document ready for submittal to the Executive Board, but when completed it should be a valuable tool to be used by procuring entities going forward. It will also be a document that can be maintained and kept current over time as more procurements occur. The document will be a part of the PRIIA NGECEquipment library numbered PRIIA 305-200 Recommended Practices.

Jeff Gordon, FRA, concurred that the document is progressing well. Jeff added that it was a lot to expect of the group to get through all of the comments and edits in a one-hour period, but there are not too many comments left in the remaining sections of the document to resolve.

Steve Hewitt agreed, and noted that he thinks the group will get through the remaining edits/comments on next week's call, and then the Technical Writer will incorporate all of the changes and a "final" draft will go to the working group members for review. Once approved by the working group it will go to the Executive Board with a two-week period provided for review and comment before being put on a Board meeting agenda.

On 12-15-20, the FASC approved updates and resolved all comments. The report has been submitted to the Technical writer to incorporate the additional changes and provide a final draft for working group members to review.

The goal would be to have PRIIA 305-200 - Recommended Practices completed in time for introduction during the NGECEquipment "virtual" Annual Meeting on 2-23-20.

- **Quarterly Grant Progress Report:**

The 4<sup>th</sup> quarter report was submitted to FRA on time – 10-30-20.

The next report will be for the period ending 12-31-20. It will be due to FRA on 1-31-21. Information to be included in the quarterly report is included at the end of this activities report.

- **Annual Review of NGECEquipment By-Law:**

Task complete – next review – Fall 2021.

During the Month of January 2021, the Finance and Administrative Subcommittee met on the 6th.

- **Treasurer's Report as of 1-26-21:**

Total Initial Grant Amount: \$1,250,000.

Amount Spent: \$681,532.36.

Balance remaining: \$ 568,467.64.

Estimated spend at current rate for the remaining grant period (through 9-30-23) - \$486,808.83.  
Current Spend Rate per month (as info and used in calculating) - \$13,908.82.

- Conveying the Message (1-31-21):

Congress extended the FAST Act for one year and that extension includes the NGEC. It remains to be seen, when the next Congress will take up reauthorization of the Fast Act in the next session.

Prior action taken by other organizations with regard to NGEC organizations in the bill prepared by the House in the current Congress:

The States for Passenger Rail Coalition (SPRC), which earlier informed House and Senate members of its' support for reauthorizing the NGEC by including it in its authorizing principles, submitted a letter further expressing its support for reauthorizing the NGEC and provided proposed language including scope and funding. (The SPRC request included an authorization for \$2.5 million over the life of the bill).

Tim Ziethen, Amtrak contacted Ken Altman, Amtrak Government Affairs, to ensure that this continues to be a part of Amtrak's reauthorization requests. Ken confirmed that they included it and would continue to do so.

Shayne Gill, AASHTO, confirmed that NGEC reauthorization was included in its authorization request and he agreed that it is helpful to make the request to Senate Commerce and to also send the request to the House T&I Committee. He also noted that it was likely left out of the House bill simply because it was missed rather than intentionally left out.

With the new Congress in place, efforts to provide educational material to SPRC and others will be made once again.

- Updating the NGEC two-pager for 2021:

The 2021 version of the two-page educational document is being finalized by MODOT Graphics Arts and should be available by the NGEC Annual Meeting.

- Status Update as of 1-31-21 - NGEC Equipment Acquisition and Ownership Best Practices Working Group:

The Equipment Acquisition and Ownership working group had completed its review of what was Revision 6 of the DRAFT Recommended Practice Document 305-200, and an electronic vote took place on 2-1-21.

Note: The working group approved Revision 6 for submittal to the NGEC Executive Board. The intent is to discuss it on the Board meeting on 2-9-21 and consider it for adoption during the Annual meeting 2-23-21.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 12-31-20 was submitted on time to FRA on 1-29-21.

Next report due: April 30, 2021.

- Annual Review of NGEC By-Law:

Task complete – next review – Fall 2021.

During the Month of February 2021, the Finance and Administrative Subcommittee did not meet due to schedule conflicts. However, the work of the subcommittee continued with preparation for the Annual Meeting and completion of the Annual Treasurer's Report to the Executive Board being priorities:

- Treasurer's Report as of 2-23-21:

Please see the Executive Board section of this report for the most recent Treasurer's Finance Update.

- Conveying the Message (2-23-21):

Congress extended the FAST Act for one year and that extension includes the NGEC. It remains to be seen, when the next Congress will take up reauthorization of the Fast Act in the next session.

Prior action taken by other organizations with regard to NGEC organizations in the bill prepared by the House in the current Congress:

The States for Passenger Rail Coalition (SPRC), which earlier informed House and Senate members of its' support for reauthorizing the NGEC by including it in its authorizing principles, submitted a letter further expressing its support for reauthorizing the NGEC and provided proposed language including scope and funding. (The SPRC request included an authorization for \$2.5 million over the life of the bill).

Tim Ziethen, Amtrak contacted Ken Altman, Amtrak Government Affairs, to ensure that this continues to be a part of Amtrak's reauthorization requests. Ken confirmed that they included it and would continue to do so.

Shayne Gill, AASHTO, confirmed that NGEC reauthorization was included in its authorization request and he agreed that it is helpful to make the request to Senate Commerce and to also send the request to the House T&I Committee. He also noted that it was likely left out of the House bill simply because it was missed rather than intentionally left out.

With the new Congress in place, efforts to provide educational material to SPRC and others will be made once again.

This remains a priority and will be a focus for 2021.

- Updating the NGEC two-pager for 2021:

The 2021 two-page educational document has been published and distributed to all NGEC members. It is available, by request, through Steve Hewitt. Later this year, the FASC will conduct a review and update of the document for 2022.

- Status Update as of 2-28-21-21 - NGEC Equipment Acquisition and Ownership Best Practices Working Group:

The initial work of this group is complete. PRIIA 305-200 Recommended Practices was adopted by the NGEC Executive Board on 2-23-21 during the Annual Meeting. It will be added to the NGEC documents inventory and will remain a living document to be updated as more procurements take place and changes are recommended. As an example, the TSSSA primer being developed by the Technical subcommittee may be added to the document as an addendum.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 12-31-20 was submitted on time to FRA on 1-29-21.

Next report due: April 30, 2021.

- Annual Review of NGEC By-Law:

Task complete – next review – Fall 2021.

During the Month of March 2021, the Finance and Administrative Subcommittee met on 3-31-21:

- On 3-31-21, the FASC Chair, Tim Ziethen, appointed Brian Beeler II NNEPRA, for Maine DOT, to fill the vacancy of first Vice Chair. The vacancy occurred with the announced retirement from state service by NGEC legacy member Brent Thompson, WSDOT.

Brent, we want to thank you for your long-time commitment to the NGECC! We wish you well in retirement!

- Treasurer's Report as of 3-31-21:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through December 2020: \$707,119.75.

Balance remaining: \$ 542,880.25.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$457,548.07.

Current Spend Rate per month (as info and used in calculating): \$13,865.09.

Estimated Balance at the end of the Extension Period (Contingency): \$85,332.18

Strat Cavros, AASHTO, reported that he had submitted January invoices and is about to send the February invoices.

Tim Ziethen asked that Strat resend the January invoices as he has not received them. Once Tim has January and February, he will update the Balance and Spend Rate report and send it to Steve Hewitt.

The next Quarterly Grant Report to FRA due to by the end of April 2021.

- Conveying the Message – Focus: Federal Surface Transportation Authorization – Reauthorization of the NGECC (3-31-21):

Steve Hewitt reviewed the tools the NGECC has for conveying the NGECC message and for urging other associations and agencies to put forth that message to ensure that Congress includes the reauthorization of the NGECC (PRIIA Section 305) with funding in its successor to the FAST Act. Steve provided a background on past support and on the steps needed to ensure that support for inclusion of the NGECC is reiterated to the new Congress.

2021 NGECC two-page handout:

The 2021 NGECC two-pager is now available in hard copy and electronically. It should be used by states and related organizations to educate Congress on what the NGECC is and what it has accomplished. It is a great tool to use to convey the message.

Ensuring others – SPRC, Amtrak, AASHTO – keep the NGECC on Congress' radar

It is important that we press agencies and organizations within the Rail community to help get the NGECC message out and to request that it be reauthorized and funded in the next Surface Transportation authorization legislation.

In the last Congress, AASHTO, SPRC, and to some extent Amtrak, included it in their authorization principles, but it was left out of the House bill drafted at that time.

The new Congress is using the House bill as the basis in developing its bill. The NGECC will need our sister agencies and associations to reaffirm their requests that the NGECC be included in the new bill proposal. In the last Congress, staff developing the bill, did say that the fact that the NGECC was not in their DRAFT proposal was simply an oversight. The issue now is to correct that omission and make sure it gets in this bill.

Tim Ziethen noted that Amtrak has included the NGECC in its reauthorization principles in a group along with other authorized programs under its oversight. He will reach out to Ken Altman, Amtrak Government Affairs, to see if there is something that can be done to reinforce the NGECC support.

Shayne Gill stated that AASHTO included it in their last set of Reauthorization principles and has it, once again, in its latest set of principles to be conveyed to Congress.

Steve Hewitt pointed out that SPRC included it with expanded language in its Authorization Principles several weeks ago and has conveyed those Principles to the new Congress. Steve will reach out to SPRC Chair. Arun Rao, to suggest that they send a separate letter with language to Congressional staff in support of the NGECC. They did this in the last Congress but will need to do it again.

Tim Ziethen asked if the NGEC does not get authorized, does it mean the committee must stop its work even though it is funded through 2023? No one on the call knows for certain, but the general sense is that, if the current grant extension allows for the funds to be available until expended.

Jeff Gordon, FRA, will talk to the grants people at FRA to get clarification. Tim Ziethen will also talk to Amtrak grants to get their view on this.

Steve Hewitt reiterated that this clarification is important to ensure the continuation of the NGEC work through 9-30-23 but emphasized that it remains critical that language in the next bill not only reauthorizes the NGEC but includes an authorization for funding. In the FAST Act the NGEC was reauthorized but did not include funding.

Shayne Gill noted that it is important to also reach out to the industry members of the NGEC to encourage them to make Congress aware of the importance of reauthorizing the NGEC and to include funding for it. Shayne also noted that specific members of the industry have benefitted from the NGEC in the recent equipment procurements.

NGEC State Members working with their Government Affairs offices

The states Government Affairs offices should include the NGEC two-pager as a part of its interaction with Congress in its reauthorization packets wherever possible.

Plan of Action :

Jeff Gordon will seek clarification from FRA on the status of the current grant agreement in the event that the NGEC is not reauthorized.

Tim Ziethen will ask for clarification from Amtrak grants and talk to Ken Altman to see if there is anything further that can be done to ensure that Amtrak conveys the message that the NGEC needs to be reauthorized with funding.

Shayne Gill will continue to keep this on the radar at AASHTO as they put forth their Principles to the new Congress.

Steve Hewitt will follow up with SPRC to encourage a separate request be sent to congressional staff in support of the NGEC being reauthorized with funding.

Steve Hewitt will also follow up with industry members to encourage them to reach out to congressional staff.

State members are asked to encourage their Government Affairs offices to include the NGEC in their authorization requests.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 3-31-21 is due to FRA on 4-30-21.

- Annual Review of NGEC By-Law:

Task complete – next review – Fall 2021.

During the Month of April 2021, the Finance and Administrative Subcommittee met on 4-28-21:

- Treasurer's Report as of 4-30-21:

Balance and Spend Rate:

Total Initial Grant Amount: \$1,250,000.  
Amount Spent through February 2021: \$736,122.37  
Balance remaining: \$ 508,605.50.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$433,645.84.  
Current Spend Rate per month (as info and used in calculating): \$13,988.58.  
Estimated Balance at the end of the Extension Period (Contingency): \$74,959.66

- Conveying the message (Federal Surface Transportation Authorization) as of 4-30-21:

Executing action Plan:

2021 NGEC two-page handout:

Approximately 500 of these documents have been distributed electronically. Feedback has been positive, and they are proving useful in making the case with congressional staff.

Interactions with others – SPRC, Amtrak, AASHTO, Industry, Congress:

Steve Hewitt reported that SPRC Chairman Arun Rao, had sent a letter requesting the reauthorization of the NGEC and providing suggested language, scope, and funding.

After sending the letter, Arun received a call from the House Railroad subcommittee (Majority) Frances Bourne, asking about the NGEC:

Are the specs being used? Isn't the work done if specifications have been completed and standardization is occurring? Why not ask that states be required to use NGEC specifications if using federal dollars?

Arun responded that the specifications are not only being used widely across the country and beyond (VIA Rail, Canada) but they are being relied upon. They have saved millions of dollars as they are used as the baseline specification and there is no need to start from scratch which would be at a cost estimated to be about \$2 million.

Arun also noted that the work is not complete – the specifications need to be maintained and updated constantly as they are used, and changes are developed that will keep them current and useful and if the NGEC is not reauthorized the specs would become obsolete. Arun also noted there may be additional specs yet to be developed as technology changes.

The last question, Arun did not specifically respond to as there are different views on this – the specs are being widely used now without there being a federal requirement which could potentially add more onerous requirements where not necessary.

Steve Hewitt also reported on his interaction with Siemens. He provided Siemens with the SPRC letter and Steve Morrison, Siemens, said they will support the NGEC and would utilize the letter and the information provided. They will also stress that the NGEC work is good for the industry as a whole – beyond just one company.

Steve Hewitt also noted that he has provided the letter to the 200+ NGEC industry members and will discuss it on the 4-29-21 NGEC Technical subcommittee call.

Shayne Gill, AASHTO, also reported on a call he had with Frances Bourne. He was asked pretty much the same questions and provided similar responses. Shayne emphasized that the NGEC is needed, that it has worked well towards the goal of revitalizing the passenger rail manufacturing and supply industry in the US, and it has been successful in achieving the objectives of developing and maintaining standardized specifications.

Shayne also emphasized that AASHTO supports the NGEC and its continuation (reauthorization) and recognizes the value it has added in cost savings and job creation.

Ray Hessinger reported on his discussion with Paul Nissenbaum, FRA, who asked some similar questions. He wondered if the NGEC had run its course and achieved its objectives. Ray advocated for the reauthorization of the NGEC and noted the importance of continuously maintaining and updating the NGEC specs to keep them current and useful. He too noted that their use is widespread throughout the US and beyond (Canada – VIA Rail). Ray also noted that the NGEC

continues to develop new products/documents – the most recent of which is the PRIIA Recommended Practices 305-200 document which will be of great value for those who are new to passenger rail equipment procurement by identifying best practices as well as being a guideline for those who have gone through the process and can refer to lessons learned and best practices.

The Committee is now in the process of developing a TSSSA primer for use by procuring entities as well.

The word is getting out, and it is a positive that the House Rail Subcommittee has reacted to the SPRC letter and language and has reached out to ask questions and gain an understanding of what the NGEC is and what value it brings. The effort will need to continue, but the NGEC is, at least, on their radar now with a raised profile.

Shayne Gill also noted that it is important that FRA and Amtrak weigh in and “speak highly of the importance of the Committee and of its accomplishments.” All should be saying the same thing. (Amtrak, AASHTO, FRA and SPRC as well as the industry). Additionally, he commented on the value and usefulness of the NGEC two-pager in making the case for the NGEC. It is a great tool for conveying the message.

Posing the question to FRA grants re: current funding availability if no authorization -Jeff Gordon:

Jeff Gordon read the following FRA response to the question posed and provided it to Steve Hewitt for inclusion in the minutes of this call (4-28-21):

Response presented on 4/28/2021 FASC call:

Generally, committees and entities are authorized to exist until explicitly abolished by law. The FY14 money (\$1.25M) is part of an active grant with an entity (here NGEC) that still exists. As long as the NGEC still exists, it may spend down the previously appropriated no year funds.

Posing the question to Amtrak grants re: same question as above – Tim:

Tim Ziethen was pleased to hear the FRA response and said that he was not sure that Amtrak would have anything to add to that.

Tim added that Amtrak is supportive of the NGEC and its reauthorization. He will share with Ken Altman, Amtrak Government Affairs, the outreach by Frances Bourne.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 3-31-21 was submitted on time to FRA on 4-30-21.

Next report due – 7-31-21.

- Annual Review of NGEC By-Law:

Task complete – next review – Fall 2021.

During the Month of May 2021, the Finance and Administrative Subcommittee met on 5-26-21:

- Treasurer's Report as of 5-26-21:

Balance and Spend Rate

Total Initial Grant Amount: \$1,250,000.

Amount Spent through March 2021: \$748,062.38

Balance remaining: \$ 496,665.49.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$418,519.17.

Current Spend Rate per month (as info and used in calculating): \$13,950.64.

Estimated Balance at the end of the Extension Period (Contingency): \$78,146.32

- Conveying the message (Federal Surface Transportation Authorization) as of 5-26-21:

Executing action Plan:

2021 NGEC two-page handout:

Over 500 of these documents have been distributed electronically. Feedback has been positive, and they are proving useful in making the case with congressional staff.

Interactions with others – SPRC, Amtrak, AASHTO, Industry, Congress - Tim/Steve/Arun Rao:

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs to ascertain around the mark ups of any of the proposed authorization bills that the NGEC is included. He has also emphasized and encouraged Amtrak Government Affairs to stress the importance of the NGEC and the value it has added in the procurement and standardization of equipment. He has also stressed the point that the specifications are being used widely.

Steve Hewitt reported that efforts continue to be made on behalf of the NGEC to have it included in the next Federal Surface Transportation Authorization.

The bill is currently being developed in the House and Senate, and SPRC, AASHTO, MPIRC, Amtrak, and members of the industry (specifically Siemens) have reached out to House and Senate staff to request that the NGEC be reauthorized for the life of the bill and that it be funded at \$2.5 million over that time.

The House staff (Frances Bourne) has had a conversation with SPRC Chair Arun Rao, and with Shayne Gill, AASHTO, trying to understand why the NGEC should be continued. Both have provided feedback on the importance of the NGEC's work. Arun has pointed out the NGEC Specifications are not only used widely (all across the country and beyond our borders - VIA Rail) – but are also being relied upon by the states.

NGEC Chairman Ray Hessinger met with FRA and reiterated the same points as well as emphasizing that maintaining and updating/improving the specifications is critical going forward. The NGEC is also developing best practices (PRIIA 305-200 – Recommended Practices) and documents such as a TSSSA primer that can be utilized by states during the procurement process.

Ray also gave a presentation on the NGEC (5-4-21) to the RSAC Passenger Rail Safety Working Group. He provided an overview of what it is, how it is structured and what it has accomplished.

The presentation given during the 5-4-21 meeting with the working group has or will be provided to Frances Bourne as a part of Arun's follow up with her. It has also been widely distributed to the industry and other NGEC members to add as a tool to be utilized along with the SPRC letter to House and the NGEC two-pager.

SPRC has also interacted with the Senate Commerce committee staff to request the inclusion of the NGEC with funding in their authorization legislation.

Steve also emphasized that at this point, through early discussions with congressional staff of preliminary drafts. It is apparent that neither the House nor Senate has included the reauthorization of the NGEC in those initial drafts. It is critical that SPRC and others continue to press for its inclusion as the drafting process continue. As noted above, SPRC and others have been providing vocal and written feedback to the House and Senate, as well as to FRA to get the NGEC on their radar and express the importance of its continuation.

Ray Hessinger added that he and Steve Hewitt have talked about the fact that they since the NGEC published its specifications no one has done a procurement of passenger rail equipment and not used those specs.

Ray added that this emphasizes the point that the NGEC should be authorized to continue to maintain and update specifications and develop new ones as needed; and it also underlines the fact that there is no real need to mandate the use of these specs.



Most entities that use the NGEC specs tinker around the edges, but do not make wholesale changes. Their changes are often improvements to the specifications. If entities are mandated to use the NGEC specs it would mean that the NGEC document control process would kick in and that involves review of change requests during the procurement to ensure compliance and can delay it. It is also a "big lift" for the NGEC in time and effort.

If the use of the specifications is outside of a mandate, the NGEC can take the as-built specifications and review them thoroughly against the NGEC specification requirements document and determine if the changes comply or not, and do they improve the specification. They can go through the full document change process and update the specs accordingly.

Shayne Gill commented that the questions he received during his conversation with the House T&I staff were more focused not on whether to reauthorize the NGEC - that did not seem to be in dispute – but whether or not to mandate the use of NGEC specifications.

Shayne also asked if FRA supported the NGEC – what is their position on this? If they do not support it, it will not happen. Shayne asked Jeff Gordon if he was aware of the FRA position – and his response was that he did not know as that he is not in the position to know.

Steve Hewitt emphasized that he continues to keep this discussion on the agendas of the various NGEC subcommittees to be sure to keep the issue on the radar of those who can go to congressional staff and FRA and press the issue. The NGEC, as a whole, cannot "lobby" because of its membership (FRA, Amtrak, and States), but the individual members of the NGEC – including the industry – can certainly appeal to congressional staff and members and to FRA.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 3-31-21 was submitted on time to FRA on 4-30-21.

Next report due – 7-31-21.

- Annual Review of NGEC By-Law:

Task complete – next review – Fall 2021.

During the Month of June 2021, the Finance and Administrative Subcommittee met on 6-23-21:

- Treasurer's Report as of 6-23-21:

Balance and Spend Rate

Total Initial Grant Amount: \$1,250,000.

Amount Spent through April 2021: \$766,612.50

Balance remaining: \$ 483,387.50.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$404,213.86.

Current Spend Rate per month (as info and used in calculating): \$13,938.41

Estimated Balance at the end of the Extension Period (Contingency): \$79,173.64

- Conveying the message (Federal Surface Transportation Authorization) as of 6-29-21:

2021 NGEC two-page handout

Over 550 of these documents have been distributed electronically. Feedback continues to be positive.

Reauthorization of the NGEC

Steve Hewitt reported that the House and Senate Committees of jurisdiction released their versions of Federal Surface Transportation Authorization legislation. The House has passed its bill through the T&I Committee – next step the Floor of the House. The Senate Commerce Committee passed its bill through the committee last week.

Neither bill included NGEC reauthorization despite requests to do so by numerous associations and the industry. (SPRC, MIPRC, AASHTO, CSG-East, Siemens)

Senate Commerce staff was reached out to on 6-11-21 by SPRC and it was acknowledged that the NGEC had not gotten into the legislation. Staff was not sure what happened but, in the discussion, commented that the thought the funding request was for \$5 million. SPRC told him the number was \$2.5 million and was for the full life of the bill - \$500,000 a year. Hearing this, staff asked for an email to that effect (and it was provided) and suggested that a member of the Senate be asked to submit an amendment to the Committee by Noon on 6-14-21.

Steve Hewitt – on 6-12-21 – provided an FYI and call to action to all NGEC State members to reach out to their Senator(s) if possible, to ask for an amendment to be put forth to include the reauthorization of the NGEC with funding. Steve also reached out to Siemens as well.

Steve Hewitt reached out to Siemens making sure they were aware of the fact that the NGEC was left out of each bill and asking for them to reach out to see if they could get a member to request a managers' amendment when the bill is on the Floor.

Following Steve Hewitt's outreach, Steve Morrison, Siemens, called him and conferenced him in with the Siemens lobbyist Harrison Wadsworth to provide him with background on the NGEC and discuss strategy. Harrison planned to contact Ken Altman, Amtrak Government Affairs, and planned to also reach out to AASHTO leadership to be sure they are all involved in a push for a manager's amendment as the bill comes to the House Floor. Siemens felt they could not do it alone because it would seem self-serving as they have benefited so well from the use of the NGEC specifications. Steve provided the proposed legislative language sent around previously. Siemens said they would follow up with Steve Hewitt as they knew more.

Today, Tim Ziethen reported he has talked to Cody McClellan, who works for Ken Altman, and stresses the belief that the NGEC is important and needs to be reauthorized. Tim also reached out to Ken Altman (through Cody). Cody confirmed that the NGEC was in their reauthorization proposal language as one of their line items.

Tim will convey the message again to Ken Altman and make sure he is aware of the Siemens outreach and efforts to get a managers' amendment on the Floor of the House.

Tim also emphasized the need for states to reach out to any member they may know and do whatever they can to get this situation resolved.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 6-30-21 is due to FRA by 7-31-21. Information to be included in the report are attached at the end of this document.

- Annual Review of NGEC By-Law:

Task complete – next review – Fall 2021.

During the Month of July 2021, the Finance and Administrative Subcommittee met on 7-21-21:

- Treasurer's Report as of 7-21-21:

Balance and Spend Rate

Total Initial Grant Amount: \$1,250,000.

Amount Spent through April 2021: \$766,612.50

Balance remaining: \$ 483,387.50.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$404,213.86.

Current Spend Rate per month (as info and used in calculating): \$13,938.41

Estimated Balance at the end of the Extension Period (Contingency): \$79,173.64

- Conveying the message (Federal Surface Transportation Authorization) as of 7-22-21:

2021 NGECE two-page handout

Over 555 of these documents have been distributed electronically. Feedback continues to be positive.

- Setting Timelines for Annual By-Laws Review and Two-Pager Update:

On 7-21-21, Steve Hewitt suggested that, in September, FASC Secretary, John Oimoen and Steve Hewitt begin the annual review of the NGECE By-Laws and make any suggestions they may have to the FASC by the end of October. If the FASC agrees, the By-Laws as revised (or not) will be sent to the Executive Board where they will be required to have them for 30 days before considering any changes that may be suggested. This will enable the Board to vote for consideration of approval by December 2021 and fulfill the annual review requirement.

John Oimoen, agreed to participate in the review, and Tim Ziethen approved the timeline as suggested.

The two-pager, Steve Hewitt suggested, should be reviewed, again by the FASC and recommended updates should be provided to the Executive Board for consideration.

This document should have updates as spec revisions will have taken place, more vehicles will have been put in service and an even better story can be told. The goal will be to have a DRAFT update approved by the Executive Board by January 2022 to allow for time to be finalized electronically and in hard copy for distribution at the NGECE Annual meeting on 2-25-22.

Steve asked Troy Hughes, MODOT, if the MODOT graphics art office would be willing to, once again, make the updates and print the hard copies.

Troy Hughes agreed to have MODOT, once again, produce the document with whatever changes are requested and provide it electronically and print hard copies as needed.

Reauthorization of the NGECE

See update provided in the Executive Board section of this report.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 6-30-21 was submitted by the deadline of 7-31-21.

Next Report will be on the period ending 9-30-21 and will be due to FRA on 10-31-21.

During the Month of August 2021, the Finance and Administrative Subcommittee met on 8-18-21:

- Treasurer's Report as of 8-18-21:

Balance and Spend Rate

Total Initial Grant Amount: \$1,250,000.

Amount Spent through June 2021: \$811,187.60

Balance remaining: \$ 438,812.40.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$384,246.76

Current Spend Rate per month (as info and used in calculating): \$14,231.36

Estimated Balance at the end of the Extension Period (Contingency): \$54,565.64

It was noted by Chairman Ziethen that the June invoices from AASHTO were a bit higher than usual and that has increased the spend rate somewhat.

Strat Cavros, AASHTO, pointed out that June and July usually outsize the normal rate as AASHTO closes their fiscal year out in June.

- Conveying the message as of 8-31-21:

2021 NGEC two-page educational document:

555 of these documents have been distributed electronically.

On the last call, a process and timeline was discussed for updating the two-pager to reflect the accomplishments that have taken place since the last update. The NGEC has a great story to tell as more and more we are seeing new passenger rail vehicles procured using NGEC specifications being placed into service. This is great news and is something that should be captured in the update for 2022.

The timeline would be for the FASC to begin its updating efforts on the next call (9-15-21). The timeline is to get it through the FASC and onto the Executive Board before the end of the year so that whatever the updates are they can be sent to MODOT graphic arts for formatting and printing. The new two-pager should be available for distribution at the NGEC Annual Meeting 2-25-22 in Washington, DC.

Update/Reauthorization of the NGEC - Tim/Steve:

Tim Ziethen opened the discussion noting that there have been significant efforts to add the NGEC reauthorization to the infrastructure bill recently passed by the Senate, but those effort did not come to fruition.

Steve Hewitt agreed. The Senate passed its infrastructure bill which includes reauthorizing federal surface transportation but does not appear to have added in reauthorization of the NGEC.

As has been reported previously – it seems that the NGEC does not have a sunset clause and has enough funding, through the current grant, to continue to operate through the grant period which ends on 9-30-23. FRA has informed the NGEC that as long as the committee exists, the funds in the current grant remain available until expended. Chairman Hessinger has stated that the NGEC will continue to conduct its activities as identified in its current scope and budget.

The issue now will be to find a funding source that will carry the NGEC beyond 9-30-2023. House T&I staff have told us that the NGEC “is covered in the budget”. What that means has not yet been determined – is it FRA? Is it Amtrak? No clarification or confirmation has been provided.

The NGEC can/should continue to seek additional funding either through FRA, Amtrak or consider other options to continue the work of the NGEC beyond 9-30-23.

Tim Ziethen concurred and elaborated that Ken Altman, Government Affairs, Amtrak, and Amtrak legal are of the opinion that there is no sunset provision, and the NGEC can continue to operate under the current grant agreement and that either FRA or Amtrak (potentially) can provide the funding to keep it going.

Amtrak included the NGEC as one of the kinds of things it would fund in its overall grant program but did not single it out as a line item in its grant request.

Tim went on to note that, while there has been significant positive feedback and support it has not translated into reauthorization within the infrastructure package. The NGEC continues to do its work and do it successfully but seems to continuously fly under the radar.

Tim believes it would be appropriate to confirm with FRA if there is funding available in its budget to support the FRA beyond the current grant agreement. It would also make sense to get some feedback from Amtrak on this as well.

Tim also suggested that it may be worthwhile looking into alternative solutions to funding the NGEC such as subscription membership.

Steve Hewitt mentioned, and Jeff Gordon, FRA, confirmed, that several years ago, the NGEC had looked extensively into alternative ways to fund and structure the NGEC in the future. The Executive Board, at that time, established a working group to look at what the NGEC should be "when it grows up".

Ultimately, after looking at several structural options and various funding options, the working group concluded and the Executive Board agreed that the NGEC was a federal responsibility and should be funded by federal funds. The benefits of the work of the NGEC are national in scope, the work is done by a tremendous coalition of state, and federal partners as well as members of the rail manufacturing and supply industry all on a voluntary basis with minimal actual dollars invested.

Steve Hewitt reviewed the history of funding that has been provided to the NGEC noting that it was originally authorized to receive \$5 million but has received a total of \$4 million through two appropriations (the initial appropriation of \$2 million and a second one for \$2 million the following year due to a simple Continuing Resolution of federal transportation appropriations that year). Over its nearly 12 years operating the NGEC has conducted its business astutely managing its limited resources and receiving so much in kind and voluntary services that it has managed to function without any additional money being provided.

In many ways, the NGEC was a casualty of its own efficiency and was hard pressed to get another appropriation when it still had funds remaining.

After nearly 12 years, the NGEC will need to explore all options to obtain additional funds to continue the work of the Committee beyond 9-30-2023.

It was agreed the FASC Chair Tim Ziethen will bring this discussion to the NGEC executive Board on its next call on 9-7-21 and try to get some confirmation from FRA and/or Amtrak in the meantime if possible.

- Annual By-Laws Review:

It was agreed on 7-21-21, that, in September, FASC Secretary, John Oimoen and Steve Hewitt begin the annual review of the NGEC By-Laws and make any suggestions they may have to the FASC by the end of October. If the FASC agrees, the By-Laws as revised (or not) will be sent to the Executive Board where they will be required to have them for 30 days before considering any changes that may be suggested. This will enable the Board to vote for consideration of approval by December 2021 and fulfill the annual review requirement.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 6-30-21 was submitted by the deadline of 7-31-21.

Next Report will be on the period ending 9-30-21 and will be due to FRA on 10-31-21.

During the Month of September 2021, the Finance and Administrative Subcommittee met on 9-15-21:

- Treasurer's Report as of 9-30-21:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through July 2021: \$812,477.83

Balance remaining: \$ 437,522.17

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$364,246.20

Current Spend Rate per month (as info and used in calculating): \$14,008.24

Estimated Balance at the end of the Extension Period (Contingency): \$73,307.97

After providing the Treasurer's update, Tim reiterated the point that, while the NGEC does not appear to have been formally reauthorized in the pending Federal Surface Transportation Authorization legislation, the collective understanding (and intent of the Committee) is to continue to operate and

spend down the current funds per the current grant agreement which runs through 9-30-2023 and to work at various options to obtain future funding beyond FFY 2023.

Discussion/next steps in looking for future funding option beyond 9-30-2023:

Tim noted that future funding for the NGEC may be covered by the FRA's budget – maybe not as a line item, but within the confines of its budget.

Tim also noted that, in talking with Ken Altman and others at Amtrak, it is apparent that nothing prohibits the NGEC from getting funding from Amtrak through its grant process. The NGEC is listed as one of the possible recipients within the overall Amtrak grant request. He also emphasized that Amtrak is supportive of the work that the NGEC does, but it would be good to get something more concrete from Amtrak.

Steve Hewitt clarified that FRA has not confirmed that it has been provided with funding for the NGEC in its budget, but the House T&I Committee staff, when asked about the NGEC being reauthorized stated "it's covered in the budget". It would be appropriate and reasonable to get clarification from FRA on whether or not this is correct.

Steve also provided a brief background on past efforts to look at funding options for the NGEC outside of FRA or Amtrak, and after all was said and done, the NGEC determined that its activities were a federal government responsibility and should be funded through the federal government.

Tim agreed that pursuit of other options is not likely and that the best way forward is to pursue clarification from FRA and/or Amtrak.

Steve Hewitt will add this item to the next Executive Board agenda (9-21-21) as a part of the FASC report from Tim Ziethen.

Additionally, Tim raised the issue of raising the awareness of the NGEC to Congress and others with a more aggressive approach by an outward focused effort within the parameters of the NGEC's abilities. He noted that the NGEC is a "victim of its own success" and, as demonstrated in the Reauthorization effort, it goes unnoticed or is overlooked. The NGEC will need to be more aggressive in its approach.

It was agreed, that this will also be a discussion item for the Executive Board call under the FASC update on 9-21-21.

- Conveying the message as of 9-30-21:

2021 NGEC two-page educational document:

On 9-14-21, Steve Hewitt sent out the NGEC 2021 Two-Pager to all members asking that they begin to review it and begin to think about updates that will better identify the accomplishments of the NGEC this last year when more entities are using the NGEC specs and when more and more of the new equipment is being placed into service. The NGEC has a great story to tell and should be doing all it can to get that story out.

Ray Hessinger was unavailable for the call today, but provided his input on updating the two-pager:

Change the date to 2022 and add in the TSSSA document to the timeline list of specifications and documents developed by the NGEC.

Mike Murray, FRA, was also unavailable, but let Steve Hewitt know that he will review the two-pager and provide input.

Tim Ziethen commented that he would like to see interoperability added to one of the results bullets.

Possibly: Standardized specifications add predictability and interoperability.

After some discussion, it was agreed that FASC members should review the two-pager and provide comments/edits/improvements to Steve Hewitt and Tim Ziethen by 10-6-21 so that they can be compiled and discussed on the next FASC call on 10-13-21.

- Annual By-Laws Review:

On 9-15-21, Steve Hewitt reported that he did a preliminary review of the By-Laws and provided FASC Secretary, John Oimoen, with some suggested changes to review and comment on. Once John has had a chance to conduct his review, he and Steve will present any recommendations they have to the full FASC for discussion/input and possible consideration. This will likely take place on the 10-13-21. If changes are approved by the FASC, the proposed revised By-Laws will be sent to the NGECE Executive Board which will need to have them in writing in their possession for 30 days before considering adoption. This timeline takes us to either the second November call of the Board or the first one in December. The intent is to adopt any revisions by the end of the calendar year 2021 to fulfill the Annual Review task identified in the NGECE grant agreement.

Asked to elaborate on the potential changes he is suggesting, Steve noted that most have to do with consistency and, in particular, quorum requirements are an example. The Board has different requirements for what constitutes a quorum than the two standing subcommittees. Every other aspect of voting is exactly the same, and Steve believes that the quorum requirements for the Board should be worded consistent with the two subcommittees.

It was agreed that Steve Hewitt will confer with John Oimoen, and once they agree to proposed changes, he will send on to the full FASC for discussion on the 10-13-21 call.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 6-30-21 was submitted by the deadline of 7-31-21.

Next Report will be for the period ending 9-30-21 and will be due to FRA on 10-31-21.

Included in this report (at the end) are the status of the NGECE milestones as of 9-30-21 which will be used as the basis for the quarterly report due to FRA on 10-31-21.

During the Month of October 2021, the Finance and Administrative Subcommittee met on 10-13-21:

- Treasurer's Report as of 10-31-21:

Total Initial Grant Amount: \$1,250,000.  
Amount Spent through August 2021: \$823,248.64  
Balance remaining: \$ 426,751.36  
Estimated spend at current rate for the remaining grant period (through 9-30-23): \$348,834.17  
Current Spend Rate per month (as info and used in calculating): \$13,953.37  
Estimated Balance at the end of the Extension Period (Contingency): \$77,917.19

Quarterly Grant Agreement Progress Report to FRA was submitted on time on 10-29-21.

Follow up Discussion regarding future funding options beyond 9-30-2023:

Mike Murray, FRA, had reported to the Executive Board on 10-5-21 that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know. Ray Hessinger suggested, at that time, that this information be reported to the FASC on its next call (today) and that the FASC keep track of it.

On today's call, Mike Murray reiterated that it would take several months and that he does not feel it should be discussed on every call. It was agreed that once FRA has a response Mike Murray will report it to either the Executive Board or the FASC whichever meets first.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs, and Tim has confirmed that Amtrak is supportive of the work of the Committee (NGEC) and that funding through either Amtrak or FRA are the best options, but other options could also be explored.

For now, this item will be carried as an open item to be tabled until such time as additional information is forthcoming.

- Conveying the message as of 10-31-21:

Developing the 2022 NGEC two-pager/comments received:

Steve Hewitt reported that he had received only a few comments (from Ray Hessinger and Jeff Gordon).

All suggested changes were sent within the email message yesterday (10-12-21) to the FASC members with no additional comments being received.

Changes:

On the front page:

Change the date to 2022

Update Timeline to include the TSSSA document released in September 2021 and update the DMU and Trainset Specs to Fall 2021 or a month if approved (likely December 2021).

Page two:

On the third set of Results change the first bullet to say:

Standardized specifications ensure rolling stock designs suited for use across North America.

Discussion:

Additional changes were recommended during today's discussion:

Add the number of units that have been entered into service since the first Charger was delivered (July 2017)

Add the number of coach cars entered into service since the first car was delivered in February 2020.

Steve Hewitt will reach out to IDOT and Caltrans to confirm these numbers.

Request the use of a picture of the VIA Rail Trainset that has just been delivered (VIA Rail used NGEC specs as the base spec)

Steve Hewitt will reach out to VIA Rail for permission to use a picture of their new Trainset and request that they provide the picture they would like used.

If approved by VIA Rail – the Trainset picture would be on the front page replacing the Charger which is also on page two.

Additionally, it was suggested that the NGEC website be added to the top of the front page in the green section. It currently is not included on the two-pager but should be.

On the next FASC call (11-10-21), this item will be on the agenda to follow-up on today's discussion and to obtain any additional suggestions for improvements to the document for 2022.

- Annual By-Laws Review:



On 10-13-21, Steve Hewitt reported that he and John Oimoen, IDOT, and Jeff Gordon, FRA, conducted a review of the NGEC By-Laws (an exercise required annually under the current grant agreement) and have recommended a few benign edits, more in line with word smithing and consistency.

Steve Hewitt walked through the document and highlighted all of the proposed changes.

Only one change was of substance and that was a recommendation by Steve Hewitt to revise the wording for what constitutes a quorum for the Executive Board using the same language that is currently in the Technical subcommittee and the Finance and Administrative subcommittee's (FASC) section of the By-Laws. This would be a change that would simply make sense and create consistency across the document.

After much discussion, it was agreed that the requirements for the Executive Board and the Technical subcommittee and the FASC should be the same across the board. It was also agreed that the language used in the Technical subcommittee and the FASC requirements which call for a majority of state members plus one Amtrak and one FRA representative is the preferred language and, for the sake of consistency and because it simply makes sense – that language is what should be used.

Tim Ziethen called for a motion to approve the changes as suggested with the caveat that Steve Hewitt will make those changes to the Executive Board Quorum requirements consistent with the wording of the two subcommittees.

On a motion by Brian Beeler II, for Maine DOT and a second by Jeff Gordon, FRA the proposed changes be approved with the caveat that Steve Hewitt make the changes to the Quorum requirements so that they are the same across the board and that the language is to be that currently used in the Technical subcommittee and the FASC requirements.

With no further discussion and no objections, Tim Ziethen determined that consensus was achieved, and the motion is approved.

Steve Hewitt is directed to make the changes as noted and provide the Executive Board members with a redline version showing the changes. The Board must have the proposed changes to the By-laws in writing for thirty (30) days before they can be brought forward for a vote by the Executive Board members.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 9-30-21 was submitted by the deadline of 10-31-21.

Next Report will be for the period ending 12-31-21 and will be due to FRA on 1-31-22.

- Developing a plan to increase NGEC awareness:

On 10-13-21, Tim Ziethen noted that the reauthorization effort proved that the NGEC is a well-kept secret.

He asked the following questions:

What should we do?

Who should we call or contact?

What do we say?

Should we put together a plan?

Tim asked Steve Hewitt how the NGEC currently conducts outreach, and Steve reported that the NGEC uses its two-pager as its primary source of conveying the message and that it uses organizations such as SPRC to transmit it to congressional staff as a part of its outreach.

Steve also noted that it is transmitted to all 300+ NGEC members on the email list and to organizations such as TRB, SPRC and others, and is posted to the NGEC website by AASHTO.

Ray Hessinger suggested that since the “stuff we do is inside baseball and we may well be the best kept secret in all of transportation”, the NGEC needs to find a way to be more of a “public face” when it takes an action such as the release of the Recommended Practices document or the TSSSA primer. Currently, only those who are involved with the NGEC are made aware of what the NGEC produces. Ray went on to suggest that it may well be that the NGEC should develop a one page “presser” when a new document is approved that would be transmitted along with the two-pager to industry publications such as Railway Age.

Tim Ziethen asked “are we allowed to publish or advertise? Ray responded that he was not suggesting the NGEC advertise; he was suggesting it reported news of the NGEC activities in the form of a press release.

Steve Hewitt added that it would have to be determined how the presser would be sent out. Would it be transmitted from the Chair or who/how?

Tim Ziethen asked would a legal opinion be required and, if so, who. Steve Hewitt responded that in the past it was always Amtrak Legal that provided opinions on such matters. Ray Hessinger agreed and noted that Amtrak is the grantee so it would have to come from Amtrak’s legal department.

Steve Hewitt suggested that this discussion would need to be elevated to the Executive Board for its input and direction.

Ultimately, it was agreed that Tim Ziethen would report out on this discussion to the Executive Board on its next call as a part of his FASC update. Ray Hessinger would support the discussion by elaborating on his suggestion of doing “pressers”.

During the Month of November 2021, the Finance and Administrative Subcommittee met on 11-10-21:

- Treasurer’s Report as of 11-30-21 – reported to the Executive Board:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through September 2021: \$834,812.51

Balance remaining: \$ 415,187.49

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$333,925.00

Current Spend Rate per month (as info and used in calculating): \$13,913.54

Estimated Balance at the end of the Extension Period (Contingency): \$81,262.49

Follow up Discussion regarding future funding options beyond 9-30-2023:

Mike Murray, FRA, had reported to the Executive Board on 10-5-21 that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know. Ray Hessinger suggested, at that time, that this information be reported to the FASC on its next call (today) and that the FASC keep track of it.

On today’s call, Mike Murray reiterated that it would take several months and that he does not feel it should be discussed on every call. It was agreed that once FRA has a response Mike Murray will report it to either the Executive Board or the FASC whichever meets first.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs, and Tim has confirmed that Amtrak is supportive of the work of the Committee (NGEC) and that funding through either Amtrak or FRA are the best options, but other options could also be explored.

For now, this item will be carried as an open item to be tabled until such time as additional information is forthcoming.

- Conveying the message as of 10-31-21:

Quarterly Grant Progress Report: Finalizing the 2022 NGEC two-pager/comments received - Tim/Steve:

Steve Hewitt walked through the proposed changes from the 10-13-21 FASC call and reviewed status updates

Proposed changes:

On the front page:

Change the date to 2022

Add the NGEC website information on the top of page 1 in the green area.

Update the Timeline to include the TSSSA document released in September 2021 and update the DMU Revision to December 2021 and the Trainset Specification update to t to Spring 2022 unless completed sooner. It is ready to go before the Technical subcommittee, but that body will not meet again until 12-9-21 due to Veterans Day and Thanksgiving landing on the dates of the November subcommittee calls.

Also, to update the page 1 Timeline, it was suggested that we add the number of Charger locomotives that have been entered into service since the first one was delivered (July 2017) and the number of passenger rail cars that have been delivered since the first on in February 2020.

As of 11-30-21, Amtrak reported the following numbers on Locomotives in service:

Midwest States (IDOT, Michigan, Wisconsin, Missouri) – 33 locomotives

Washington (WSDOT) – 8 Locomotives

CALTRANS – 24 Locomotives

Total for the two-pager update: 65

John Oimoen, IDOT, on 11-10-21 reported that:

For the Midwest states -42 cars have been delivered.

Steve Hewitt will reach out to Caltrans to get their numbers as well.

Page two:

On the third set of Results change the first bullet to say:

“Standardized specifications ensure rolling stock designs suited for use across North America.”

On the second bullet add a period (.) to the end of the sentence.

Additionally, on the last call, Jeff Gordon, FRA suggested that we use of a picture of the VIA Rail Trainset that has just been delivered (VIA Rail used NGEC specs as the base spec).

Steve Hewitt reported that he did not yet reach out to VIA Rail because several NGEC members have raised a concern with having the VIA Rail photo on the front page rather than a photo of equipment used in the US.

Steve Hewitt and Ray Hessinger discussed this on their recent weekly one on one call and agreed that it is more appropriate to use a photo of an NGEC locomotive or passenger rail car used in the US.

Dave Warner reached out to IDOT for some photos of the Charger and rail cars and Steve Hewitt confirmed with John Oimoen and Jennifer Bastian permission to use them. The photos were provided to FASC last week along with today's meeting materials.

After some discussion, it was agreed by those on the call today that it was more appropriate to use a photo of either the Charger or passenger cars that are to be used in the US rather than VIA Rail. Members are asked to review the Midwest states pictures provided by IDOT and provide their thoughts on which one should be used for the front page.

The IDOT pictures were taken by Art Peterson and will be credited to him. (Photo(s) by Art Peterson).

Since there was not a quorum present on this call, no formal action was taken, but Tim Ziethen will apprise the Executive Board of these recommendations and request input.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The next report will be for the period ending 12-31-21 and will be due to FRA on 1-31-22.

- Developing a plan to increase NGECC awareness:

Follow ups on developing a plan to increase NGECC awareness as of 11-30-21:

Tim Ziethen has a request in to Amtrak's Associate General Counsel and has had some conversations regarding what the NGECC is allowed to do per its statute and By-Laws in promoting the accomplishments of the Committee. Can it issue press releases to industry publications? Is it ok to attend trade shows or other such activities to promote the work of the NGECC? In general, what is ok for the NGECC to do to raise awareness.

Tim asked Steve Hewitt who was involved with the NGECC from Amtrak Legal in the past who may be best to talk with regarding the NGECC's ability to do such outreach activities. Steve noted that Vincent Brotski was the Amtrak Legal representative most involved with the NGECC over the years. Tim will reach out to Vincent.

- Tim Ziethen asked FASC members to continue to think of activities/venues to raise the NGECC awareness and to "funnel" in ideas and/or recommendations to Steve Hewitt prior to the next FASC call – 12-8-21.

During the Month of December 2021, the Finance and Administrative Subcommittee met on 12-8-21:

- Treasurer's Report :

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through October 2021: \$850,314.73

Balance remaining: \$ 399,685.27

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$320,610.47

Current Spend Rate per month (as info and used in calculating): \$13,939.59

Estimated Balance at the end of the Extension Period (Contingency): \$79,074 (this would carry the NGECC about 5 months beyond the end of the grant period)

Follow up Discussion regarding future funding options beyond 9-30-2023:

Mike Murray, FRA, had reported to the Executive Board on 10-5-21 that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know. Ray

Hessinger suggested, at that time, that this information be reported to the FASC on its next call (today) and that the FASC keep track of it.

On today's call, Mike Murray reiterated that it would take several months and that he does not feel it should be discussed on every call. It was agreed that once FRA has a response Mike Murray will report it to either the Executive Board or the FASC whichever meets first.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs, and Tim has confirmed that Amtrak is supportive of the work of the Committee (NGEC) and that funding through either Amtrak or FRA are the best options, but other options could also be explored.

For now, this item will be carried as an open item to be tabled until such time as additional information is forthcoming.

There was nothing new to report on this item in December 2021.

- Conveying the message as of 12-31-21:

The NGEC two-pager educational document was updated by the FASC on 12-8-21 and was sent to MODOT Graphic Arts to prepare a mock-up. The mock-up was discussed by the Board on its call held on 12-28-21. The Board provided MODOT with additional changes. A revised mock-up will be discussed on the 1-11-22 Executive Board call.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The next report will be for the period ending 12-31-21 and will be due to FRA on 1-31-22.

- Developing a plan to increase NGEC awareness:

Tim Ziethen had a discussion with Amtrak Senior Associate Counsel about what the NGEC could do, legally, to increase the general awareness of the NGEC. Tim asked whether the NGEC could legally issue press releases; be proactive with congress by providing staff with periodic updates on NGEC activities - unsolicited; and potentially attend trade shows or advertise in trade publications.

The Senior Associate Counsel reviewed the By-Laws and noted that currently authority to do so is not spelled out in the NGEC By-Laws. He suggested that the Committee could amend the By-Laws to allow for such outreach. He also noted that in most cases material is submitted to congress upon request – normally it is not sent unsolicited.

Tim Ziethen noted that he expects to receive the recommendations in writing from Amtrak counsel and suggested that, even though the By-Laws have just been revised/updated; he (Tim) and Steve Hewitt could draft a paragraph that for consideration that would amend the By-Laws to allow for activities that will increase awareness of the NGEC activities.

Steve pointed out that an amendment or revision to the By-Laws can be proposed any time by any member of the Board, however, by NGEC procedures, such an amendment would go first to the FASC and once approved by that body, would be required to be provided to the Executive Board in writing. The proposed amendment would have to be in the hands of the Board members in writing for 30 days before the Board could vote on it.

Steve suggested that Tim report on this during his FASC update to the Executive Board on 12-14-21.

Tim agreed and will raise the issue with the Board on 12-14-21.

The next step would be to draft the proposed paragraph to be submitted as a revision to the By-Laws and include it on the agenda of the next FASC call 1-5-22. If approved there it could go to the Executive Board and be in its possession for 30 days and be considered for approval on the Executive Board call on 2-8-22. This would be ample time to have the latest By-Laws revision included in the meeting materials for the Annual meeting of the NGEC on 2-25-22.

During the Month of January 2022, the Finance and Administrative Subcommittee met on 1-5-22:

- Treasurer's Report :

Total Initial Grant Amount: \$1,250,000.

Amount Spent through October 2021: \$865,727.22

Balance remaining: \$ 384,272.78

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$307,193.53

Current Spend Rate per month (as info and used in calculating): \$13,963.34

Estimated Balance at the end of the Extension Period (Contingency): \$77,079.25 (this would carry the NGECEC about 5 months beyond the end of the grant period)

Follow up Discussion regarding future funding options beyond 9-30-2023:

Mike Murray, FRA, had reported to the Executive Board on 10-5-21 that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know. Ray Hessinger suggested, at that time, that this information be reported to the FASC on its next call (today) and that the FASC keep track of it.

On today's call, Mike Murray reiterated that it would take several months and that he does not feel it should be discussed on every call. It was agreed that once FRA has a response Mike Murray will report it to either the Executive Board or the FASC whichever meets first.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs, and Tim has confirmed that Amtrak is supportive of the work of the Committee (NGECEC) and that funding through either Amtrak or FRA are the best options, but other options could also be explored.

For now, this item will be carried as an open item to be tabled until such time as additional information is forthcoming.

There was nothing new to report on this item in January 2022 other than that an answer is expected to be forthcoming by the NGECEC Annual Meeting.

- Conveying the message as of 1-31-22:

The 2022 NGECEC two-pager is now available as reported in the Executive Board section of this report

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The next report will be for the period ending 12-31-21 and will be due to FRA on 1-31-22.

- Follow ups on developing a plan to increase NGECEC awareness as of 1-25-22:

Tim Ziethen reported that he has had another follow-up conversation with Michael Alexis, Amtrak Deputy General Counsel, and an exchange of emails with him.

Michael has been assigned to the NGECEC for any legal questions or related issues.

Michael provided Tim Ziethen with guidance on issues related to the NGECEC's ability to take steps to increase awareness of the Committee and the work that it does.

In general, the guidance is that posting factual information on the website is permitted providing that the Committee follows Amtrak contractor promotion policies which the Committee has been following. For posting on social media, again, the NGECEC would be permitted to do it as long as it follows the Amtrak policies. None of this is new, the NGECEC has always lived up to these policies.

Issuing Press releases would also be permissible as long as it transmits simply factual information.

Using paid advertising or attending trade shows would require By-Law changes and there would be an issue of spending funds for these activities as they would need to be paid outside the grant.

As noted previously, the NGEC should not proactively communicate with Congress due to "lobbying" issues but can respond with factual information in compliance with Amtrak contractor promotion policy upon request.

Tim Ziethen will provide Steve Hewitt with a summary of the guidance that Michael Alexis provided to him so that it can be entered into the record.

During the Month of February 2022, the Finance and Administrative Subcommittee met on 2-2-22 and participated at the NGEC Annual Meeting held on 2-25-22:

- Treasurer's Report :

Total Initial Grant Amount: \$1,250,000.

Amount Spent through November 2021: \$887,902.46

Balance remaining: \$ 362,097.54

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$295,967.49

Current Spend Rate per month (as info and used in calculating): \$14,093.69

Estimated Balance at the end of the Extension Period (Contingency): \$66,130.05 (this would carry the NGEC about 5 months beyond the end of the grant period)

Follow up Discussion regarding future funding options beyond 9-30-2023:

Mike Murray, FRA, had reported to the Executive Board on 10-5-21 that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know. Ray Hessinger suggested, at that time, that this information be reported to the FASC on its next call (today) and that the FASC keep track of it.

As of 2-25-22, there has been no decision on FRA's review of potential options for future funding.

- Conveying the message as of 2-25-22:

The 2022 NGEC two-pager is available as reported in the Executive Board section of this report and 370 electronic or "soft" copies have been distributed. 125 hard copies have also been distributed.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The next report will be for the period ending 3-31-22 and will be due to FRA on 4-29-22.

- Follow ups on developing a plan to increase NGEC awareness as of 1-25-22:

Tim Ziethen reported that he has had another follow-up conversation with Michael Alexis, Amtrak Deputy General Counsel, and an exchange of emails with him.

Michael has been assigned to the NGEC for any legal questions or related issues.

Michael provided Tim Ziethen with guidance on issues related to the NGEC's ability to take steps to increase awareness of the Committee and the work that it does.

In general, the guidance is that posting factual information on the website is permitted providing that the Committee follows Amtrak contractor promotion policies which the Committee has been following. For posting on social media, again, the NGEC would be permitted to do it as long as it follows the Amtrak policies. None of this is new, the NGEC has always lived up to these policies.

Issuing Press releases would also be permissible as long as it transmits simply factual information.

Using paid advertising or attending trade shows would require By-Law changes and there would be an issue of spending funds for these activities as they would need to be paid outside the grant.

As noted previously, the NGECE should not proactively communicate with Congress due to "lobbying" issues but can respond with factual information in compliance with Amtrak contractor promotion policy upon request.

During the Month of March 2022, the Finance and Administrative Subcommittee did not meet due to scheduling conflicts. The work of the subcommittee continued throughout the month:

- Treasurer's Report – 3-22-22:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through January: \$912,469.91

Balance remaining: \$ 337,530

Current Spend Rate per month (as info and used in calculating): \$14,257

Estimated Balance at the end of the Extension Period (Contingency): \$52,000

As noted in the Executive Board section of this report, NGECE Executive Board Chair Ray Hessinger would like the NGECE to refresh its website (full discussion above). He was very impressed with the updated States for Passenger Rail Coalition's (SPRC) site and asked Arun Rao, Chair of SPRC, what it cost to do the refresh of the website. Arun did not have the exact number but he and Steve Hewitt both stated that there was a \$10,000 budget for it, and it came in below that.

Tim Ziethen noted that the cost of a website refresh would likely eat into the contingency funds which were hoped to be used to extend the life of the NGECE beyond 9-30-23. If the cost comes in around the \$10,000 range, it is possible to spend that amount and still retain some funding to carry the Committee for a few months beyond 9-30-23.

In March, Steve Hewitt drafted a proposed Statement of Work (SOW) for use in putting out an RFI for a website refresh. The draft SOW was submitted to FASC Chair Tim Ziethen for review and comment before presenting to the full subcommittee.

Follow up Discussion regarding future funding options beyond 9-30-2023:

Mike Murray, FRA, had reported to the Executive Board on 10-5-21 that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know. Ray Hessinger suggested, at that time, that this information be reported to the FASC on its next call (today) and that the FASC keep track of it.

As of 3-31-22, there has been no decision on FRA's review of potential options for future funding.

- Looking into submitting an NGECE CRISI Grant application with Amtrak as the applicant:

The Executive Board has asked the FASC to take the lead on this and to determine the next steps. Tim Ziethen has reached out to Amtrak grants and received feedback. He will provide FASC members with the summary of that discussion.,

- Conveying the message as of 3-31-22:

The 2022 NGECE two-pager is available as reported in the Executive Board section of this report and 425 electronic or "soft" copies have been distributed. 125 hard copies have also been distributed.

Along with the two-pager, the website refresh will look at ways to increase NGECE awareness.

- Quarterly Grant Agreement Progress Report to FRA



All reports this year have been submitted on time. The report for the period ending 3-31-22 will be due to FRA on 4-29-22. Below, please find the update of NGEC Grant Milestones that will be used in the compilation of the quarterly report to FRA.

- Follow ups on further plans to increase NGEC awareness as of 3-31-22:

Tim Ziethen has had several discussions with Michael Alexis, Amtrak Deputy General Counsel, and an exchange of emails with him.

Michael has been assigned to the NGEC for any legal questions or related issues.

Michael provided Tim Ziethen with guidance on issues related to the NGEC's ability to take steps to increase awareness of the Committee and the work that it does.

In general, the guidance is that posting factual information on the website is permitted providing that the Committee follows Amtrak contractor promotion policies which the Committee has been following. For posting on social media, again, the NGEC would be permitted to do it as long as it follows the Amtrak policies. None of this is new, the NGEC has always lived up to these policies.

Issuing Press releases would also be permissible as long as it transmits simply factual information.

Using paid advertising or attending trade shows would require By-Law changes and there would be an issue of spending funds for these activities as they would need to be paid outside the grant.

As noted previously, the NGEC should not proactively communicate with Congress due to "lobbying" issues but can respond with factual information in compliance with Amtrak contractor promotion policy upon request.

During the Month of April 2022, the Finance and Administrative Subcommittee met on 4-27-22.

On 4-27-22, Tim Ziethen, Chair was not available. There was not a quorum for this meeting, but the meeting was held with First Vice Chair Brian Beeler II, for Maine DOT, taking the gavel. No votes were taken.

- Treasurer's Report – 4-5-22:
- Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through January: \$912,469.91

Balance remaining: \$ 337,530

Current Spend Rate per month (as info and used in calculating): \$14,257

Estimated Balance at the end of the Extension Period (Contingency): \$52,000

- Exploring Funding Options

Preparing an Application for a CRISI grant for the NGEC – FASC discussion on 4-27-22:

First Vice Chair Brian Beeler II, for Maine DOT, facilitated the following discussions.

Ray Hessinger reported that the Executive Board has tasked the FASC to begin the process of developing an application for a CRISI grant. The process is moving forward. Ray noted that the grant applicant would be Amtrak.

Ray reported that he had a recent one on one call with Paul Nissenbaum, FRA. The direction suggested by Paul was for the NGEC to seek funding through a CRISI grant and he was pleased to know that the NGEC was already beginning that process. He was equally pleased that Amtrak will be the applicant. He is happy to have the NHEC looking ahead and continuing its work. He noted that it is important for the NGEC to apply for a CRISI fund even if it is not ultimately successful in receiving the grant. The fact that the NGEC submitted an application could open doors for the FRA to find other opportunities for funding it.

Paul provided some suggested some things to include in the app to make it more compelling. Some of the items to include are; energy efficiency, climate, and workforce development. On workforce development he suggested an expansion into the academic word at the university level and named a few that would be good places to start such as Illinois and Penn State. He added that other minority institutions and historically Black colleges as potential opportunities.

Paul also noted that he did not expect that there will be many changes to the CRISI program for this round, so if the NGEK were prepared in advance by going off the last round process it would put itself in a good position.

Paul also mentioned that the amount of funding the NGEK would be requesting would be very small in terms of CRISI and as Ray commented it would be basically “a rounding error” if looking at the total amount of dollars available and this would also be an advantage for the NGEK’s application.

Again, Paul added that even if unsuccessful, the NGEK having documented the need for funding could open the door for another funding source.

Overall, Ray felt the discussion was a productive one.

Steve Hewitt added some information on where Tim Ziethen had left things before being out of the office.

He has discussed the process with Amtrak Grants Office at least twice, and gave the following report to the Executive Board on 4-5-22:

Tim Ziethen reported that he has had two calls with the Amtrak Grants Officer. The FRA has not yet released the details for this round, and likely will not for a couple of months. In the meantime, Amtrak Grants and Tim are looking at last year’s process, and Tim is waiting for internal confirmation as to whether he can distribute a copy or parts of a copy of an Amtrak submittal from last year to use as an example.

Tim noted that they (Tim and Amtrak Grants Officer) believe it is an appropriate application and process for those funds (CRISI) based on successful Grant applications from last year’s program.

Tim noted that since it is a couple of months away before we will see the details, timing is a concern. The program will be highly competitive, and the NGEK has a short window with its existing funds. Therefore, he has asked the Amtrak Grants Office to consider other potential funding opportunities and he asks that FRA also consider other avenues or vehicles – even if only short-term pending the timing of a CRISI Grant.

As Tim was unavailable for today’s call (4-27-22) no update was provided, Steve Hewitt will follow-up with Tim to see what the status is.

Requesting funding through the 2023 Appropriations – Steve Hewitt for Arun Rao, WISDOT and Chair, States for Passenger Rail Coalition (SPRC):

In the absence of Arun Rao, Steve Hewitt reported that Arun had submitted written testimony on behalf of SPRC to the Senate Appropriations THUD subcommittee in advance of its hearing to be held on 4-28-22. (the testimony was submitted on 4-26-22.

Also, on 4-26-22, Arun Rao sent a letter to the House Appropriations THUD subcommittee with the same language as was submitted in the Senate testimony only in letter format as instructed by the House subcommittee staff. (They are not accepting written testimony but will accept letters).

Arun believes that, while applying for a CRISI Grant makes sense, it is a difficult process, therefore, the SPRC Executive Committee decided to also make a request for an appropriation to fund the NGEK.

Steve noted that he would include the language used in the letter and testimony as well as what is included in the updated DRAFT of the SPRC’s Policy Principles, in today’s minutes.

The language used in both the Senate and House submittals was that SPRC supports:

- Providing new funding to continue the activities of the PRIIA Section 305 Next Generation Equipment Pool Committee (NGEC), to advance the development and maintenance of standardized next generation passenger rail equipment specifications. These specifications support lower operating and maintenance costs, extending vehicle life expectancy, and reinvigorating the US Rail manufacturing and supply industry. The NGEC has judiciously used its previously appropriated funds (expending less than \$4 million over 12 years) to produce vehicle specifications that are being used as a basis for all new passenger rail vehicle procurements in the U.S. and beyond; including states, Amtrak, VIA Rail, Metro-North; Brightline, and other entities. It is critical to continue to fund the NGEC so that it can maintain the existing specifications, while exploring emerging technologies (such as zero emission/climate friendly propulsion alternatives) and developing additional next generation specifications that cover the full spectrum of passenger rail services in the US.

The SPRC also is finalizing an update to its policy principles and has included the following language regarding the NGEC as drafted is:

Funding for the PRIIA 305 Next Generation Corridor Equipment Committee (NGEC): Providing new funding to continue the activities of the NGEC, to advance the development and maintenance of standardized next generation passenger rail vehicle specifications. These specifications support lower operating and maintenance costs, extending vehicle life expectancy, workforce development, and reinvigorating the US Rail manufacturing and supply industry. It is critical to continue to fund the NGEC so that it can maintain the existing specifications, while exploring emerging technologies (such as zero emission/climate friendly propulsion alternatives) and developing additional next generation specifications that cover the full spectrum of passenger rail services in the U.S. For more information on the NGEC please see [www.ngec305.org](http://www.ngec305.org)

So, ultimately, SPRC, which represents 24 State DOTs and/or Regional Transportation Officials and Passenger Rail Authorities across the United States, is weighing in with Congress to support funding for the continuation of the NGEC.

- Conveying the message as of 4-30-22:

The 2022 NGEC two-pager is available as reported in the Executive Board section of this report and 450 electronic or "soft" copies have been distributed. 125 hard copies have also been distributed.

Along with the two-pager, the website refresh will look at ways to increase NGEC awareness.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 3-31-22 was submitted to FRA on 4-29-22.

The next report will be due to FRA by 8-31-22.

- Follow ups on further plans to increase NGEC awareness as of 4-30-22:

Tim Ziethen has had several discussions with Michael Alexis, Amtrak Deputy General Counsel, and an exchange of emails with him.

Michael has been assigned to the NGEC for any legal questions or related issues.

Michael provided Tim Ziethen with guidance on issues related to the NGEC's ability to take steps to increase awareness of the Committee and the work that it does.

In general, the guidance is that posting factual information on the website is permitted providing that the Committee follows Amtrak contractor promotion policies which the Committee has been following. For posting on social media, again, the NGEC would be permitted to do it as long as it follows the Amtrak policies. None of this is new, the NGEC has always lived up to these policies.

Issuing Press releases would also be permissible as long as it transmits simply factual information.

Using paid advertising or attending trade shows would require By-Law changes and there would be an issue of spending funds for these activities as they would need to be paid outside the grant.

As noted previously, the NGEC should not proactively communicate with Congress due to “lobbying” issues but can respond with factual information in compliance with Amtrak contractor promotion policy upon request.

There is no change in this topic as of 4-30-22.

During the Month of May 2022, the Finance and Administrative Subcommittee did not meet due to schedule conflicts and the Chair being out on medical leave. The following is a status of activities to date as reported previously on 4-30-22:

- Treasurer’s Report – last report 4-5-22:

- Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through January: \$912,469.91

Balance remaining: \$ 337,530

Current Spend Rate per month (as info and used in calculating): \$14,257

Estimated Balance at the end of the Extension Period (Contingency): \$52,000

- Exploring Funding Options

See update provided in the Executive Board section of this activities report.

- Conveying the message as of 4-30-22:

The 2022 NGEC two-pager is available as reported in the Executive Board section of this report and 450 electronic or “soft” copies have been distributed. 125 hard copies have also been distributed.

Along with the two-pager, the website refresh will look at ways to increase NGEC awareness.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 3-31-22 was submitted to FRA on 4-29-22.

The next report will be due to FRA by 7-31-22.

- Follow ups on further plans to increase NGEC awareness as of 4-30-22:

Tim Ziethen has had several discussions with Michael Alexis, Amtrak Deputy General Counsel, and an exchange of emails with him.

Michael has been assigned to the NGEC for any legal questions or related issues.

Michael provided Tim Ziethen with guidance on issues related to the NGEC’s ability to take steps to increase awareness of the Committee and the work that it does.

In general, the guidance is that posting factual information on the website is permitted providing that the Committee follows Amtrak contractor promotion policies which the Committee has been following. For posting on social media, again, the NGEC would be permitted to do it as long as it follows the Amtrak policies. None of this is new, the NGEC has always lived up to these policies.

Issuing Press releases would also be permissible as long as it transmits simply factual information.

Using paid advertising or attending trade shows would require By-Law changes and there would be an issue of spending funds for these activities as they would need to be paid outside the grant.

As noted previously, the NGEC should not proactively communicate with Congress due to “lobbying” issues but can respond with factual information in compliance with Amtrak contractor promotion policy upon request.

There is no change in this topic as of 5-31-22.

During the Month of June 2022, the Finance and Administrative Subcommittee did not meet due to the Chair being out on medical leave. The following is a status of activities to date and anticipated activities:

- Treasurer’s Report and Finance and Administrative Sub-committee:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through April \$912,469.91

Balance remaining: \$ 337,530

Estimated Spend at current rate for balance of the Grant – \$231,522.22

Current Spend Rate per month (as info and used in calculating): \$13,618.95

Estimated Balance at the end of the Extension Period (Contingency): \$106,007.87

Tim Ziethen is expected back July 6<sup>th</sup> and that would mean he should be able to Chair the next FASC call (7-20-22) and a financial update will be provided.

- Exploring Funding Options

See update provided in the Executive Board section of this activities report.

- Conveying the message as of 6-28-22:

The 2022 NGEC two-pager is available as reported in the Executive Board section of this report and 450 electronic or “soft” copies have been distributed. 125 hard copies have also been distributed.

Along with the two-pager, the website refresh will look at ways to increase NGEC visibility.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 3-31-22 was submitted to FRA on 4-29-22.

The next report will be due to FRA by 7-31-22.

- Follow ups on further plans to increase NGEC awareness as of 4-30-22:

The web site refresh is moving forward.

The RFP has been put out by AASHTO with responses due on 6-30-22.

As reported in the Executive Board section of this report, A review of the By-Laws will begin with a focus on adding additional allowable activities as suggested below and with a look at revising the FASC structure to include a Vice Chair position that will be held by an Amtrak representative. Details on this topic can be found in the Executive Board section of this report.

Previously reported:

Tim Ziethen had several discussions with Michael Alexis, Amtrak Deputy General Counsel, and an exchange of emails with him.

Michael has been assigned to the NGEC for any legal questions or related issues.

Michael provided Tim Ziethen with guidance on issues related to the NGEC’s ability to take steps to increase awareness of the Committee and the work that it does.

In general, the guidance is that posting factual information on the website is permitted providing that the Committee follows Amtrak contractor promotion policies which the Committee has been following. For posting on social media, again, the NGEC would be permitted to do it as long as it follows the Amtrak policies. None of this is new, the NGEC has always lived up to these policies.

Issuing Press releases would also be permissible as long as it transmits simply factual information.

Using paid advertising or attending trade shows would require By-Law changes and there would be an issue of spending funds for these activities as they would need to be paid outside the grant.

As noted previously, the NGEC should not proactively communicate with Congress due to “lobbying” issues but can respond with factual information in compliance with Amtrak contractor promotion policy upon request.

During the Month of July 2022, the Finance and Administrative Subcommittee met on the 20<sup>th</sup>

Key decisions and action item updates from the month of July 2022, included:

- Treasurer’s Report and Finance and Administrative Sub-committee:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through May 2022: \$971,410.38

Balance remaining: \$ 278,589.52

Current Spend Rate per month (as info and used in calculating): \$14,285

Estimated Balance at the end of the Extension Period (Contingency): \$50,000

- Exploring Funding Options

See update provided in the Executive Board section of this activities report.

- Conveying the message as of 7-31-22:

The 2022 NGEC two-pager is available as reported in the Executive Board section of this report and 455 electronic or “soft” copies have been distributed. 125 hard copies have also been distributed.

Along with the two-pager, the website refresh will look at ways to increase NGEC visibility. The website RFP response proposal was accepted by The NGEC Executive Board on 7-19-22 and AASHTO informed iEngineering Corp. that they had been selected and sent an agreement for their review.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 6-30-22 was submitted to FRA by 7-29-22.

The next report will be due to FRA by 11-30-22.

- Follow ups on further plans to increase NGEC awareness as of 7-31-22:

The web site refresh is moving forward.

iEngineering Corp has been selected to refresh the NGEC website.

As reported in the Executive Board section of this report, A review of the By-Laws will begin with a focus on adding additional allowable activities as suggested below and with a look at possibly revising the FASC structure to ensure adequate Amtrak representation.

Making By-laws changes to allow activities that will increase public awareness:

Tim Ziethen had several discussions with Michael Alexis, Amtrak Deputy General Counsel, and an exchange of emails with him.

Michael has been assigned to the NGEC for any legal questions or related issues.

Michael provided Tim Ziethen with guidance on issues related to the NGEC's ability to take steps to increase awareness of the Committee and the work that it does.

In general, the guidance is that posting factual information on the website is permitted providing that the Committee follows Amtrak contractor promotion policies which the Committee has been following. For posting on social media, again, the NGEC would be permitted to do it as long as it follows the Amtrak policies. None of this is new, the NGEC has always lived up to these policies.

Issuing Press releases would also be permissible as long as it transmits simply factual information.

Using paid advertising or attending trade shows would require By-Law changes and there would be an issue of spending funds for these activities as they would need to be paid outside the grant.

As noted previously, the NGEC should not proactively communicate with Congress due to "lobbying" issues but can respond with factual information in compliance with Amtrak contractor promotion policy upon request.

During the Month of August 2022, the Finance and Administrative Subcommittee met on the 20<sup>th</sup>

Key decisions and action item updates from the month of August 2022, included:

- Treasurer's Report and Finance and Administrative Sub-committee:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through June 2022: \$1,017,901.39

Balance remaining: \$ 232,098.61

Current Spend Rate per month (as info and used in calculating): \$14,752.19

Estimated Balance at the end of the Extension Period (Contingency): \$10,815.70

- Exploring Funding Options

See update provided in the Executive Board section of this activities report.

- Conveying the message as of 8-31-22:

The 2022 NGEC two-pager is available as reported in the Executive Board section of this report and 455 electronic or "soft" copies have been distributed. 126 hard copies have also been distributed.

Along with the two-pager, the website refresh will look at ways to increase NGEC visibility. Details on the status of the website refresh can be found in the Executive Board section of this month's report.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 6-30-22 was submitted to FRA by 7-29-22.

The next report will be due to FRA by 11-30-22.

- By-laws changes to allow activities that will increase public awareness:

See the Executive Board section of this month's report for details on the By-Laws update.

During the Month of September 2022, the Finance and Administrative Subcommittee met on the 14<sup>th</sup>

Key decisions and action item updates from the month of September 2022, included:

- Treasurer's Report and Finance and Administrative Sub-committee:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through June 2022: \$1,017,901.39

Balance remaining: \$ 232,098.61

Current Spend Rate per month (as info and used in calculating): \$14,752.19

Estimated Balance at the end of the Extension Period (Contingency): \$10,815.70

On 9-14-22, Strat Cavros, AASHTO reported that the July expenses were around \$3,000.

This would lower the monthly spend rate and increase what the anticipated balance will be. Tim

Ziethen will provide an updated report to the Executive Board on 10-4-22.

- Exploring Funding Options

See update provided in the Executive Board section of this activities report.

- Conveying the message as of 9-30-22:

The 2022 NGECC two-pager is available as reported in the Executive Board section of this report and 625 copies have been distributed.

Along with the two-pager, the website refresh will look at ways to increase NGECC visibility. Details on the status of the website refresh can be found in the Executive Board section of this month's report.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 6-30-22 was submitted to FRA by 7-29-22.

The next report will be due to FRA by 10-30-22.

The milestone updates for the quarter ending 9-30-22 are included at the end of this Activities report and will be used as a part of the narrative for the FRA progress report.

- By-laws changes to allow activities that will increase public awareness:

See the Executive Board section of this month's report for details on the By-Laws update.

During the Month of October 2022, the Finance and Administrative Subcommittee met on the 12<sup>th</sup>

Key decisions and action item updates from the month of October 2022, included:

- Treasurer's Report and Finance and Administrative Sub-committee:

Balance/ Spend Rate:

See Executive Board section of this report for the most current balance and spend rate.

- Exploring Funding Options

See update provided in the Executive Board section of this activities report.

- Conveying the message as of 10-30-22:

The 2022 NGECC two-pager is available as reported in the Executive Board section of this report and 625 copies have been distributed.



Along with the two-pager, the website refresh will look at ways to increase NGEC visibility. Details on the status of the website refresh can be found in the Executive Board section of this month's report.

Details on the status of updating the two-pager for the 2023 version are also reported in the Executive Board section of this activities report

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 9-30-22 was submitted to FRA by the due date of 10-31-22.

The next report will be due to FRA by 1-31-23.

- By-laws changes to allow activities that will increase public awareness:

See the Executive Board section of this month's report for details on the By-Laws update.

During the Month of November 2022, the Finance and Administrative Subcommittee met on the 9<sup>th</sup>

Key decisions and action item updates from the month of November 2022, included:

- Treasurer's Report and Finance and Administrative Sub-committee:

Balance/ Spend Rate:

See Executive Board section of this report for the most current balance and spend rate.

- Exploring Funding Options

See update provided in the Executive Board section of this activities report.

The Amtrak – NGEC CRISI Grant Application was been submitted to FRA on time – 11-30-22.

- Conveying the message as of 11-30--22:

The 2022 NGEC two-pager is available as reported in the Executive Board section of this report and 625 copies have been distributed.

Along with the two-pager, the website refresh will look at ways to increase NGEC visibility. Details on the status of the website refresh can be found in the Executive Board section of this month's report.

Details on the status of updating the two-pager for the 2023 version are also reported in the Executive Board section of this activities report

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 9-30-22 was submitted to FRA by the due date of 10-31-22.

The next report will be due to FRA by 1-31-23.

- By-laws changes to allow activities that will increase public awareness:

See the Executive Board section of this month's report for details on the By-Laws update.

During the Month of December 2022, the Finance and Administrative Subcommittee met on the 7<sup>th</sup>

Key decisions and action item updates from the month of December 2022, included:

- Treasurer's Report and Finance and Administrative Sub-committee:

Balance/ Spend Rate:

See Executive Board section of this report for the most current balance and spend rate.

- Exploring Funding Options

See update provided in the Executive Board section of this activities report.

The Amtrak – NGECC CRISI Grant Application was submitted to FRA on time – 11-30-22.

- Conveying the message as of 12-31-22:

The 2022 NGECC two-pager is available as reported in the Executive Board section of this report and 655 copies have been distributed.

Details on the status of updating the two-pager for the 2023 version are also reported in the Executive Board section of this activities report.

The website refresh is completed. The new website [www.ngec.org](http://www.ngec.org) has been deployed.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 9-30-22 was submitted to FRA by the due date of 10-31-22.

The next report will be due to FRA by 1-31-23.

Quarterly updates attached to this report will be incorporated into the report to FRA.

- By-laws changes to allow activities that will increase public awareness:

The recommended changes were adopted by the Executive Board on 12-13-22 and have been provided to AASHTO for posting to the new website.

During the Month of January and February 2023, the Finance and Administrative Subcommittee met on 1-4-23 and was incorporated into the 2-3-23 NGECC Annual meeting.

Key decisions and action item updates from the months of January and February 2023 included:

- Treasurer's Report and Finance and Administrative Sub-committee:

A detailed update presentation was provided to the NGECC during the Annual Meeting on 2-3-23. The presentation is posted in the Meetings section of the website at [www.ngec.org](http://www.ngec.org)

The Treasurer's Report was accepted as presented by the NGECC Executive Board on 2-3-23.

Balance and Spend Rate through December 2022:

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through December 2022: \$1,084,266.24

Balance remaining: \$165,733.42.

Current Spend Rate per month (as info and used in calculating): \$14,456.89.

Estimated Balance at the end of the Grant Period: \$35,621.00.

Forecasted expense items:

Technical Review – Larry Salci – Estimated at \$21,000

Casamar – estimated in a revised Scope and Budget to be \$9,546.30.

Document Control Manager – Tammy Krause – estimate and outstanding invoices requested.

Website Refresh – iEngineering – estimated at \$12,000.00.

Miscellaneous Meeting and travel expenses – estimated around \$10,000.00.

- Exploring Funding Options

Amtrak is continuing to pursue additional funding options. It is looking into potential gap funding if a shortfall in the current grant balance occurs and is looking for potential bridge funding or pre-award funding depending on what happens with the CRISI Grant Application submitted on 11-30-22 by Amtrak for NGEC funding.

The timeframe for hearing whether the CRISI Grant Application has been accepted or not is expected to occur in May-June 2023.

- Conveying the message as of 2-28-23:

The NGEC 2023 background/educational document was released in January and distributed widely during the 2-3-23 NGEC Annual Meeting. It can be requested in hard or soft copy by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

The website refresh is completed. The new website [www.ngec.org](http://www.ngec.org) has been deployed. Reaction has been very positive. The new site is more user friendly and easy to navigate. At the Annual meeting Chairman Ray Hessinger walked through a comparison of the old site and the new one. His presentation is now posted to the website.

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time. The report for the period ending 12-31-22 was submitted to FRA by the due date of 1-31-23.

The next report will be due to FRA by 4-30-23.

- By-laws changes to allow activities that will increase public awareness:

The recommended changes were adopted by the Executive Board on 12-13-22 and have been provided to AASHTO for posting to the new website.

During the Month of March 2023, the Finance and Administrative Subcommittee met on the 1st and the 29th.

Key decisions and action item updates from the month of March 2023 included:

- Treasurer's Update as of 3-29-23:

Balance/Spend Rate Through December 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through December 2022: \$1,084,266.24

Balance remaining: \$165,733.42.

Estimated spend at current rate for balance of the Grant: \$130,112.01

Current Spend Rate per month (as info and used in calculating): \$14,456.89.

Estimated Balance at the end of the Grant Period: \$35,621.00.

Forecast:

Remaining Funds through December 2022: \$165,733.26

Balance Run Rate: \$35,621.25

Carry Forward Balance: \$15,008.00

Available: \$50,629.25

Expenses Above Run Rate:

Larry Salci: Tech Review: \$19,131.35

Casamar/TLK: \$22,346.30  
Website Refresh: \$10,000.00  
Annual Meeting Travel/Misc.: \$4,000.00

Forecast Above Run Rate: \$ 54,477.65

Balance Favorable/Unfavorable: \$ (3,848.40)

Strat Cavros, AASHTO added that AASHTO has submitted the January invoice in the amount of \$18,348.41. He added that this amount includes Casamar.

Strat also noted that the February invoice would be in the amount of \$26,456 and would include \$10,000 for iEngineering.

Steve Hewitt asked if Larry Salci's has been paid. Strat said that payment would be included in the March invoice.

Determining if gap funding will be needed and how much?

Tim reported that he has not yet heard back from the Amtrak grants office regrading gap funding if the expenses result in the negative. Currently projections would be that the Committee will be in the negative at around \$4,000, but there are variables that could change that either to the good or could be worse. Thus far, all numbers are coming in as anticipated in the forecasts.

Tim also noted that if the Amtrak NGEC CRISI grant application is approved, there will be a need for bridge funding in anticipation of the funding being obligated. The process usually takes about 6 months and the CRISI grant announcements will not come out until the May-June timeframe.

Tim also noted that he has not heard back from Amtrak grants on this question or on the issue of other options which would potentially include approaching FRA with a direct request for funding if the grant application were not approved.

Ray Hessinger suggested that "we have it Teed up" for immediately after the May-June timeframe to go directly to Amit Bose with a request for funding if a CRISI grant is not awarded.

Ray added that this action should be ready to go, but not acted on until the CRISI grants have been announced.

Tim agreed and added that this is one of the discussions he will have with Amtrak grants as to how and when to approach FRA.

- Conveying the message as of 3-31-23:

The NGEC 2023 background/educational document was released in January and distributed widely during the 2-3-23 NGEC Annual Meeting. It can be requested in hard or soft copy by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 330 copies have been distributed.

The website refresh is completed and is up and running. The new website is: [www.ngec.org](http://www.ngec.org).

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time. The report for the period ending 12-31-22 was submitted to FRA by the due date of 1-31-23.

The next report will be due to FRA by 4-30-23.

- By-laws changes to allow activities that will increase public awareness:

The recommended changes were adopted by the Executive Board on 12-13-22 and have been provided to AASHTO for posting to the new website.

During the Month of April 2023, the Finance and Administrative Subcommittee met on the 26<sup>th</sup>.

Key decisions and action item updates from the month of April 2023 included:

- Treasurer's Update as of 4-26-23:

Balance/Spend Rate Through February 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through January 2023: \$1,129,071.67

Balance remaining: \$120,928.33.

Estimated spend at current rate for balance of the Grant: \$102,642.88

Current Spend Rate per month (as info and used in calculating): \$14,663.27.

Estimated Balance at the end of the Grant Period: \$18,285.45

Forecast:

Remaining Funds through January 2023: \$120,928.33

Balance Run Rate: \$18,285.45

Carry Forward in Balance: \$15,008.00

Available: \$33,293.45

Expenses Above Run Rate:

Larry Salci: Tech Review: \$19,131.35 (as of 4-26-23 this invoice has been paid – see below)

Casamar/TLK: \$17,346.30

Website Refresh: iEngineering has been paid.

Annual Meeting Travel/Misc.: Some Annual Meeting costs – travel have been received and accounted for.'

Forecast Above Run Rate: \$ 36,477.65

Balance Favorable/Unfavorable: \$ (3,184.20)

Strat Cavros, AASHTO added that the incurred costs for March were \$31,329 which includes the \$19,131 for Larry Salci. Tim Ziethen will adjust the Treasurer's Report to reflect these expenditures and provide them to Steve Hewitt in advance of the next Executive Board meeting 5-2-23.

Tim added that this would lower the anticipated expenditures and bring the NGEC closer to having a favorable balance at the end of the performance period. We are right on the edge.

- NGEC funding issues/potential interim solutions as of 4-26-23:

On 4-26-23, Tim Ziethen reported that internally – Amtrak and FRA are having discussions about how to handle funding going forward. With the CRISI Grant announcement timeline pushed back from a May-June (2023) time frame it is now expected to take place in the August-September (2023) time frame.

If awarded a CRISI Grant – there is always a period of close to 6 months before the funds are actually received. Therefore, there will be a period where the NGEC will need additional funds in the interim or will need to shut down.

Tim has had conversations with FRA (Mike Murray and Jeff Gordon) looking at whether Amtrak could provide that funding for a period of time including addressing any shortfall. Discussions have started internally at Amtrak and FRA with Tim having had discussions with Amtrak Grants and as recently as today had an email exchange with Mike Murray, FRA.

Discussion revolves around the possibility of requesting bridge funding under the current Amtrak Grant from FRA. This would need approval from Amtrak senior management and go through FRA.

There was also a discussion about the need to write up a no-cost extension to serve as the vehicle for additional funds. Tim noted that this cannot be requested until 90 days before the end of the current Grant period – 6-1-23.

Tim stated that he has not yet gone to Amtrak Legal about other possible options. He is working first with the Amtrak Grants Office on the possibility of a no-cost extension – which would require a new WBS and the close-out of the current WBS. This would be the third extension.

Tim commented that “we are trying to do a lot – quickly – and also if it looks like it will land heavier – to close out this year – we will need to look to Amtrak.” Tim added that all of these possibilities will need senior leadership approval in Amtrak – but noted that there has been great support for the NGEC.

Jeff Gordon, FRA, provided some clarification. He noted that in previous discussions it has been stated that the current grant funds are available until expended. Therefore, “once expended, the grant is over. I am not sure that a multi-month extension is needed.”

Jeff noted that it may be possible that Amtrak fund the NGEC directly through AASHTO using funds from the Amtrak annual grant.

FRA will need to hear from Amtrak on its view, its but-in, a plan and then have them “pitch it to FRA.”

Tim agreed that “presumably, the Amtrak annual grant is the best way to handle it.”

Tim also noted that if there is a gap at the end - he is discussing how Amtrak could cover that.

There is also the question of whether Amtrak is thinking about how long they can fund the NGEC if there a CRISI Grant is not awarded.

Tim repeated that “no one wants to the work to stop,” but “we are just looking at what the mechanics are and a way to go.”

On exploring other potential funding options such as the industry, or subscription-based funding etc. Conflicts of interest become a concern. The NGEC creates challenges to those and other potential alternatives.

The timeline for beginning the shutdown remains the same as initially recommended by FASC and agreed to by the Executive Board and that is a June timeframe. By then, Tim hopes to have some clarity on options and on next steps.

Tim is continuing to reach out internally for clarification and will report back as soon as he has some answers.

The Executive Board meets next week (5-2-23) and this topic will be on the agenda. Tim will provide any additional information that he gets between now and then.

- Conveying the message as of 4-30-23:

The NGEC 2023 background/educational document was released in January and distributed widely during the 2-3-23 NGEC Annual Meeting. It can be requested in hard or soft copy by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 330 copies have been distributed.

The new website is up and running at: [www.ngec.org](http://www.ngec.org).

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time. The report for the period ending 12-31-22 was submitted to FRA by the due date of 1-31-23.

The next report will be due to FRA by 4-30-23.

- By-laws changes to allow activities that will increase public awareness:

The By-Laws were updated in December 2022 and will again be reviewed in the Fall of 2023.

During the Month of May 2023, the Finance and Administrative Subcommittee met on the 24<sup>th</sup>.

Key decisions and action item updates from the month of May 2023 included:

- Treasurer's Update as of 5-24-23:

Balance/Spend Rate Through March 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through March 2023: \$1,161,003.14

Balance remaining: \$89,996.85.

Estimated spend at current rate for balance of the Grant: \$89,307.93

Current Spend Rate per month (as info and used in calculating): \$14,884.66.

Estimated Balance at the end of the Grant Period: (\$311.07)

Pending:

Steve Hewitt updated these numbers slightly based on an updated estimate from Tammy Krause (TLK) on anticipated invoice to be submitted for Document Control activities. The estimate for the two pending items is slightly less, but awfully close to the previous estimates.

As of 5-25-23:

Casamar:\$9,546.30 TLK: \$7,425.00

Casamar/TLK: original estimate \$17,346.30 - updated estimate: \$16,971.30

Tim Ziethen noted that the base line spend estimates do not include the Casamar/TLK expenditures, and "it could push us over" but it depends on the next few months of spending – while the average spend rate is around \$15,000, it often comes in lower.

- NGEF funding issues/potential interim solutions - Tim Ziethen:

Tim reported that he is creating a no-cost extension to facilitate expenditures beyond the end of the federal fiscal year. It is to be the mechanism to take care of any ongoing expenses that we may have as the grant agreement ends.

Tim also reported that he has a verbal commitment from the Amtrak Grants office to cover the gap funding if the expenses go over the remaining funds.

Additionally, Tim reported that he is putting together a line-item project in a budget request for the next fiscal year. The one caveat is that it is still subject of approval in the final budget process that will take place over the summer.

There are still questions to be answered/resolved regarding resources – should it be tied to the Amtrak Annual Grant from FRA or as a line-item in the Amtrak budget. The grants office is looking into this.

Tim commented that he still needs to talk to FRA (Mike Murray and Jeff Gordon) about various particulars.

He asked if they had anything to add today. Mike Murray responded that he had nothing additional today.

Tim commented further that the accounting folks at Amtrak are considering treatment in the budget process – basically the concept is going through the Amtrak internal process. He expects it will be a “July-ish” timeframe.

Tim added that George Hull (Amtrak CMO) is onboard with the proposed interim solution and believes the NGEC should continue. (This is also true throughout Amtrak senior management).

Tim’s recommendation is to continue the work at a minimal level – “do not pull the plug -we are steadying the ship and continue to be hopeful for a CRISI grant award.

The line-item project budget proposal would need a new NBS and there would need to be a change in the By-laws which currently reference the grant.

Steve Hewitt asked Tim how long the proposed interim agreement was to be for.

Tim responded – “12 months”.

Steve asked what the amount of funding was that is being considered – as the current spend-rate is around \$15,000 a month and that would equal about \$180,000?

Tim answered that he has preliminarily asked for \$200,000 to provide a cushion.

Steve noted that there is new work that is being planned – if the NGEC is funded that would add some costs. The work being considered would entail obtaining final specs as changed by entities that have used the NGEC specs as a base line. This will take some work and some time. The specs would be reviewed and changes made would need to be itemized and sent through the NGEC DCR process. The additional costs would be related to Larry Salci -Review Panel Consultant, Camren Cordell (Casamar) - Technical Writing, and Tammy Krause (TLK) for additional Document Control activities.

Tim agreed and added that there is some time to provide Amtrak Finance with a better estimate of anticipated costs than the back of the envelope amount he was using. He noted that it should be an amount that goes no further than \$300,000.

Steve Hewitt commented that this should be discussed on next week’s Executive Board call and likely an SOW and budget should be provided. There has only been peripheral discussions about what the NGEC will do beyond 9-30-23, but not knowing if there would be continued funding – the Board has simply asked that the activities be outlined and that document control and technical writing be ready to go if new funding is provided.

Tim agreed – and will plan to report to the Board next week and have this discussion. He also asked for time with Mike Murray and Jeff Gordon at a convenient time. Mike responded that he should be able to get together with Tim sometime next week.

Tim would like to confirm with FRA the mechanics and on what approvals Amtrak will need from FRA – especially if it is a line item in the Amtrak budget.

Tim also added that there is also the issue of whether the NGEC would be a capital project but not “capitalizable” or if it would be considered an operating cost project.

The NGEC actually does have assets – specifications. There are details to be worked out, but the NGEC is considered to be something that Amtrak believes should continue.

- Conveying the message as of 5-31-23:

The NGEC 2023 background/educational document was released in January and distributed widely during the 2-3-23 NGEC Annual Meeting. It can be requested in hard or soft copy by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)



To date 333 copies have been distributed.

The new website is up and running at: [www.ngec.org](http://www.ngec.org).

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time. The report for the period ending 3-31-23 was submitted to FRA by the due date of 4-30-23.

The next report will be due to FRA by 7-31-23.

- By-laws changes to allow activities that will increase public awareness:

The By-Laws were updated in December 2022 and will again be reviewed in the Fall of 2023.

Note: It is possible that a By-Law change may be required sooner than the Fall if needed for the proposed new (interim) funding source.

During the Month of June 2023, the Finance and Administrative Subcommittee met on the 21st.

Key decisions and action item updates from the month of June 2023 included:

- Treasurer's Update as of 6-27-23:

Balance/Spend Rate Through April 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through April 2023: \$1,173,648.37

Balance remaining: \$76,351.67.

Estimated spend at current rate for balance of the Grant: \$74,281.54

Current Spend Rate per month (as info and used in calculating): \$14,856.31.

Estimated Balance at the end of the Grant Period: 2,070.13

Tim Ziethen noted that the base line spend estimates do not include the Casamar/TLK expenditures, and "it could push us over" but it depends on the next few months of spending – while the average spend rate is around \$15,000, it often comes in lower.

Status – 6-month no-cost current grant agreement extension:

Amtrak has submitted a 6 month no-cost GARF to FRA which is now under review. The GARF extends the period of performance and "allows us to draw down expenses in the grant until exhausted."

Update: NGEC 12-month Interim funding Proposal:

In regard to funding, Tim reported that he had met with Mike Murray and Jeff Gordon, FRA, and he has "great news!" FRA reviewed the Amtrak proposal to fund the ongoing work of the Committee out of its Annual Grant that it receives through Appropriations. He noted "we have the green light to move forward with what we have proposed." Tim added that they are still looking at whether it will be identified as a Capital Project or an operating expense. He termed this as "more of an accounting question."

He added that the is "super news!"

- Conveying the message as of 6-30-23:

The NGEC 2023 background/educational document was released in January and distributed widely during the 2-3-23 NGEC Annual Meeting. It can be requested in hard or soft copy by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 334 copies have been distributed.

The NGECE website is up and running at: [www.ngec.org](http://www.ngec.org).

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time. The report for the period ending 6-30-23 is due to FRA by 7-31-23.

- By-laws changes to allow activities that will increase public awareness:

The By-Laws were updated in December 2022 and will again be reviewed in the Fall of 2023.

Note: It has been determined that no changes to the By-Laws will be required for the proposed new (interim) funding source.

During the Month of July 2023, the Finance and Administrative Subcommittee met on the 21st:

Key decisions and action item updates from the month of July 2023 included:

- Treasurer's Update as of 6-27-23:

Balance/Spend Rate Through May 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through May 2023: \$1,198,774.76

Balance remaining: \$51,225.24.

Estimated spend at current rate for balance of the Grant: \$59,938.74

Current Spend Rate per month (as info and used in calculating): \$14,984.68.

Estimated Balance at the end of the Grant Period: (8,713.50) over target.

Tim noted that there is a fair amount of variance in invoices each month and historically these are "light months" so it is possible to go over budget slightly, but it will be close. If it does go over, Amtrak has agreed to pick up the "small overage." Tim also noted that he is not aware of anything "hanging out there."

Status – 6-month no-cost current grant agreement extension:

Amtrak has submitted a 6 month no-cost GARF to FRA which is now under review. The GARF extends the period of performance and "allows us to draw down expenses in the grant until exhausted."

As of 7-31-23 FRA continues its review process.

Update: NGECE 12-month Interim funding Proposal 7-19-23:

Tim Ziethen reported that Amtrak has a placeholder in the AOP to fund baseline operations of the NGECE with an adjustment for "known work already approved" by the Board based on estimates provided. The Draft includes built-in contingencies.

The current version of the DRAFT budget is (Tim shared it on the screen with the FASC members on the call) the same as what was discussed at the 7-11-23 NGECE Executive Board meeting. There may be some adjustments/refinements later today as he (Tim) is meeting with Strat Cavros, AASHTO, to go over the line items pertaining to AASHTO's professional services and other less defined line items such as website maintenance. Tim added that had put in a placeholder for \$500 per month for this website maintenance and asked Strat or Shayne if there could potentially clarify if this was a separate item. Shayne Gill clarified that the website maintenance costs are not separated out from other AASHTO activities – rather they are built in. The separate contract with the website designer did not include continued maintenance. The ongoing maintenance of the site is handled by AASHTO, but not as a separate cost.

Tim noted that he has developed the budget using the last 12-month average spend and will be confirming those numbers with Stat this afternoon.

Tim described one line item as including miscellaneous expenses and Annual meeting Travel. It also includes \$10,000 for reimbursing Amtrak for any carryover from the current grant.

Ray Hessinger mentioned that the House T&I Committee is talking about cutting Amtrak funds – “how will this impact us.”

Tim responded, “good question – we are discussing this internally – but we are hopeful it will get worked out. I have no particular insight on this one - it is a concern, but no one has come back to me to say remove the NGECC placeholder.” Tim added that he is monitoring this as closely as possible. Obviously if there is a shutdown – “all bets are off.”

He did add “while some believe that IIJA money solves everything – it does not – there is no ability to re-direct to operating support.”

Tim asked if there were other questions. Steve Hewitt commented that the regular order of things would be for the FASC to consider the DRAFT Budget to move it forward to the executive Board as a recommendation. Steve noted that the Executive Board is expected to discuss the Draft Budget on its next call (7-25-23) in Executive Session. It would be appropriate to have the FASC recommend that it be moved to the Board for consideration with the understanding that FRA has asked for an Executive Session discussion.

Tim agreed, and called for a motion to recommend the DRAFT budget be moved forward to the Executive Board for its consideration with the understanding that after he has talked to AASHTO later there may be some tweaks or adjustments.

Steve Hewitt suggested that the FASC recommendation to the Board should include “a not to exceed” number and the understanding that it could be further refined (after Tim’s discussion with AASHTO later today).

John Oimoen, IDOT offered a motion to move it forward to the Executive Board with the understanding as described above. The motion was seconded by Amanda Martin, Iowa DOT.

Tim asked if there were any objections. Hearing none he determined that consensus was achieved and the motion was approved.

Tim will provide Steve Hewitt with the “refined/adjusted” Draft after his conversation with AASHTO today. Steve Hewitt will forward that draft to the FASC along with the meeting minutes and will send it to all Board members along with the 7-25-23 Executive Board agenda.

The recommended budget (adjusted) will be attached to the email transmitting these minutes to FASC members and will be sent to the Executive Board along with the 7-25-23 meeting agenda on Friday 7-21-23.

- Conveying the message as of 7-31-23:

The NGECC 2023 background/educational document was released in January and distributed widely during the 2-3-23 NGECC Annual Meeting. It can be requested in hard or soft copy by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 336 copies have been distributed.

The NGECC website is up and running at: [www.ngecc.org](http://www.ngecc.org).

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time.

The report for the period ending 9-30-23 is due to FRA by 10-31-23.

- By-laws changes to allow activities that will increase public awareness:

The By-Laws were updated in December 2022 and will again be reviewed in the Fall of 2023.

Note: It has been determined that no changes to the By-Laws will be required for the proposed new (interim) funding source.

During the Month of August 2023, the Finance and Administrative Subcommittee did not meet. Its next meeting will take place on September 13, 2023.

Key decisions and action item updates from the month of July 2023 included:

- Treasurer's Update as of 7-19 - 23:

Balance/Spend Rate Through May 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through May 2023: \$1,198,774.76

Balance remaining: \$51,225.24.

Estimated spend at current rate for balance of the Grant: \$59,938.74

Current Spend Rate per month (as info and used in calculating): \$14,984.68.

Estimated Balance at the end of the Grant Period: (8,713.50) over target.

Tim noted that there is a fair amount of variance in invoices each month and historically these are "light months" so it is possible to go over budget slightly, but it will be close. If it does go over, Amtrak has agreed to pick up the "small overage." Tim also noted that he is not aware of anything "hanging out there."

Status – 6-month no-cost current grant agreement extension:

Amtrak has submitted a 6 month no-cost GARF to FRA which is now under review. The GARF extends the period of performance and "allows us to draw down expenses in the grant until exhausted."

As of 7-31-23 FRA continues its review process.

Update: NGECE 12-month Interim funding Proposal 7-19-23:

Tim Ziethen reported that Amtrak has a placeholder in the AOP to fund baseline operations of the NGECE with an adjustment for "known work already approved" by the Board based on estimates provided. The Draft includes built-in contingencies.

The current version of the DRAFT budget is (Tim shared it on the screen with the FASC members on the call) the same as what was discussed at the 7-11-23 NGECE Executive Board meeting. There may be some adjustments/refinements later today as he (Tim) is meeting with Strat Cavros, AASHTO, to go over the line items pertaining to AASHTO's professional services and other less defined line items such as website maintenance. Tim added that had put in a placeholder for \$500 per month for this website maintenance and asked Strat or Shayne if there could potentially clarify if this was a separate item. Shayne Gill clarified that the website maintenance costs are not separated out from other AASHTO activities – rather they are built in. The separate contract with the website designer did not include continued maintenance. The ongoing maintenance of the site is handled by AASHTO, but not as a separate cost.

Tim noted that he has developed the budget using the last 12-month average spend and will be confirming those numbers with Stat this afternoon.

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Ray Hessinger mentioned that the House T&I Committee is talking about cutting Amtrak funds – “how will this impact us.”

Tim responded, “good question – we are discussing this internally – but we are hopeful it will get worked out. I have no particular insight on this one - it is a concern, but no one has come back to me to say remove the NGECC placeholder.” Tim added that he is monitoring this as closely as possible. Obviously if there is a shutdown – “all bets are off.”

He did add “while some believe that IIJA money solves everything – it does not – there is no ability to re-direct to operating support.”

Tim asked if there were other questions. Steve Hewitt commented that the regular order of things would be for the FASC to consider the DRAFT Budget to move it forward to the executive Board as a recommendation. Steve noted that the Executive Board is expected to discuss the Draft Budget on its next call (7-25-23) in Executive Session. It would be appropriate to have the FASC recommend that it be moved to the Board for consideration with the understanding that FRA has asked for an Executive Session discussion.

Tim agreed, and called for a motion to recommend the DRAFT budget be moved forward to the Executive Board for its consideration with the understanding that after he has talked to AASHTO later there may be some tweaks or adjustments.

Steve Hewitt suggested that the FASC recommendation to the Board should include “a not to exceed” number and the understanding that it could be further refined (after Tim’s discussion with AASHTO later today).

John Oimoen, IDOT offered a motion to move it forward to the Executive Board with the understanding as described above. The motion was seconded by Amanda Martin, Iowa DOT.

Tim asked if there were any objections. Hearing none he determined that consensus was achieved and the motion was approved.

Tim will provide Steve Hewitt with the “refined/adjusted” Draft after his conversation with AASHTO today. Steve Hewitt will forward that draft to the FASC along with the meeting minutes and will send it to all Board members along with the 7-25-23 Executive Board agenda.

The recommended budget (adjusted) will be attached to the email transmitting these minutes to FASC members and will be sent to the Executive Board along with the 7-25-23 meeting agenda on Friday 7-21-23.

Note: The budget was approved by the Executive Board as recommended by the FASC. The Board, in Executive Session

- Conveying the message as of 8-31-23:

The NGECC 2023 background/educational document was released in January and distributed widely during the 2-3-23 NGECC Annual Meeting. It can be requested in hard or soft copy by contacting Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

To date 338 copies have been distributed.

The NGECC website is up and running at: [www.ngecc.org](http://www.ngecc.org).

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time.

The report for the period ending 9-30-23 is due to FRA by 10-31-23.

- By-laws changes to allow activities that will increase public awareness:

The By-Laws were updated in December 2022 and will again be reviewed in the Fall of 2023.

Note: It has been determined that no changes to the By-Laws will be required for the proposed new (interim) funding source.

During the Month of September, the Finance and Administrative Subcommittee met once on the 13<sup>th</sup>.

Note: The FASC discussed its cadence of once every four weeks, and, like the Tech subcommittee, it left the cadence as is with the Chair and Steve Hewitt making the determination to cancel an up-coming meeting if the agenda was light.

Key decisions and action item updates from the month of September 2023 included:

Treasurer's Update- Balance and Spend Rate – Forecast as provided by Tim Ziethen:

Balance/Spend Rate Through July 2023

Total Initial Grant Amount: \$1,250,000.

Expenses Incurred through July 2023: \$1,236,204.83.

Balance remaining: \$13,795.17.

Estimated spending, at current rate, for balance of the Grant: \$30,151.34.

Current Spend Rate per month (as info and used in calculating): \$15,075.67.

Estimated Balance at the end of the Grant Period: (\$16,356.17) over target.

With a light July spending rate, the forecasted overage came down from the estimate provided to the Executive Board on 9-5-23.

All in all, Tim believes we are pretty much on track and will be close at the end. (Amtrak has said it will cover the overage as a part of the interim spending plan.)

Status – 6 month no-cost current grant agreement extension:

As of this meeting, Amtrak has not yet received the final word from FRA on the no-cost current grant agreement extension which would allow NGECE expenses incurred during the grant period to be paid beyond the 9-30-23 performance period.

Tim does not foresee this being a problem. There were some minor wording changes that are being addressed and he is awaiting final execution of the agreement.

Next Steps/Close Out Documents required for grant agreement ending on 9-30-23:

Pending execution of the no-cost extension is the closeout process for the current grant. Once it is executed, Tim will have more information from grants and legal as to what is needed and what the process will be for final closeout of the current grant.

Update: NGECE 12-month Interim funding Proposal 9-13-23:

Tim Ziethen reported that the time for CRISI Grant awards is drawing closer and he continues to have hope that the Amtrak - NGECE CRISI Grant application will be successful.

Amtrak has agreed to fund the NGECE either to bridge the gap if awarded a CRISI Grant or for up to a year (12-months) at the agreed budget amount of about \$260,000. This budget is in the Amtrak request for FFY2024, but the AOP has not been approved by the Amtrak Board. Tim does not see the NGECE proposal being problematic as it is a small amount within the proposed Amtrak operating plan. Tim expects the AOP will be approved by Amtrak's Board shortly.

There is one caveat which is that Congress has to appropriate the funding and there could be some "drama" as the Congress works through its process for the FFY 24 spending plan.

Tim noted that he has asked Amtrak Grants and Amtrak Legal what Amtrak is authorized to do with respect of giving AASHTO the authority to extend resources (contracts with sub-contractors).

Tim emphasized that there is no plan to shut down or reduce the NGEC work – he just has not gotten answers yet.

Tim's recommendation is to not take any action to shut down anything – he believes it will all work out in the next 17 days or so.

Strat Cavros, AASHTO, had joined the call, and Tim repeated to Strat that he (Tim) is not recommending a shutdown of the NGEC work or activities, but he is waiting for guidance from Amtrak Grants and Legal to confirm how to continue operating with the knowledge that AASHTO would need to extend resources.

Strat responded "Ok, I will wait further direction."

CRISI Grant Application Status:

As noted earlier in this report – CRISI Awards have been announced by the FRA and the NGEC was not among those awarded grants.

- Conveying the message as of 9-13-23:

On 9-13-23, Steve Hewitt reported that it is also time to begin reviewing and updating the NGEC two pager educational document. The process used in the past has been similar to the By-Laws review – with John Oimoen and Steve Hewitt beginning the initial review and making recommendations. Steve did ask FASC members to look at the 2023 version and send John and Steve any recommended updates in advance of the 10-11-23 FASC call.

While the timeline is not as tight as the By-Laws review/update, it is somewhat condensed because the goal would be to release the 2024 version by the 2-2-24 NGEC Annual Meeting.

The process takes some time as the FASC ultimately makes recommendations to the full Executive Board and it has final say on approving the 2024 NGEC two-pager.

Steve Hewitt also noted that he would have to contact MODOT (Troy Hughes) to see if the graphic arts at MODOT would be willing to, once again, format and print the 2024 two-pager. MODOT has provided this service free to the NGEC for several years now, and they do a great job with a rapid turnaround.

It was agreed that the process as described by Steve Hewitt proceed.

The NGEC website is up and running at: [www.ngec.org](http://www.ngec.org). Steve Hewitt reviews the website periodically and sends updates and/or changes to AASHTO – the maintainer of the site.

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time.

The report for the period ending 9-30-23 is due to FRA by 10-31-23.

Annual NGEC By-Laws Review:

The By-Laws were updated in December 2022 and will again be reviewed in the Fall of 2023.

On 9-13-23, Steve Hewitt reminded FASC members that an Annual By-Laws review is required and that usually the process is that Steve Hewitt and John Oimoen (as Vice chair over FASC administrative issues) do the first review and make recommendations either for changes or to remain the same. Following that, the FASC considers the recommendations and sends them to the Board. The Board must have any proposed changes in their possession at least 30 days prior to taking a vote.

Steve recommended that he and John Oimoen conduct the initial review and provide recommendations to the FASC during the October meeting (10-11-23) – with a vote during the

November meeting (11-8-23). This will give FASC members time to review any recommendations and provide comments in advance of approval of sending those recommendations to the Executive Board.

This timeline would provide the required thirty-day period for the Executive Board to have the changes in their possession and have a vote on them in December during that month's meeting (12-26-23). This would fulfill the requirement in the current grant agreement of conducting an annual By-Laws review.

Tim agreed and John Oimoen agreed on the process. Tim directed Steve Hewitt and John Oimoen to proceed as described but asked that, in doing so, they confirm if there are any references in the By-Laws to types of grant funding or alternate funding sources required or allowed in funding the NGEC.

Steve Hewitt agreed that this is on his radar and also noted that Amtrak Legal had already stated that it did not believe that there would be an impact on the By-Laws if there is an alternate funding source.

During the Month of October, the Finance and Administrative Subcommittee met once on the 11th.

Key decisions and action item updates from the month of October 2023 included:

Treasurer's Update- Balance and Spend Rate – Forecast as provided by Tim Ziethen:

Balance/Spend Rate Through August 2023

Total Initial Grant Amount: \$1,250,000.

Expenses incurred through August 2023: \$1,247,141.37

Balance remaining: \$2,858.63.

Estimated spending, at current rate, for balance of the Grant: \$15,025.80

Current Spend Rate per month (as info and used in calculating): \$15,025.80.

Estimated Balance at the end of the Grant Period: (\$12,167.17) over target.

Status updates provided by Tim Ziethen on 10-31-23:

- Amtrak submitted the 4<sup>th</sup> Quarter NGEC 305 Committee report to the FRA.
- Amtrak has extended the period of performance under contract with AASHTO – Strat is point of contact.
- Financials – Grant is exhausted (accrual basis) however Amtrak needs to submit past invoices for reimbursement using normal process.
- Amtrak AOP budget (\$260,000) is approved for NGEC 305 Committee – continued work funded per work plan.
- CRISI grant not awarded – Amtrak will request feedback from FRA.
- 6 mos. No-Cost extension approved – allowing billing driven by delay in invoicing (normal).
- Update to By-Laws

Previously confirmed no changes needed from Amtrak Legal – waiting for final confirmation.

Status – Contract Modifications for the Sub-Contractors:

Tim also noted that once the PO is executed between Amtrak and AASHTO, the contract modifications extending the sub-contractor agreements through 9-30-24 can be executed by AASHTO.

- Conveying the message as of 9-13-23:



The NGEC 2023 backgrounder/educational document was released in January and formally introduced during the Annual Meeting. To date 354 copies have been distributed (hard and soft).

The FASC has begun the process of developing the 2024 version of the two-pager and is reviewing recommendations provided by John Oimoen, IDOT, and Steve Hewitt, NGEC Manager. On 11-8-23 further changes recommendations will be discussed by the FASC.

On 10-11-23, Steve Hewitt reported that he had checked with Troy Hughes, MODOT, and Troy confirmed that MODOT would, once again, take on the formatting, production, and printing of the 2024 NGEC two pager (Thank you Troy!)

Steve gave an overview of changes he would recommend and asked all FASC members to do a review of the document over the next month and provide comments, suggestions or recommendations for changes that would update and improve the two-pager for 2024.

Recommendations provided by Steve Hewitt:

On Page one:

- Insert a new photo.
- Change date to 2024 in the upper right-hand corner.
- Update the Timeline column by including current numbers of Charger Locomotives and Venture cars in service. (John Oimoen, IDOT will provide updated numbers)
- Steve suggested and asked for input – that on the timeline the updating of the 305-900 NGEC Reference specification series is listed as completed in September 2023. (Troy Hughes, MODOT, suggested that this be included so as to show that there were activities completed in 2023.)

On Page two:

- Update the photos. Steve noted there are three currently on Page two and refreshing them would be good to do. (John Oimoen suggested the new photos include interior pictures as well. IDOT has some good pictures of the interiors of Café and Coach cars. He will have some sent to Steve Hewitt.)
- Steve Hewitt noted that he was aware of one additional entity - Utah Transit Authority (UTA)- that was using the NGEC specs. All other listed under Realization on the second page continue to be relevant. He asked members of FASC to let him know if there are others.

Ultimately, it was agreed that FASC members will review the two-pager and provide comments/suggestions for the 2024 version in advance of the 11-9-23 FASC meeting.

The NGEC website is up and running at: [www.ngec.org](http://www.ngec.org). Steve Hewitt reviews the website periodically and sends updates and/or changes to AASHTO – the maintainer of the site.

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time.

The report for the period ending 9-30-23 was submitted on 10-30-23.

The next report will be due on 1-31-24.

- Annual NGEC By-Laws Review:

On 10-11-23, John Oimoen and Steve Hewitt reported that they had done an initial review of the NGEC By-Laws and agreed that no changes to the By-Laws were needed at this time.

Steve added that this review included a look to see if there was anything in the By-Laws that would have to be changed due to there being a new funding source. There did not seem to be anything in the By-Laws that addressed funding sources.

Steve Hewitt recommended that the FASC members review the By-Laws with the understanding that he and John Oimoen were recommending no changes. Members would be asked to let Steve Hewitt know if there are changes that they feel should be made, that, perhaps Steve and John missed.

Tim agreed and added that Amtrak Legal had previously stated that they did not see any changes needed in the By-Laws or structure of the Committee, but that he will ask that Legal take another look and that the FASC take the issue up for a recommendation to the Executive Board on the next FASC call scheduled for 11-8-23.

During the Month of November, the Finance and Administrative Subcommittee met once on the 8th.

Key decisions and action item updates from the month of November 2023 included:

Treasurer's Update- Balance and Spend Rate – Forecast as provided by Tim Ziethen to the Executive Board on 11-28-23:

Balance/Spend Rate Through November 2023

Total Initial Grant Amount: \$1,250,000.

Expenses incurred through September 2023: \$1,257,530.66

Balance remaining: (\$7,530.66).

Current Spend Rate per month (as info and used in calculating): \$15,150.97.

Estimated Balance at the end of the Grant Period: (\$7,530.66).

Amtrak will pick up the overage as noted previously.

- Conveying the message as of 9-13-23:

The NGEC 2023 backgrounder/educational document was released in January and formally introduced during the Annual Meeting. To date 368 copies have been distributed (hard and soft).

On 11-9-23, the FASC approved recommended updates (in draft form) and asked Steve Hewitt to send on to the Executive Board for its review and comment.

See the Executive Board section of this report for a detailed description of the recommended changes and future action requires.

The NGEC website is up and running at: [www.ngec.org](http://www.ngec.org). Steve Hewitt reviews the website periodically and sends updates and/or changes to AASHTO – the maintainer of the site.

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time.

The report for the period ending 9-30-23 was submitted on 10-30-23.

The next report will be due on 1-31-24.

- Annual NGEC By-Laws Review:

On 11-8-23, FASC accepted the recommendation from Steve Hewitt and John Oimoen to inform the Executive Board that no changes were required for the NGEC By-Laws. On 11-28-23, the Board accepted the FASC recommendation and asked Steve Hewitt to make a notation on the front page of the By-Laws.

During the Month of December, the Finance and Administrative Subcommittee met once on the 7th.

The FASC discussed its' cadence of once every four weeks, and, like the Tech subcommittee, it left the cadence as is with the Chair and Steve Hewitt making the determination to cancel an up-coming meeting if the agenda was light.

Key decisions and action item updates from the month of December 2023 included:

Treasurer's Update- Balance and Spend Rate – Forecast as provided by Tim Ziethen to the Executive Board on 12-19-23:

- Balance/Spend Rate Through September 2023 – end of prior Grant:

Total Initial Grant Amount: \$1,250,000.

Expenses incurred through September 2023: \$1,257,530.66

Balance remaining: (\$7,530.66).

Current Spend Rate per month (as info and used in calculating): \$15,150.97.

Estimated Balance at the end of the Grant Period: (\$7,530.66).

Amtrak is seeking reimbursement for funding the overage in September.

- Conveying the message as of 12-31-23:

The NGECE 2023 background/educational document was released in January and formally introduced during the Annual Meeting. To date 368 copies have been distributed (hard and soft).

See the Executive Board section of this report for a detailed description of the recommended changes and future action required to update the document for 2024.

The NGECE website is up and running at: [www.ngec.org](http://www.ngec.org). Steve Hewitt reviews the website periodically and sends updates and/or changes to AASHTO – the maintainer of the site.

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time.

The report for the period ending 9-30-23 was submitted on 10-30-23.

The next report will be due on 1-31-24.

- Annual NGECE By-Laws Review:

On 11-28-23, the Board accepted the FASC recommendation that no changes were needed for 2023, and asked Steve Hewitt to make that notation on the front page of the By-Laws.

The Finance and Administrative subcommittee (FASC) will hold a conference call every four weeks on Wednesdays at 3:00pm Eastern.

During the Month of January 2024, the Finance and Administrative Subcommittee met once on the 3rd.

Note: The second vice chair position became vacant on 12-31-23 with the retirement from State service by John Oimoen, IDOT. Melina Lopez will be the IDOT rep on the FASC, and once elections are held on -2-2-24, the second Vice Chair will be the elected Secretary of the Executive Board – per the NGECE By-Laws. The nominating committee has recommended Amanda Martin, Iowa DOT for Secretary of the Executive Board and second vice chair of the FASC.

Key decisions and action item updates from the month of January 2024 included:

Balance/Spend Rate Through November 2023

Total Initial Grant Amount : \$1,510,000 (using the current budgeted amount along with the prior grant funds)

Expenses incurred through November 2023: \$1,281,798.13

Balance remaining: \$228,187.

Current Spend Rate per month \$14,904.

Status – Contract Modifications Amtrak/AASHTO and AASHTO/Sub-Contractors:

Tim reported that he had sent Strat Cavros, AASHTO, a notice of what to use for authorization on what is a valid and open purchase order and that he has asked Amtrak Procurement to re-issue the Purchase Order using the budgeted amount. (Strat confirmed receipt of the notice).

Tim noted that this should enable AASHTO to officially extend the contract with all of the sub-contractors as previously approved in the budget.

#### Seeking Long-Term Funding:

The intent is to continue to seek long-term funding for the NGEC. The interim funding being provided by Amtrak for FY 2024 is not intended to be long-term but rather a stop-gap to keep the NGEC going while it explores funding options. Amtrak intends to apply again in the next round of CRISI Grant funding and will look into other potential options.

- Conveying the message as of 12-31-23:

The NGEC 2023 backgrounder/educational document was released in January and formally introduced during the Annual Meeting. To date 368 copies have been distributed (hard and soft).

#### NGEC two-pager updates for 2024 version – FASC Recommendations:

The NGEC 2024 Backgrounder and Educational document has been finalized and will be distributed in hard copy at the Annual Meeting (2-2-24) and electronically to all members of the NGEC. description of the recommended changes and future action required to update the document for 2024.

The NGEC website is up and running at: [www.ngec.org](http://www.ngec.org). Steve Hewitt reviews the website periodically and sends updates and/or changes to AASHTO – the maintainer of the site.

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time.

The report for the period ending 12-31-23 was submitted on 1-30-24.

The next report will be due on 4-30-24.

- Annual NGEC By-Laws Review:

The 2023 review resulted in no changes being recommended.

The By-Laws will next be reviewed in the Fall of 2024.

During the Month of February 2024, the Finance and Administrative Subcommittee met once on the 28th.

Key decisions and action item updates from the month of February 2024 included:

#### Balance/Spend Rate Through November 2023

Total Initial Grant Amount: \$1,510,000.

Expenses incurred through December 2023: \$1,283,740.13

Balance remaining: \$ 226,759.87.

Current Spend Rate per month (as info and used in calculating): \$14,749.89.

Estimated Balance at the end of the Grant Period: \$ 94,010.89

#### Status – Contract Modifications Amtrak/AASHTO and AASHTO/Sub-Contractors:

See Executive Board section of this report for details on this item.

#### Seeking Long-Term Funding:

The intent is to continue to seek long-term funding for the NGEC. The interim funding being provided by Amtrak for FY 2024 is not intended to be long-term but rather a stop-gap to keep the NGEC going while it explores funding options. Amtrak intends to apply again in the next round of CRISI Grant funding and will look into other potential options.

As of 2-29-24, the FRA had not published a NOFO for the next round of CRISI grants but expects that the announcement will be forthcoming soon.

- Conveying the message as of 2-29-24:

The NGEC 2024 backgrounder/educational document was released during the 2024 Annual Meeting. To date 460 copies have been distributed (hard and soft). Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) to request a copy.

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time.

The report for the period ending 12-31-23 was submitted on 1-30-24.

The next report will be due on 4-30-24 but will likely be an internal NGEC report as opposed to a formal report to the FRA since the funding source has changed to Amtrak and the prior grant will be closed out by 3-31-24.

- Annual NGEC By-Laws Review:

The 2023 review resulted in no changes being recommended.

The By-Laws will next be reviewed in the Fall of 2024.

During the Month of March 2024, the Finance and Administrative Subcommittee met once on the 27th.

Key decisions and action item updates from the month of March 2024 included:

See Executive Board section of this report for details on this item.

Seeking Long-Term Funding:

Future funding options appear to be limited. The primary funding opportunity seems to be applying for a CRISI Grant. The NOFO was issued on 3-28-24. Amtrak will once again apply for CRISI funds for the NGEC in the upcoming round.

Other options previously discussed included subscription fees and/or annual federal appropriations.

In 2015, the Executive Board determined that the subscription fee concept would not work for a variety of reasons, and expressed the point of view that the NGEC's funding is a federal responsibility and should be funded accordingly.

Federal appropriation requests to date have not been enacted and the CRISI Grant application during the last round was well received but not awarded due to the number of applications vs available funding.

Contract Extensions – sub-contractors and AASHTO:

See Executive Board section of this report for details on this item.

- Conveying the message as of 3-31-24:

The NGEC 2024 backgrounder/educational document was released during the 2024 Annual Meeting. To date 460 copies have been distributed (hard and soft). Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) to request a copy.

- Quarterly Grant Agreement Progress Report to FRA

All reports have been submitted on time.

The report for the period ending 12-31-23 was submitted on 1-30-24.

The next report is due on 4-30-24 but will likely be an internal NGEC report as opposed to a formal report to the FRA since the funding source has changed to Amtrak and the prior grant will be closed out by 3-31-24.

- Closing out the prior grant:

close out documents and instructions for the prior grant were received by Tim Ziethen on 3-27-24. He has sent copies to Steve Hewitt. Most of the information will be obtained from the quarterly activities reports generated by Steve Hewitt.

Steve and Tim will meet to discuss what needs to be done on 4-4-24 at 1:30pm.

- Annual NGEC By-Laws Review:

The 2023 review resulted in no changes being recommended.

The By-Laws will next be reviewed in the Fall of 2024.

During the Month of April 2024, the Finance and Administrative Subcommittee met once on the 24th.

Key decisions and action item updates from the month of April 2024 included:

Balance/Spend Rate Through February 2024

Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.

Invoiced + Accrual Expenses to date (through February – 103,831.34

Amtrak AOP Funding - \$260,000

Remaining funds (total available less Invoiced + Accrual) - \$156,168.66.

Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) - \$170,132.02.

Current Average Monthly Spend - \$13,260.14.

Strat Cavros, AASHTO, reported that invoiced expenses for March – reported in April were \$5,695.

Status: Preparing Prior Grant Closeout Documents:

Tim Ziethen is working with Steve Hewitt on the closing documents. Tim had a discussion with FRA regarding what is needed for closing out the prior grant. Tim intends to submit all closing documents by the end of the month (4-30-24) with the QPR (Quarterly Progress Report) for the second period of FY 2024 also to be completed by then - as per usual.

On 4-25-24, Tim noted there are three items required for FRA:

1. Financial report which Amtrak Grants Office is working on.
2. A final Quarterly Report to FRA as of 3-30-24 – the end of the no-cost grant agreement extension for the purpose of closing out the prior grant. The information for this report was previously provided on October 31, 2023, as a part of the final quarterly report for FY 2023.

Steve Hewitt and Tim Ziethen will work on exactly what needs to be provided for this newly requested prior grant close out Quarterly Report.

3. FRA Form F33 – Summary form – which Steve Hewitt has taken a first pass at. This form highlights activities and goes with the final QPR.

These items are due to FRA by April 30, 2024.

Steve Hewitt and Tim Ziethen will meet on 4-24-24 to discuss these items. Tim will send Steve a calendar appointment.

- Seeking Long-Term Funding:

Preparing CRISI Grant Application – steps/timeline:

The CRISI Grant NOFO has been released. Tim is working with Amtrak Grants on filing a new application. The application is due to FRA by 5-28-24.

Steve Hewitt noted that he has some ideas for inclusion in the application and will discuss them on the call with Tim on Thursday (4-25-24).

Tim noted that a request for letters of support from the industry is being developed – similar to the last round and will go out from him. He encouraged states and others to “talk it up”.

Steve Hewitt added that he has NGECE funding – including CRISI - on the agenda for tomorrow’s (4-25-24) Technical subcommittee meeting and will give the industry the heads up and ask for continued support.

Other potential funding opportunities:

Tim commented that there was some discussion with the FRA, (while meeting about the close out of the prior grant), on possible other ways to align a federal grant with the current budget process. There are no new ideas but some that can be revisited – while also pursuing the CRISI grant. Ideas are welcome and encouraged. Send them to Tim Ziethen and Steve Hewitt.

- Conveying the message as of 3-31-24:

The NGECE 2024 backgrounder/educational document was released during the 2024 Annual Meeting. To date 460 copies have been distributed (hard and soft). Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) to request a copy.

- Quarterly Grant Agreement Progress Report to FRA

On 4-25-24, Tim Ziethen reported that the plan is to continue preparing a quarterly report to be submitted internally to Amtrak and the NGECE Executive Board. The funding FY24 is coming from Amtrak – so submitting a QPR to FRA is no longer required, but continuing the QPR in its current format for internal Amtrak and for the NGECE Executive Board is a good business practice.

Steve Hewitt included milestone information as a part of the March NGECE Monthly Activities report and, as usual, this will be the information that is used in preparing much of the QPR.

- Annual NGECE By-Laws Review:

The 2023 review resulted in no changes being recommended.

The By-Laws will next be reviewed in the Fall of 2024.

During the month of May 2024, the FASC met once on the 22<sup>nd</sup>.

Key decisions and action item updates from the month of May 2024 included:

Balance/Spend Rate Through February 2024

Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through February – 103,831.34  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$156,168.66.  
Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) - \$170,132.02.  
Current Average Monthly Spend - \$13,260.14

Strat Cavros reported to the Board on 5-14-24 that invoiced expenses for March – reported in April - were \$15, 095.72. The invoice will be forthcoming soon to Amtrak.

Status: Preparing Prior Grant Closeout Documents:

See the Executive Board section of this report for the status of this procurement.

- Seeking Long-Term Funding:

Preparing CRISI Grant Application – steps/timeline:

See the Executive Board section of this report for the status of this procurement.

Other potential funding opportunities:

There has been some discussion with the FRA, (while meeting about the close out of the prior grant), on possible other ways to align a federal grant with the current budget process. There are no new ideas but some that can be revisited – while also pursuing the CRISI grant

- Conveying the message as of 5-31-24:

The NGEC 2024 backgrounder/educational document was released during the 2024 Annual Meeting. To date 462 copies have been distributed (hard and soft). Contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com) to request a copy.

- Quarterly Grant Progress Report (QPR):

The final prior grant QPR has been submitted to FRA.

An internal QPR for the period ending on 3-31-24 has been completed and will be distributed internally to Amtrak, FRA and NGEC Board Members.

- Annual NGEC By-Laws Review:

The 2023 review resulted in no changes being recommended and as noted previously in this report, the latest version has been distributed to NGEC members and is on the website.

The By-Laws will next be reviewed in the Fall of 2024.

During the Month Of June 2024, the Finance and Administrative Subcommittee did not meet as the Chair and NGEC Manager made the determination that the agenda was not strong enough to warrant a meeting. This is per the protocols established by the Executive Board in 2023.

Status of ongoing items:

- Balance/Spend Rate Through March 2024

Total Invoiced/Incurred (Including Carryover) - \$88,927.06  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through March) – 118,927.06  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$141,072.94.



Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) -  
\$173,191.33.  
Current Average Monthly Spend - \$13,566.07

Strat Cavros reported to the Executive Board on 6-11-24, that invoiced expenses for April came in at \$13,990. The invoice will be forthcoming soon to Amtrak.

- Status – Completing Prior Grant Close Out documents:

The due date for submittal to FRA is August 2024, but Tim Ziethen anticipates finalizing and sending the documents to FRA earlier than that.

- New CRISI Grant Application:

The CRISI Grant Application for funding the NGEC was submitted on time to the portal. It included many letters of support. It is not too late to send in support letters. They should be sent to Tim Ziethen and Meghan Histan, Amtrak Grants.

- Other potential funding opportunities:

On 6-11-24, Tim Ziethen reported to the Executive Board that there is nothing new to add on potential funding options and reiterated that there is no perfect other option. He reminded members that the current funding from the Amtrak AOP was never meant to be ongoing – there needs to be a more permanent solution. As of now, the best option seems to be to seek a CRISI Grant.

- Second Quarterly Progress Report (QPR) under current funding source – due (internally) 7-31-24:

Steve Hewitt will prepare the milestones narrative as a part of the June monthly activities report. Tim will complete the other sections and the report will be distributed internally by 7-31-24.

- By-Laws Annual Review:

The 2023 review resulted in no changes being recommended – and that decision was noted on the By-Laws that were distributed and posted to the website.

The By-Laws will next be reviewed by the FASC in the Fall of 2024. In July – the FASC will begin the process and set the timeline - with the intent of presenting any potential changes to the Executive Board by November 2024.

- NGEC two-pager updates for 2024:

The NGEC 2024 Backgrounder and Educational document has been released and remains available by request from Steve Hewitt @ [shewitt109@aol.com](mailto:shewitt109@aol.com).

As of 6-30-24, 463 copies have been distributed (hard copies and electronic). The document is also available on the NGEC website.

In July, the FASC will set a timeline and begin the process for developing the 2025 version of the two-pager.

During the Month Of July 2024, the Finance and Administrative Subcommittee met once, on the 17<sup>th</sup>:

Status of ongoing items:

Balance/Spend Rate Through April 2024

Total Invoiced/Incurred (Including Carryover) - \$102,923.49  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through April) – \$132,923.49  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$127,076.51

Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) -  
\$173,806.13.  
Current Average Monthly Spend - \$13,627.55

Strat Cavros, AASHTO. reported that the May invoice would be for \$23,905. And would be submitted shortly. The increase in the monthly invoice was due to expenses for the Annual Meeting coming in.

- Tim will include this in his totals through May. He added that it still leaves the monthly average spending near the anticipated \$15,000 and there remains plenty of money left for the remainder of the performance period.
- Status – Completing Prior Grant Close Out documents:

On 7-17-24, Tim Ziethen reported to the FASC that Amtrak is completing the last document to be submitted to close out the prior grant. It is a summary document which Steve Hewitt helped put together (along with Tim Ziethen). It goes to Amtrak's grants office and need to have sign off from the Amtrak VP and Treasurer. The summary sheet is the narrative that tells the story of the NGECC's accomplishments during the grant performance period and provides a look ahead to activities the NGECC would take on moving forward.

On 7-30-24, Tim Ziethen and Steve Hewitt met via Teams to go over final aspects of the close out documents to be submitted to FRA. This included Steve Hewitt uploading all NGECC specifications and documents and procedures developed by the NGECC to FRA grants.

- New CRISI Grant Application:

The CRISI Grant Application for funding the NGECC was submitted on time to the portal. It included many letters of support. It is not too late to send in support letters. They should be sent to Tim Ziethen and Meghan Hestand, Amtrak Grants.

CRISI Grant awards will not be announced until the October/November timeframe – November being the most likely.

- Next steps if funded/not funded – clarification on current funding:

On 7-17-24, Tim Ziethen addressed the issue of what is next if Amtrak does not receive a CRISI Grant for the NGECC.

He has been talking with Mike Murray, FRA about what other options there are for Amtrak if it is to fund the NGECC as a stop gap. Amtrak wants to have flexibility in what funding source it would be able to use. There are numerous buckets of funds that Amtrak has and it would like to know its choices if funds the NGECC again. Amtrak is looking for flexibility.

Discussions internally at Amtrak and with FRA are ongoing. If it is to be funded and managed by Amtrak to benefit everyone participating. They will need to determine the structure that will be needed and the efficiencies necessary to support the NGECC's mission. What would it look like?

Tim added that this is still considered a fallback position if CRISI funding is not awarded. He added "this is not an emergency – but we are having the right conversations...hopefully the decision and strategy will be determined within the next 30-60 days...with no break in NGECC Activities."

In the event that none of this comes to fruition "we will look at other possible options" including things that While not easy to do, none of these options are forbidden. The only thing forbidden is lobbying.

Discussion:

Steve Hewitt asked if Tim had determined whether the current funds from the AOP can be used until expended or will it expire at the end of FY 24 (9-30-24). Tim responded that as an operating expense it does not automatically carry over into the next fiscal year. It is viewed as a fiscal year authorization.

Shayne Gill, AASHTO, commented that he has been getting notified/reminded within AASHTO that the sub-contractor agreements are “up”. He noted he still needs to talk to Strat Cavros, AASHTO, but he is trying to figure out steps to get those agreements extended with some kind of contingency clause. He is looking for the right language along the lines of “upon receiving funds”. He added that he was looking for the right language and was doing his “due diligence”.

Strat Cavros noted that Shayne was close on the language – it would normally say “subject to availability of funds”.

Steve Hewitt commented that he had received the notice about the agreement ending and asked if he was correct in understanding that the agreements under the current language run through the end of the fiscal year – 9-30-24. Strat Cavros confirmed that Steve was correct.

Tim Ziethen commented that the agreements frequently have clauses allowing them to be canceled “for convenience” with a usual notification period of 30-60 days. The intent is to position these things properly and manage them.

- Second Quarterly Progress Report (QPR) under current funding source – due (internally) around 7-31-24:

Steve Hewitt has prepared the milestones narrative as a part of the June monthly activities report. Tim will complete the other sections and the report will be distributed internally.

- By-Laws Annual Review:

The NGECC By-Laws are reviewed each year to determine whether they are still in line with the NGECC’s mission. The FASC is the body which makes recommendations to the Executive Board – either providing recommended changes or recommending no changes.

Similar to the NGECC two-pager, the process usually begins with Steve Hewitt and the second vice-chair (Amanda Martin). Steve will review first and send his recommendations to Amanda. Amanda and Steve will provide the full FASC with recommendations by the end of September - with the FASC making recommendations to the Executive Board by the end of October 2024. If changes are recommended, the Board will need to have those changes in writing 30 days prior to voting on them.

It was agreed that Steve Hewitt should proceed as planned.

- NGECC two-pager updates for 2025:

On 7-17-24, Steve Hewitt suggested that a first review of the two-pager for updating it for 2025 should begin with him and Amanda Martin as a starting point (in-line with how it has been done in the past). Steve will take a first look and send his comments to Amanda. The timeline would be to provide recommendations to the FASC by the September meeting and for the FASC to make recommendations to the Executive Board by the end of October.

Tim Ziethen agreed and told Steve to proceed as planned.

Steve Hewitt asked Troy Hughes if MODOT graphic arts would be willing, once again, to handle the formatting and printing of the two-pager once all changes were determined. Troy responded that MODOT would take it on again.

Thank you MODOT!

During the Month of August 2024, the Finance and Administrative Subcommittee met once, on the 14th:

Status of ongoing items:

- Balance/Spend Rate Through May 2024

Total Invoiced/Incurred (Including Carryover) - \$126,828.75  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.

Invoiced + Accrual Expenses to date (through March) – \$156,828.75  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$103,171.25  
Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) – \$186,653.27.  
Current Average Monthly Spend - \$14,912.26.

Tim noted that under Amtrak Funding of their Operating Plan, the funds not spent are not carried over and that is not “a help to us per se”. He added that Amtrak is currently in the process of getting its FY25 budget approved.

Quarterly Report (period ending 6-30-24) – Tim Ziethen/Steve Hewitt:

Tim noted that the report for the period ending on 6-30-24, was due, internally, by July 31, 2024, but he has been having problems with the PDF document used for the report. As soon as he has resolved those issues, he will send on to Steve Hewitt to review and revise the percentages section. Although there is no requirement to prepare these quarterly progress reports nor a specific due date since this funding came from the Amtrak AOP, the intent is to continue to follow the same process for internal purposes.

Tim noted that Steve Hewitt had already completed the quarterly milestones report which Tim uses as a part of the required information for the report.

- New CRISI Grant Application:

The CRISI Grant Application for funding the NGEC was submitted on time to the portal. It included many letters of support. It is not too late to send in support letters. They should be sent to Tim Ziethen and Meghan Histan, Amtrak Grants.

CRISI Grant awards will not be announced until the October/November timeframe – November being the most likely.

- Next steps if funded/not funded:

Tim reported that he has had several discussions with FRA (Mike Murray) about how to approach funding for the NGEC – especially with unspent AOP funds not carrying over and CRISI Grant rewards not expected until later in the Fall – with around a six-month period before the funds would flow if awarded.

Tim is drafting an internal paper for Amtrak Grants. He hopes to get it completed tomorrow (8-15-24). He is hopeful the situation can get resolved fairly quickly.

Tim advised that all activities continue, with an assumption that the NGEC will be funded. He emphasized that “we are not in shut down mode”. He has had good conversations with Mike (Murray) about a potential resolution of the funding issue, and it will be reviewed, internally, at Amtrak.

- By-Laws Annual Review:

The NGEC By-Laws are reviewed each year to determine whether they are still in line with the NGEC’s mission. The FASC is the body which makes recommendations to the Executive Board – either providing recommended changes or recommending no changes.

Similar to the NGEC two-pager, the process has begun, with Steve Hewitt doing the first review. Any recommendations he has, he will send to Amanda Martin prior to the September FASC call. These recommendations will be discussed by the full FASC on 9-11-24.

- NGEC two-pager updates for 2025:

On 8-14-25, Steve Hewitt stated that he has begun to look at the two pager and will provide suggested updates to Amanda Martin prior to the September FASC call. On the FASC call on 9-11-24 recommendations will be presented for discussion to the full subcommittee.

During the Month of September 2024, the Finance and Administrative Subcommittee did not meet:

Status of ongoing items:

- Balance/Spend Rate Through June 2024

Total Invoiced/Incurred (Including Carryover) - \$154,892.18  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through March) – \$184,892.18  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$75,107.82  
Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) – 201,265.68.  
Current Average Monthly Spend – just under \$16,373.50.

With this type of funding, a balance does not carry-over from one fiscal year to another.

- Status - CRISI Grant Application:

The CRISI Grant Application for funding the NGECC was submitted on time to the portal. It included many letters of support. It is not too late to send in support letters. They should be sent to Tim Ziethen and Meghan Hestand, Amtrak Grants.

- Next steps if funded/not funded:

See Executive Board Section of this report for current status.

- By-Laws Annual Review:

See Executive Board Section of this report for current status.

- NGECC two-pager updates for 2025:

See Executive Board Section of this report for current status.

During the Month of October 2024, the Finance and Administrative Subcommittee did not meet:

Status of ongoing items:

- Balance/Spend Rate Through August 2024

Total Invoiced/Incurred (Including Carryover) - \$170,040.93  
Forecast/Accrual Amount to Reflect Billing Lag 60 days - \$30,000.  
Invoiced + Accrual Expenses to date (through August 2024) – \$200,040.93  
Amtrak AOP Funding - \$260,000  
Remaining funds (total available less Invoiced + Accrual) - \$59,959.07  
Estimated full year (YTD Incl. Carry Over + FC + Remaining Months @ Avg Spend TD) – 185,267.27.  
Current Average Monthly Spend – \$14,773.66.

Note: With this type of funding, a balance does not carry-over from one fiscal year to another.

- Status - CRISI Grant Application:

This application was unsuccessful as noted in the Executive Board section of this report.

- Next steps if not funded by CRISI:

See Executive Board Section of this report for current status.

- By-Laws Annual Review:

See Executive Board Section of this report for current status.

- NGEC two-pager updates for 2025:

See Executive Board Section of this report for current status.

**Note: Due to the unresolved funding for the NGEC, the FASC has agreed to begin meeting every two weeks where possible until this issue is resolved.**

During the Month of November 2024, the Finance and Administrative Subcommittee met once – on the 20th:

Status of ongoing items:

Balance/spend rate through September 2024:

Total Invoiced/Incurred (Including Carryover) - \$176,756.44  
Accrual Amount to Reflect Billing Lag 60 days – \$7,530.66  
invoiced + Accrual Expenses to date (through September 2024) – \$184,287.10  
Amtrak AOP Funding - \$260,000  
Average Monthly Spend – \$14,729.70.

This closes out the FY24 funding provided by Amtrak Operating Expenses (AOP) Funding balance does not carry over year to year.

Funding committed to the NGEC and allocated by Amtrak Finance is \$100,000 for FY25. This funding will take the NGEC through 3-31-25 based on its average spend-rate.

- Status - CRISI Grant Application:

This application was unsuccessful as noted in the Executive Board section of this report.

- Next steps if not funded by CRISI:

See Executive Board Section of this report for current status.

- By-Laws Annual Review:

See Executive Board Section of this report for current status.

- NGEC two-pager updates for 2025:

See Executive Board Section of this report for current status.

**During the Month of December 2024, the Finance and Administrative Subcommittee met once – on the 4th:**

**Status of ongoing items:**

- **Balance/spend rate through September 2024:**

**Total Invoiced/Incurred (Including Carryover) - \$176,756.44  
Accrual Amount to Reflect Billing Lag 60 days – \$7,530.66  
invoiced + Accrual Expenses to date (through September 2024) – \$184,287.10  
Amtrak AOP Funding - \$260,000  
Average Monthly Spend – \$14,729.70.**

**This closes out the FY24 funding provided by Amtrak Operating Expenses (AOP) Funding balance does not carry over year to year.**

**Funding committed to the NGEC and allocated by Amtrak Finance is \$100,000 for FY25. Based on the average spend rate, this funding should take the NGEC through 3-31-25. Steve**

*Hewitt asked if the \$100,000 was available through 3-31-24 or was it available until expended. Tim replied that it was available until expended.*

*Steve Hewitt asked if the Balance and Spend rate report will now track FY25 – beginning on 10-1-24 and based on the \$100,000 allocation.*

*Tim replied in the affirmative and confirmed that he will provide Steve Hewitt with the final “actuals” report closing out FY24 and will begin the next report based on the \$100,000. Allocation for FY25.*

*Funding discussion:*

*Status: Amtrak Government Affairs Efforts/White paper:*

*Tim reported that he has had internal discussions – but not as fully as he had hoped due to the holiday (Thanksgiving). However, he noted, he is still engaging with Amtrak Legal and Government Affairs and is looking to reach a final decision as to whether there are funds that could be made available for the NGECEC beyond March 2025.*

*Tim added that there is a great deal of pressure on Amtrak to reduce its spending “dramatically” which is “making it all the more difficult”.*

*Status – Outreach to FRA:*

*Tim reported that he is trying to get to an answer internally before reaching out to Mike Murray, FRA.*

*Discussion – Potential of establishing a policy to set aside or take down a percentage to fund the NGECEC out of FRA grants procuring passenger rail equipment:*

*Tim Zithen reported that the concept of a take down or hold back of funding for the NGECEC as suggested by Troy Hughes, MODOT, on the last FASC call, has some precedent. Amtrak currently is able to hold back or take down a certain percentage of a grant and place it in a fund for safety, efficiency and planning. The proposed NGECEC set aside seems like it would fit into this category.*

*Tim noted that he needs to talk about this with Mike Murray and/or whoever he designates. In these discussions, for Amtrak, it would likely be someone from Public Affairs or Legal.*

*Tim continued, noting that “if there isn’t a good option of using internal funds” the next step would be to talk to FRA about a take down or hold back option – or possibly other options or areas of funding.*

*Tim suggested possible consideration of fees or subscriptions whereby each member agency contribute on a monthly or quarterly basis. This would include Amtrak contributing as well.*

*Steve Hewitt commented that there was a “future funding” task force that looked at all sorts of options including charging a fee for specification use and/or NGECEC membership subscriptions and it always got stuck on the fact that the NGECEC is not an “entity”. The task force talked about the fact that the NGECEC would likely need to become a corporation in order to receive funds. This concept ran into several road blocks – one being that some states could not be in the NGECEC if it was incorporated. After months of discussion on all options it could come up with, the task force concluded that funding the NGECEC is a federal responsibility. The cleanest way would be through the appropriations process which initially funded it, but other federal options should also be available. Steve added that the work of the task force concluded in 2014 or 15 and the Chair at the time was Eric Curtit, MODOT and Steve would have to look further into the record to get the exact language, but this was the general sense as he remembers it.*

*Ray Hessinger, NYSDOT, current NGECEC Chair, concurred.*

*Steve Hewitt also noted that no matter what way we go – along the lines of a take down or some sort of fee, it is likely a long-term fix, but there would still likely be the need for short-term gap funding to get to the long-term funding.*

*Tim appreciated the comments and added that he believes it is important that “we look into all options before we start shutting the doors”. Tim also noted that, ultimately, Amtrak may need to take on some of the work load for the Committee as a part of the plan going forward.*

*Strat Cavros, AASHTO, commented that AASHTO has a technical services program based on a subscription model and he wondered if Amtrak would be able to host something like that with subscriptions from states.*

*Tim agreed to check with Amtrak Legal noting that “it seems reasonable – we would need to determine if we (Amtrak) can do it”.*

*Tim asked Strat if there are state or federal funds that could be accessed through AASHTO.*

*In the end, Tim commented “no idea is a bad idea”. He added that he will talk with Amtrak’s Senior VP for Government Affairs and with Mike Murray at FRA “to see what other stones can be turned over”.*

*Steve Hewitt reminded Tim Ziethen that there was an Executive Board meeting next week (Tuesday 12-10-24) and it will be a good opportunity to continue this discussion. Steve also noted that it is always difficult to hold meetings as the holiday season gets underway and it is likely the FASC and possibly the Board will not meet again (after next week) until January.*

*Tim agreed and stated that a January timeframe is probably what it will take to look at some of these options and try to determine what, if anything, is feasible.*

#### **NGEC Specification Review Panel(s):**

At the May 26, 2010, Board meeting, it was agreed that there needed to be a process by which the work of the Technical subcommittee could be reviewed for adherence to certain criteria in preparing the initial set of specification documents. It was decided that a requirements document would be drafted for approval by the Board and a Review Panel would be established to review the specification document for conformance against the requirements document; and file a report with the Board prior to its approval meeting.

All members of the Specification Review Board attended the July 29-30, 2010 Chicago meeting of the Technical subcommittee; and Larry Salci, Interfleet, Inc. was named as the consultant to the Review Panel. At the end of the meeting, the Review Panel began its task of measuring the PRIIA Bi-level specification document against the requirements document which had previously been developed by CALTRANS and approved by the Executive Board at a webinar meeting held July 21, 2010.

The Review Panel reviewed and approved Larry Salci’s report (recommending approval of the Bi-level specification) and met the established timeline by submitting the report to the Executive Board on August 20, 2010. The Executive Board reviewed the report and, as noted previously, unanimously approved the PRIIA Bi-level specification at the August 31, 2011 meeting of the Board in Washington, DC.

The Board will be using the same process for future specifications as developed. The requirements documents, however, will be prepared earlier in the process – rather than at the end of the process - as was the case with the bi-level specifications.

The single level standalone cars and trainsets requirements document and the diesel-electric locomotive requirements document were approved by the Executive Board on November 18, 2010, during a webinar meeting of the Board. These documents are posted on the AASHTO website at [www.highspeed-rail.org](http://www.highspeed-rail.org), as are the specifications currently under consideration. (Single level standalone cars and the diesel-electric locomotive)

During its November 18, 2010 Webinar meeting, the Executive Board appointed two Review Panels each tasked to review one of the two specifications under development at that time by the Technical subcommittee.



As is discussed in earlier sections of this document, the Review Panels acted in January 2011. The single level standalone cars specification Review Panel completed its work with a report and recommendation for approval submitted to the Executive Board in advance of the February 15, 2011 Annual Meeting. At that meeting, the Board accepted the Review Panel recommendations and adopted the single level standalone car specification unanimously.

The diesel-electric locomotive specification Review Panel also provided its report and recommendation to the Board in advance of the February 15, 2011 Annual Meeting. The Panel recommended that the Board defer approval of the specification pending additional work to be completed in areas deemed to be lacking. The Board accepted the recommendation, and deferred approval until March 16, 2011. Prior to the March 16, 2011 Board meeting, the Review panel met and submitted a report which recommended that the revised diesel-electric locomotive specification be approved by the Board. On March 16, 2011, the Review Panel recommendation was accepted, and the Board voted unanimously to adopt the revised specification.

**Members of the Review Panels named during the November 18, 2010 Webinar meeting:**

**To review the single level standalone cars specification:**

Bill Bronte, CALTRANS

John Tunna, FRA

Scott Witt, Washington State DOT

Ron Adams, Wisconsin DOT

Larry Salci, Interfleet, Inc (consultant to the Review Panels)

**To review the diesel-electric locomotive specification:**

Bill Bronte, CALTRANS

John Tunna, FRA

Scott Witt, Washington State DOT

Ron Adams, Wisconsin DOT

Ray Hessinger, NY State DOT

Larry Salci, Interfleet, Inc (consultant to the Review Panels)

A Review Panel for the Trainset specification was appointed by the Executive Board on May 10, 2011.

**The members of the Trainset Review Panel are:**

Bill Bronte, California DOT (Panel Chair)

Ron Adams, Wisconsin DOT

Allan Paul, North Carolina DOT

Scott Witt, Washington State DOT (Andrew Wood to provide support)

John Tunna, FRA

Larry Salci will serve as consultant to the Review Panel

On June 22, 2011, the Technical subcommittee approved the Trainset specification, and it has been turned over to the Review Panel. The Panel will file its report with recommendations, approximately two weeks prior to the August 2, 2011 Executive Board Webinar meeting. The intent is that the Trainset specification will be considered for adoption during this webinar meeting.

On July 22, 2011, the Trainset Review panel met, via conference call, to review the report and recommendations provided by consultant Larry Salci. With some suggested edits, the Panel approved the report and it was transmitted to the Executive Board on July 23, 2011 by Steve Hewitt. The Board will consider the report and recommendations on August 2, 2011. The Panel has recommended that the Trainset specification be adopted by the Board. It did, however, note that the Board will still needs to address the FRA concerns regarding CEM language in this specification (and all other PRIIA specifications already adopted). Until the Board has received the dissent position paper from FRA, the language will remain as written in accordance with the previously approved Trainset Requirements document.

On September 15, 2011, the Executive Board reconstituted the Bi-level car Review Panel for the purpose of reviewing Revision A as approved by the Technical subcommittee. As described in the Executive Board section of this report, the Review panel met on September 23, 2011 and recommended Board approval of Revision A. On September 27, 2011, the Board accepted the recommendation and approved Bi-level car change summary Revision A.

Members of the Bi-Level Car Review Panel established on September 15, 2011 are:

Bill Bronte, Caltrans – Chairman

Ron Adams, Wisconsin DOT

Eric Curtit, Missouri DOT

Tammy Nicholson, Iowa DOT

John Tunna, FRA

Consultant to the Review Panel – Larry Salci, SalciConsult

On November 22, 2011, the Executive Board re-formed the Bi-Level Car Review Panel and charged it with the review of Revision B and with preparing a report with recommendations for Board consideration on December 6, 2011. Members of the Review Panel remain the same as the panel which was formed September 15, 2011 to review Revision A. (see above)

In December 2011, the Review Panel met twice to review and revise the Revision B change summary and its report and recommendations to the Board. On December 20, 2011, the Board adopted the Bi-Level Car Revision B changes after accepting the revised report and recommendations of the Review panel.

In January 2012, it was discovered that Chapter 12 of Revision B included proprietary information and would need to be revised. It was recommended by the Technical subcommittee that the remedy would be to remove the Rev B version of Chapter 12 and re-insert the Rev A version of the chapter. Larry Salci was asked to review this change and make a recommendation to the Review Panel. On January 24, 2012, the Review Panel recommended that the Executive Board agree to the change to Revision B and the Board accepted the recommendation and adopted the revised Revision B. Revision B, as noted in the Executive Board section of this report, has been posted to the website and is available in two forms – as a full document and in individual chapters.

In March 2012, the Bi-level car Review Panel reviewed Revision C. Larry Salci, consultant, prepared a report with recommendations and, on March 28, 2012, the Review Panel approved the report and recommendations, and sent it to the Executive Board for its consideration. It is expected that the Executive Board will follow the Review Panel's recommendations and adopt Revision C during its April 3, 2012 conference call.

Following the March 28, 2012 Review Panel approval of Bi-level car Rev C, the Executive Board accepted its recommendation and adopted Rev C on April 3, 2012.

On May 29, 2012, the Executive Board approved a SOW for Review Panel Efforts for the DMU specification and the locomotive Revision A. The contract, which will be executed by AASHTO, as contracting agent, will be a sole source contract procuring the services of consultant Larry Salci.

The Review Panel named in the SOW will consist of:

Bill Bronte, Caltrans – Chairman

Ron Adams, Wisconsin DOT

Eric Curtit, Missouri DOT

Tammy Nicholson, Iowa DOT

John Tunna, FRA

On June 14, 2012, the Technical subcommittee approved the DMU specification and it was submitted to the DMU Review Panel. The current schedule for completing its report with recommendations, calls for a Review panel conference call during the week of July 30-August 3, 2012 with consideration by the Executive Board on August 7, 2012.

On June 26, 2012, the Executive Board re-constituted the Locomotive Review Panel to review Revision A (approved by the Technical subcommittee). The Locomotive Review Panel is now comprised of the following members:

Bill Bronte, Caltrans – Chairman

Ron Adams, Wisconsin DOT

Eric Curtit, Missouri DOT

Tammy Nicholson, Iowa DOT

Ray Hessinger, NYSDOT

Jason Biggs, Washington State DOT

John Tunna, FRA

Larry Salci will serve as the consultant to the Review Panel. On July 2, 2012, the Review Panel will meet, via conference call, to finalize the Revision A report and recommendations. On July 10, 2012, the Board will consider the Review Panel report for adoption.

On July 10, 2012, the Locomotive Review Panel presented its report and recommendations to the Executive Board. The Board unanimously adopted those recommendations and approved Revision A as presented.

The DMU Specification Review Panel will meet during the week of August 13, 2012 to finalize the DMU report and recommendations with the intent being to present their recommendations to the Board during its August 21, 2012 conference call.

Ultimately, due to schedule revisions, the DMU review panel met on August 23, 2012 and unanimously approved the Report and recommendation presented by consultant Larry Salci. Larry made a few minor revisions as directed by the panel, and provided the final version to Steve Hewitt, who, in turn distributed it to the Executive Board. The Board will take up consideration of approval of the Report (and subsequently the adoption of the DMU specification) on September 4, 2012.

In September 2012, the Bi-Level Car Review Panel was re-convened for the purpose of reviewing Bi-Level Revision C.1. On September 20, 2012, the Executive Board accepted the Review Panel's report and recommendation and adopted Revision C.1 as the base specification for the Bi-Level Car Procurement.

Bi-Level Car Review Panel members are:

Bill Bronte, Caltrans – Chair

Ron Adams, Wisconsin DOT

Tammy Nicholson, Iowa DOT

Eric Curtit, Missouri DOT

John Tunna, FRA

Larry Salci, Consultant to the Panel

On September 20, 2012, the Executive Board re-convened the Single Level Car Review Panel to review and develop a report and recommendation on Revision A. Once the report has been completed it will go to the Executive Board for its review.

Single Level Car Review Panel members are:

Bill Bronte, Caltrans – Chair

Ron Adams, Wisconsin DOT

Tammy Nicholson, Iowa DOT

Eric Curtit, Missouri DOT

John Tunna, FRA

Larry Salci, Consultant to the Panel

In October, 2012, the Executive Board approved a timeline and schedule for completion of the Single level car Revision A Review Panel to complete its report with recommendations. The Review Panel will meet on November 6, 2012, via conference call to finalize its report, and will present the final report for Executive Board consideration on its next call – November 13, 2012.

The Review Panel met on November 6, 2012, via conference call to finalize its report, and presented the final report for Executive Board consideration on November 13, 2012.

On November 13, 2012, the Executive Board adopted Single level car Revision A as recommended by the Review Panel in its report to the Board.

During the months of January, February, March, April and May, and June, 2013, the Review Panel(s) did not meet as there were no new specifications completed during that time, nor were there revisions to existing specifications completed and approved for review.

However, on June 16th, 2013 the Trainset Revision A Summary sheet was distributed to the Technical subcommittee for its review. It is anticipated that the subcommittee will consider Rev A for approval on July 18, 2013. If approved, it will be transmitted to Executive Board Chairman Bill Bronte. At that point, Mr. Bronte will call for the Trainset Review Panel to convene and begin a review and the development of a report with recommendations to the Executive Board.

A Bi-Level Car Revision D is also underway through the Technical subcommittee DCR process and it is anticipated to be completed shortly after Trainset Revision A.

On July 18, 2013, the Technical subcommittee approved Trainset Specification Revision A and sent the Summary Sheet to Executive Board Chairman Bill Bronte with a request that he re-convene the Trainset Review panel and task it with reviewing Revision A and providing the Board with a report and recommendation.

Due to the fact that two members of the original Review Panel had left state service, Bill Bronte appointed new members to replace those who had left and re-appointed those who remained.

The Trainset Review Panel as appointed on July 23, 2013, is:

Bill Bronte, California DOT (Panel Chair)

LeAnna Wall, Wisconsin DOT

Allan Paul, North Carolina DOT

Jason Biggs, Washington State DOT

John Tunna, FRA

Larry Salci will serve as consultant to the Review Panel

Dave Warner, Amtrak, will provide technical support

The Panel will begin its review once the consultant contract between Larry Salci and AASHTO (as NGEAC contracting agent) has amended the current contract to include the tasks related to this review and it has been approved by the Executive Board. It is expected that the contract approval will take place during the August 6, 2013 Executive Board conference call.

On August 30, 2013, the Administrative task force approved the contract for Mr. Salci, and AASHTO informed him that he should proceed with the review of the Trainset specification Revision A.

On September 26, 2013, Consultant Larry Salci reported to the Executive Board that he had nearly completed his review of the Trainset specification Revision A and the draft report. Once complete, he will contact Steve Hewitt to schedule a conference call of the Review Panel. It is anticipated that this call will take place during the week of October 7, 2013.

On October 29, 2013, Steve Hewitt reported to the Executive Board that Larry Salci has completed the Trainset Specification Revision A report with recommendations for consideration by the Review Panel. With the FRA back to work after the federal government shutdown was resolved, Steve will connect with Larry to schedule a Review panel call in the coming weeks.

The Trainset Specification Review Panel met on November 14, 2013 to consider the draft report with recommendations prepared by consultant Larry Salci. With minor corrections, the report was approved by the panel. On November 26, 2013 the Final Trainset Specification Review Panel Report and Recommendations was sent to the Executive Board, on behalf of Chairman Bronte, by Steve Hewitt. The Board will be asked to consider approval of the report on the Executive Board call to be held on December 10, 2013.

The Executive Board met on December 10, 2013 and approved the Trainset Revision A Review Panel Report and recommendations.

In January, February, March, April, May, June, July, August and September, 2014, there was no action required by any of the Review Panels.

Rosters for each review panel, however, have been updated with appointments to fill vacancies. The rosters of the Review Panels as of September 30, 2014 can be found at the conclusion of this report.

In October, 2014, the Bi-Level Review Panel met on October 16<sup>th</sup> and approved Revision C.2 for the Bi-Level Car Specification. C.2 was subsequently transmitted to the executive Board with a recommendation for adoption.

On October 24, 2014 Bi-Level Car Specification Revision C.2 was adopted by the Executive Board.

In November, 2014, the Diesel-electric Locomotive Review Panel met (November 21, 2014) to consider approval of specification Rev A.1. The Panel unanimously approved Rev A.1 and has recommended its adoption by the Executive Board on its next call – December 9, 2014.

On December, 9, 2014, the Executive Board accepted the recommendation of the D-E Locomotive Review Panel and adopted Specification Revision A.1.

On June 23, 2015, the Bi-Level Review Panel was re-convened by Chairman Eric Curtit for the purpose of reviewing and providing a recommendation to the Board on the Bi-level car weight change Urgent DCR as previously approved by the Technical subcommittee. A recommendation to the Board is expected to occur in July, 2015.

In July, 2015, the Bi-Level Car Specification Review Panel presented its report with recommendations to the Executive Board on weight changes to the Bi-Level Car specification.

On July 21<sup>st</sup>, the Executive Board accepted the Review Panel Report and recommendations and formally adopted Bi-Level Car Technical Specification Revision C.3.

During the month of August and September, and October and November, 2015, the NGEC Review Panels did not meet.

In December, 2015, the NGEC Review Panels did not meet, but Review Panel Consultant, Larry Salci, continued his review of the Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive Technical specification, and a Review Panel meeting to consider the report with recommendations to the Executive Board will likely take place in early to mid-January, 2016.

On January 28, 2016, the Executive Board's Locomotive Review Panel approved the Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive Specification Review Panel Report with recommendations prepared by consultant Larry Salci. The report recommends adoption of the specification as approved previously by the NGEC Technical subcommittee. The adoption of the Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive specification took place on 2-2-16, and it became the 6<sup>th</sup> PRIIA Vehicle Specification developed and adopted by the NGEC.

The Bi-Level Car Technical Specification Review Panel met on July 21, 2016 to and approved the Panel report, prepared by consultant Larry Salci, to recommend adoption of Specification Revision C.4. The approved report was sent to the NGEC Executive Board and will be considered for adoption on 8-2-16.

In August, 2016, the NGEC Review Panels did not meet.

In September, 2016, the NGEC Review Panels did not meet.

In October, 2016, the NGEC Review Panels did not meet.

In November, 2016, the NGEC Review Panels did not meet.

In December, 2016, the NGEC Review Panels did not meet.

In January, 2017, the NGEC Review Panels did not meet.

In February, 2017, the NGEC Review Panels did not meet.

In March, 2017, the NGEC Review Panels did not meet.

In April 2017, the Review Panels did not meet, but on 4-25-17, Chairman Eric Curtit called for the Locomotive Review Panel to plan to reconvene to review the Diesel-Electric Locomotive Specification DCR summary sheet for a Revision B of the specification. Consultant Larry Salci will begin his technical review and will prepare a report with recommendations for Review panel consideration. Larry will develop a timeline for completion and keep the Executive Board apprised of the progress being made.

In May 2017, the Review Panels did not meet, but on 5-9-17, Chairman Eric Curtit confirmed the members of the NGEC Locomotive Review Panel. As requested by the Board, and per NGEC procedures, a scope, schedule, and budget for the technical review was provided by Mr. Salci, confirmed by Steve Hewitt, and approved by Eric Curtit, and a subsequent contract modification was prepared by AASHTO. As of 5-23-17, Mr Salci had begun his technical review of the DCRs as approved previously by the Technical subcommittee for Revision B of the PRIIA Diesel-Electric Locomotive Specification. It is anticipated that Larry will complete his review and prepare a report with recommendations for Review Panel consideration by early June with Executive Board consideration anticipated by the end of June, 2017.

In June 2017, the NGEC Locomotive Review Panel met and approved the Review Panel Report and recommendations on the changes developed and approved through the NGEC Technical subcommittee to PRIIA Diesel-Electric Locomotive Specification 305 005 Rev A that will comprise Revision B. The Review Panel submitted its Report with recommendations to the Executive Board that it approve the changes and adopt Revision B. On 6-20-17, the Executive Board accepted the Review Panel Report and its

recommendations and adopted Diesel-Electric Locomotive Specification 305-005 Revision B. The changes will now be incorporated into the specification by the NGEC Technical Writer.

In October 2017, there were no Review Panel meetings, but, on 10-24-17, Chairman Eric Curtit re-convened the PRIIA Single Level Car Specification Review Panel and asked that consultant Larry Salci begin a review of the DCR for weight change as soon as the Technical subcommittee has approved it. (A Technical subcommittee vote is scheduled for 11-2-17.)

In November 2017, the NGEC Single Level Car Specification Review Panel met on the 7<sup>th</sup> and finalized and approved the Review Panel Report (prepared by consultant Larry Salci) and its recommendations to accept the Weight Change DCR as approved previously by the NGEC Technical subcommittee (11-2-17). The Report was subsequently submitted to the NGEC Executive Board for its review and consideration. On 11-21-17, the NGEC Executive Board accepted the Review Panel Report and its recommendations and adopted the Weight Change DCR as previously approved by the NGEC Technical subcommittee.

During the month of March 2018, the Review Panels did not meet.

In April 2018, the Review Panels of the NGEC did not meet, but, due to the anticipated Technical subcommittee approval of 20+ DCRs for the Single Level Car Specification (5-3-18), on 4-24-18, Chairman Eric Curtit re-convened the Single Level car and trainset specification review panels and asked members to be at the ready to conduct the review as soon as the DCRs have been processed through the Technical subcommittee.

On May 24, 2018, the Review Panel for the Single Level Car Specification 305-003 Revision B.1 approved the Review Panel Report and recommendation to the Executive Board to adopt Revision B.1. The Report and its recommendations will be considered for approval by the Executive Board on 6-5-18.

On 6-5-18, the Executive Board accepted the Single Level Car Specification Review Panel Report and adopted 305-003 Revision B.1.

During the months of July, August, and September, October and November 2018, the Review Panels of the NGEC did not meet.

The Review Panels for the NGEC did not meet during the month of December 2018, but the Single Level Car Specification Panel has been re-convened and provided with DCRs approved by the Technical subcommittee. A specific DCR – one-time allowance – resolution is under consideration by the Executive Board – likely to be decided on in January. Consultant Larry Salci will prepare a Review Panel Report with recommendations for Panel consideration likely in January 2019.

The Review Panels for the NGEC did not meet during the month of January 2019, but the Single Level Car Specification Panel has been re-convened and provided with DCRs approved by the Technical subcommittee. As of 1-30-19 Consultant Larry Salci is completing a DRAFT report with recommendations for Review Panel members review and consideration. The report will be completed and distributed to members by 2-1-19, and the panel will meet, via conference call, to review and consider approval of the report and its recommendations on 2-7-19. Once approved by the panel, the report will be sent to the NGEC executive Board for its consideration. This is expected to take place on 2-12-19.

In February 2019, the Single Level Car Specification Review Panel met on the 7<sup>th</sup> to consider the Review Panel Report and Recommendations for PRIIA Single Level Car Specification 305-003 Revision B.2 as prepared by consultant Larry Salci. The report was approved on 2-17-19 and submitted to the NGEC Executive Board. On 2-12-19, the Executive Board accepted the report and its recommendations and formally adopted the Single Level Car Specification 305-003 Revision B.2. As noted earlier in this report, the Technical writer is expected to complete incorporation of all adopted changes to create #05-003 Revision B.2 and make it available to Steve Hewitt for distribution upon request.

The Specification Review Panel(s) did not meet in May 2019.

In June 2019, the Technical writer completed incorporation of all adopted changes to create 305-003 Revision B.2 and it is available upon request through Steve Hewitt and/or the NGEC website.

The Specification Review Panel(s) did not meet in July 2019, however, the Technical subcommittee is preparing to consider approval of changes to the Single Level Trainset Specification 305-007 in August 2019 (likely 8-22-19) and after that the Review Panel will be reconvened and the review process will go forward for Executive Board consideration – likely to occur in early September 2019.

The Specification Review Panel(s) did not meet in August 2019 however, the Technical subcommittee approved the Single Level Trainset Specification 305-007 Revision B DCRS and advanced them to the NGECE Executive Board on 8-22-19. On 8-27-19, the Executive Board Chair formally reconvened the NGECE Trainset Review Panel and authorized consultant Larry Salci to begin the review process.

The Specification Review Panel(s) did not meet in September 2019 however, as noted previously, the Technical subcommittee approved the Single Level Trainset Specification 305-007 Revision B DCRS and advanced them to the NGECE Executive Board on 8-22-19. On 8-27-19, the Executive Board Chair formally reconvened the NGECE Trainset Review Panel and authorized consultant Larry Salci to begin the review process. On September 24, 2019, all Review Panel members were confirmed as continuing their service to the panel, and a timeline was presented by consultant Larry Salci. Anticipated Executive Board consideration is planned for 10-22-19.

The Trainset Specification Review Panel met on October 17<sup>th</sup> and approved the Trainset Specification 305-007 Revision B Review Panel Report and recommendations as presented by consultant Larry Salci. On 10-22-19, the NGECE Executive Board accepted the Review Panel's Report and Recommendation and formally adopted PRIIA Single Level Trainset Specification 305-007 Revision B.

During the month of January 2020, the Review Panels did not meet.

In February 2020, the Review Panels did not meet.

At the February 2021 NGECE Annual Meeting, vacancies were filled on all Review Panels.

#### NGECE Executive Board – Specification Review Panels/Members: 2023

##### Consultants/ Technical Support to the Review Panels:

Review Panel Consultant – Larry Salci

NGECE Support – Steve Hewitt

Technical Support – Tammy Krause

Amtrak Technical Support – Michael Kraft

##### **Members of the Review Panels as of 8-31-23:**

(There is a vacancy to be filled on several panels – likely to be filled by Caltrans)

##### Bi-Level Car Review Panel:

Ray Hessinger, NYSDOT – Chair

##### **Vacant**

Amanda Martin, Iowa DOT

Jeff Gordon, FRA

##### Locomotive Review Panel:

Ray Hessinger, NYSDOT – Chair

##### **Vacant**

##### **Vacant**

Jason Biggs, Washington State DOT

Jeff Gordon, FRA

##### Trainset Review Panel:

Ray Hessinger, NYSDOT – Chair

Ed Engle, Iowa DOT

Jason Biggs, Washington State DOT

Jeff Gordon, FRA

##### Single Level Car Review Panel:



Ray Hessinger, NYSDOT -- Chair  
Ed Engle, Iowa DOT  
Jason Biggs, WSDOT  
Jeff Gordon, FRA

DMU Review Panel Members:  
Ray Hessinger, NYSDOT -- Chair  
Jeff Gordon, FRA  
Brian Beeler, for Maine DOT  
**Vacant**

In March 2020, the Review Panels did not meet.

As reported previously, at the February 2020 NGEC Annual Meeting, vacancies were filled on all Review Panels.

In April 2020, the Review Panels did not meet.

In May 2020, the Review Panels did not meet.

In June 2020, the Review Panels did not meet.

In July 2020, the Review Panels did not meet.

In August 2020, the Review Panels did not meet.

In September 2020, the Review Panel did not meet.

In October 2020, NGEC Executive Board Chairman, Ray Hessinger re-convened the DMU Specification Review Panel and tasked Technical consultant Larry Salci with reviewing the changes approved by the Technical subcommittee on 10-15-20 and preparing a Review panel report with recommendations. As noted in the Executive Board section of this report, several additional changes to the DMU specification have been proposed since the approval of the summary of changes by the Technical subcommittee on 10-15-20. Those changes were to be considered on the 11-12-20 Technical subcommittee call and will be sent directly to Mr. Salci for inclusion in his review.

As of 11-30-20, additional comments submitted on weight, by the mechanical working group have not yet been adjudicated. Industry members from Stadler (builders of DMUs) have come in late to the process and requested time to develop and submit more changes through the NGEC DCR process. As noted above, Mr. Salci emphasized that any changes requested by Stadler must be FRA compliant. As of 11-30-20, the Stadler comments have not been submitted and they have requested and were provided more time to develop those comments internally before submitting through the NGEC Document Control process as DCRs. The timeline for consideration of the additional DCRs by the Technical subcommittee is now anticipated to be sometime in January 2021. The view is that it is better to get it right than rushed.

Additionally, the broader issue of weight across the vehicle procurements will likely be taken up by a working group being established to look at that issue and report back to the NGEC technical subcommittee with recommendations. Establishing the working group will be on the 11-10-20 Technical subcommittee agenda.

In December 2020 a technical working group on equipment weight was established under the jurisdiction of the NGEC Technical subcommittee on 12-20-20 and will be led by Jeff Gordon, FRA.

As of 12-31-20, the DMU update remains on target for review in late January, early February providing Stadler has submitted its proposed changes and those have been accepted by the Technical subcommittee.

As of 1-31-21, the DMU specification update Revision B was on hold pending the Stadler DCRs.

As of 2-28-21, changes recommended by Stadler Rail have been submitted to the Document Control Manager and distributed for review by the Technical working groups.

As of 3-31-21 – DCRS submitted by Stadler for the DMU Specification Revision B have been distributed to the appropriate working groups.

Additionally, DCRS for the Single Level Trainset specification update have been submitted and distributed to the working groups. These will eventually go through the Trainset Review Panel for consideration.

The Review Panels did not meet in April 2021 as they await completion of the DMU Revision and the rearrangement of the Trainset specification.

In May 2021, the Review Panels did not meet.

As of 5-31-21 – Stadler DCRs for DMU are with the technical working groups. The Trainset spec rewrite is in process – there will be several DCRs required.

Timeline goal for completion is likely to move to the third quarter 2021.

In June 2021, the Review Panels did not meet. There were no changes in the activities of the Review Panels. It is likely that in the 3<sup>rd</sup> quarter 2021, both the DMU and the Trainset Review Panels will meet to review changes to their respective specifications.

As of 7-31-21 – there were no changes in the activities of the Review Panels, however, the Technical subcommittee will be discussing and possibly considering approval of the DMU summary of changes as adjudicated within the technical working groups. If approved out of the Technical subcommittee, the Executive Board chair will direct them to the DMU Specification Review Panel per NGEC procedures.

As of 8-31-21 – there were no changes in the activities of the Review Panels, however, the Technical subcommittee will continue discussing and possibly considering approval of the DMU summary of changes as adjudicated within the technical working groups on 9-2-21. If approved out of the Technical subcommittee, the Executive Board chair will direct them to the DMU Specification Review Panel per NGEC procedures.

As of 9-30-21 – there were no changes in the activities of the Review Panels, however, the Technical subcommittee is continuing its review of the DMU summary of changes. It is expected to complete the review on the 10-14-21 Technical subcommittee call with a vote on approval to be conducted on the following call (10-28-21). If approved out of the Technical subcommittee, the Executive Board chair will direct them to the DMU Specification Review Panel per NGEC procedures.

Additionally, the PRIIA Trainset Specification re-write is ready to go to the Technical subcommittee for its review but is in a holding pattern waiting on the DMU review to be completed.

As of 11-30-21 – the DMU Review Panel has received the summaries of changes to the DMU specification as approved by the Technical subcommittee on 10-28-21. Consultant Larry Salci expects to complete his DRAFT Review Panel Report with Recommendations by Friday 12-3-21. The Panel is scheduled to meet to consider the report for approval on 12-7-21.

The DMU Specification Review panel met on 12-13-21 and approved the Review Panel Report with Recommendations for submittal to the NGEC Executive Board. On 12-28-21, the Board was given an overview of the report and will consider its approval on 1-11-22.

In January 2022, the Review Panels did not meet. However, the December 2021 DMU Review Panel Report with Recommendations was accepted by the Executive Board and the changes as recommended were adopted to comprise DMU Specification Revision A.

In February 2022, the Review Panels did not meet.

In March 2022, the Review panels did not meet.

In April 2022, the Review Panels did not meet.

In May 2022 the Review Panels did not meet.

In June 2022 the Review Panels did not meet.

In July 2022, the Review Panels did not meet.

In August 2022, the Review Panels did not meet.

In September 2022, the Review Panels did not meet

In October 2022, the Review Panels did not meet.

In November 2022 the Review panels did not meet, however, the NGENC Technical Consultant Larry Salci has begun to look at the Bi-Level specification changes completed so far in anticipation of the technical working groups completing their work and the technical subcommittee completing its approval process by the end of December 2022.

NGENC Specification Review Panels did not meet during the month of December 2022. Larry Salci has received the DCRs approved by the technical working groups and will formally prepare a Review Panel Report with Recommendations once the technical subcommittee has approved the changes and the Executive Board Chair re-convenes the Bi-Level Rail Car Specification Review Panel.

The NGENC Bi-Level Rail Car Specification Review Panel was convened by the Chair in January and on February 14<sup>th</sup> the Panel went through the DRAFT Review Panel Report and Recommendations prepared by technical consultant Larry Salci. The Panel recommended approximately 20 additional revisions and on February 17<sup>th</sup> approved the Report and its Recommendations as revised by Mr.. Salci in an electronic vote. On 2-21-23, the Report and its Recommendations was adopted by the Executive Board and the changes that will comprise 305-001 Revision D were sent to the technical writer for incorporation into the spec.

In March 2023, the NGENC Review panels did not meet.

In April 2023, the NGENC Review Panels did not meet.

In May 2023, the NGENC Review Panels did not meet.

In June 2023, the NGENC Review Panels did not meet.

In June 2023, the Technical writing for the adopted changes to the NGENC Bi-Level Specification were completed. PRIIA Specification 305-001 Revision D is now included on the PRIIA document list that can be found on the NGENC website at [www.ngenc305.org](http://www.ngenc305.org). A PDF version of this spec and all PRIIA specs are available via request from Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

In July 2023, the Review Panels did not meet. On 7-25-23, the Executive Board discussed filling vacancies that have occurred on several; panels. The Board plans to take up this task in August 2023.

In August 2023, the Review Panels did not meet. In August the filling of vacancies on several review panels was put on hold to be taken up during the 9-5-23 Board meeting.

In September 2023, the Review Panels did not meet and, once again, in September the Board put on hold the filling of vacancies on several of the Panels.

The NGENC Review Panels did not meet in October 2023.

On 10-31-23, the Executive Board discussed filling vacancies that have occurred in recent months on some of the Review Panels.

Caltrans, IDOT and FRA will (or do) have vacancies on various Review Panels and will report back to the Board on 11-28-23 with representatives to appoint to fill the vacancies.

The NGENC Review Panels did not meet in November 2023. Vacancies are being filled as discussed during the 11-28-23 Executive Board meeting.

The NGENC Review Panels did not meet in December 2023. Vacancies are being filled as discussed during the 12-19-23 Executive Board meeting.

The NGEC Review Panels did not meet in January 2024. Certain vacancies still have not been filled. It is expected that the vacancies remaining (IDOT and Caltrans) will be filled in early 2024.

The NGEC Review Panels did not meet in February 2024. Several vacancies still have not been filled.

The NGEC Review Panels did not meet in March 2024. Several vacancies still have not been filled.

The NGEC Review Panels did not meet in April 2024. Several vacancies still have not been filled.

The NGEC Review Panels did not meet in May 2024. One vacancy has been filled (IDOT on the Locomotive Panel). Vacancies to be filled by Caltrans on each panel have not been filled as the representative(s) have not yet been named.

The NGEC Review Panels did not meet in June 2024. Vacancies to be filled by Caltrans on each panel have not yet been filled.

The NGEC Review Panels did not meet in July or August or September 2024. Vacancies to be filled by Caltrans on some panels have not yet been filled. On the Single Level Rail Car Review Panel – Ryan Sharpe has been appointed as the Caltrans rep.

The Review Panels did not meet in October 2024 or November 2024.

***The Review Panels did not meet in December 2024.***

**Joint Procurement Task Force (Sunset)**

The FRA requested that the Executive Board reactivate the Joint Procurement Task Force, previously formed in July 2011, and broaden its scope and membership. The membership of the task force was broadened to include states that will likely be involved in future procurements as well as representatives of the states currently participating in the bi-level car and diesel-electric locomotive procurements. (California, Washington, and the Mid-West States). Amtrak and FRA representatives and various consultants were also invited to participate. All members must sign conflict of interest forms in order to participate. The task force's work is extremely confidential due to the impending procurements, and all calls and meetings will be closed – members only. The task force will meet on a regular basis, approximately every 2 weeks. For NGEC budgetary purposes, the JPTF will have a separate budget item as do the other subcommittees and task forces.

The Joint Procurement Task Force, as described above, has begun meeting regularly via conference call and met for a face to face meeting in Chicago on January 17 and 18, 2012. The work of the JPTF is confidential in nature as it addresses issues pertaining to active procurements. All members participating have signed Conflict of Interest Forms developed by Caltrans.

In February, 2012 it was agreed that the JPTF would have two groups – one comprised of the FRA and state representatives involved in the current procurement (core team JPTF); and a full member JPTF to be comprised of representatives of Amtrak, FRA, procuring states and states interested in future procurements. The core team JPTF will meet weekly, via conference call and the full JPTF will meet approximately once a month. There will be several face to face meetings of the core team if necessary to accomplish the tasks and meet the timelines.

In March, 2012, it was agreed that as deadlines for the first procurement are approaching quickly, it would be wise to hold weekly calls among the JPTF core team members only, until the release of the first RFP. After that a call with the full JPTF will take place.

On April 20, 2012 the Bi-level car multi-state RFP was released. The release of the RFP was an extraordinary step, and a tremendous accomplishment as the first such multi-state passenger rail equipment RFP, and the first RFP using a PRIIA Section 305 NGEC approved specification! Truly a landmark achievement!

On May 20, 2012 Notices of Bid proposals were received in accordance with the Bi-level car RFP.

On May 23, 2012 the full JPTF held a conference call, and received a general update.

The JPTF will begin looking at the locomotive procurement effort next. The task force has agreed to meet, via conference call, on a monthly basis. Due to the need for confidentiality, only those who have signed Conflict of Interest Forms (COI) are eligible to participate on the JPTF.

In June, 2012, the Executive Board approved a request by the JPTF that the Locomotive RFI be issued by the JPTF as an NGEC RFI rather than be issued by an individual state. The RFI is expected to be released on July 6, 2012 with responses due on July 20, 2012.

On July 6, 2012, the JPTF, on behalf of the NGEC, released the Diesel-Electric Locomotive Request for Information to a comprehensive list of OEMs. On July 9, 2012, to ensure wide spread notification of OEMs, it was posted in 2 locations on the NGEC website.

On July 20, 2012, all RFI responses were received by Steve Hewitt and, after ensuring anonymity of the responders, Steve distributed the responses to the JPTF's RFI Review Team. The Review Team will meet in early August for a final review of the responses.

On August 9, 2012, the RFI Review Team met in Chicago to thoroughly go through the responses received by the industry. Following that meeting, the review team made its recommendation to the full JPTF. The JPTF, in turn, recommended to the Executive Board that, based on the industry responses to the RFI, no changes to the specification or requirements document were called for, and that, in fact, the responses validated the Diesel-electric locomotive specification. As noted in the Executive Board section of this update, on August 21, 2012, the Executive Board accepted the recommendations of the JPTF.

Due to schedule conflicts the JPTF did not meet, as a body, in September, 2012, however, on September 26, 2012, a Notice of Intent to Award to Sumitomo Corporation was announced by California Department of Transportation on behalf of itself and the mid-west states involved in the multi-state procurement. The bid submitted was for \$352,276,000.00. At this point one Notice of Intent to Protest has been submitted by Kawasaki. By submitting the Notice of Intent to Protest, Kawasaki has 10 days to formally submit the protest. The Caltrans procurement people are looking to see if any more are filed and Bill Bronte will keep the JPTF and the Executive Board informed.

Staff and consultants have begun the Buy America Audit which should take about two weeks. It is expected that a Notice of Award will be announced around October 26, 2012, and a formal signing of the contract around mid-November, 2012.

In regard to the Diesel-electric Locomotive, at this point, no lead state has been determined. The issue is not funding, but staffing for this labor intensive effort. It is understood that it is important that resources be identified and the procurement effort proceed in a timely fashion.

During the month of October, 2012, the JPTF met once – October 10<sup>th</sup>.

In regard to the bi-level car procurement, Chairman Bronte reported to the Executive Board on October 16, 2012 that the Sumitomo Corporation of America had received the Notice of Intent to Award. (September 26, 2012) The Buy America Pre-Award Audit of Sumitomo and their component suppliers is underway. A Notice of Contract Award is expected at the end of October, 2012, with a fully executed contract expected by the middle of November, 2012.

In regard to the Diesel-electric locomotive update, a lead state has not yet been identified. A questionnaire was sent out from FRA to the three lead states involved in the locomotive procurement. The questionnaire asks states to identify a full set of resources including their own staff resources and that of contractors.

During the month of November, 2012, the JPTF did not meet. The next call is scheduled for December 5, 2012

In regard to the bi-level car procurement, Chairman Bronte reported to the Executive Board on November 27, 2012 that a Notice to proceed will be issued to the Sumitomo Corporation of America later that day.

In regard to the diesel-electric locomotive update, a lead state has not yet been identified. A questionnaire was sent out from FRA to the three lead states involved in the locomotive procurement. The questionnaire asks states to identify a full set of resources including their own staff resources and that of contractors.

During the months of December, 2012, and January, February, and March, 2013, the JPTF did not meet. Future calls had been put on hold until a determination was made as to how the lead state (IDOT) wishes to proceed with the locomotive procurement process. On March 19<sup>th</sup> during the Executive Board call, it was agreed that the JPTF would not be reconvened, rather Illinois DOT and FRA representatives will provide bi-weekly updates to the Executive Board and the Technical subcommittee as to progress being made.

Bi-weekly updates have been provided to the Executive Board by Illinois DOT. Please see the Executive Board section of this report for additional information.

#### **Structure and Finance Task Force (SFTF):**

The former Structure and Finance Working Group has been elevated to that of a task force reporting directly to the Executive Board (as does the Administrative task force and the JPTF). The Board approved a motion to create the SFTF on January 24, 2012, and subsequently named Eric Curtit, Missouri DOT, as its chair. In February, 2012, Eric named Tim Hoeffner, Michigan DOT, and Ron Pate, Washington State DOT, as co-vice chairs of the task force. The members of the task force will include those who were members of the initial working group and other interested representatives from states, Amtrak and FRA. On February 13, 2012 the SFTF held its first conference call for the purpose of organizing itself.

Key decisions and action items resulting from the February 13, 2012, conference call included:

- The task force agreed to meet bi-weekly on Monday's at 3:30pm Eastern.
- A draft SOW for contracting with an outside consultant to develop a work plan will be prepared by FRA consultants from Booz Allen Hamilton (BAH) for possible consideration on March 12, 2012 task force conference call. Comments on the proposal are to be submitted to Eric Curtit and Steve Hewitt by March 8, 2012.
  - o The overall work plan will look at equipment management; long term best practices; and at maintenance needs and approaches, and will put forward performance matrix support for life cycle costs. Equipment deployment will also be addressed - which is especially important for the mid-west. Funding equipment over its life cycle is also important, as is ownership models that fit into the fleet plan.
  - o The general timeline is to be about 6 months or less, but will take a lot of effort. In the end, the intent is for the plan to be able to be used by future procuring states so they do not have to re-invent it.

The Structure and Finance Task Force (SFTF) met twice, via conference call, in March, 2012 on the 12<sup>th</sup> and the 26<sup>th</sup>. Key decisions and action items resulting from those calls included:

- David Ewing and Eric Curtit will look at the SFTF overall work plan and the more global aspects beyond the RFP for section 6 and deployment, and have something "put together" prior to the next call on April 7, 2012.
- Chad Edison, FRA, agreed to "re-look" at the revised draft of the SFWG report, especially in regard to disclaimers and provide FRA input to the task force. Once that input is received the report can be posted as a DRAFT Resource document.
- SFTF members are encouraged to send any additional membership suggestions to Eric Curtit and Steve Hewitt.
- Ken Uznanski will add whatever is needed to address the grant agreement mechanics for AASHTO to serve as contracting agent for the SFTF RFP for Section 6 preparation and deployment.

- The SFTF proposed SOW was approved by the SFTF, and was sent to the Executive Board for its consideration during its next call (March 20, 2012). On March 20, 2012, the Executive Board approved the SOW and approved AASHTO as the contracting agent.
- Ken Uznanski, in completing the draft NGECC Scope and Budget, will “drop in” the SOW in the SFTF section of the Scope and Budget. This task was completed and refined for the final NGECC Scope and Budget approved by the Executive Board on March 20, 2012.

The Structure and Finance Task Force (SFTF) met twice, via conference call, in April, 2012 on the 9th and the 23rd. Key decisions and action items resulting from those calls included:

- Eric Curtit, Chad Edison, and Ron Pate will discuss the Washington State and Oregon efforts and determine next steps for informing the SFTF members.
- SFTF members are asked to send any additional membership suggestions to Eric Curtit and Steve Hewitt.
- Chad Edison will re-look at the revised draft of the SFWG report especially in regard to disclaimers, and provide FRA input to the task force. Once that input is received the report can be posted as a DRAFT Resource document.
- Eric Curtit and David Ewing agreed, On April 9, 2012, to work together to develop a draft work plan with “fleshed out” descriptions of activities pertaining to the “context” piece of the Executive Board’s initial charge to the SFTF. The work plan will address the “global aspects” of the task force’s work plan, and will be circulated to the SFTF members through Steve Hewitt in advance of the April 23, 2012 call. Comments were to be provided to Eric Curtit, Steve Hewitt, and David Ewing by COB on April 18, 2012.
- With no comments to the proposal having been received, Steve Hewitt was asked, on April 23, 2012, to re-send the “global aspects” work plan first distributed on April 10<sup>th</sup>) to all members, with notification that the comment period has been extended to May 2, 2012. All comments should go to Eric Curtit with a cc to Steve Hewitt.
- On April 23, 2012, the SFTF decided that, due to the timelines and schedule for review of proposals received in response of the SFTF RFP for Section 6 and deployment, the regularly scheduled May 7<sup>th</sup> call is cancelled, and a special call will be held on May 14, 2012. Steve Hewitt will notify all SFTF members of these changes.

The Structure and Finance Task Force (SFTF) did not meet during the month of May, 2012 as the selection committee continues to work through the procurement process for the Section 6/ deployment. As the procurement process is not yet complete, the SFTF Special meeting originally scheduled for May 14, 2012 was canceled. The task force expects to meet, via conference call, on June 18, 2012. The primary order of business will be to consider the selection committee’s recommendations.

The full Structure and Finance Task Force did not meet during the month of June, 2012, as the selection committee continued to work through finalizing its selection for consultant services to do the Section 6/deployment effort as described in the previously released RFP. On July 2, 2012, the full SFTF will consider the selection committee’s recommendation and, if approved, will ask the Executive Board to consider the recommendation on its conference call of July 10, 2012.

On July 2, 2012, the SFTF met via conference call, and unanimously approved the selection committee’s recommendation to accept the proposal submitted by Parsons Brinkerhoff (PB). On July 10, 2012, the Executive Board approved the SFTF recommendation, and instructed AASHTO to prepare a contract (as contracting agent) to execute with PB, on behalf of the NGECC. In order for the contract to be executed, the Board, in accordance with the amended grant agreement, was required to direct Amtrak to request that the FRA approve the transfer of the funds for this contract (as well as the contract with Larry Salci for Review efforts) from the professional services contingency to the AASHTO Support Services budget. Once FRA

approves the shift in funding, Amtrak must formally notify AASHTO that the funds are available and AASHTO can execute the contract with PB and also the Larry Salci contract.

On July 17, 2012, Eric Curtit, Missouri DOT, chair of the SFTF, along with Chad Edison, FRA, met with PB in Washington, DC to "kickoff" the Section 6/deployment effort. As the formal request for the shift of funds had not yet been submitted to FRA, Eric requested that NGECC Treasurer and Amtrak acting CFO, Gordon Hutchinson, make the request as approved by the Executive Board. Gordon Hutchinson made the request on July 17, 2012, and the process, as defined in the grant agreement, is currently underway for FRA to formally direct Amtrak (as the grant recipient) to transfer the funds to the AASHTO Support Services, and officially notify AASHTO that the required funds are available. At that point AASHTO will formally execute the contract with PB (and also the Salci contract).

During the month of August, 2012, the Structure and Finance task force met twice, via conference call – on August 13 and 27. Key decisions and action items made during the month of August, 2012 included:

- On August 27, 2012, Darrell Smith reported that, although he was on vacation last week, he understands that Mike Doonan, Amtrak Grants, and Amtrak Grants Manager, Beverly Thorpe, have been working with AASHTO to finalize the AASHTO/Amtrak Support Services Agreement. Vincent Brotski, Amtrak Legal confirmed that this was the case, and that he thought the issue would be resolved shortly.
- Eric Curtit reported on August 27, 2012, that because the AASHTO/Amtrak agreement has not been executed at this point, AASHTO has not been able to execute the pending contract with Parsons Brinkerhoff. Therefore, with PB not having begun work yet, he (Eric) is preparing a two-part presentation for the September 20, 2012, Executive Board meeting. One which will provide the Board with an update "on what this (the Section 6/deployment effort) is all about" and one which will look at "issues that we (SFTF) want to address."
- Bill Bronte stated that he believes the September 20, 2012 Executive Board meeting will "be a good opportunity to lay ground work for the larger picture" and should include "where we are and where we are going in the future."
- Chad Edison reported that he did not have an update on the Global aspects draft work plan action item (which is to incorporate FRA's written comments into the draft plan presented earlier this year. Chad suggested scheduling some time in Portland between the SCORT meeting and the NGECC Board meeting to "work through it." Members agreed that this made sense.
- Heavy schedules (including activities related to the two procurements underway (Bi-level cars and Diesel-electric Locomotives) have not permitted FRA to finalize its review of the initial Structure and Finance Working Group Draft report. The action item calls for FRA to review the final draft version of the SFWG report to ensure that its comments were accurately incorporated into the document. Once this has been determined, the report will be posted on the website as a Draft reference report for NGECC (and SFTF) use as it develops a plan for the future structure of the NGECC.

During the month of September, 2012, the Structure and Finance task Force met twice, via conference call, on September 10 and 24. Key decisions and action items made during the month of September, 2012 included:

- Eric Curtit and Chad Edison have been looking at the initial draft SFWG report and will have something put together by the next call – October 22, 2012.
- On September 24, 2012, Eric Curtit agreed to provide all members with a "test case" on the original charge of the Board to the SFTF to see how it has evolved and if it still fits. Eric's draft was sent out through Steve Hewitt to all SFTF members and comments were requested by COB October 4, 2012.
- With Columbus Day being a state holiday for many SFTF members, the October 8, 2012 conference call was cancelled. The due date for commenting on the revised charge was extended until COB on October 12, 2012. The next call will take place on October 22, 2012.



- On September 24, 2012 it was agreed that Eric Curtit, Chad Edison, and Ron Pate and/or Tim Hoeffner will have a conference call with PB to review the tasks identified in the contract and get the work started.
- PB will be asked to attend the bi-weekly SFTF calls and provide a status update.
- Eric, as part of the SFTF report (standing agenda item) to the Board, will provide a status update on the activities of PB on the Section 6/deployment effort.

During the month of October, 2012, the Structure and Finance task force met once, via conference call, on October 22nd. Key decisions and action items made during the month of October, 2012 included:

- On October 22, in regard to reviewing/revising the SFTF charge, it was agreed that Chairman Eric Curtit will incorporate the comments received by task force members into one clean document for member consideration. This clean revision of the SFTF charge was distributed by Steve Hewitt on October 25<sup>th</sup>. All SFTF members were asked to review the revised charge and be prepared to vote on approval of it on November 5, 2012.
- In regard to finalizing and clarifying the PB tasks for the Section 6 – fleet deployment effort, it was agreed that Eric Curtit will develop an outline that clearly identifies the tasks to be undertaken by PB. The outline will be distributed before the November 5<sup>th</sup> call. The kickoff of the PB effort will take place within the next week or so.
- On October 22 it was also agreed that as costs are identified/estimated for the task of defining the NGECC's future, and developing an implementation plan; the SFTF will make sure that the Finance subcommittee is informed of those estimated costs so that it can better develop the next NGECC budget.
- It was also agreed that PB will attend the SFTF bi-weekly calls beginning either November 5 or 19 depending on when the effort has kicked off.
- The FRA is reviewing the DRAFT Structure and Finance Working Group Reference document. On October 22, 2012 it was reported that the FRA intends to provide its comments on the DRAFT Report in advance of the November 5, 2012 SFTF call, and to discuss those comments on the call.

During the month of November, 2012, the Structure and Finance Task Force met twice, via conference call, on November 5 and 19, 2012. Key decisions and action items made during the month of November, 2012 included:

- On November 5, 2012, the SFTF voted, and approved, a revised charge, and submitted it to the Executive Board for its consideration. On November 13, 2012, the Board approved the new charge.
- In regard to finalizing and clarifying the Parson Brinkerhoff (PB) tasks for the Section 6 Eric Curtit reported to the Board on November 27, 2012, that the tasks have been identified and agreed to. PB is up and running and will provide regular updates to the SFTF on its bi-weekly calls.
- On October 22, 2012 it was also agreed that as costs are identified/estimated for the task of defining the NGECC's future, and developing an implementation plan; the SFTF will make sure that the Finance subcommittee is informed of those estimated costs as it undertakes the process of developing the next NGECC budget. The Finance subcommittee has sent out a last call for budget requests for new items, and has identified that the SFTF will need additional funding for this effort. The SFTF will submit the dollar amount to be requested.
- The FRA has provided a draft outline Scope of work for developing an implementation plan for the NGECC's future. On November 19, 2012, the SFTF members were asked to review the draft proposal and provide comments to Eric Curtit and Steve Hewitt by November 29, 2012. A revised SOW will be considered for approval on the December 3, 2012 call of the SFTF.
- On November 19, 2012, the SFTF discussed the draft "strawman" vision statement presented by Bill Bronte. On November 27, 2012, the Executive Board confirmed that it is the body that will determine

the NGEC vision. The Board members are reviewing the “strawman” and will consider it on December 11, 2012.

During the month of December, 2012, the Structure and Finance Task Force met twice, via conference call, on December 3 and 17, 2012. Key decisions and action items made during the month of December, 2012 included:

- On December 3, 2012, the SFTF approved the Scope of Work (SOW) for defining the NGEC’s future and developing an implementation plan. The SOW was submitted to the Executive Board where it was approved on December 11, 2012.
- On December 17, 2012, it was agreed that there will be times when the SFTF or other subcommittees and task forces, as well as the Executive Board, will need to go into executive session to discuss items of a confidential nature. As a result, it was agreed that Steve Hewitt will ask AASHTO to provide a separate call in line for use for such executive sessions as needed.
- On December 17, 2012, it was agreed that Eric Curtit and Chad Edison will work with PB to get the task 1 outline fleshed out by the next SFTF call for review by the full task force.
- It was also agreed that by the next SFTF call (January 14, 2013) Eric Curtit and Chad Edison will have developed an outline of a defined approach for phase 1 and identify gaps where the SFTF may need to look into procuring professional services.
- Eric Curtit will inform PB that the SFTF wants a full schedule with a timeline going to the end of the project. He will ask for a complete revised schedule, timeline, and associated deliverables.
- Eric Curtit and Chad Edison will work with PB to pull together material in advance of SFTF calls. (ongoing)
- Note: Action item from December 11, 2012 Executive Board call: The SFTF will begin work on the actions identified in the approved SOW, and Eric Curtit will report back to the Board on its next call (January 8, 2013) on how it will be done and what the timeline will be.

During the month of January, 2013, the Structure and Finance Task Force met once, via conference call, on January 14, 2013. Key decisions and action items made during the month of January, 2013 included:

- On January 14<sup>th</sup>, the SFTF members were asked to review the draft problem statement prepared by the contractor and Eric Curtit and Chad Edison, and to provide any comments to Eric (cc to Steve Hewitt) prior to the next call. (January 28, 2013)
- Subsequently, the January 28, 2013 call was canceled – the next scheduled call is February 11, 2013.
- Eric Curtit continues to work with the contractor, and expected to have substantial product ready for the SFTF review on the January 28, 2013 call. Shortly after the January 14<sup>th</sup> call, the contractor made changes to the composition of its team. It is anticipated that progress will be forthcoming and work product will be ready for the February 11, 2013 call.
- Prior to January 14<sup>th</sup>, Chairman Eric Curtit informed the contractor that the SFTF wants a full revised schedule with a timeline going to the end of the project. He emphasized, however, that the most immediate priority, is resolving/finalizing the proposed problem statement.
- On January 14<sup>th</sup>, in regard to Phase 1 of the implementation plan, it was agreed that the following initial actions would be taken:

David Ewing and Steve Hewitt will:

- Draft a high concept introduction, using existing material.
- Suggest people and material for interviews.
- Work with Leo Penne on part 3 of phase 1.

- It was also agreed that David and Steve, after conducting interviews will inform the SFTF as to whether or not they believe external professional services may be required for parts of the Phase 1 effort.

During the month of February, 2013, the Structure and Finance Task Force met once, via conference call, on February 11, 2013. Key decisions and action items made during the month of February, 2013 included:

- During the month of February, the contractor for the Section 6/deployment project continued to work with SFTF chair Eric Curtit and the FRA to finalize the project work plan and develop a revised schedule.
- During the month of February, 2013, the contractor named a new project team leader.
- The contractor team is putting together a new format that will address the requirements of the RFP.
- The new project manager and part of his team gave a brief overview presentation to the Executive Board on February 20, 2013 during the facilitated workshop meeting.
- Feedback is expected on phase 1 & the proposed action plan in the coming days. No decision has been made on external professional services. David Ewing and Steve Hewitt will continue to report back on feedback.

During the month of March, 2013, the Structure and Finance task force did not hold a full task force conference call, rather, Chairman Eric Curtit provided periodic electronic updates to members and provided bi-weekly updates to the Executive Board. The summary of the SFTF report to the Board can be found in the Executive Board section of this activities report.

During the month of April, 2013, the Structure and Finance task force (SFTF) met once, via conference call, on the 22<sup>nd</sup>. Some of the key SFTF decisions and actions occurring during the month of April, 2013 included:

- The context effort previously assigned to David Ewing and Steve Hewitt will be suspended in anticipation of a number of upcoming activities that will provide additional information. Prior to the next SFTF call, David and Steve will have a follow-up discussion with Eric Curtit.
- Effective on April 22, 2013, the SFTF conference call schedule will be reduced in frequency from bi-weekly to once every 4 weeks. Steve Hewitt will send appointments to all SFTF member calendars. The next call will take place on May 20, 2013.
- The contractor for the Section 6/Fleet deployment project was to deliver an outline of what the first product (50% of task 1) will look like. As of April 22, 2013, this outline had not been delivered.
- On April 22, 2013, it was agreed that Eric Curtit, Chad Edison, Nico Lindenau, and Ashok Sundararajan will review the outline once it is received, and will subsequently review the 50% of task 1 report once it has been delivered. The due date for the report on 50% of task 1 remains April 30, 2013. On May 20, 2013 (the next SFTF call) these items will be discussed, and/or actions necessary to correct the situation will be considered if they have not been received.

During the month of May, 2013, the Structure and Finance task force (SFTF) met once, via conference call, on the 20th. Some of the key SFTF decisions and actions occurring during the month of May, 2013 included:

- The context effort assigned to David Ewing and Steve Hewitt remains suspended in anticipation of a number of upcoming activities that will provide additional information. Eric Curtit has asked for a conference call with Steve Hewitt and David Ewing on this topic after June 2<sup>nd</sup> to discuss advancing the effort.
- The Section 6/Fleet Management Plan contractor is expected to submit 100% of task 1 to Eric Curtit by the end of this week (week of May 20, 2013). When it is received, it will be distributed to all SFTF members for review and comment.

During the month of June, 2013, the Structure and Finance task force (SFTF) met once, via conference call, on the 17th. Some of the key SFTF decisions and actions occurring during the month of June, 2013 included:

- The Section 6/Fleet Management Plan contractor has submitted a second version of task 1. The subgroup is in the process of reviewing it and providing comments. In advance of the next SFTF call (July 15, 2013) all members will receive the Task 1 document along with comments from the subgroup/review team.

During the month of July, 2013, the Structure and Finance task force (SFTF) met once, via conference call, on the 15th. Some of the key SFTF decisions and actions occurring during the month of July, 2013 included:

- In regard to the task 1 document submitted by the Section 6/Fleet Management Plan contractor the core review team is completing its review. On July 15<sup>th</sup> a timeline was agreed to for completing the full SFTF review and advancing the Task 1 document to the Executive Board by August 20, 2013.
- On July 25, 2013, SFTF chair Eric Curtit asked Steve Hewitt to distribute task 1 along with review team comments to the full SFTF. Members are asked to respond with track changes to the document (if they have any). The full SFTF will be asked to approve task 1 for submittal to the Board on August 12, 2013.

During the month of August, 2013, the Structure and Finance task force (SFTF) met once, via conference call, on the 12<sup>th</sup>. Some of the key decisions and actions occurring during the month of August included:

- On August 12, 2013, a core team comprised of: Eric Curtit, Missouri, Ron Pate, Washington State DOT, Chad Edison, FRA, and Darrell Smith, Amtrak, was formed to compile comments submitted by SFTF members to the Section 6/deployment project Task 1 draft; and to submit the comments to the contractor, along with a timeline for the contractor to come back with a revised task 1 report.
- The goal will be to have something back from the contractor for discussion by the full SFTF on its September 9, 2013 conference call. The intent is to have something "of use" to submit to the Board for the September 26, 2013 face to face meeting in Columbus, Ohio.
- The topic of task 1 will be the only agenda item (other than business items such as approval of prior minutes and roll call) for the September 9, 2013 SFTF conference call.

During the month of September, 2013, the Structure and Finance task force (SFTF) did not hold a conference call. Members of the SFTF assigned as a sub-group to work with the Section 6/deployment project contractor convened several conference calls and set a schedule for completion of a revised task 1. Eric Curtit provided an update to the Executive Board at its face to face meeting on September 26, 2013.

During the month of October, the Structure and Finance task force did not hold a full member conference call, but members of the subgroup continued to meet on a regular basis with the Section 6/fleet deployment project contractor to finalize a new task 1. On November 1, 2013 Eric Curtit sent the following update to SFTF members:

"I am cancelling the call next Monday but want to give you a quick update about our project and the next steps. The contractor has submitted the revised draft 1 by the time we had agreed and the SFTF core team has reviewed it and made comments. We shared those with the contractor this week. The comments were light in nature as the contractor had addressed each of our comments fairly well. Once the contractor has finalized the comments on Task 1, I will bring the revised draft to the full SFTF for review and comment. Thanks in advance for your help and let me know if you have questions."

In November, 2013, the SFTF working group continued its review of the Section 6/fleet deployment revised task 1 provided by the contractor. No full SFTF calls were held in November. On December 2, 2013, the full SFTF will meet, via conference call, and receive an update of where task 1 stands.

In December, 2013, the SFTF met on December 2, 2013. The working group had completed its review of task 1 and the full SFTF was asked to review it and provide comments to Eric Curtit by COB December 16, 2013. With minimal comments received, and the December 30<sup>th</sup> SFTF call canceled for the holidays, it is anticipated that chairman Curtit will call for an electronic vote to approve task 1 and send it to the executive Board for its review in mid-January, 2014.

The SFTF did not formally meet in January, 2014. However, I did conduct an electronic vote in consideration of approval of the Section 6 Task 1 report. On January 24, 2014, Task 1 was approved by the SFTF and sent

to the Executive Board for its consideration. The Board is expected to discuss the report on its February 4, 2014 conference call, and may take it up for consideration of approval at that time.

The SFTF did not formally meet in February, 2014. However, after the SFTF had approved the Section 6 project Task 1 report it was submitted to the Executive Board. At the NGECE Annual Meeting on February 21, 2014, Eric Curtit gave a presentation on Task 1 and a look ahead to Tasks 2 and 3. The Executive Board took action on Task 1 unanimously accepting it as submitted; and agreed with the SFTF recommendation to move Tasks 2 and 3 to the mid-west states as the grant recipients responsible for developing the Section 6 and Fleet deployment plans.

**At the Annual Meeting of the NGECE, held on February 21, 2014, it was agreed that the SFTF has completed its primary work, and to consolidate time and staffing resources, the SFTF will cease to exist and its functions will move to the Finance subcommittee.**

At the October 24<sup>th</sup>, 2014 NGECE Executive Board Fall Meeting, the Section 209/305 Working Group was formally established as a Subcommittee of the NGECE – known as the 514 Subcommittee. The group is chaired by Ron Pate, Washington State DOT and meets on a bi-weekly basis. Status updates are provided to the Board on its bi-weekly calls.

514 Subcommittee:

During the month of December, 2014 key decisions and action items of the 514 Subcommittee included:

The 514 subcommittee continues moving forward. Jeremy Jewkes is serving as Ron Pate's lead on the effort.

Chairman Ron Pate emphasized the need to make sure "we have the right people from the executive Board involved."

The first "user group" meeting was a success.

State equipment forecasts are due to Amtrak by January 15, 2015.

Ron Pate is emphasizing the "bigger picture" perspective that needs to be addressed – and that it will be necessary to manage expectations.

During the month of January, 2015 key decisions and actions of the 514 Subcommittee, as reported by Chairman Ron Pate to the Executive Board included:

- The Subcommittee continues to progress well. Jeremy Jewkes is developing "straw dog" language. Some concern has been raised by states with regard to budget cap and the reconciliation process, but "progress is being made" and Chairman Pate believes these concerns will ultimately be resolved.
- 

During the NGECE Annual Meeting, 514 Chairman Ron Pate provided the following update:

- Capital equipment is a significant piece – and the 305-209 was established to capitalize on the expertise of the equipment specialists involved with both groups. Utilizing the collaborative structure and procedures of the 305 NGECE Committee, the 305/209 effort was combined into the 514 Subcommittee under the oversight of the NGECE.

The Subcommittee has made some significant progress – overcoming a number of hurdles and developing good working relationships.

In the fall, the CIP was approved by the Subcommittee – a big step forward.

The Subcommittee developed a reconciliation process spearheaded by the efforts of New York State, and the process was agreed to among the states. The process is primarily one which mirrors what states have in their STIPS.

The 514 Subcommittee has been prioritizing its next steps. Having a priority list will provide a better opportunity to get it done more quickly.

During the month of March, 2015, Chairman Ron Pate provided the following updates to the Executive Board:

- The Subcommittee is now moving onto next steps – keeping the plan, which is a living document, updated.
- Amtrak is nearing completion of its 5 year forecast. The next call of the Subcommittee will include a preview of the forecast.
- Minor CIP updates were presented by Amtrak on the March 23, 2015 conference call.
- Ron Pate reported that the subcommittee is awaiting the FY 14 reconciliation from Amtrak.
- Cost controls have been a concern of the states – they believe that auditing specific areas of costs will help.
- Overall, 514 is moving forward and making progress.

During the month of April, 2015, following updates were provided to the Executive Board:

- On April 14<sup>th</sup> the 514 subcommittee reported that it had met the previous week with a focus on the minor updates provided by Amtrak and discussed the implications of discrepancies and adjustments.
- On April 28<sup>th</sup> the subcommittee reported that after hearing states concerns upon seeing the updated forecasts – Amtrak has gone back to “sharpen its pencils” and another proposal is expected to be forthcoming for the next 514 subcommittee call which is scheduled for next week (5-4-15).

During the month of May, 2015, the subcommittee met twice on the 4<sup>th</sup> and 18<sup>th</sup>. In May, the following updates were provided to the Executive Board:

- On May 12<sup>th</sup> subcommittee chair Ron Pate reported that the subcommittee continues to work on redoing the capital investment minor updates for concurrence on cost increases, with discussions continuing on issues that have caused the cost increases.

They are down to 5-6% of what the forecasts were.

A good foundation is being built and the effort is moving forward.

- On May 26<sup>th</sup> Ron Pate reported that the subcommittee held its most recent call on May 18<sup>th</sup>. He complimented Amtrak staff for its efforts and willingness to participate on the activities of the subcommittee even as their attention is on the recent accident. Amtrak’s willingness to still take the time to participate on the call and move forward on the items under discussion showed “extraordinary commitment” to us and it is greatly appreciated.

Ron reiterated the concerns expressed previously about the forecasts presented and noted that Amtrak and the states are working to resolve their differences.

There will be a meeting among the states, Amtrak, FRA and FMCS on June 2<sup>nd</sup> in DC to discuss Amtrak’s implementation on 209, and the forecast discussions will be continued.

Overall, Ron feels the group is demonstrating that it can work together and the end result will be better efficiencies and maximum benefits.

During the month of June, 2015, the following updates were provided to the Executive Board:

- Progress continues in a positive direction. The subcommittee is currently working on the reconciliation items.
- They are also beginning to look at inward cameras as related to capital equipment, and have reached out to Amtrak to see if they are seeking federal funds for these items, and, if so, “asking how the states can help with the ask. 514 Chairman Ron Pate sees this as a good opportunity to work together.

- Amtrak has taken the 7.36 percent GNA off the table and members are looking at all GNA costs. Ron called this another good sign of working together and an opportunity to work through the new governance structure and termed it as a chance to be a win-win for all concerned.
- Overall, there is “continued positive progress” with Amtrak and the states sharing information and working together as partners and in support of each other.

During the month of July, 2015, the following update was provided to the Executive Board:

- Ron Pate reported that the 514 subcommittee is working with the overall 209 implementation group and has been participating in the FMCS facilitated effort to get PRIIA 209 policy implemented.
- For 514 “we are established and recognized under the NGEC...as we move down the road to the establishment of the 209 committee...we want to make sure we get this group (514) recognized as the way we are ...under the NGEC.”
- As the 209 committee becomes more structured and implements its governance structure, Ron is hopeful that the 514 subcommittee remains under the NGEC and its governance structure rather than moving to the 209 committee and its structure (which is based on that of the NGEC). Ron would like the 514 to be recognized as under 305 NGEC rather than being moved to within the new 209 governance structure.
- On issues related to the work of the 514 subcommittee, Ron reported that there still remain some states or state supported corridors who have not provided information to be used for better forecasting for the next CIP.
- Ron noted that he intends to draft a letter to states asking for their assistance in providing the information needed.

During the month of August, 2015, the following update was provided to the Executive Board:

- The end of the fiscal year is approaching. Revised Minor update, based on comments/input provided by the states, will be issued this Friday.
- The next subcommittee meeting is scheduled for 8-17-15.
- Jeremy Jewkes, WSDOT, reported that “we are coming near the end of the process” – if there is anything any member wants to be considered, please contact Ron Pate or Jeremy Jewkes.
- Ron Pate, WSDOT, and Chair of the 514 subcommittee, had sent a letter/survey to the states in regard to high level issues. Responses have come in and Ron is beginning follow ups with the states on their responses.

During the month of September, 2015, the following update was provided to the Executive Board:

- Finalizing the CIP document: It is expected to go out from the subcommittee to the Executive Board (NGEC) for its review in the next week or so. The expectation is to have the Executive Board consider its approval in October, 2015.
- 209/305 coordination: Now that 209 “has its feet under it” (with the establishment of the State Amtrak Intercity Passenger Rail Committee (SAIPRC), 514 and the SAIPRC are working to determine their roles in the process.

On October 27, 2015, the following subcommittee progress report was provided to the Executive Board with regard to the updated 2016 Amtrak Capital Improvement Plan (CIP):

- Progress over the past year includes:

Coordination with the newly created State Amtrak Intercity Passenger Rail Committee (SAIPRC) - As the PRIIA 209 policy body, the SAIPRC informs work in the 514 subcommittee. Changes to policy effecting capital use charge will be reflected in future editions of the CIP.

Definitions – Key definitions used throughout the plan are identified near the beginning.

Updated Process – An updated process for Minor Updates that accommodate more interaction between Amtrak and states.

Updated Five Year Forecasts – Forecasts of units used and equipment capital overhaul schedules have been updated based on information gathered through the process.

Quantified Equipment Released from State Service – The CIP identifies Amtrak equipment planned to be displaced from state corridor service with new state-owned equipment by units used and the pro rata share of equipment overhaul capital. A new corridor, titled Released for Redistribution/Underdetermined, quantifies this impact by the units used and pro rata share equipment capital for each plan year.

SOGGR Plan – The CIP includes Amtrak's plan to bring all non-State of Good Repair equipment into a SOGR.

Budget Contingencies – Based on year-of-plan, baseline suggestions for contingency levels for budget planning purposes are new to the CIP.

In concluding the progress report to the Board, 514 subcommittee co-chair Jeremy Jewkes requested that the NGEC Board take action on the following motion to accept the 2016 CIP:

"The Next Generation Equipment Committee (NGEC) accepts the Capital Investment Plan (CIP) prepared by Amtrak, in cooperation with the 514 Subcommittee, as a best practices document meeting the intent of the Section 209 policy and the approved charge statement, and concurs with the 5-year investment plan contained therein. The board also recognizes that the CIP is a living document and there will be annual updates and continued efforts required to complete the next steps included in the document."

The NGEC Executive Board subsequently (on October 27, 2015) approved the motion to accept.

On November 10, 2015, the following subcommittee progress report was provided to the Executive Board:

- With the major update (CIP) having been accepted, (October 27, 2015) by the NGEC Executive Board, the 514 subcommittee is gearing up for minor updates. The spreadsheet from Amtrak to the states will be distributed in December.
- States should be prepared to provide projections and identify budget restrictions.
- A meeting invitation went out to the states to for the reconciliation meeting – 11-18-15.
- The 514 subcommittee continues to work with the States Amtrak Intercity Passenger Rail Committee (SAIPRC) on a list of policy issues identified in the major update. Policy runs through SAIPRC.

On December 7, 2015, the following subcommittee progress report was provided to the Executive Board:

A mid-November Amtrak user meeting was held. Amtrak, during the meeting, provided a presentation on Life extension and development initiatives.

The next 514 meeting was scheduled for 12-14-15, and the meetings, from then on, will be scheduled on a monthly basis rather than every two weeks.

A memo is being drafted to go from Chairman Ron Pate to the SAIPRC describing the CIP approval process and the flow down through the NGEC with policy issues being within the purview of the SAIPRC.



In late December, the memo was sent to Eric Curtit and Steve Hewitt as an FYI. In it Ron Pate identified work flow and policies.

The subcommittee is developing its by-laws and modeling them after that of the Technical subcommittee. Once complete it will be sent to Steve Hewitt for his review and input to ensure consistency with the NGECE By-Laws.

When asked, Steve Hewitt, explained the process for approving the subcommittee's procedures and incorporating them into the NGECE By-Laws and Operating Procedures. The FASC is the body that oversees such changes and would need to approve them first (Ray Hessinger heads up a By-Law review effort for the FASC) Once the FASC has approved the changes – they must be submitted in writing to the Executive Board one month prior to consideration. The intent is to approve any NGECE By-Law changes at the Annual Meeting on 2-19-16.

On January 19, 2016, the following subcommittee progress report was provided to the Executive Board:

Unit used forecasts for all states have been received for the 2017-2021 minor update.

The schedule calls for a DRAFT of the minor update from Amtrak on March 31, 2016.

The Policy Memo from the NGECE to SAIPRC was approved out of the 514 subcommittee and submitted to NGECE Chair Eric Curtit and NGECE Support Manager Steve Hewitt this morning (1-19-16).

On February 2, 2016, the following subcommittee progress report was provided to the Executive Board:

The first quarter reconciliation for FFY16 is due on 2-10-16.

The Amtrak CIP minor update is due on 3-31-16.

The policy memo was approved by the NGECE Executive Board on 2-2-16 and transmitted by Executive Board Chair Eric Curtit to SAIPRC Chair David Kutrosky.

A status update on the activities of the 514 subcommittee was presented by Ron Pate, WSDOT, during the NGECE Annual Meeting. A summary report has been included in the NGECE Annual Meeting Minutes, which are posted on the website.

On March 15, 2016, the following update was provided to the Executive Board:

Progress is moving along well on update tables for the CIP from 2017-2021.

Amtrak has agreed to revise the tables to include additional information that will increase visibility.

The DRAFT report, once complete, was to be distributed to subcommittee members with a comment period of about one-month. The final report anticipated to be published in July.

On 4-26-16, Jason Biggs provided the following update to the Executive Board:

- Member states should have all received the DRAFT 2017-2021 CIP document.
- Comments on the tables are due by 5-15-16 and should be submitted to Darrell Smith, Jeremy Jewkes, and Jason Biggs.
- July of 2016 is the timeframe for publishing the final document.

On 5-24-16, Jason Biggs provided the following update to the Executive Board:

- The subcommittee has been very active reviewing the minor CIP Fleet and Service Plan table updates.

- A user group meeting was held last week to go over 2<sup>nd</sup> quarter reconciliations and receive feedback. Additional feedback is welcome and will be brought forward during the next call.
- Amtrak has introduced a transparency initiative. Amtrak presented its proposed changes in a power point presentation on the year to year breakdown on the overhaul of equipment.
- All of these items will be included in the CIP to be published in July.
- Jason reminded states that all are welcome to participate on the 514 subcommittee and its activities.
- The subcommittee has recommended the appointment of Brian Beeler II for Maine DOT, as Chair and Jonathan Dees, NCDOT to serve as Vice Chair of the 514 subcommittee.
- On May 24, 2016, the Executive Board accepted the recommendations of the 514 subcommittee and formally approved the appointments of Brian Beeler II (Chair) and Jonathan Dees (Vice Chair).

On 6-21-16, Brian Beeler II, new chair of the 514 subcommittee, provided the following update to the Executive Board: Good progress has been made.

Darrell Smith provided updated forecasts for FY17 and the outlying years (5 years).

The states are now in the process of reviewing the numbers and seeing how they match up with states anticipated numbers. Feedback is due to Amtrak no later than July 6<sup>th</sup>. This should keep the first full DRAFT CIP on schedule for July 15<sup>th</sup>.

On 7-19 -16, Brian Beeler II, was unavailable, and the 514 report was tabled until the next Board conference call – 8-2-16.

On 8-30 -16, the 514 subcommittee chair reported that the DRAFT CIP was finalized and distributed. Subcommittee Chair Brian Beeler II has the action to provide Amtrak with an updated list of members who worked on the document for inclusion in it. Mr. Beeler is also working on the memo to go to the NGEC Executive Board from the 514 subcommittee per the NGEC process.

514 Subcommittee update: As reported in the Executive Board section of this report, on 9-27-16, the Executive Board approved the Amtrak-States CIP for 2017-2021 as presented. The final version was distributed to all Board members after the call and to AASHTO for posting to the website.

On 10-25-16, the 514 subcommittee chair provided the following brief update:

The 514 subcommittee is getting ready for the next CIP update.

The frequency of conference calls is now once per month. The next call is November 14<sup>th</sup> and will be a reconciliation call.

Brian has asked 514 members and the Executive Board, as well, to think of how to improve the CIP and make it more user friendly.

As of 11-8-16, the 514 subcommittee was continuing to gear up for the next CIP update which will be a “major” update and will include policy updates. A 4<sup>th</sup> quarter reconciliation call was scheduled for 11-15-16 with Amtrak.

In December, 2016, the 514 subcommittee continued its work with Amtrak on the quarterly reconciliation. In mid -December the subcommittee met to begin work on the next CIP document.

In January, the subcommittee met on 1-9-17 and Chairman Brian Beeler II, provided the following update to the Executive Board on 1-17-17:

- On 1-9-17, the subcommittee went through the results of a survey that had been conducted regarding issues for the CIP major update.

The biggest topics identified by the survey were; Reconciliation and transparency.

Discussion took place about whether there is a need for a major update to the CIP, or if there could simply be minor tweaks.

It was agreed that the subcommittee will review its original charge statement to ascertain “how are we meeting it?” States are asked to revisit the CIP and how it is utilized. “What is it doing? How is it best used? Where can it be improved?”

Brian also noted that the review of the NGECE By-Laws by the FASC had pointed out the fact that the 514 subcommittee needs to address the provision that calls for Amtrak to have a leadership role within each NGECE Standing Subcommittee. Brian said that this provision will be addressed to ensure compliance with the NGECE By-Laws.

In February, 2017, the subcommittee met on 2-13-17 and Chairman Brian Beeler II, provided a detailed update during the NGECE Annual Meeting on 2-24-17.

Please see the presentation by accessing it online at [www.ngec305.org](http://www.ngec305.org) or go to the NGECE Executive Board Minutes of the meeting also posted on line.

Some highlights included an overview of the subcommittee's accomplishments since its establishment, including the development of Amtrak's 5-year Capital Improvement Plan (CIP) for 2017-2021, and a look ahead to next steps which will include a “major” update to the CIP.

March 2017:

On March 28<sup>th</sup>, Chairman Brian Beeler II, provided the following update to the NGECE Executive Board:

- Brian reported that the 514 subcommittee is moving along well as it begins to work on the CIP major update, and has increased its call schedule from once a month to bi-weekly for the time being. The next call is scheduled for April 10<sup>th</sup>.

Brian expressed his thanks to Amtrak for providing the 1<sup>st</sup> DRAFT of the impact on states units used and how it will impact the budgets.

Brian anticipates that within a month they will have the actual capital budget changes. The first step is to see the impacts on units used and then see how capital budgets will potentially change.

Brian added that the subcommittee is just getting into the meat of the CIP project.

Brian explained that the CIP is on a major update year and will look at several priority areas such as; improving the reconciliation process and continuing to improve on transparency.

The subcommittee will see how concerns that have been raised in the past can be included in the new CIP.

On April 25<sup>th</sup>, Chairman Brian Beeler II, provided the following update to the NGECE Executive Board:

- The 514 subcommittee is making good progress as it begins its “major update” of the CIP.

Amtrak has provided updates for equipment charges in the number of new locomotives fleets – the numbers could be different along the corridors - reflective of fleet types for each state using them.

The next meeting is 5-8-17 and there will be a discussion and review of the numbers and the equipment for each route.

The subcommittee continues the discussion on the CIP and how it can be improved in how it looks, and how it works.

On the last subcommittee call, there was a discussion about a potential refresh of Amfleet I. Amtrak has some money to potentially use for a refresh, and raised the possibility to the subcommittee

members. More details will be forthcoming. There is no set resolution on this as to when it will happen or what the impacts will be.

The monthly subcommittee update to the NGEC Board was scheduled for 6-20-17. Chairman Beeler was unavailable. The next update will be provided on 7-18-17.

On the most recent update, Chairman Brian Beeler II, reported:

- The 514 subcommittee is making good progress as on its "major update" of the CIP.

Amtrak has provided updates for equipment charges in the number of new locomotives fleets – the numbers could be different along the corridors - reflective of fleet types for each state using them.

The subcommittee continues the discussion on the CIP and how it can be improved in how it looks, and how it works.

There continued to be discussions about a potential refresh of Amfleet I. Amtrak has some money to potentially use for a refresh, and raised the possibility to the subcommittee members. More details will be forthcoming. There is no set resolution on this as to when it will happen or what the impacts will be.

During the month of July, 2017 the following activities update was provided to the Executive Board:

- 514 Subcommittee progress report as of 7-18-17:

On 7-18-17, Brian Beeler II provided an update to the NGEC Board on the activities of the 514 subcommittee:

A lot of work has been done on the CIP major update. In June, the subcommittee dug deep into costing for equipment overhauls. While some numbers went up, there were specific reasons for the increase. In many cases some fleet types went down and "line by line it's a good story". States are now going through their specific costs to determine if they jive with the CIP.

Thus far the subcommittee has completed much of the work on the CIP update including; updating units used and costs anticipated for the 5-years going out.

Brian expressed his appreciation for the hard work by Amtrak – Darrell Smith and Mario Bergeron – in bringing forth the information needed to update the CIP.

Brian believes the subcommittee is close to getting the update done.

Brian added that the subcommittee met in Detroit as a part of the SAIPRC meeting held there in June.

SAIPRC has asked 514 to help provide information and a knowledge base on equipment needs and to work on a 3<sup>rd</sup> party consultant SOW to look at the past, present and future of equipment. This will be another document that will look specifically at equipment and could help in educating on future funding for capital equipment. A small group met to discuss this and the effort is preliminary at this point. More will be discussed with the full subcommittee on its next call which was to take place later in the day on – 7-18-17.

In August 2017, the monthly subcommittee update to the NGEC Board was provided on 8-15-17:

514 subcommittee Chair, Brian Beeler II, reported that he had just received from Amtrak, the first full draft of the updated CIP. This was to be reviewed and discussed on the (8-15-17) next scheduled 514 subcommittee conference call.

Brian also reported that the 3<sup>rd</sup> quarter reconciliation call was held during the week of 8-7-17, and the information/details on equipment capital overhauls are going well within a very good timeframe.

In September, the monthly subcommittee update to the NGEC Board was provided on 9-12-17:

- CIP Progress:

Brian Beeler II reported that on the last 514 meeting – held 9-8-17 – the subcommittee reviewed the comments received on the DRAFT CIP. Comments were received by NNEPRA, WSDOT and FRA. Darrell Smith, Amtrak, has incorporated some, but not all the changes/comments into the document. Brian will be going back to Darrell to see if some of those can be added into the document. Brian also expects a few more comments will be forthcoming, before the document is finalized. While he expected it may be closer to complete by now, the effort “is not static” and is moving ahead, but it is agreed within the subcommittee that “we need to grow the scope of the CIP”. The deliverables approved in 2014 need to be re-evaluated, as is the development of a new concept for the CIP. Once the process is complete, it will be sent to the “full committee” for review – hopefully, within a month. Brian added that the subcommittee will record and document all comments and they will be included going forward.

Issue – 514 – Where does it belong?

On 9-12-17, Brian raised the issue of 514’s status – asking “where do we belong?” 514 is currently a subcommittee of the Section 305 NGEC as well as a working group within SAIPRC. 514 was established, first as a working group, and later as a standing subcommittee of the NGEC before there was SAIPRC. As SAIPRC, “our 209 arm”, is getting established and figuring out what it is – the future of 514 is a part of that discussion. Brian added that, originally, it made sense to put 514 in 305 because of the structure and governance model already established and functioning within 305 - and it was a vehicle through which the 209 effort could progress, but more fully determining “where it structurally fits now, will help us (SAIPRC) in developing our mission statement...it seems that SAIPRC is the more pertinent place for us now, as it has become more robust.” Brian believes that now is the time to begin having those discussions and figuring out the best way forward. Brian emphasized that he was not looking for an answer right now, but felt that the time is right to raise the issue and to begin thinking about it.

NGEC Chairman Eric Curtit, commented that it is a complex issue, and more discussion and thought would need to go into it. Steve Hewitt reminded members that 514 is currently in the NGEC Grant Agreement SOW, and is established as standing subcommittee in the NGEC’s By-Laws, so there are several discussions that would need to take place and several steps to be considered. Eric agreed, “there are some ripples”.

On 9-26-17, Chairman Curtit, having followed up with SAIPRC Chairman David Kutrosky referred the request to the Finance and Administrative subcommittee for a review of steps to be taken to accommodate the request. (see FASC monthly update in this report for details).

On 10-24-17 the following subcommittee update was provided to the NGEC Executive Board was:

Brian Beeler reported that he was unable to give a date for completion of the CIP as he was waiting for Amtrak to add the FRA edits to the document, and was unsure where that was in the process.

Tim Ziethen and Bill Auve, Amtrak, reported that Eric Smith has updated the document with the FRA comments and is formatting it. It is very close to complete and it should be sent to Brian Beeler soon.

Brian commented that, it is possible, that he will be able to get it submitted to the NGEC Executive Board by its next call or the one after that.

On 11-7 and 11-21-17, the following subcommittee updates were provided to the NGEC Executive Board:

- 11-7-17:

Brian Beeler II reported that the CIP is very close to completion. He noted that he had just received the update from Amtrak’s Max Johnson and Tim Ziethen and has sent the document out to all 514 members for a last “look over”. Members have been given until COB on Thursday (11-9-17) to provide comments, and he anticipates getting the CIP finalized and sent to the NGEC Executive Board in time for its consideration on 11-21-17.

Regarding the move of 514 to SAIPRC – it is a work in progress. There is a SAIPRC face to face meeting of the working group on Monday 11-13-17 to identify a path forward for SAIPRC. Until the move is complete, Brian will keep the NGEC fully informed in the process.

- 11-21-17:

Brian Beeler II reported on 11-21-17, that the Final Draft of the CIP is complete, and he would be transmitting it to Eric Curtit and Steve Hewitt after today's call, for distribution to the Executive Board members for consideration on the next Executive Board call.

Brian added that the financial aspects of the CIP have not changed since the initial DRAFT in August – no major changes have been made since then – only wording tweaks.

Brian also reported on the SAIPRC Equipment Capital Working Group face to face meeting that took place last week in NYC. The goal was to identify "moving forward parts" as 514 transitions to SAIPRC.

The group intends to utilize lessons learned under the NGEC leadership as it moves to SAIPRC.

Brian expressed his thanks to Amtrak for arranging a tour of Sunny Side Yard while the group met in NYC "We thank Tim (Ziethen) and the team", it was a very helpful and informative tour.

The work of 514 will continue "until the puzzle is in place and we have found our new home under SAIPRC". Brian also noted that they will continue the close relationship with 305 and maintain close communication after the move has been finalized.

On 11-22-17, the CIP as approved by the 514 subcommittee, and the accompanying Memorandum, were submitted to the NGEC Chair and subsequently to all NGEC Executive Board members for review.

On 12-5-17, the NGEC Executive Board is expected to consider approval of the CIP for 2018-2022.

During the month of December 2017, the primary activities of the 514 subcommittee included:

On 12-19-17, 514 Chair Brian Beeler II, NNEPRA for Maine DOT, summarized the 2018-2022 CIP Update as approved by the subcommittee and submitted to the executive Board.

On 12-19-17, the Executive Board adopted the 2018-2022 CIP update as submitted and presented by the 514 subcommittee. The report has been distributed and posted to the NGEC website.

As of 2-28-18, the move of 514 to SAIPRC is underway with the NGEC Executive Board having taken its required action. The final step is for the Grants offices of Amtrak and FRA to approve the SOW revisions which effectuate the move.

As of 3-27-18, the move of 514 to SAIPRC was underway with the NGEC Executive Board having taken its required action. The final step is for the Grants offices of Amtrak and FRA to finalize and execute the SOW revisions which effectuate the move. As noted in the Executive Board section of this report, the FRA has requested that SAIPRC revise its mission statement/charter to reflect the inclusion of the responsibilities of the former NGEC 514 subcommittee. Once received, both the NGEC SOW and the SAIPRC SOW will be revised/approved simultaneously.

As of 4-30-18, the move of 514 to SAIPRC is underway with the NGEC Executive Board and Amtrak have taken the required action. The final step remains for the Grants office at FRA to finalize and execute the SOW revisions which effectuate the move. As noted in the Executive Board section of this report, the FRA has requested that SAIPRC revise its mission statement/charter to reflect the inclusion of the responsibilities of the former NGEC 514 subcommittee. Once received, both the NGEC SOW and the SAIPRC SOW will be revised/approved simultaneously.

**The responsibilities associated with the 514 subcommittee have been moved to SAIPRC.**

**Summation:**

The Section 305 Next Generation Corridor Equipment Pool Committee has recognized the importance of its work and understands that progressing that work in a timely, comprehensive, thorough, and open manner is vital to its success, and will lead to a rebuilding of the rail equipment manufacturing industry in the United States. It is also understood that the success of the work of the Committee will lead to significant and sustainable job creation with the results being an improved economy, and a more efficient, reliable, safe, and environmentally sound national intercity passenger rail system as an integral part of the nation's vast transportation network.

Over the 9 plus years of the existence of the Section 305 NGEC, a great deal of work has been done and there is much more yet to come. Six PRIIA Section 305 Technical Vehicle Specifications have been adopted by the Executive Board (the Bi-level cars, the Single level standalone cars, the Diesel-electric locomotive, the Single-level Trainset, the DMU specification, and the Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive specification.

On October 25, 2011, the Executive Board adopted Document Management Process procedures as approved previously by the Technical subcommittee. This too was a milestone achievement moving Document management beyond what had been a pilot program. Since these procedures were adopted, it has been used successfully to maintain and update many of the PRIIA specifications. A primary role of the NGEC at this point is to continue to review and update its specifications to make sure they remain current and useful.

As of November 30, 2017, the Diesel-Electric Locomotives being procured by California, Washington and the Mid-West States have made tremendous progress with all locomotives having completed required testing and all reports having been submitted and received. Seven IDOT locomotives are operating in lead position and more will be rolling out in the next few weeks. Seeing paper turn to steel and putting wheels on tracks, is an incredible milestone for the NGEC, the states, Amtrak, FRA, the rail manufacturing and supply industry, and for passenger rail in the United States.

The contract amendment with Sumitomo Corporation of America (SCOA) to move forward with the multi-state railcar procurement was executed on 11/3/17. Siemens is the replacement car builder.

These are all landmark achievements and can be considered an extraordinary start to what continues to be a long-term effort. Throughout its history, the NGEC has experienced a strong sense and willingness among the states, Amtrak, FRA, and the rail manufacturing and supply industry, to work collaboratively with a common set of goals and objectives and an eye towards achievement at the highest levels.

The overall S305 NGEC effort, to date, has included a tremendous amount of involvement from experts in the field found among the states, Amtrak, FRA and the industry. (It should be noted, the industry participation membership on the Technical subcommittee continues to grow – there are 247 members involved on behalf of the manufacturing and supply industry! The complete list is attached to this package) Still, many of those involved do not appear on the various member lists included in this package, and though they are anonymous in many ways, their efforts are extraordinary and invaluable.

All entities involved have been willing to provide extensive in-kind services, beyond the federal funding levels authorized for the NGEC. It is truly a federal-state-and private sector partnership that will benefit the country for years to come.

Recognizing the importance of the work of the NGEC and the need to continue its mission, In October 2016, after the expiration of the initial Grant, the FRA Awarded a new grant to Amtrak for the NGEC with an approved SOW and budget for the three-year period beginning October 1, 2016 through September 30, 2019.

In August 2018, the FRA approved a revised Grant Agreement SOW and GARF. The details of the revisions are noted in the Executive Board and FASC sections of this report. Of note, the GARF includes an approved 12 month no-cost extension of the Grant period through 9-30-20.

In September 2018, the Revised SOW and the grant agreement extension through 9-30-20 was formally executed.

In January 2020, based on the recommendation of the Finance and Administrative subcommittee, and the concurrence of FRA and Amtrak that the NGEC would be eligible to request a multi-year no-cost grant agreement extension, the Executive Board approved a motion to request that Amtrak prepare a GARF for a 36 month no-cost grant agreement extension. If approved, the extension would be effective 10-1-2020 through 9-30-2023.

In February 2020, the Amtrak Treasurer formally submitted a GARF for a 36-month no-cost Grant Agreement extension to FRA Grants. If approved and executed by FRA, the Grant extension would be for the period beginning 10-1-2020 through 9-30-2023.

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**Locomotive Review Panel:**

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## **Revised Work Plans for the S305 NGEC Subcommittees & Administrative Task Force**

**Approved by the Executive Board: February 15, 2011**

### **TECHNICAL SUBCOMMITTEE**

#### **Work Plan as revised to reflect 4-1-2011 through 3-31-2012**

The purpose of the Technical Subcommittee is to (1) develop and/or evaluate alternative passenger rail car and propulsion technologies and designs, (2) evaluate proposed vehicle subsystems, (3) establish performance and safety criteria standards, develop specifications, (4) respond to requests made by the Committee or Executive Board to assist in carrying out their duties; and (4) any such other tasks and duties as assigned by the Executive Board.

The Technical Subcommittee will maintain an updated catalog of one or more approved passenger vehicle specifications that are determined to be eligible for use in the Next Generation Passenger Rail Equipment Pool. As appropriate, it will develop its ongoing efforts into recommendations for the Executive Board to act upon. The complete specifications or portions thereof may, as determined by the Executive Board, be subject to limitations.

Subjects to be addressed by the Technical Subcommittee may include but are not limited to:

- Safety criteria
- Regulatory compliance requirements and procedures
- Interoperability of car/locomotive/infrastructure requirements
- Performance Criteria
- Passenger car interior configurations, including design enhancements to facilitate travel by the disabled and elderly communities
- Passenger amenities
- Motive Power
- Operational issues
- Efficiency of operations
- Economies of scale benefits from common fleets
- Servicing/Inspection requirements
- Maintenance and overhaul criteria
- Procurement guidelines
- Inventory criteria for both spare parts as well as vehicle spare margins
- Maintenance facility requirements

While exploring these subjects, the subcommittee shall utilize lessons learned from the worldwide development of intercity passenger rail rolling stock and apply best practices to promote safe, reliable, efficient and cost effective development and utilization of equipment. Amtrak will need to provide significant technical support to the process. Working in partnership with the FRA and the state partners, Amtrak will provide the technical coordination role and the leadership of the technical sub-committee.

**SCOPE OF WORK**

The Technical Subcommittee Scope of Work April 2011 through March 2012 shall include the following deliverables:

- Development and completion of a NGE single level trainset Specification by July 31, 2011
- Development of a NGE equipment pool management plan
- Development of a systems engineering process for the ongoing support of the existing specifications and for the future development of new specification
- Support of any acquisition programs that are commenced based on the specifications delivered to date (bi-level passenger car, single level standalone passenger car and high speed diesel locomotive) as well as any specification completed during this period
- Development and implementation of the strategy on standardization as it relates to existing specifications and specifications yet to be developed or approved

The Technical Subcommittee will hold periodic conference calls, web based seminars as necessary, and in-person meetings on a periodic basis as appropriate. In person meetings will be scheduled as required for the final debate and acceptance of specifications.

The Technical Subcommittee will engage with the industry to examine issues and develop recommendations to the Executive Board that will culminate in the adoption of the above referenced specifications. In order to accomplish these efforts, the work required to deliver these specifications will include (but is not limited to) the following items:

- Survey and collation of key performance requirements of state services
- Historical and technical analysis in assessing states responses to the equipment needs survey
- Definition of performance requirements for core product
- Identification of customer specific elements that can be varied without impacting the core specification
- Survey of developments in the supplier base for the whole vehicle and sub-systems to be required
- Definition with the FRA of the regulatory requirements for the vehicle including (but not limited to) the implementation of crash energy management in advance of the publication of new requirements
- Identification of proposed maintenance philosophies and the impact on the vehicle specification process
- Definition of the expected performance regime that equipment will experience in service utilization
- Agreement on the procurement philosophy to be utilized and its impact on the scope of the vehicle specification
- Creation of a development path for the specification to allow the progressive updating of the specification to meet future needs without compromising the objective of equipment commonality
- Compilation of technical requirements, performance standards, measurement criteria for those standards, testing and proving requirements and a performance model for in service support
- Generation of the first draft of the specification
- Circulation to interested parties, receipt of comments and update of the draft specification based on the comments received and accepted
- Issue of the final specification document
- Involvement in the project team established to manage procurement activities
- Response to questions provided by prospective bidders during the RFP phase
- Questioning of bidders after bid submission and analysis of the proposals from a technical and operational perspective
- Management of the technical interaction during any ongoing procurement phases including approval of design selections during design and build, oversight of the inspection process, management of the acceptance process, testing of equipment prior to service entry and then support to equipment upon entry into service

In order to complete the scheduled tasks, the technical subcommittee will make use of consultants to support the tasks as required. This consultancy support will include the management of the tasks of the technical subcommittee as well as technical specialist consultancy for the development and implementation of the specifications for the vehicles themselves. The use of consultants will be undertaken in a manner that is best suited to the entire process to minimize handover and learning issues and will be based on the existing relationships with consultants that are known to be able to deliver the capabilities required.

The attached spreadsheet provides budget information on all Section 305 activities proposed for this grant application including work of the Technical Subcommittee.

## **FINANCE SUBCOMMITTEE**

### **Work Plan as revised to reflect 4-1-2011 through 3-31-2012**

The purpose of the Finance Subcommittee is to (1) identify options for the funding of new equipment, (2) evaluate the options for ownership structures that may be utilized for new equipment, (3) propose possible structures for transactions between potential owners and/or operators of equipment, (4) explore the feasibility of establishing a corporation for the funding, procurement, remanufacture, ownership, and management of corridor equipment, as provided in Section 305(c) of PRIIA; and (5) other tasks and duties that may be assigned by the Section 305 Executive Board.

Subjects to be addressed by the Finance Subcommittee may include but are not limited to:

- Funding from government grants
- Funding from government supported loan programs
- Availability of funding from the commercial debt markets
- Options, strengths and weaknesses of various commercial lending structures
- Potential ownership structures including but not limited to:
  - Amtrak,
  - a not-for-profit entity,
  - an infrastructure bank and
  - third parties as yet to be identified
- Transactional structures between Amtrak and/or the states and the ownership entity
- The usage of governmental support funding in the transactional structures under consideration
- The resourcing requirements of the potential organizational structures
- The overlap between proposed structures and existing entities and proposed ways of managing such overlap

The Finance Subcommittee will arrange for periodic independent audits of the financial records of the Section 305 Next Generation Equipment Pool Committee as appropriate.

The Finance Subcommittee will provide input and recommendations to the Executive Board that will complement and enhance the work product of the Technical Subcommittee to allow for the ability to meet the objectives and goals of the Section 305 Next Generation Equipment Pool Committee

### **Scope of Work**

#### **1. Identify options for funding new equipment.**

Tasks include:

- Identify and evaluate potential sources of government grants
- Identify and evaluate potential government supported loan programs
- Determine availability of funding from commercial debt markets
- Evaluate options, strengths and weaknesses of various commercial lending structures
- Obtain legal advice concerning the feasibility/advisability of making a joint application for a RRIF loan, presumably with Amtrak in the lead for procurement with options to be exercised by states. Provide legal follow through if such action is decided upon by the Committee.

- Draft proposed legislation that would allow states and/or entities access to the RRIF program
- Research joint financing of procurements
- Make funding recommendations to the Executive Board

2. Evaluate fiscal elements of ownership options for ownership structures that may be used for new equipment (to be coordinated with work of Administrative Task Force)

Tasks include:

- Review potential ownership structures, including Amtrak, a non-for-profit entity, an infrastructure bank, or other third party
- Obtain information from the states on their own states' legal limitations as far as contracting for and owning equipment is concerned, participating in joint procurements, providing indemnification, insurance, etc. Counsel would need to coordinate activity related to states' differing legal constraints.
- Evaluate the financial aspects of various procurement structures
- Evaluate the resourcing requirements of potential organizational and ownership structures
- Provide recommendations to the Executive Board on the feasibility/advisability of conducting joint procurements and or ownership structures for equipment purchases.
- Review and determine options for state participation for those who be prohibited from owning equipment. Evaluate leasing options.
- Research the possibility that states who cannot legally participate in a joint procurement but who want to acquire and own equipment can conduct a parallel procurement coordinated with Amtrak's procurement.
- Develop an education tool or course that would provide background information on rolling stock to interested parties, through webinars or similar training avenues (perhaps in concert with the Admin task force?)

3. Ensure that the commercial consideration components of any and all procurements utilized by the Section 305 Committee have been addressed, reviewed and approved. These financial components, coupled with the specifications provided by the Technical Subcommittee, will provide a framework for upcoming equipment procurement processes, requests for proposals, etc.

4. The Finance subcommittee shall meet via telephone on a regular basis as prescribed by the membership or as directed by the Executive Board to fulfill its duties. In an attempt to reduce expenses, face to face meetings will be held in conjunction with other 305 related activities as appropriate. Travel related expenses for state members are provided in the AASHTO Support budget.

5. The subcommittee will provide for periodic independent audit of financial records of the Section 305 Next Generation Equipment Committee and its subcommittees as appropriate.

The work plan above reflects actions that will be undertaken during the April 2011 – March 2012 time period. Many of the actions above will be implemented in the April 2012 –December 2012 timeframe.

#### **ADMINISTRATIVE TASK FORCE**

##### **Work Plan as revised to reflect 4-1-2011 through 3-31-2012**

The mission and purpose of the Administrative Task Force, as established by the Section 305 Executive Board, is to:

- (1) Oversee budget issues;
- (2) Manage the operation of the S305 Committee;
- (3) Determine protocols for various issues that may come up such as; site tours, definition of what the committee can present to Congress – ensuring that the Board is not engaging in lobbying activities, but is

getting information out and maintaining visibility and, in general, establish administrative policy for the committee;

(4) Serve as the keeper of the bylaws;

(5) Serve as the policy development arm of the Executive Board;

(6) Serve as the keeper of open records and recommend relevant policies, as appropriate;

(7) Perform other tasks and duties as defined by the Administrative Task Force or that may be assigned by the Section 305 Executive Board or be requested by the Finance and/or Technical Subcommittees.

**Note:** Since the Task Force was established by the Executive Board, much has taken place and the NGECE, as a whole, has moved forward. While some of the areas of responsibility initially cited by the Board remain relevant, there are others that have evolved over time. It is important, now, that the Administrative Task Force assess the current state of the operation of the Committee, and proceed from that point in developing its work plan and budget and in carrying out its responsibilities.

Subjects to be addressed by the Administrative Task Force may include but are not limited to:

- Overall management and review of budget issues of the Section 305 Committee;
- Recommending policy and/or administrative changes to the Executive Board;
- Overseeing and implementing an open records policy;
- Pointing out various options, strengths and weaknesses of potential corporation structures and/or procurements;
- Assisting in resolving overlap/possible conflicts between the two subcommittees and suggesting or mediating remedies.

The Administrative Task Force will provide input and recommendations to the Executive Board that will complement and enhance the work of the Technical and Finance Subcommittees to allow for their ability to meet the overall objectives and goals of the Section 305 Next Generation Equipment Pool Committee

#### **Scope of Work:**

1. Conduct periodic reviews of PRIIA requirements, keep Executive Board apprised of the two subcommittees adherence to PRIIA guidelines; and be the overall budget caretaker and keeper of the by-laws.

2. Evaluate and ask for guidance from the Executive Board and the two subcommittees in regards to direction needed and/or additional tasks to be fulfilled by the Task Force; and serve as the "detail" implementer for the various tasks of the overall S305 Committee.

3. Explore the feasibility of establishing a corporation for the funding, procurement, remanufacture, ownership, and management of corridor equipment; and, if the determination is to form a corporation, attend to and oversee the administrative and technical issues that will invariably arise as the corporation is being established.

4. The Committee will meet by conference call as needed. In person meetings will be arranged in conjunction with other events of the Section 305 Next Generation Equipment Committee Executive Board and subcommittees, in order to keep expenses to a minimum.

5. The Administrative Task Force budget includes travel for Amtrak support of overall activities of the S305 Committee.

6. The Administrative Task Force will perform other duties as assigned by the Executive Board of the Section 305 Next Generation Equipment Pool Committee.

7. The Administrative Task Force, in coordination with the Finance Subcommittee will develop an education tool or course that would provide background information on rolling stock to interested parties, through webinars or similar training avenues.

**NGEC Scope and Budget for 4-1-2012 through 3-31-2013 - Adopted by the Executive Board March 20, 2012 - pending FRA grant approval**

**DRAFT VERSION 3/19/12**

**Scope of Work and Budget for Grant Agreement between the National Railroad Passenger Corporation (Amtrak) and the Federal Railroad Administration (FRA) to administer the work of the Section 305 Next Generation Equipment Pool Committee**

**FY 2013 (4/1/2012 – 3/31/2014)**

Public law 110-432 required Amtrak to:

*...establish a Next Generation Corridor Equipment Pool Committee, comprised of representatives of Amtrak, the Federal Railroad Administration, host freight railroad companies, passenger railroad equipment manufacturers, interested States, and, as appropriate, other passenger railroad operators.*

*“The purpose of the Committee shall be to design, develop specifications for, and procure standardized next-generation corridor equipment.*

*(b) FUNCTIONS.—The Committee may—*

*(1) determine the number of different types of equipment required, taking into account variations in operational needs and corridor infrastructure;*

*(2) establish a pool of equipment to be used on corridor routes funded by participating States; and*

*(3) subject to agreements between Amtrak and States, utilize services provided by Amtrak to design, maintain and remanufacture equipment.”*

Amtrak established the Next Generation Equipment Pool Committee (NGEC). In January 2010, the representatives of the entities identified in the law have formed an Executive Board for the NGEC; have established a Technical Subcommittee, a Finance Subcommittee, an Administrative Task Force and an AASHTO Support function. The 305 Executive Board re-established the Joint Procurement Task Force in December 2011 and the Structure and Finance Task Force was established in January 2012.

The completion of many milestones in the original scope of work, approval of various specifications and the award of grants to states for equipment procurement utilizing the S305 approved specifications have facilitated the need for further modification of the scope of work and budget under this grant. The Federal Railroad Administration has authorized an additional \$2 million for S305 Activities that needed to be programmed both by the NGEC and formally by revision of the grant. In addition, the High Speed Intercity Passenger Rail grants to states that include funding for rail equipment provide an opportunity to re-evaluate the structure, mission and future role of the NGEC as the Committee continues to evolve to meet the needs of its members. The following scope of work and budget for April 1, 2012 to March 31, 2013 incorporates ongoing work items that have already begun and support functions necessary to the daily operation of the NGEC. This scope of work and budget also includes activities of the newly established Structure and Finance Task Force to be completed by fall 2012 that will help guide the implementation of the equipment grants to the states as well as help provide input to the future structure, mission and direction of the NGEC. The remainder of the available funding will be held by the Executive Board as contingency and will be programmed at a later date when the NGEC has determined these future items.

As has been the case since the inception of the Committee, Amtrak will administer the S305 Grant on behalf of and at the direction of the NGEN Executive Board.

## EXECUTIVE BOARD

The Section 305 Next Generation Equipment Committee Executive Board consists of membership from Amtrak, FRA and States. The Executive Board shall oversee, direct and approve all work of the Section 305 NGEN, its subcommittees, task forces and working groups. Membership roles and responsibilities are established in the NGEN By-Laws. Voting members of the Executive Board include representatives of Amtrak, FRA and the States.

In addition to those items contributed to the efforts of the NGEN by its membership, support services for the Executive Board are contained in the AASHTO Support Services scope of work listed below. Amtrak administrative support of NGEN activities is reflected in the Administrative Task Force scope of work and budget.

Professional consulting services (legal, technical or financial) may be specially procured on an "as needed" basis to accomplish specific tasks that may be identified as critical to the operation of the NGEN Executive Board and/or its subcommittees and task forces. Where "in-house" professional capability exists (legal, technical or financial) that can be provided by the members (Amtrak, FRA, States), the members will provide such services. The Executive Board and its subcommittees and task forces will closely oversee the procurement of any outside consultants utilizing the approved procurement processes and will contain the cost of their services within the agreed budget. The amount indicated in the Executive Board budget for professional consulting services is an aggregate number for those items whose individual scopes of work are under development but have not been finalized. As these items will likely be obtained through competitive proposals, placeholder cost estimates have not been provided for the individual projects. Upon consultant selection, actual budget amounts and oversight authority will be transferred to the appropriate subcommittee or task force.

The Executive Committee has a contingency fund in the budget that can be allocated wholly, or in part, to its own work or to all other working subcommittees, task forces and working groups as necessary to supplement existing budgets or to address specialized work items that were not originally considered yet are deemed complementary and necessary for the successful completion of work in the original scope. Use of the contingency funds requires formal vote of the Executive Board. The contingency fund also contains all funds available to the NGEN that have not yet been programmed for specific work products.

The table below provides the budget information for the 305 Executive Board for FY 2013:

| Budget Requirement | Description                                                    |
|--------------------|----------------------------------------------------------------|
| \$625,000          | Professional consulting services (legal, technical, financial) |
| \$539,338          | General contingency fund for entire 305 NGEN                   |
| \$1,164,338        | <b><i>TOTAL Executive Board</i></b>                            |

## TECHNICAL SUBCOMMITTEE

The purpose of the Technical Subcommittee is to (1) develop and/or evaluate alternative passenger rail car and propulsion technologies and designs, (2) evaluate proposed vehicle subsystems, (3) establish performance and safety criteria standards, develop specifications, (4) respond to requests made by the Committee or Executive Board to assist in carrying out their duties; and (4) any such other tasks and duties as assigned by the Executive Board.

The Technical Subcommittee will maintain an updated catalog of one or more approved passenger vehicle specifications that are determined to be eligible for use in the Next Generation Passenger Rail Equipment Pool. As appropriate, it will develop its ongoing efforts into recommendations for the Executive Board to act

upon. The complete specifications or portions thereof may, as determined by the Executive Board, be subject to limitations.

Subjects to be addressed by the Technical Subcommittee may include but are not limited to:

- Safety criteria
- Regulatory compliance requirements and procedures
- Interoperability of car/locomotive/infrastructure requirements
- Performance Criteria
- Passenger car interior configurations, including design enhancements to facilitate travel by the disabled and elderly communities
- Passenger amenities
- Motive Power
- Operational issues
- Efficiency of operations
- Economies of scale benefits from common fleets
- Servicing/Inspection requirements
- Maintenance and overhaul criteria
- Procurement guidelines
- Inventory criteria for both spare parts as well as vehicle spare margins
- Maintenance facility requirements

Working in partnership with the FRA and the state partners, Amtrak will provide the technical coordination role and the leadership of the technical sub-committee.

#### SCOPE OF WORK AND BUDGET

- Development and completion of a NGEC DMU Specification.
- Development and completion of a NGEC Dual-Mode Locomotive Specification
- Further development and refinement of systems engineering processes, including but not limited to specification revisions and document management control.
- Technical revisions for exiting specifications for bi-level and single-level passenger rail cars, diesel locomotives, and trainsets as necessary.
- Support of any acquisition programs based upon the specifications delivered to date as well as any specification completed during this period.
- Continued development and refinement of standardization as it relates to existing specifications and specifications yet to be developed or approved.
- Coordinate and provide technical support to Joint Procurement Task Force as necessary, specifically:
  - Response to technical questions provided by prospective bidders during the RFP phase as appropriate
  - Provide expertise in questioning of bidders after bid submission and analysis of the proposals from a technical and operational perspective
  - Support of the technical interaction during any ongoing procurement phases including approval of design selections during design and build, oversight of the inspection process, support of the acceptance process, testing of equipment prior to service entry and then support to equipment upon entry into service.
- Coordinate and provide technical support to Structure and Finance Task Force as necessary, specifically:
  - Identification of proposed maintenance philosophies and the impact on the vehicle specification process
  - Definition of the expected performance regime that equipment will experience in service utilization
  - Agreement on the procurement philosophy to be utilized and its impact on the scope of the vehicle specification

The Technical Subcommittee will hold bi-weekly conference calls, web-based seminars as necessary and in-person meetings on a periodic basis as appropriate.



The Technical Subcommittee will engage with the industry to examine issues and develop recommendations to the Executive Board that will culminate in the adoption of the above referenced specifications. In order to accomplish these efforts, the Technical Subcommittee will use the same proven process and methodology as in the past two years.

The Technical Subcommittee includes the participation of more than two hundred firms representing the rail equipment and supply industry. Wherever possible, the collective knowledge and experience of the industry will be drawn upon to utilize best practices, innovations and industry standards to address recommendations on technical issues without compromising proprietary information or favoring a particular company's product.

In order to complete the scheduled tasks, the technical subcommittee will make use of consultants to support the tasks as required. This consultancy support may include the management of the tasks of the technical subcommittee as well as technical specialist consultancy for the development and implementation of the specifications for the vehicles themselves. The use of consultants will be undertaken in a manner that is best suited to the entire process to minimize handover and learning issues and will be based on the existing relationships with consultants that are known to be able to deliver the capabilities required. The NGECE approved competitive procurement processes will be utilized as appropriate.

The table below provides the budget information for the 305 Technical Subcommittee for FY 2013:

| Budget Requirement | Description                                                                                                   |
|--------------------|---------------------------------------------------------------------------------------------------------------|
| \$150,000          | Cost for Amtrak staff for contributions to developing the planned specifications and specification revisions. |
| <b>\$150,000</b>   | <b>TOTAL Technical Subcommittee</b>                                                                           |

In addition to the amount budgeted for Amtrak support to the work of the Technical Subcommittee, the Subcommittee anticipates requesting funds from the Executive Board contingency for professional services to further advance Equipment Standardization.

#### **FINANCE SUBCOMMITTEE**

The purpose of the Finance Subcommittee is to (1) provide information to the members on potential methods of funding that may be available for procurement of equipment; (2) provide for an independent audit function for NGECE Committee Activities (3) provide input to the Structure and Finance Task Force and other subcommittees/task forces as appropriate and (4) other tasks and duties that may be assigned by the Section 305 Executive Board.

Subjects to be addressed by the Finance Subcommittee may include but are not limited to:

- Funding from government grants
- Funding from government supported loan programs
- Availability of funding from the commercial debt markets
- Options, strengths and weaknesses of various commercial lending structures

The Finance Subcommittee will arrange for periodic independent audits of the financial records of the Section 305 Next Generation Equipment Pool Committee as appropriate.

#### **SCOPE OF WORK AND BUDGET**

1. Provide information and fiscal expertise to the Executive Board and its subcommittees/task forces as directed.
2. Actively participate in support of the Structure and Finance Task Force, specifically:
  - a. Identify and evaluate potential sources of government grants and loan programs
  - b. Determine availability of funding from commercial debt markets

- c. Evaluate options, strengths and weaknesses of various commercial lending structures
  - d. Make funding recommendations to the SFTF and Executive Board.
3. The subcommittee will provide for periodic independent audit or financial review of financial records of the Section 305 Next Generation Equipment Committee and its subcommittees as appropriate.

The Finance subcommittee shall meet via conference call on a regular basis as prescribed by the membership or as directed by the Executive Board to fulfill its duties. In an attempt to reduce expenses, face to face meetings will be held in conjunction with other 305 related activities as appropriate. Travel related expenses for state members are provided in the AASHTO Support budget.

The table below provides the budget information for the 305 Financial Subcommittee for FY 2013:

| Budget Requirement | Description                                                                                                                |
|--------------------|----------------------------------------------------------------------------------------------------------------------------|
| <b>\$50,000</b>    | Estimated cost for independent audit or review of financial records of the Section 305 Next Generation Equipment Committee |
| <b>\$50,000</b>    | <b><i>TOTAL Finance Subcommittee</i></b>                                                                                   |

#### **ADMINISTRATIVE TASK FORCE**

The mission and purpose of the Administrative Task Force, as established by the Section 305 Executive Board, is to:

- (1) Oversee budget issues of the NGEC;
- (2) Manage the operation of the S305 Committee;
- (3) Determine protocols for various issues that may come up such as; site tours, definition of what the committee can present to Congress – ensuring that the Board is not engaging in lobbying activities, but is getting information out and maintaining visibility and, in general, establish administrative policy for the committee;
- (4) Serve as the keeper of the NGEC bylaws;
- (5) Serve as the policy development arm of the NGEC Executive Board;
- (6) Serve as the keeper of open records and recommend relevant policies, as appropriate;
- (7) Perform other tasks and duties as defined by the Administrative Task Force or that may be assigned by the Section 305 Executive Board or be requested by the NGEC Subcommittees and Task Forces.

Subjects to be addressed by the Administrative Task Force may include but are not limited to:

- Overall management and review of grant budget/scope of work issues of the Section 305 Committee;
- Recommending policy and/or administrative changes to the Executive Board;
- Overseeing and implementing an open records policy;
- Assisting in resolving overlap/possible conflicts between the two subcommittees and suggesting or mediating remedies.
- Develop and recommend policies as necessary to allow the Section 305 Committee to perform its work in a consistent manner. Such policies may include, but are not limited to standardized methodology for contracting for outside work, responding to requests by outside groups to participate/present at meetings, etc.)

The Administrative Task Force will provide input and recommendations to the Executive Board that will complement and enhance the work of the various subcommittees and task forces to allow for their ability to meet the overall objectives and goals of the Section 305 Next Generation Equipment Pool Committee

#### SCOPE OF WORK AND BUDGET

1. Conduct periodic reviews of PRIIA requirements and keep Executive Board apprised of the subcommittees and task forces adherence to PRIIA guidelines.
2. Act as the overall budget caretaker and keeper of the committee by-laws.
3. The Administrative Task Force, in coordination with the Finance Subcommittee will develop an education tool or course that would provide background information on rolling stock to interested parties, through webinars or similar training avenues ("Railroad 101"). The task force believes this work is essential to help provide a common baseline understanding of rail passenger issues that will make work of other subcommittees and task forces more relevant and useful to NGEC members. It is proposed that this item will be performed by the AASHTO Rail Resource Center with Administrative Task Force oversight and direction of work. The budget for "Railroad 101" will be reflected in the AASHTO Support Services Budget.
4. The Administrative Task Force will perform other duties as assigned by the Executive Board of the Section 305 Next Generation Equipment Pool Committee.

As the administrator of the S305 Grant(s) on behalf of the Committee, Amtrak's Project Manager position for S305 NGEC is a critical element to the delivery of the S305 Committee work. The S305 Executive Board has determined that it is appropriate to support this position through the Administrative Task Force Budget.

Key duties/work includes:

1. Preparation, review and submission of the required quarterly grant reports to FRA.
2. Preparation and presentation of a quarterly financial reports to 305 NGEC Executive Committee; additional reports as requested;
3. Provide support and input to the Treasurer's annual report.
4. Support the Treasurer of the S305 NGEC as regards budget and grant agreements with the Federal Railroad Administration.
5. Prepare formal revision requests to grant scope of work and budget for approval of NGEC Executive Board and subsequent submission to FRA.
6. Prepare, negotiate and execute and administer agreements for Amtrak as administrator of grant funds on behalf of the NGEC with AASHTO and/or consultants as required.
7. Work with AASHTO, consultants, Amtrak and FRA to confirm that requests for reimbursement under the grant(s) is accurate with all required documentation. Review, process and recommend payment for all reimbursements under the grant agreement(s).
8. Work with the Manager of Support Services and AASHTO to ensure that appropriate material is available on the S305 NGEC website;
9. Serve as Vice-chair of the Administrative Task Force;

The Administrative Task Force will meet by conference call as needed. Any in person meetings will be arranged in conjunction with other events of the Section 305 Next Generation Equipment Committee Executive Board and subcommittees, in order to keep expenses to a minimum.

The table below provides the budget information for the 305 Financial Subcommittee for FY 2013:

| Budget    | Description                               |
|-----------|-------------------------------------------|
| \$14,000  | Travel cost for Amtrak Project Manager    |
| \$162,000 | Amtrak Project Manager labor and overhead |

|                  |                                        |
|------------------|----------------------------------------|
|                  |                                        |
|                  |                                        |
| <b>\$176,000</b> | <b>TOTAL Administrative Task Force</b> |

The Administrative Task Force includes in its budget submissions labor and travel expense funding for the Amtrak Project Manager for required administrative activities in support of the S305 Committee.

The Administrative Task Force will perform other duties as assigned by the Executive Board of the Section 305 Next Generation Equipment Pool Committee.

#### **Joint Procurement Task Force (JPTF)**

Section 305 directed the formation of the NGEC with the purpose to design, develop specifications for, and procure standardized next generation corridor equipment. Functions of the Committee may include a) determining the number of different types of equipment required; b) establish a pool of equipment to be used on corridor routes; and subject to agreements between Amtrak and States, utilize services provided by Amtrak to design, maintain and remanufacture equipment. Amtrak and participating states may enter into agreements for funding, procurement, remanufacture, ownership and management of the equipment pools.

Utilizing the Specifications developed by the NGEC to actually procure equipment and implement the program envisioned under S305 is essential to develop rail passenger corridor services and meet the goals of revitalizing the rail passenger equipment industry in the United States.

The Joint Procurement Task Force plays a vital role in assisting in the implementation of rail passenger services envisioned in PRIIA. The States, FRA and Amtrak, through this task force and the S305 process, will not only assist those states that have received funding to procure equipment in the short and mid-term, but will also help develop a consistent, efficient and effective procurement methodologies to be used and funded by states and Amtrak either jointly or individually for future procurements utilizing S305 developed specifications.

The Joint Procurement Task Force efforts will help define preferred structures and methods for procurement now and in the future. In conjunction with the work program of the Structure and Finance Task Force, the NGEC will provide a template/series of templates that can be used for future procurements. Issues that will be addressed include the RFI/RFP process, document change requests during procurement,

FRA has provided grants to states for equipment purchases. The State of California/Midwest States Bi-Level procurement is the first that is underway that utilizes an S305 approved specification. It is also the first opportunity since Section 305 to entertain a multi-state joint procurement. The methods for developing agreement among the state partners and the uniform process that will be used are essential to successful implementation of the NGEC vision.

The JPTF membership consists of a core group of states, Amtrak, and FRA that are responsible for the procurement processes and a larger group that includes input from the industry.

#### **SCOPE OF WORK AND BUDGET**

1. Develop standards and templates for internal and external procurement documents and processes to be used by States (and other entities) for 305 equipment procurements. This includes but is not limited to:
  - a. Multi-State procurement agreements
  - b. RFI document including terms and conditions
  - c. RFP documents
  - d. Equipment delivery schedules
2. Develop a lessons-learned document based on experience from bi-level car procurement

The JPTF core group will meet bi-weekly via conference call. The larger group will meet on a less frequent basis as milestones in the procurement process are advanced. Work of the JPTF will be carefully coordinated with the Structure and Finance Task Force. The JPTF will meet one or two times in person during FY2013.

The JPTF plans to use the resources from its active participants and AASHTO and does not require any outside support. Thus, no budget has been planned for FY2013.

#### **Structure and Finance Task Force (SFTF)**

The Structure and Finance Task Force (SFTF) has been established to provide a framework to study issues of equipment ownership, management and maintenance and consists of membership from States, FRA and Amtrak. Under the funding agreements that states have received and will receive for equipment purchases, the grant agreements require that plans be developed to address these issues and make recommendations for the successful completion of such. In addition, the Structure and Finance Task Force will continue the previous work of the Structure and Finance Working Group that analyzed potential issues of future structure of the NGEC.

The SFTF shall develop standards and recommendations that address equipment ownership, maintenance, and management in a plan that addresses the requirements set forth in Section 6 of the cooperative grant agreement between the States and FRA with grants to Caltrans and Midwest for procuring intercity passenger rail equipment.

#### **SCOPE OF WORK AND BUDGET**

1. Actively involve States, FRA, and Amtrak in developing the NGEC standards for equipment ownership, maintenance, and management.
2. Review best practices and formulate standards on six topic areas - Equipment Management; Equipment Maintenance; Equipment Deployment; Financial - Funding, Pricing, and Cost Sharing; Equipment Assignment; and Equipment Ownership Models and Structures.
3. Apply the above standards to the Midwest equipment pool to demonstrate the applicability of the plan in the real-world and develop a Section 6 Plan for Midwest.
4. Develop a guidance document/handbook describing the above determined standards that will be used by other states or regions to develop future Section 6 plans.

The main parts of the described scope will be finalized by November 2012.

The SFTF shall meet via telephone on a bi-weekly basis as prescribed by the membership or as directed by the Executive Board to fulfill its duties. In order to complete the scheduled tasks, the SFTF will make use of consultants to support the tasks as required. The use of consultants will be undertaken in a manner that is best suited to the entire process to minimize handover and learning issues and will be based on the existing relationships with consultants that are known to be able to deliver the capabilities required. The NGEC approved competitive procurement processes will be utilized as appropriate.

The budget for the professional services to deliver the scope of work as described above will be subject to competitive procurement. This item is temporarily contained within the Executive Board budget and will be transferred appropriately upon completion of the bidding process.

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#### **AASHTO SUPPORT SERVICES**

**\*\*\*\*\*IT IS PROPOSED THAT AASHTO TAKE ON ADDITIONAL RESPONSIBILITIES TO IMPLEMENT CONSULTING CONTRACTS ON BEHALF OF THE NGEC. ADJUSTMENTS TO THIS SCOPE AND BUDGET WILL BE FORTHCOMING TO REFLECT THESE CHANGES IF APPROVED BY THE NGEC EXECUTIVE BOARD.\*\*\*\*\***

The American Association of State Highway and Transportation Officials (AASHTO) has, under agreement with Amtrak, provided support services for the NGEC since January 2010 and will do so through March 31, 2013. The NGEC Executive Board intends to continue to utilize AASHTO services to support efforts of the committee. Amtrak will contract with AASHTO to secure the services of AASHTO in support of the NGEC for the 12 months beginning April 1, 2012 and ending March 31, 2013.

The services provided fall into several major categories:

1. **Meeting support**—AASHTO will provide comprehensive meeting support for: four face-to-face meetings of the Executive Board and any conference call meetings that are scheduled; the 2013 Annual Meeting; and, will provide support as needed for up to four face to face meetings of the Technical Subcommittee; and any conference call meetings of this subcommittee, the Finance subcommittee; the Administrative Task Force; the Joint procurement Task Force and the Executive Board Specification Review Panels as needed. In this 12-month period there will be additional face to face meetings for the Joint Procurement Task Force and for the newly formed Structure and Finance Task Force. These additional meetings are reflected in the budget. Meeting support includes reimbursing state officials for travel costs incurred, securing meeting rooms, meeting all on-site needs for equipment, materials, food and beverages, and other responsibilities as needed and directed.
2. **Communications-Coordination-Management Support**—The complexity of the mission of the NGEC, the diversity among and within the primary participants, the need to maintain clarity and focus on the work plan, the need to transition to the second phase of its mission systematically and efficiently, the importance of maintaining clear lines of communication and a flow of accurate information within and among the Executive Board and the subcommittees and task forces, all require that a high level of effective effort be devoted to communications, coordination, and management support to expedite the work of the NGEC. The importance of this function and the challenge of carrying it out have increased, and will continue to increase in the coming year. The additional work required in this area is reflected in the budget for April 1, 2012 – March 31, 2013.
3. **Web Site**—The web site is an essential element of the support infrastructure for the NGEC. It has been established on the AASHTO web site ([www.highspeed-rail.org](http://www.highspeed-rail.org)). It provides a central repository for NGEC documents, both background and administrative and a vehicle for communicating among NGEC members and between the NGEC and the wider community of interest. It is the repository for all information related to the operations of the NGEC, and, most importantly, for the specifications established by the NGEC. The web site has tracked the evolution of the process to accommodate changes in specifications, establishing procedures for document changes, for efficient and secure access to specifications and referenced documents, and preparing for requirements that will result from the procurement process. The expanded scope and complexity of the responsibility is reflected in a budget increase for this 12-month period.

Support activities will include, but not be limited to: assistance in the preparation of agendas, preparation and dissemination of meeting summaries; the maintenance of accurate member and participant lists, the assembly and distribution of materials, maintaining lines of communication between the Executive Board and the subcommittees; the provision of expert policy decision support; maintaining focus on work plan and schedule; providing content and technical support for the NGEC web site. It is expected that in the budget year the NGEC will conduct webinars related to Rail 101, a service, along with conference call capability, that AASHTO will provide.

AASHTO will also carry out responsibilities related to contracting for consultant support as directed by the NGEC Executive Board. This is reflected in the budget by a small increase for management support but final decisions by the Executive Board on this function could require increased support and a commensurate budget increase.

Management oversight and staff support will be provided by AASHTO staff, principally R. Leo Penne, Program Director for Intermodal Transportation and Economic Expansion, and Shayne Gill, Program Manager, for Passenger Rail, Transit, and Aviation. AASHTO meetings staff will be responsible for meeting arrangements. AASHTO professional support staff will provide assistance as needed, for the Subcommittee secretariat function and for the maintenance of the web site. Consultants retained by AASHTO, will provide the bulk of the day-to-day support for the Executive Board, the subcommittees, and the NGEC in general.

Their support responsibilities will include:

**Manager of the NGEC Support Services (Manager).** The Manager will manage and coordinate communication within and among the “305” Executive Board, its two subcommittees, the Administrative Task Force, the Joint Procurement Task Force, Review panels and the Structure and Finance Task Force, while also coordinating information among the working groups established under direction of the Technical subcommittee such as the Locomotive Technology Task Force, the Standardization Working Group and the Accessibility Working Group and any others that are formed throughout the year. The Manager will also provide Secretariat services; ensure consistency and clarity of message; and manage the day to day business of the Board, the subcommittees and task forces; ensuring that schedules are adhered to; questions and concerns of the public and the industry are responded to; timelines are met; and action items are completed on time. In general, the Manager will preserve the integrity of the process established in the Committee's Work Plan and provide quality assurance support by conforming process and Committee business with the approved By-Laws.

**Policy and Analysis Consultant (Policy Consultant).** The Policy consultant will provide expert assistance on technical and policy issues and institutional questions; historical and technical analysis in assessing states responses to the equipment needs survey and other surveys; assistance in interpreting and preparing data analysis for Executive Board and technical subcommittee use; development of subsequent surveys; provide expert counsel in interpreting legislative actions relating to Section 305; while also providing institutional knowledge and context in regards to the equipment aspirations and needs of the states from a “big picture” perspective (beyond the 11 committee member states). The Policy consultant will also provide assistance to the Structure and Finance Task Force.

The table below provides the budget information for the AASHTO Support Services for FY 2013:

| Budget           | Description                                                                                                                                                                        |
|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| \$104,000        | Travel costs for 4 Executive Board Meetings, 3 Technical Subcommittee Meetings, 2 JPTF meetings, and 2 meetings of the SFTF, and 1 NGEC Annual Meeting (all face-to-face meetings) |
| \$24,000         | Costs for 12 face-to-face meetings (facilities, meals, materials)                                                                                                                  |
| \$136,162        | Cost for AASHTO staff                                                                                                                                                              |
| \$168,000        | Cost for Manager of the NGEC Support Services and Policy and Analysis Consultant                                                                                                   |
| \$21,500         | “Railroad 101” Educational Webinar Series                                                                                                                                          |
| \$2,400          | Costs for conference calls                                                                                                                                                         |
| \$3,600          | Costs for 305 NGEC web site                                                                                                                                                        |
| <b>\$459,662</b> | <b>TOTAL AASHTO Support Services</b>                                                                                                                                               |

#### **Total 305 NGEC Budget for FY2013**

In total, the Section 305 NGEC's budget for FY2013 is summarized in the table below and totals **\$2,000,000**.



|                       | Executive Board | Technical Subcommittee | Finance Subcommittee | Administrative Task Force | Joint Procurement Task Force | Structure and Finance Task Force | AASHTO Support Services | TOTAL     |
|-----------------------|-----------------|------------------------|----------------------|---------------------------|------------------------------|----------------------------------|-------------------------|-----------|
| Labor                 |                 | \$150,000              |                      | \$162,000                 |                              |                                  | \$136,162               | \$448,162 |
| Meetings              |                 |                        |                      |                           |                              |                                  | \$24,000                | \$24,000  |
| Travel                |                 |                        |                      | \$14,000                  |                              |                                  | \$104,000               | \$118,000 |
| Professional Services | \$625,000       |                        |                      |                           |                              |                                  | \$168,000               | \$793,000 |
| Financial Review      |                 |                        | \$50,000             |                           |                              |                                  |                         | \$50,000  |
| Conference Calls      |                 |                        |                      |                           |                              |                                  | \$2,400                 | \$2,400   |
| Webinar               |                 |                        |                      |                           |                              |                                  | 21500                   | \$21500   |
| Contingency           | \$539,338       |                        |                      |                           |                              |                                  |                         | \$539,338 |
| Web Site              |                 |                        |                      |                           |                              |                                  | \$3,600                 | \$3,600   |
| TOTAL                 | \$1,164,338     | \$150,000              | \$50,000             | \$176,000                 |                              |                                  | \$459,662               | 2,000,000 |

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**S305 NGECE BY-LAW “technical” CHANGES – formally adopted by the Executive Board– 2-15-11**

The Proposed By-law changes were submitted to the Board as follows:

1. In 4.6, Voting, change “may vote in person, by telephone or by proxy” to “may vote in person, by telephone or e-mail, or by proxy.” to allow the members of the Executive Board to vote by e-mail if they wish **(Approved)** \*
2. In 5.3, Term of office, change “FRA Administrator” to “FRA Representative” to be consistent with the rest of the bylaws. **(Approved)**
3. In 5.5, Unanimous Consent, rewrite sentence so the unanimous consent is not in future tense by rewriting: “shall be signed by all” to “is signed by all”. **(Approved)**
4. In 6.1, Standing Subcommittees, to reflect what the preference of the Executive Committee is that both of the subcommittees be chaired by Amtrak, change: “serve as an officer” to “serve as the Chair”. **(Withdrawn)**
5. In 7.4, to reflect that the administrative task force actually does have a budget of its own and that is permissible, not just suggested, change” or any Subcommittee” to “any Subcommittee or task force”. **(Approved)**



6. In Part B.1.c, finish the following sentence which currently just ends. "Concerning equipment types based upon the....." to "concerning equipment types based upon the **Board's sound discretion.**" (Approved)

**\*A note in regards to the policy on electronic voting:** At the August 31, 2010 Board meeting, on a motion by Al Ware, and a second by Kevin Kesler; the Board unanimously approved the policy as proposed with a minor revision that provides for a uniform way to notify the Board members that the vote is to take place. The revision will call for a phone call and email notification of each member. (Note: If a member responds by email – there will be no need for a call as well – only if no reply is received to the original email notification) This notification will be made by the Support Services Manager.

Liability Statement – approved by the Executive Board – 2-15-11

The Committee will not indemnify any Officer, Executive Board member or any other person participating in the Committee for any act or failure to act in the course of any member's service on behalf of the Committee or in conjunction with duties performed in the Committee. Each Executive Board member will be responsible for his or her own actions and the consequences of those actions; and shall not be responsible for the actions of any other Executive Board member and consequences of those actions.

By-Law Amendment approved by the Executive Board -2-15-11

#### 8.1 Submission and Consideration of Amendments

Amendments to these Bylaws may be proposed by any Committee member and must be submitted in writing to the Chair for consideration. ~~Upon an affirmative vote of the Executive Board, the proposed amendments may be voted upon at the next Annual Meeting.~~ The proposed amendments may be voted upon at the next Executive Board meeting of the Committee that occurs at least 30 days after the submission of the proposed amendment. The Chair shall distribute copies of any proposed amendments at least 30 days prior to the Annual Meeting at which such proposed amendment is voted on.

#### Disclaimer of Warranties and Limitation of Liability

Approved by the Executive Board on March 16, 2011

- (A) User assumes all risk and liability for all loss, damage or injury to persons or property resulting from the use of the Specifications, including in manufacturing processes or in combination with other specifications or otherwise.
  - (B) The Section 305 Next Generation Corridor Equipment Pool Committee (NGEC) makes no warranties of any kind, expressed or implied, in relation to this Specification, including but not limited to, any implied warranties of merchantability and fitness for any particular purpose.
  - (C) In no event will the NGEC or any members thereof be liable for any damages, lost savings, or other actual, direct, incidental, or consequential damages, including, but not limited to, damages arising from the use, loss of use, or performance of any equipment constructed pursuant thereto, even if the NGEC or any members thereof have been advised of the possibility of such damages, or any claim against any other party arising hereunder.
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By-law change approved by the Executive Board – September 27, 2011

#### 5.2 State Representation on Executive Board

The States shall determine their representation on the Executive Board based on such factors as geographic diversity, technical expertise, procurement and operational experience, including experience with different types of equipment. States will endeavor to obtain a balance of representation on the Executive Board. Each representative [will] may have an alternate person designated to participate in and vote in meetings in the absence of the designated representative.

It is recommended that state representatives be familiar with the day to day and longer term financial challenges of developing and/or operating a corridor route.

FRA Disclaimer Statement – approved by the Executive Board – November, 2011:

All equipment for intercity passenger rail operation must, at a minimum, comply with the current Federal railroad safety laws and regulations contained in Subtitle V of Title 49, U.S.C., and Chapter II, Subtitle B of Title 49, C.F.R., that are applicable to passenger equipment. Any provision in this specification that exceeds or is contrary to a requirement of the existing Federal railroad safety laws or regulations, or both, does not constitute an amendment to those laws and regulations in any way.

The use of third-party standards or specifications in this specification does not create an exemption from complying with any applicable Federal law or regulation. Before any equipment supplied pursuant to this specification that is not in compliance with applicable Federal law or regulation can be operated in the U.S., an appropriate waiver must be obtained from FRA's Railroad Safety Board.

FRA considers the identification of component suppliers and any other commercial entities within this specification as being illustrative to help describe expected performance, and does not constitute a recommendation or product endorsement by FRA.

Disclaimer Statement – approved by the Administrative Task Force – December 2, 2011 – adopted by the Executive Board January 3, 2012:

The views, opinions, conclusions, recommendations expressed in this report are those of the authors themselves and do not represent the policy or position of their respective employers or the Section 305 Next Generation Corridor Equipment Pool Committee (NGEC) or any of its officers or members.

N.B. "Obviously, on a case by case basis, authors may wish to consult their own attorneys on use of this type of language. They may also wish to modify it for their own circumstances. For instance, "document" may be better than "report". Also, authors should be particularly careful to give proper attribution to other authors whose work they might be quoting or paraphrasing, and should be careful to get their permission if they want to use charts or photos that are in other reports".

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**Surveys/Polls conducted by the NGEC:**

**Questionnaire on Legal Issues of Incorporation for states:**



**Questionnaire**

**State:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Corridor Name(s):** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**E-mail:** \_\_\_\_\_

Phone: \_\_\_\_\_

Optional: Please provide attorney contact information for follow up questions:

\_\_\_\_\_

The Executive Board of the Section 305 Next Generation Equipment Pool Committee (NGEC) is looking into the ability of states to participate in a legally cognizable entity in the context of Section 305 (c) of the Passenger Rail Investment and Improvement Act (PRIIA) which states the following:

“(c) COOPERATIVE AGREEMENTS – Amtrak and the States participating in the Committee may enter into agreements for the funding, procurement, remanufacture, ownership, and management of corridor equipment, including equipment currently owned or leased by Amtrak and next-generation corridor equipment acquired as a result of the Committee’s actions, and may establish a corporation, which may be owned or jointly-owned by Amtrak, participating States, or other entities, to perform these functions.”

Such an entity would be designed to do whatever the Section 305 Committee participants want; including offering different opportunities and services for a state or group of states, depending upon the scope and nature of the state’s ability to participate and “use” the entity and its services.

In order to fully explore and understand its options as it begins to look at the possibility of forming a corporation or other entity; the Board has asked that AASHTO circulate the following questionnaire to its member states on behalf of the S305 NGEC Executive Board. Please respond to the following questions and provide your answers to **Steve Hewitt, Manager of S305 NGEC Support Services @ [shewitt109@aol.com](mailto:shewitt109@aol.com)** by **COB September 24, 2010**. Please expand on your answers.

1. Can your State enter into cooperative agreements with other states? \_\_\_\_\_ with Amtrak? \_\_\_\_\_
2. What kinds of cooperative arrangements are allowed? For example, can your state participate in:  
  
A corporation? \_\_\_\_\_ A limited liability company? \_\_\_\_\_ A joint venture entity? \_\_\_\_\_ A partnership? \_\_\_\_\_ Other? \_\_\_\_\_  
  
Elaborate:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
3. What legal and other constraints would there be? How would the entity/relationship need to be structured in order for our state to participate? Please elaborate. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. Would your state be in favor of establishing a corporation or other legally cognizable entity to perform the functions of the Section 305 Committee? (Why or why not, please elaborate) \_\_\_\_\_
5. What would you expect/prefer Amtrak’s role to be vis-a vis your state? Please elaborate. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
6. Can your state own rail equipment? \_\_\_\_\_
7. Can your state lease rail equipment? \_\_\_\_\_

8. Can your state enter into joint procurements? \_\_\_\_ With other states? \_\_\_\_ With Amtrak? \_\_\_\_

8a. Can your state contract with or otherwise allow another entity to procure rail equipment for it?

\_\_\_\_\_

9. What types of procurements are required/allowed/preferred? (sealed bid, negotiated, option? Etc) \_\_\_\_\_

\_\_\_\_\_

10. Can your state indemnify by contract? Describe any constraints

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. Can your state purchase insurance? Describe any constraints

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

12. Can your state participate financially in the activities of the Committee? If so? how?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

13. In what other ways can your state contribute to the operation of the Committee? \_\_\_\_\_

**States Needs/Objectives for the NGEC – Poll:**



**Polling the States in regards to their Needs/Objectives for the S305 NGEC:**

*(11 of 11 NGEC Member states have responded)*

(Please provide your answers to David Ewing at: [ewing9@verizon.net](mailto:ewing9@verizon.net); Rod Massman at: [Rodney.massman@modot.mo.gov](mailto:Rodney.massman@modot.mo.gov); and Steve Hewitt at: [shewitt109@aol.com](mailto:shewitt109@aol.com))

1. Do you plan to own equipment for service in your state for the full life of the equipment or do you perceive the need to have equipment for shorter periods than its full service life?

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2. Do you foresee the need for additional funding beyond grant money from the federal government and state appropriations in order to fund your vehicle acquisitions?

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3. Do you need to combine your planned purchases with other states/Amtrak in order to gain economies of scale?

AMENDMENT NO.4

SECTION 305 EQUIPMENT POOL COMMITTEE GRANT AGREEMENT

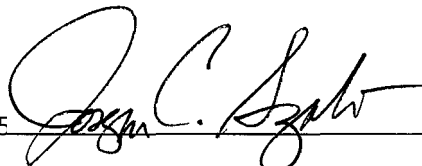
RPD01G2010

NATIONAL RAILROAD PASSENGER  
CORPORATION

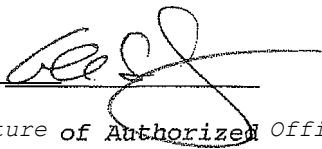
[Hereinafter, the Grantee]

FEDERAL RAILROAD ADMINISTRATION

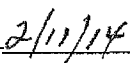
[Hereinafter, FRA]



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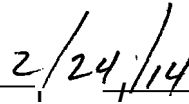
  
(Signature of Authorized Official)

Gerald Sokol, Jr.  
Chief Financial Officer  
(Name and Title)

  
(Date)

(Signature of Authorized Official)

Joseph C. Szabo  
Administrator  
(Name and Title)

  
(Date)

Recitals:

The Grantee and the FRA entered into the Section 305 Equipment Pool Committee Grant Agreement (RPD01.G2010) (the "Agreement") on July 15, 2010. Through the Agreement, FRA provided the Grantee with \$2,000,000 appropriated by Congress in the Department of Transportation Appropriations Act, 2010, Pub. L. No. 111-117 (Dec. 16, 2009) as described in the accompanying Conference Report see H.R. Conf. Rep.366 111th Cong. 1st Sess. 412, (the "2010 Appropriations Act") to fund the Next Generation Corridor Equipment Pool Committee (the "Committee") created pursuant to Section 305 of the Passenger Rail Investment and Improvement Act of 2008 (Division B of Pub. L. No. 110-432, Oct. 16, 2008). Section 305 directs the Grantee to establish the Committee, comprised of the Grantee, FRA, representatives of equipment manufacturers, interested States, and, as appropriate, other passenger rail operators. The purpose of the Committee is to design, develop specifications for, and procure standardized next-generation corridor equipment.

On August 11, 2011, the Grantee and the FRA executed Amendment No. 1 to the Agreement ("Amendment No. 1") which extended the term of the Agreement from June 30, 2011 to March 31, 2012 and amended the Approved Project Budget and Approved Statement of Work to allow the Committee to continue to spend the \$2,000,000 in 2010 Appropriation Act funds made available to it in the Agreement for the extended term.

Congress later appropriated an additional \$2,000,000 for the Committee's activities in the Department of Defense and Full-Year Continuing Appropriations Act of 2011 (Pub. L. No. 112-10, H.R. 1473, April 15, 2011), Title XII of Division B (Transportation, Housing and Urban Development, and Related Agencies) (112th Appropriations Act). On September 27, 2011, the Grantee and the FRA entered into Amendment No. 2 to the Agreement ("Amendment No. 2") to obligate the second \$2,000,000 in funds. Amendment No. 2 obligated the second \$2,000,000 to the Grantee and required the Grantee to provide the FRA with a Supplemental Statement of Work and Supplemental Project Budget prior to spending any of the additional funds.

On June 29, 2012, the Grantee and the FRA executed Amendment No. 3 to the Agreement ("Amendment No. 3") which extended the term of the Agreement from March 31, 2012 to March 31, 2014 and amended the Approved Project Budget and Approved Statement of Work to allow the Committee to continue to spend the funds appropriated to it in the 2010 Appropriations Act and the 2011 Appropriations Act.

The Committee has yet to spend all of the funds appropriated to it in the 2011 Appropriations Act. As the term of the Agreement is set to expire on March 31, 2014, the Grantee and the FRA are entering into this Amendment No. 4 to extend the term of the Agreement and to merge the Statement of Work and Supplemental Statement of Work and the Project Budget and Supplemental Project Budget into one Statement of Work (dated February 3, 2014) and one Project Budget (also dated February 3, 2014). Thus, the Agreement as amended herein contains one Statement of Work and one Project Budget, addressing the 2010 Appropriations Act funds and 2011 Appropriations Act funds (Attachments I and II). Revisions to either the Statement of Work or Project Budget require FRA's prior written approval.

NOW, THEREFORE, for and in consideration of the recitals set forth above, the parties, intending to be legally bound, agree to amend their Agreement of July 15, 2010, as amended, as follows:

1. Section 102 as amended by Amendment No. 3, is amended further by deleting after "Attachment I", "and the Supplemental Statement of Work, Attachment IV".

2. Section 104 as amended by Amendment No. 3, is amended further by deleting the first paragraph and inserting in lieu thereof:

"The Grantee shall coordinate with the members of the Committee to facilitate the furtherance of the approved Project, as set forth in the Statement of Work (Attachment 1) and the approved Project Budget (Attachment II) and in accordance with the representations, certifications and assurances set forth in the Grantee's applications dated July 15, 2010, and September 22, 2011 ("Applications"), and any amendments thereto, incorporated herein by reference and made a part hereof. The Grantee agrees that it will submit a revised Statement of Work and revised Project Budget to the FRA Grants Officer for approval before making any material or substantive change to the Approved Statement of Work and/or the Approved Project Budget (see section 204 of the Agreement). When approved by the FRA, any revised Statement of Work and/or revised Project Budget shall constitute the Approved Statement of Work and/or Approved Project Budget for this Agreement."

3. Section 106, as amended by Amendment No. 3, is amended further by deleting "March 31, 2014" and inserting in lieu thereof, "June 30, 2015".

4. Section 204 is amended by deleting after "professional consulting services", "each time it transfers contingency funds within the Committee"

5. The Agreement is amended by deleting in their entirety Attachments I, II, IV and V and by inserting in lieu thereof

new Attachments I and II as follows:

5. Except as specifically amended hereby, all terms, conditions, and attachments of the Agreement shall remain as originally written, in full force and effect and the parties hereto agree thereto.

## Attachment IV

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### PRIIA Section 305 Next Generation Equipment Committee



**Scope of Work for Grant Agreement between National Railroad Passenger Corporation (Amtrak) and the Federal Railroad Administration (FRA) to administer the work of the Section 305 Next Generation Equipment Pool Committee**

**(1/1/2010 – 9/30/2017)**

Revisions to this Attachment as of February 9, 2015, are indicated by highlighted text.

Public law 110-432 required Amtrak to:

*...establish a Next Generation Corridor Equipment Pool Committee, comprised of representatives of Amtrak, the Federal Railroad Administration, host freight railroad companies, passenger railroad equipment manufacturers, interested States, and, as appropriate, other passenger railroad operators.*

*“The purpose of the Committee shall be to design, develop specifications for, and procure standardized next-generation corridor equipment.*

*(b) FUNCTIONS.—The Committee may—*

*(1) determine the number of different types of equipment required, taking into account variations in operational needs and corridor infrastructure;*

*(2) establish a pool of equipment to be used on corridor routes funded by participating States; and*

*(3) subject to agreements between Amtrak and States, utilize services provided by Amtrak to design, maintain and remanufacture equipment.”*

Amtrak established the Next Generation Equipment Pool Committee (NGEC). In January 2010, the representatives of the entities identified in the law have formed an Executive Board for the NGEC; have established a Technical Subcommittee, a Finance Subcommittee, an Administrative Task Force and an AASHTO Support function. The Section 305 Executive Board re-established the Joint Procurement Task Force in December 2011 and the Structure and Finance Task Force was established in January 2012.

The completion of many milestones in the original scope of work, approval of various specifications and the award of grants to states for equipment procurement utilizing the Section 305 approved specifications have facilitated the need for further modification of the statement of work and budget under this grant. From the initial grant, the NGEC expended \$2,441,503 from the April 1, 2010 program start through September 30, 2014, and reprogramming of the \$1,558,497 remaining funds is included with the revised statement of work for the requested program extension through June 30, 2015. This statement of work now includes the continuing activities of the NGEC through September 30, 2017, whereas previously these activities were only included through June 30, 2015. It also includes the activities of the prior Section 209 Equipment Capital Work Group as the newly established Section 209 Equipment Capital “514” Subcommittee, created by the NGEC Executive Board at its face-to-face meeting of October 24, 2014. This statement of work incorporates the NGEC’s “Continuing Activities” budget revisions through September 30, 2017 as approved by the Executive Board on October 24, 2014.

The Federal Railroad Administration has authorized a total of \$4 million for S305 Activities that needed to be programmed both by the NGEC and formally by revision of the grant. In addition, the High Speed Intercity Passenger Rail grants to states that include funding for rail equipment provide an opportunity to re-evaluate the structure, mission and future role of the NGEC as the Committee continues to evolve to meet the needs of its members. The following scope of work and budget for the program extension through September 30, 2017 incorporates ongoing work items that have already begun and support functions necessary to the daily operation of the NGEC.

As has been the case since the inception of the Committee, Amtrak will administer the Section 305 Grant on behalf of and at the direction of the NGEC Executive Board.

## **EXECUTIVE BOARD**

The Section 305 Next Generation Equipment Committee Executive Board consists of membership from Amtrak, FRA and States. The Executive Board shall oversee, direct and approve all work of the Section 305 NGEC, its subcommittees, task forces and working groups. Membership roles and responsibilities are established in the NGEC By-Laws. Voting members of the Executive Board include representatives of Amtrak, FRA and the States.

In addition to those items contributed to the efforts of the NGEC by its membership, support services for the Executive Board are contained in the AASHTO Support Services scope of work listed below. Amtrak administrative support of NGEC activities is reflected in the Administrative Task Force scope of work and budget.

Professional consulting services (legal, technical or financial) may be specially procured on an "as needed" basis to accomplish specific tasks that may be identified as critical to the operation of the NGEC Executive Board and/or its subcommittees and task forces. Where "in-house" professional capability exists (legal, technical or financial) that can be provided by the members (Amtrak, FRA, States), the members will provide such services. The Executive Board and its subcommittees and task forces will closely oversee the procurement of any outside consultants utilizing Amtrak's procurement processes and will contain the cost of their services within the agreed budget. The budget for much of these services is included in the AASHTO Support Services/Professional Services budget and has been removed as a budget item within the Executive Board. As these items are expected to be obtained through competitive proposals, placeholder cost estimates have not been provided for the individual projects. Upon consultant selection, actual budget amounts and oversight authority will be transferred to the appropriate subcommittee or task force.

To provide for the extension of the overall PRIIA 305 NGEC program through September 30, 2017, the budget includes an Executive Board reserve fund (previously referred to as "contingency"). These funds will be used to support specific efforts in the out-years by action of the Executive Board.

The table below reflects that there are no longer any funds directly associated with the Executive Board budget:

| <b>Total Budget</b> | <b>Description</b>                                                                                      | <b>Expended through 9/30/14</b> |
|---------------------|---------------------------------------------------------------------------------------------------------|---------------------------------|
| \$0                 | Professional consulting services (legal, technical, financial) - TRANSFERRED to AASHTO Support Services | \$0                             |
| \$158,727           | General reserve funds (previously termed "contingency") for entire Section 305 NGEC                     | \$0                             |
| <b>\$158,727</b>    | <b>TOTAL Executive Board</b>                                                                            | <b>\$0</b>                      |

## **TECHNICAL SUBCOMMITTEE**

The purpose of the Technical Subcommittee is to (1) develop and/or evaluate alternative passenger rail car and propulsion technologies and designs, (2) evaluate proposed vehicle subsystems, (3) establish performance and safety criteria standards, develop specifications, (4) respond to requests made by the Committee or Executive Board to assist in carrying out their duties; and (4) any such other tasks and duties as assigned by the Executive Board.

The Technical Subcommittee will maintain an updated catalog of one or more approved passenger vehicle specifications that are determined to be eligible for use in the Next Generation Passenger Rail Equipment Pool. As appropriate, it will develop its ongoing efforts into recommendations for the Executive Board to act upon. The complete specifications or portions thereof may, as determined by the Executive Board, be subject to limitations.

Subjects to be addressed by the Technical Subcommittee may include but are not limited to:

- Safety criteria
- Regulatory compliance requirements and procedures
- Interoperability of car/locomotive/infrastructure requirements
- Performance Criteria
- Passenger car interior configurations, including design enhancements to facilitate travel by the disabled and elderly communities
- Passenger amenities
- Motive Power
- Operational issues
- Efficiency of operations
- Economies of scale benefits from common fleets
- Servicing/Inspection requirements
- Maintenance and overhaul criteria
- Procurement guidelines
- Inventory criteria for both spare parts as well as vehicle spare margins
- Maintenance facility requirements

Working in partnership with the FRA and the state partners, Amtrak will provide the technical coordination role and the leadership of the technical sub-committee.

#### SCOPE OF WORK AND BUDGET

- Development and completion of a NGEC Dual-Mode Locomotive Specification
- Further development and refinement of systems engineering processes, including but not limited to specification revisions and document management control.
- Technical revisions for existing PRIIA specifications and drawings as necessary.
- Support of any acquisition programs based upon the specifications delivered to date as well as any specification completed during this period to help ensure standardization.
- Continued development and refinement of standardization as it relates to existing specifications and specifications yet to be developed or approved.

The Technical Subcommittee will hold bi-weekly conference calls, web-based seminars as necessary and in-person meetings on a periodic basis as appropriate.

The Technical Subcommittee will engage with the industry to examine issues and develop recommendations to the Executive Board that will culminate in the adoption of the above referenced specifications. In order to accomplish these efforts, the Technical Subcommittee will use the same proven process and methodology as in the past two years.

The Technical Subcommittee includes the participation of more than two hundred firms representing the rail equipment and supply industry. Wherever possible, the collective knowledge and experience of the industry will be drawn upon to utilize best practices, innovations and industry standards to address recommendations on technical issues without compromising proprietary information or favoring a particular company's product.

In order to complete the scheduled tasks, the Technical Subcommittee will make use of consultants to support the tasks as required. This consultancy support may include the management of the tasks of the technical subcommittee as well as technical specification consultancy for the development and implementation of the specifications for the vehicles themselves. The Specification Consultant independently reviews all vehicle specification releases (initial and revisions) to ensure that they comply with the vehicle's Requirement Document. The contractor is provided all necessary documentation, including the current specification, the proposed revisions and the pertinent Requirements document, and prepares letter reports of presentation to the NGEC Executive Committee describing the findings of the Review Panel. The use of consultants will be undertaken in a manner that is best suited to the entire process to minimize handover and learning issues and will be based on the existing relationships with consultants that are known to be able to deliver the capabilities required. The NGEC approved competitive procurement process will be utilized for selection of consultants.

The table below provides the budget information for the Technical Subcommittee through the September 30, 2017 program extension:

| Total Budget     | Description                                                                                                   | Expended through 9/30/14 |
|------------------|---------------------------------------------------------------------------------------------------------------|--------------------------|
| \$652,145        | Cost for Amtrak staff for contributions to developing the planned specifications and specification revisions. | \$508,145                |
| \$331,021        | Amtrak technical specification consultant                                                                     | \$181,021                |
| <b>\$983,167</b> | <b>TOTAL Technical Subcommittee</b>                                                                           | <b>\$689,167</b>         |

## FINANCE AND ADMINISTRATIVE SUBCOMMITTEE

The purpose of the Finance and Administrative Subcommittee is to:

- (1) Provide information to the members on potential methods of funding that may be available for procurement of equipment;
- (2) provide for an independent audit function for NGEC Committee Activities;
- (3) Oversee budget issues of the NGEC;
- (4) Manage the operation of the Section 305 Committee;
- (5) Determine protocols for various issues that may come up such as; site tours, definition of what the committee can present to Congress – ensuring that the Board is not engaging in lobbying activities, but is getting information out and maintaining visibility and, in general, establishing administrative policy for the committee;
- (6) Serve as the keeper of the NGEC bylaws;
- (7) Serve as the policy development arm of the NGEC Executive Board;
- (8) Manage the development of the “NGEC Future” activities to include identifying future funding/financing sources and organizational structures to ensure a long-term sustainable NGEC model;
- (9) Serve as the keeper of open records and recommend relevant policies, as appropriate;
- (10) Provide input the other subcommittees/task forces as appropriate;
- (11) Perform other tasks and duties that may be assigned by the Section 305 Executive Board.

Subjects to be addressed by the Finance and Administrative Subcommittee may include but are not limited to:

- Funding from government grants
- Funding from government supported loan programs
- Availability of funding from the commercial debt markets
- Options, strengths and weaknesses of various commercial lending structures
- Overall management and review of grant budget/scope of work issues of the Section 305 Committee
- Recommending policy and/or administrative changes to the Executive Board
- Overseeing and implementing an open records policy
- Assisting in resolving overlap/possible conflicts between the two subcommittees and suggesting or mediating remedies
- Develop and recommend policies as necessary to allow the Section 305 Committee to perform its work in a consistent manner. Such policies may include, but are not limited to standardized methodology for contracting for outside work, responding to requests by outside groups to participate/present at meetings, etc.
- Organize and manage efforts to develop “NGEC Future” models for a long-term sustainable organization as well as independent NGEC funding/financing sources.

The Finance and Administrative Subcommittee will arrange for periodic independent audits of the financial records of the Section 305 Next Generation Equipment Pool Committee as appropriate.

## SCOPE OF WORK AND BUDGET

4. Provide information and fiscal expertise to the Executive Board and its subcommittees/task forces as directed.
5. Conduct periodic reviews of PRIIA requirements and keep the Executive Board apprised of the subcommittees and task forces’ adherence to PRIIA guidelines.
6. Act as the overall budget caretaker and keeper of the Committee by-laws.

7. Provide for periodic independent audit or financial review of financial records of the Section 305 Next Generation Equipment Committee and its subcommittees as appropriate. The first audit was for the period through September 30, 2012 and completed by the Amtrak Office of the Inspector General. Two subsequent audits will be conducted for the remaining grant period to provide an annual frequency.
8. Conduct periodic reviews of PRIIA requirements and keep Executive Board apprised of the subcommittees and task forces adherence to PRIIA guidelines.
9. Act as the overall budget caretaker and keeper of the committee by-laws.
10. Perform other duties as assigned by the Executive Board of the Section 305 Next Generation Equipment Pool Committee.

As the administrator of the Section 305 Grant(s) on behalf of the Committee, Amtrak's Project Manager position for Section 305 NGEC is a critical element to the delivery of the Section 305 Committee work. The Section 305 Executive Board has determined that it is appropriate to support this position through the Administrative Task Force Budget.

Key duties/work includes:

10. Preparation, review and submission of the required quarterly grant reports to FRA.
11. Preparation and presentation of a quarterly financial reports to Section 305 NGEC Executive Committee; additional reports as requested;
12. Provide support and input to the Treasurer's annual report.
13. Support the Treasurer of the Section 305 NGEC as regards budget and grant agreements with the Federal Railroad Administration.
14. Prepare formal revision requests to grant scope of work and budget for approval of NGEC Executive Board and subsequent submission to FRA.
15. Prepare, negotiate and execute and administer agreements for Amtrak as administrator of grant funds on behalf of the NGEC with AASHTO and/or consultants as required.
16. Work with AASHTO, consultants, Amtrak and FRA to confirm that requests for reimbursement under the grant(s) is accurate with all required documentation. Review, process and recommend payment for all reimbursements under the grant agreement(s).
17. Work with the Manager of Support Services and AASHTO to ensure that appropriate material is available on the Section 305 NGEC website;
18. Serve as Vice-chair or Chair of the Finance and Administrative Subcommittee.
19. Organize and manage efforts to develop "NGEC Future" models:
  - a. Organize efforts to identify, assess, and implement funding and financing models that partially or fully fund the NGEC's ongoing operations. This is especially targeted at the period after the grant has expired or its financial resources are fully spent.
  - b. Organize efforts to identify, assess, and implement organizational and institutional models beyond this committee status to advance the NGEC's activities into a long-term sustainable entity based on the scope described in this document and additional responsibilities.

The Finance and Administrative Subcommittee shall meet via conference call on a regular basis as prescribed by the membership or as directed by the Executive Board to fulfill its duties. In an attempt to reduce expenses, face to face meetings will be held in conjunction with other Section 305-related activities as appropriate. Travel related expenses for state members are provided in the AASHTO Support budget.

The table below provides the budget information for the Finance and Administrative Subcommittee includes an adjustment to the labor and overhead for the Amtrak Project Manager to provide for continuing this effort through the September 30, 2017 program extension. In addition, the budget for travel costs is adjusted to reflect the actual spend rate through September 2014 and projected forward through the through September 30, 2017 extension:

| Total Budget     | Description                                                                                                                                                     | Expended through 9/30/14 |
|------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| \$18,139         | Travel cost for Amtrak Project Management                                                                                                                       | \$6,139                  |
| \$225,886        | Amtrak Project Manager labor and overhead                                                                                                                       | \$162,316                |
| \$50,000         | Estimated cost for independent audit or review of financial records of the Section 305 Next Generation Equipment Committee, through September 30, 2012          | \$0                      |
| \$50,000         | Estimated cost for independent audit or review of financial records of the Section 305 Next Generation Equipment Committee, through March 31, 2014              | \$0                      |
| \$50,000         | Estimated cost for independent audit or review of financial records of the Section 305 Next Generation Equipment Committee for a final grant project close out. | \$0                      |
| <b>\$394,024</b> | <b>TOTAL Finance &amp; Administrative Subcommittee</b>                                                                                                          | <b>\$168,454</b>         |

#### Section 209 Equipment Capital Charge “514” Subcommittee

The purpose of the Section 209 Equipment Capital Charge “514” Subcommittee is to develop and maintain, in collaboration with Amtrak, a 5 year capital investment program as defined in the PRIIA 209 Methodology. This Subcommittee succeeds the previously-established PRIIA Section 209 Equipment Capital Work Group. The first Capital Investment Program for Amtrak Equipment Deployed in State Supported Services, FY2014 – FY2018 (CIP), was accepted by the Executive Board on October 14, 2014.

The Subcommittee will develop the minor and major updates of the CIP as provided in the accepted document. The current PRIIA Section 305 NGEC, having member expertise in equipment specifications, procurements, maintenance and management, was determined to be the best committee to house and support this effort and therefore it will be maintained through this Subcommittee.

Expectations of the Subcommittee:

- Understand and agree to the capital equipment work to be performed by Amtrak for the states.
- Identify all work elements and associated costs included within the approved work.
- Identify the condition of equipment before and after it is overhauled.
- Identify quality control procedures, associated costs and warranty processes for any rework.
- Support and monitor the reconciliation process for planned overhauls.
- Understand cost allocation and develop reconciliation processes for the capital plan and capital charges for equipment shared among states or states and national/long-distance or North East Corridor fleets.
- Identify and track costs of each element pursuant to standard accounting principles.

The Section 209 Equipment Capital Charge Subcommittee shall meet by conference call every other week or as determined by the Subcommittee. Any meetings to be conducted in person will be arranged in conjunction with other events of NGEC Executive Board and subcommittees in order to keep expenses to a minimum.

Support provided by AASHTO for these meetings will be provided and funded through their overall agreement with the NGEC.

| Total Budget | Description                                                | Expended through 9/30/14 |
|--------------|------------------------------------------------------------|--------------------------|
| \$0          | Travel cost for State members (included in AASHTO section) | \$0                      |
| <b>\$0</b>   | <b>TOTAL S209 Equipment Capital Work Group</b>             | <b>\$0</b>               |

## AASHTO SUPPORT SERVICES

The American Association of State Highway and Transportation Officials (AASHTO) has, under agreement with Amtrak, provided support services for the NGECE since January 2010 and will do so through June 30, 2015. The NGECE Executive Board intends to continue to utilize AASHTO services to support efforts of the committee. Amtrak will contract with AASHTO to secure the services of AASHTO in support of the NGECE through the program extension of June 30, 2015.

The services provided fall into several major categories:

**Meeting support**—AASHTO will provide comprehensive meeting support for: four face-to-face meetings of the Executive Board and any conference call meetings that are scheduled; the 2014 and 2015 Annual Meetings; and, will provide support as needed for up to four face-to-face meetings of the Technical Subcommittee; and any conference call meetings of this subcommittee, the Finance subcommittee; the Administrative Task Force; the Joint procurement Task Force and the Executive Board Specification Review Panels as needed. During the program period there will be additional face-to-face meetings for the Section 209 Equipment Capital Work Group, including one Amtrak Mechanical facility guided tour per member and one face-to-face meeting. These additional meetings are reflected in the budget. Meeting support includes reimbursing state officials for travel costs incurred, securing meeting rooms, meeting all on-site needs for equipment, materials, food and beverages, and other responsibilities as needed and directed.

**Communications-Coordination-Management Support**—The complexity of the mission of the NGECE, the diversity among and within the primary participants, the need to maintain clarity and focus on the work plan, the need to transition to the second phase of its mission systematically and efficiently, the importance of maintaining clear lines of communication and a flow of accurate information within and among the Executive Board and the subcommittees and task forces, all require that a high level of effective effort be devoted to communications, coordination, and management support to expedite the work of the NGECE. The importance of this function and the challenge of carrying it out have increased, and will continue to increase in the coming year. The additional work required in this area is reflected in the budget through the program extension to September 30, 2017.

**Web Site**—The web site is an essential element of the support infrastructure for the NGECE. It has been established on the AASHTO web site ([www.highspeed-rail.org](http://www.highspeed-rail.org)). It provides a central repository for NGECE documents, both background and administrative and a vehicle for communicating among NGECE members and between the NGECE and the wider community of interest. It is the repository for all information related to the operations of the NGECE, and, most importantly, for the specifications established by the NGECE. The web site has tracked the evolution of the process to accommodate changes in specifications, establishing procedures for document changes, for efficient and secure access to specifications and referenced documents, and preparing for requirements that will result from the procurement process. The expanded scope and complexity of the responsibility is reflected the budget through the program extension to September 30, 2017.

Support activities will include, but not be limited to: assistance in the preparation of agendas, preparation and dissemination of meeting summaries; the maintenance of accurate member and participant lists, the assembly and distribution of materials, maintaining lines of communication between the Executive Board and the subcommittees; the provision of expert policy decision support; maintaining focus on work plan and schedule; providing content and technical support for the NGECE web site. It is expected that in the budget year the NGECE will conduct webinars related to Rail 101, a service, along with conference call capability, that AASHTO will provide.

AASHTO will also carry out responsibilities related to contracting for consultant support as directed by the NGECE Executive Board. This is reflected in the budget by a small increase for management support but final decisions by the Executive Board on this function could require increased support and a commensurate budget increase.

Management oversight and staff support will be provided by AASHTO staff, principally Shayne Gill, Program Manager, for Passenger Rail, Transit, and Aviation. AASHTO meetings staff will be responsible for meeting arrangements. AASHTO professional support staff will provide assistance as needed or the Subcommittee secretariat function and for the maintenance of the web site. Consultants retained by AASHTO will provide the bulk of the day-to-day support for the Executive Board, the subcommittees, and the NGECE in general.

Their support responsibilities will include:

**Manager of the NGECE Support Services (Manager).** The Manager will manage and coordinate communication within and among the "Section 305" Executive Board, its standing Subcommittees, Review Panels and any additional Subcommittees, Task Forces, or working groups established by the Executive Board; while also coordinating information among working groups established under direction of the Technical or Finance and Administrative

Subcommittees that are formed throughout the term of the grant agreement. The Manager will also provide Secretariat services; serve as parliamentarian, ensure consistency and clarity of message; and manage the day to day business of the Board, the subcommittees and task forces or working groups; ensuring that schedules are adhered to; questions and concerns of the public and the industry are responded to; timelines are met; and action items are completed on time. In general, the Manager will preserve the integrity of the process established in the Committee's Work Plan and provide quality assurance support by conforming process and Committee business with the approved by-laws.

**Policy and Analysis Consultant (Policy Consultant).** The Policy Consultant provided expert assistance on technical and policy issues and institutional questions; historical and technical analysis in assessing states responses to the equipment needs survey and other surveys; assistance in interpreting and preparing data analysis for Executive Board and technical subcommittee use; development of subsequent surveys; provide expert counsel in interpreting legislative actions relating to Section 305; while also providing institutional knowledge and context in regards to the equipment aspirations and needs of the states from a "big picture" perspective (beyond the committee member states). The Policy Consultant activities ceased on August 31, 2014.

**Equipment Ownership, Management and Maintenance Consultant (EOMM Consultant).** The EOMM Consultant will provide support to develop standards and recommendations that address equipment ownership, maintenance, and management in a plan that addresses the requirements set forth in Section 6a of the cooperative grant agreement between the states of California and Illinois and FRA for procuring intercity passenger rail equipment. This plan shall address several key priorities of the NGEC and FRA, including, but not limited to:

- a. Efficient and cost-effective utilization of equipment, both in state and multi-state corridors.
- b. Deployment of equipment that allows for adjustments due to demand changes, including seasonal adjustments.
- c. Standardization of intercity passenger rail equipment
- d. Minimization of commercial life-cycle costs (LCC) over the equipment's expected lifetime
- e. Adequate funding for operations, maintenance, and overhauls (including facilities and tooling) over the equipment's lifecycle
- f. Equitable allocation of costs
- g. Adequate ownership models and structure

The EOMM Consultant activities ceased in March 2014.

**New DMU and Revision A Locomotive Specification Consultant (Specification Consultant).** The Specification Consultant will independently review the initial release of the DMU Specification (305-009) as well as the initial release of the Locomotive Specification (305-005) and the revisions proposed in the context of their responsiveness to the provisions of the locomotive requirements document including Locomotive Revision B, the Single Level revision A, Bi-Level Revision D, Trainset Revision A, the performance objectives of PRIIA and whether the actions taken by the NGEC Technical Subcommittee to revise the documents are consistent with established processes. The contractor will be provided with all necessary documentation (the current specification, the proposed revisions and the pertinent Requirements Document) by the relevant Document Control Coordinator. Upon completion of deliberations, the contractor will prepare letter reports for presentation to the NGEC Executive Committee describing the findings of the Review Panel.

#### **Facilitator for the February 20, 2013 NGEC Board Workshop**

The Facilitator will lead and facilitate a face-to-face work shop with NGEC board members and invited guests. Build on the 11 vision statements submitted to the NGEC Board and the three groups reflecting different scopes of responsibilities:

- Group A: Focus on Specification Development
- Group B: "Resource Center" but not owning rolling stock
- Group C: "Resource Center" plus financing and maintenance function for owned rolling stock

Included in the development of mission and vision statements are discussions on the envisioned scope of responsibilities that the NGEC may want to perform as reflected in the three groups mentioned above. Ideally, the final mission/vision statements will reflect a jointly agreed upon approach on the NGEC responsibilities and work it will perform.

The Facilitator will compile workshop results in one final document, including an executive summary to be shared with all NGEC members and the public.

#### **Consultant to Define the NGEC's Future and Develop an Implementation Plan (Organizational Consultant)**



The Organizational Consultant will assist the Structure and Finance Task Force to develop an organizational, institutional, and governance model for the future NGEC. This effort will be closely coordinated with the Section 6 work and team. The Organizational Consultant will discuss and evaluate different organizational, institutional, and governance models. For each model the team will develop “Pros and Cons”, prerequisites, effort of implementation, etc. and recommend a final preferred model to the Executive Board. The main output of this step is the evaluation of three preferred organizational models that are in line with the NGEC’s mission and vision and enable the NGEC to achieve its strategic goals.

In close coordination with the Section 6 team, one preferred model will be selected and presented to the Executive Board for approval. The approved model will then be described in more detail, including the institutional structure, shareholders, financing, required key positions, etc. The Organizational Consultant will then work with the SFTF to develop an implementation plan that will ultimately lead to the creation of a new NGEC in its preferred organizational, institutional, and governance model that will represent the NGEC’s vision and mission statements. The development of this implementation plan will include:

- Collect and structure all actions necessary to establish the new NGEC an organizational, institutional, and governance model
- Define a process and timeline to transition from the existing NGEC to the new organizational model
- Determine the necessary resources/capabilities needed to manage the implementation plan

The table on the following page provides the budget information for the AASHTO Support Services for the program extension through September 30, 2017, which has been adjusted for the additional programmed activities and to provide AASHTO’s continued support services and Manager Consultant for the period:

| Total Budget       | Description                                                                                                                                                                                                                                   | Expended through 9/30/14 |
|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| \$203,108          | Travel costs for Executive Board Meetings, Technical Subcommittee Meetings, JPTF meetings, and SFTF meetings, and NGEC Annual Meeting (all face-to-face meetings, average of one per quarter)                                                 | \$113,108                |
| \$141,836          | Costs for face-to-face meetings, average of one per year for the NGEC Annual Meeting, and one other meeting (facilities, meals, materials)                                                                                                    | \$51,836                 |
| \$591,090          | Cost for AASHTO staff                                                                                                                                                                                                                         | \$351,090                |
| \$1,065,745        | Cost for Manager of the NGEC Support Services and Policy and Analysis Consultant                                                                                                                                                              | \$716,545                |
| \$273,023          | Cost for the EOMM Consultant to develop the equipment ownership, maintenance and management structure                                                                                                                                         | \$273,023                |
| \$145,294          | Cost for Specification Consultant to review the initial release of the Locomotive and DMU specifications and assess compliance of proposed revisions, and subsequent revisions: Single Level A, Bi-Level D, Trainset A, Locomotive A-1 and B. | \$70,294                 |
| \$7,610            | Cost for Facilitator for February 20, 2013 Workshop                                                                                                                                                                                           | \$7,610                  |
| \$0                |                                                                                                                                                                                                                                               | \$0                      |
| \$0                | Cost for Consultant to Define the NGEC’s Future and Develop an Implementation Plan                                                                                                                                                            | \$0                      |
| \$30,000           | “Railroad 101 and 201” Educational Webinar Series                                                                                                                                                                                             | \$0                      |
| \$79               | Additional Webinars                                                                                                                                                                                                                           | \$79                     |
| \$3,297            | Costs for conference calls                                                                                                                                                                                                                    | \$297                    |
| \$3,000            | Costs for Section 305 NGEC web site                                                                                                                                                                                                           | \$0                      |
| <b>\$2,464,082</b> | <b>TOTAL AASHTO Support Services</b>                                                                                                                                                                                                          | <b>\$1,583,882</b>       |

## PRIIA Section 305 Next Generation Equipment Committee

## Supplemental Project Budget for 2011 Appropriations Act Funds

**Total Section 305 NGEC Budget for 2011 Appropriations Act Funds**

In total, the Section 305 NGEC's budget for 2011 Appropriations Act Funds is summarized in the table below and totals \$4,000,000, representing the program extension through September 30, 2017 and reflecting the actual program expenditures of \$2,441,503 from April 1, 2010 through September 30, 2014.

|                              | Executive Board  | Technical Sub-committee | Finance & Admin. Sub-committee | S 209 Equipment Capital "514" Sub-committee | AASHTO Support Services | TOTAL              |
|------------------------------|------------------|-------------------------|--------------------------------|---------------------------------------------|-------------------------|--------------------|
| <b>Labor</b>                 |                  | \$652,145               | \$225,886                      |                                             | \$591,090               | <b>\$1,469,121</b> |
| <b>Meetings</b>              |                  |                         |                                |                                             | \$141,836               | <b>\$141,836</b>   |
| <b>Travel</b>                |                  |                         | \$18,139                       |                                             | \$203,108               | <b>\$221,247</b>   |
| <b>Professional Services</b> |                  | \$331,021               |                                |                                             | \$1,491,672             | <b>\$1,822,693</b> |
| <b>Financial Review</b>      |                  |                         | \$150,000                      |                                             |                         | <b>\$150,000</b>   |
| <b>Conference Calls</b>      |                  |                         |                                |                                             | \$3,297                 | <b>\$3,297</b>     |
| <b>Webinar</b>               |                  |                         |                                |                                             | \$30,079                | <b>\$30,079</b>    |
| <b>Reserve (Contingency)</b> | \$158,727        |                         |                                |                                             |                         | <b>\$158,727</b>   |
| <b>Web Site</b>              |                  |                         |                                |                                             | \$3,000                 | <b>\$3,000</b>     |
| <b>TOTAL</b>                 | <b>\$158,727</b> | <b>\$983,167</b>        | <b>\$394,024</b>               | <b>\$0</b>                                  | <b>\$2,464,082</b>      | <b>\$4,000,000</b> |

The actual expenditures through September 30, 2014, are reflected as shown on the following page:

|                       | Executive Board | Technical Sub-committee | Finance & Admin. Sub-committee | S 209 Equipment Capital Work Group | AASHTO Support Services | TOTAL              |
|-----------------------|-----------------|-------------------------|--------------------------------|------------------------------------|-------------------------|--------------------|
| Labor                 |                 | \$508,145               | \$162,316                      |                                    | \$351,090               | <b>\$1,021,551</b> |
| Meetings              |                 |                         |                                |                                    | \$51,836                | <b>\$51,836</b>    |
| Travel                |                 |                         | \$6,139                        |                                    | \$113,108               | <b>\$119,247</b>   |
| Professional Services |                 | \$181,021               |                                |                                    | \$1,067,472             | <b>\$1,248,493</b> |
| Financial Review      |                 |                         |                                |                                    |                         | <b>\$0</b>         |
| Conference Calls      |                 |                         |                                |                                    | \$297                   | <b>\$297</b>       |
| Webinar               |                 |                         |                                |                                    | \$79                    | <b>\$79</b>        |
| Reserve (Contingency) |                 |                         |                                |                                    |                         | <b>\$0</b>         |
| Web Site              |                 |                         |                                |                                    |                         | <b>\$0</b>         |
| <b>TOTAL</b>          | <b>\$0</b>      | <b>\$689,167</b>        | <b>\$168,454</b>               | <b>\$0</b>                         | <b>\$1,583,882</b>      | <b>\$2,441,503</b> |

**Treasurer's Report - February 19, 2016:**

- Spending continues to be under the proposed Statement of Work envisioned levels.

**Budget (revised Statement of Work 2/20/2015)**

|                       | Executive Board  | Technical Sub-committee | Finance & Admin. Sub-committee | S 209 Equipment Capital "514" Sub-committee | AASHTO Support Services | TOTAL              |
|-----------------------|------------------|-------------------------|--------------------------------|---------------------------------------------|-------------------------|--------------------|
| Labor                 |                  | \$652,145               | \$225,886                      |                                             | \$591,090               | <b>\$1,469,121</b> |
| Meetings              |                  |                         |                                |                                             | \$141,836               | <b>\$141,836</b>   |
| Travel                |                  |                         | \$18,139                       |                                             | \$203,108               | <b>\$221,247</b>   |
| Professional Services |                  | \$331,021               |                                |                                             | \$1,491,672             | <b>\$1,822,693</b> |
| Financial Review      |                  |                         | \$150,000                      |                                             |                         | <b>\$150,000</b>   |
| Conference Calls      |                  |                         |                                |                                             | \$3,297                 | <b>\$3,297</b>     |
| Webinar               |                  |                         |                                |                                             | \$30,079                | <b>\$30,079</b>    |
| Reserve (Contingency) | \$158,727        |                         |                                |                                             |                         | <b>\$158,727</b>   |
| Web Site              |                  |                         |                                |                                             | \$3,000                 | <b>\$3,000</b>     |
| <b>TOTAL</b>          | <b>\$158,727</b> | <b>\$983,167</b>        | <b>\$394,024</b>               | <b>\$0</b>                                  | <b>\$2,464,082</b>      | <b>\$4,000,000</b> |

**Spending Through 12/31/2015**

|                       | Executive Board | Technical Sub-committee | Finance & Admin. Sub-committee | S 209 Equipment Capital Work Group | AASHTO Support Services | TOTAL              |
|-----------------------|-----------------|-------------------------|--------------------------------|------------------------------------|-------------------------|--------------------|
| Labor                 |                 | \$515,077               | \$180,766                      |                                    | \$412,620               | <b>\$1,108,463</b> |
| Meetings              |                 |                         |                                |                                    | \$62,959                | <b>\$62,959</b>    |
| Travel                |                 |                         | \$6,547                        |                                    | \$119,500               | <b>\$126,046</b>   |
| Professional Services |                 | \$197,076               |                                |                                    | \$1,208,472             | <b>\$1,405,548</b> |
| Financial Review      |                 |                         |                                |                                    |                         | <b>\$0</b>         |
| Conference Calls      |                 |                         |                                |                                    | \$297                   | <b>\$297</b>       |
| Webinar               |                 |                         |                                |                                    | \$79                    | <b>\$79</b>        |
| Reserve (Contingency) |                 |                         |                                |                                    |                         | <b>\$0</b>         |
| Web Site              |                 |                         |                                |                                    | \$0                     | <b>\$0</b>         |
| <b>TOTAL</b>          | <b>\$0</b>      | <b>\$712,153</b>        | <b>\$187,312</b>               | <b>\$0</b>                         | <b>\$1,803,927</b>      | <b>\$2,703,393</b> |

- From 10/1/2015 – 12/31/2015, expenses invoiced to FRA were \$66,173.48.
- Total expenses for past year, 1/1/2015 – 12/31/2015 were \$204,331.99.
- Amount is \$314,668.01 below the annualized revised budget of \$519,000 for FY2015 – FY2017.
- As of December 31, 2015, FRA grant has \$1,296,607.22 remaining.
- Funds are available through September 30, 2017.



U.S Department of Transportation

Federal Railroad Administration

## Grant Agreement

|                                                                                                                                                                                                                                 |                                                   |              |              |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------|--------------|--|
| 1. RECIPIENT NAME AND ADDRESS<br>National Railroad Passenger Corporation<br>60 Massachusetts Ave NE<br>Washington, DC 20002-4285                                                                                                | 2. AGREEMENT NUMBER: FR-AMT-0010-17-01-00         |              | 3. AMENDMENT |  |
|                                                                                                                                                                                                                                 | 4. PROJECT PERFORMANCE PERIOD: FROM 10/01/2016 TO |              |              |  |
|                                                                                                                                                                                                                                 | 5. FEDERAL FUNDING PERIOD: FROM 10/01/2016 TO     |              |              |  |
| 1A. IRS/VENDOR NO. 520910053                                                                                                                                                                                                    | 6. ACTION New                                     |              |              |  |
| 1B. DUNS NO. 054427745                                                                                                                                                                                                          |                                                   |              |              |  |
| 7. CFDA#: 20.315                                                                                                                                                                                                                | TITLE                                             | FEDERAL      | NON-FEDERAL  |  |
| 8. PROJECT TITLE<br>Section 305 Next Generation Equipment Committee                                                                                                                                                             | 9. PREVIOUS AGREEMENTS                            | 0.00         | 0.00         |  |
|                                                                                                                                                                                                                                 | 10. THIS AGREEMENT                                | 1,250,000.00 | 0.00         |  |
|                                                                                                                                                                                                                                 | 11. TOTAL AGREEMENT                               | 1,250,000.00 | 0.00         |  |
| 12. INCORPORATED ATTACHMENTS<br>THIS AGREEMENT INCLUDES THE FOLLOWING ATTACHMENTS, INCORPORATED HEREIN AND MADE A PART HEREOF:<br>Standard Terms and Conditions, Attachment 1; Statement of Work, Attachment 2                  |                                                   |              |              |  |
| 13. STATUTORY AUTHORITY FOR GRANT/ COOPERATIVE AGREEMENT<br>Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2014, Division L of the Consolidated Appropriations Act, 2014 (P.L. 113-76) |                                                   |              |              |  |

|                                                                           |                             |                                                                       |            |
|---------------------------------------------------------------------------|-----------------------------|-----------------------------------------------------------------------|------------|
| 14. REMARKS                                                               |                             |                                                                       |            |
| GRANTEE ACCEPTANCE                                                        |                             | AGENCY APPROVAL                                                       |            |
| 15. NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL<br>Rory Beelek          |                             | 17. NAME AND TITLE OF AUTHORIZED FRA OFFICIAL<br>Jamie Rennert        |            |
| 16. SIGNATURE OF AUTHORIZED GRANTEE OFFICIAL<br><br>Electronically Signed | 16A. DATE<br><br>10/25/2016 | 18. SIGNATURE OF AUTHORIZED FRA OFFICIAL<br><br>Electronically Signed | 18A. DATE  |
| AGENCY USE ONLY                                                           |                             |                                                                       |            |
| 19. OBJECT CLASS CODE: 41010                                              |                             | 20. ORGANIZATION CODE: 9011000000                                     |            |
| 21. ACCOUNTING CLASSIFICATION CODES                                       |                             |                                                                       |            |
| DOCUMENT NUMBER                                                           | FUND                        | BY                                                                    | BPAC       |
| FR-AMT-0010-17-01-00                                                      | 27X0125014                  | 2017                                                                  | 86030129D0 |
|                                                                           |                             | AMOUNT<br>1,250,000.00                                                |            |

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**PRIIA Section 305 Next Generation Equipment Committee STATEMENT OF WORK  
October 2016**

This Statement of Work and Budget is for the Grant Agreement between the National Railroad Passenger Corporation (Amtrak) and the Federal Railroad Administration (FRA) to administer the work of the Section 305 Next Generation Equipment Pool Committee (NGEC). It describes the activities to be undertaken by the Committee and the Grantee with the funds provided through the Grant Agreement.

**BACKGROUND**

ESTABLISHMENT OF THE COMMITTEE

Public law 110-432 required Amtrak to:

*...establish a Next Generation Corridor Equipment Pool Committee, comprised of representatives of Amtrak, the Federal Railroad Administration, host freight railroad companies, passenger railroad equipment manufacturers, interested States, and, as appropriate, other passenger railroad operators.*

*"The purpose of the Committee shall be to design, develop specifications for, and procure standardized next-generation corridor equipment.*

*(b) FUNCTIONS.—The Committee may—*

*(1) determine the number of different types of equipment required, taking into account variations in operational needs and corridor infrastructure;*

*(2) establish a pool of equipment to be used on corridor routes funded by participating States; and*  
*(3) subject to agreements between Amtrak and States, utilize services provided by Amtrak to design, maintain and remanufacture equipment.”*

Amtrak established the NGEC. In January 2010, the representatives of the entities identified in the law formed an Executive Board for the NGEC; established a Technical Subcommittee, a Finance Subcommittee, an Administrative Task Force and an American Association of State Highway and Transportation Officials (AASHTO) Support function. The Section 305 Executive Board established the Joint Procurement Task Force in December 2011 and the Structure and Finance Task Force in January 2012. In 2014 the Executive Board consolidated the activities of the Finance Subcommittee and the Administrative Task Force and created the Finance and Administrative Subcommittee; and, in 2015 it established the previously created Section 209/305 (514) Equipment Capital Charge Task Force as a Subcommittee, formalizing its functions and responsibilities with revisions to the NGEC By-Laws.

Through a previous grant award (FRA Grant RPD01G2010), FRA funded the NGEC's activities, totaling \$4 million. That grant award ended on September 30, 2016. The on-going activities of the NGEC requiring continued funding of \$1,250,000 for the period of October 1, 2016 through September 30, 2019, are provided for here.

As has been the case since the inception of the Committee, Amtrak administers the FRA Section 305 Grant on behalf of and at the direction of the NGEC Executive Board.

## EXECUTIVE BOARD

The Section 305 NGECE Executive Board consists of membership from Amtrak, FRA and States. Current State members of the Executive Board are: Missouri DOT, New York State DOT, Iowa DOT, Illinois DOT, North Carolina DOT, Oklahoma DOT, Washington State DOT, Wisconsin DOT, Michigan DOT, California DOT, Oregon DOT, and Maine DOT. The Executive Board oversees, directs and approves all work of the Section 305 NGECE, its subcommittees, task forces and working groups. Membership roles and responsibilities are established in the NGECE By-Laws. Voting members of the Executive Board include representatives of Amtrak, FRA and the member States identified above.

In addition to the in kind services contributed to the efforts of the NGECE by its membership, support services for the Executive Board are contained in the AASHTO Support Services scope of work listed beginning on page 7. Amtrak administrative support of NGECE activities is reflected in the Finance & Administrative Subcommittee scope of work and budget.

## TECHNICAL SUBCOMMITTEE

The purpose of the Technical Subcommittee is to:

- (1) Develop and/or evaluate alternative passenger rail car and propulsion technologies and designs;
- (2) Evaluate proposed vehicle subsystems;
- (3) Establish performance and safety criteria and standards, develop and maintain specifications;
- (4) Respond to requests made by the Next Generation Equipment Committee or Executive Board to assist in carrying out their duties; and
- (5) Perform any other tasks and duties as assigned by the Executive Board.

The Technical Subcommittee maintains an updated catalog of approved passenger vehicle specifications that are determined to be eligible for use in the Next Generation Passenger Rail Equipment Pool. As appropriate, it develops, through its ongoing efforts, recommendations for the Executive Board to act upon.

Subjects addressed by the Technical Subcommittee may include but are not limited to:

- Safety criteria
- Regulatory compliance requirements and procedures
- Interoperability of car/locomotive/infrastructure requirements
- Performance Criteria
- Passenger car interior configurations, including design enhancements to facilitate travel by the disabled and elderly communities
- Passenger amenities
- Motive Power
- Operational issues
- Efficiency of operations
- Economies of scale benefits from common fleets
- Servicing/Inspection requirements
- Maintenance and overhaul criteria
- Procurement guidelines
- Inventory criteria for both spare parts as well as vehicle spare margins



- Maintenance facility requirements

Working in partnership with the FRA and the state partners, Amtrak provides the technical coordination role and the leadership of the Technical Subcommittee. Technical consultant support is included in the AASHTO Support Services/Professional Services budget.

#### FINANCE AND ADMINISTRATIVE SUBCOMMITTEE

The purpose of the Finance and Administrative Subcommittee is to:

- (1) Provide information to the members on potential methods of funding that may be available for procurement of equipment;
- (2) Provide for an independent audit function for NGEC activities;
- (3) Oversee the budget of the NGEC;
- (4) Manage the operation of the NGEC;
- (5) Determine protocols for various issues that may emerge such as: site tours, definition of what the NGEC can present to Congress (i.e., to ensure that the Board is not engaging in lobbying activities, but is getting information out and maintaining visibility) and, generally establishing administrative policy for the committee;
- (6) Serve as the keeper of the NGEC bylaws;
- (7) Serve as the policy development arm of the NGEC Executive Board;
- (8) Manage the development of the “NGEC Future” activities to include identifying future funding/financing sources and organizational structures to ensure a long-term sustainable NGEC model;
- (9) Serve as the keeper of open records and recommend relevant policies, as appropriate;
- (10) Provide input to the other subcommittees/task forces as appropriate;
- (11) Perform other tasks and duties that may be assigned by the Executive Board.

Subjects to be addressed by the Finance and Administrative Subcommittee may include but are not limited to:

- Availability of funding from government grants, government supported loan programs, or the commercial debt markets
- Options, strengths and weaknesses of various commercial lending structures
- Overall management and review of grant budget/scope of work issues of the NGEC
- Recommending policy and/or administrative changes to the Executive Board
- Overseeing and implementing an open records policy
- Assisting in resolving overlap/possible conflicts between the subcommittees and suggesting or mediating remedies
- Develop and recommend policies as necessary to allow the NGEC to perform its work in a consistent manner. Such policies may include, but are not limited to, developing a standardized methodology for contracting for outside work, responding to requests by outside groups to participate/present at meetings, etc.
- Organize and manage efforts to develop “NGEC Future” models for a long-term sustainable organization.

#### SECTION 209/305 EQUIPMENT CAPITAL CHARGE “514” SUBCOMMITTEE

The purpose of the Section 209/305 Equipment Capital Charge “514” Subcommittee is to develop and maintain the five-year Capital Investment Program for Amtrak Equipment Deployed in State Corridor Service (CIP) as defined in the Passenger Rail Investment and Improvement Act of 2008 (PRIIA) Section

209 Methodology. The Subcommittee updates the CIP annually, alternating between minor and major updates.

The Subcommittee will develop the minor and major updates of the CIP as provided in the accepted document. The NGEC, having member expertise in equipment specifications, procurements, maintenance and management, was determined to be the best entity to house and support this effort and therefore it will continue to be maintained through this Subcommittee.

## **DESCRIPTION OF WORK**

### **EXECUTIVE BOARD**

The Executive Board may procure professional consulting services (legal, technical or financial) on an “as needed” basis to accomplish specific tasks that may be identified as critical to the operation of the Executive Board and/or its subcommittees and task forces. Where “in-house” professional capability exists (legal, technical or financial) that can be provided by the members (Amtrak, FRA, States), the members will provide such services. The Executive Board and its subcommittees and task forces will closely oversee the procurement of any outside consultants utilizing Amtrak’s procurement processes and will contain the cost of their services within the agreed budget. The budget for much of these services is included in the AASHTO Support Services/Professional Services budget.

Therefore, there are no funds budgeted for the Executive Board specifically.

### **TECHNICAL SUBCOMMITTEE**

The scope of work of the Technical Subcommittee is as follows:

- Full review and update of all NGEC specifications, including:
  - Next Generation Bi-Level Passenger Rail Car
  - Next Generation Single Level Passenger Rail Car
  - Next Generation Locomotive
  - Next Generation Trainset
  - Next Generation Diesel Multiple Units
  - PRIIA Dual Mode (DC 3<sup>rd</sup> Rail) Locomotive
- Further development and refinement of systems engineering processes, including but not limited to specification revisions and document management control.
- Technical revisions for existing PRIIA specifications and drawings as necessary.
- Support of any equipment acquisition programs based upon the specifications delivered to date as well as any specification completed during the term of this agreement to help ensure standardization.
- Continued development and refinement of standardization as it relates to existing specifications and specifications yet to be developed or approved.

The Technical Subcommittee will hold bi-weekly conference calls, web-based seminars as necessary, and in-person meetings on a periodic basis as appropriate.

The Technical Subcommittee will engage with the industry to examine issues and develop recommendations to the Executive Board that will culminate in the adoption of the above referenced specifications. In order to accomplish these efforts, the Technical Subcommittee will use the same proven process and methodology that have been applied for the past six years.

The Technical Subcommittee includes the participation of more than two hundred firms representing the rail equipment and supply industry. Wherever possible, the Technical Subcommittee will draw on the collective knowledge and experience of the industry to utilize best practices, innovations and industry standards to address recommendations on technical issues without compromising proprietary information or favoring a particular company's product.

In order to complete the scheduled tasks, the Technical Subcommittee will make use of consultants and in-house Amtrak staff (Revision Control Coordinator) to support the tasks as required.

The Revision Control Coordinator (RCC) shall be responsible for administering specification Document Change Requests (DCRs): reviewing for completeness, assigning a tracking number, collating and compiling completed DCRs and making the appropriate approved changes to the affected documents, and managing the document revision process. The RCC shall also develop and administer a document archiving, tracking and storage system for all DCRs, previous revisions of specifications, and other documents.

The RCC shall appoint an understudy, who shall be fully trained on all aspects of the DCR process, and who can act as primary RCC if needed.

The name, affiliation and contact information for the RCC and RCC understudy shall be communicated to all members of the Technical Subcommittee.

Additional consultant support may include tasks such as specification technical writing (The Technical Specification Consultant) as well as independent review of all vehicle specification releases (initial and revisions) to ensure that they comply with the respective vehicle's Requirements Document. The Technical Specification Consultant will be provided all necessary documentation, including the current specification, the proposed revisions and the pertinent Requirements Document, and will prepare letter reports for presentation initially to the appropriate Review Panel and ultimately to the Executive Board describing the findings and recommendations of said Review Panel. The NGECE will use consultants in a manner that is best suited to the entire process to minimize handover and associated learning-curve issues and will be based on the existing relationships with consultants that are known to be able to deliver the capabilities required (all consultant procurements will be consistent with applicable federal grantee procurement requirements). The NGECE Procedure for Establishing Contracted Support, as adopted by the NGECE Executive Board on August 6, 2013, will continue to be utilized for the selection of consultants. These consultant services are included in the AASHTO Support Services/Professional Services budget.

#### FINANCE AND ADMINISTRATIVE SUBCOMMITTEE

The scope of work of the Finance and Administrative Subcommittee is as follows:

- Provide information and fiscal expertise to the Executive Board and its subcommittees/task forces as directed.
- Conduct periodic reviews of PRIIA and Fixing America's Surface Transportation Act (FAST Act)

requirements and keep the Executive Board apprised of the subcommittees' and task forces' adherence to PRIIA guidelines.

- Act as the overall budget caretaker and keeper of the Committee by-laws.
- Provide for periodic independent audit or financial review of financial records of the NGEC and its subcommittees and task forces as appropriate. Two audits are planned: one after the first full year of funding that ends September 30, 2017, and the second for the close out of the grant period the ends September 30, 2019.
- Act as the primary coordination point for any oversight activities of the NGEC, such as the Federal Government Accountability Office (GAO).
- Perform other duties as assigned by the Executive Board.

As the administrator of the Section 305 Grant(s) on behalf of the Committee, Amtrak's Project Manager position for Section 305 NGEC is a critical element to the delivery of the NGEC work. The Executive Board has determined that it is appropriate to support this position through the Finance & Administrative Subcommittee budget.

Key duties/work includes:

- Preparation, review and submission of the required quarterly grant reports to FRA.
- Preparation and presentation of a quarterly financial reports to Executive Board; and any additional reports as requested;
- Provide support and input to the Treasurer's annual report.
- Support the Treasurer of the NGEC in regard to budget and grant agreements with the FRA.
- Prepare formal revision requests to grant scope of work and budget for approval by the Executive Board and subsequent submission to FRA.
- Prepare, negotiate, execute, and administer agreements for Amtrak as administrator of grant funds on behalf of the NGEC with AASHTO and/or consultants as required.
- Work with AASHTO, consultants, Amtrak and FRA to confirm that requests for reimbursement under the grant(s) are accurate and accompanied by all required documentation. Review, process and recommend payment for all reimbursements under the grant agreement(s).
- Work with the Manager of Support Services and AASHTO to ensure that appropriate material is available on the NGEC website.
- Serve as Vice-chair or Chair of the Finance and Administrative Subcommittee.
- Organize and manage efforts to develop "NGEC Future" models:
  - Organize efforts to identify, assess, and implement funding and financing models that may partially or fully fund the NGEC's ongoing operations. This is especially targeted at the period after the grant has expired or its financial resources are fully spent.
  - Organize efforts to identify, assess, and implement organizational and institutional models beyond this committee status to advance the NGEC's activities into a long-term sustainable entity based on the scope described in this document and additional responsibilities.

The Finance and Administrative Subcommittee shall meet via conference call on a regular basis as prescribed by the membership or as directed by the Executive Board to fulfill its duties. In an attempt to reduce expenses, face to face meetings will be held in conjunction with other Section 305-related activities as appropriate. Travel related expenses for state members are provided in the AASHTO Support Services/Professional Services budget.

#### SECTION 209/305 EQUIPMENT CAPITAL CHARGE "514" SUBCOMMITTEE

The scope of work of the “514” Subcommittee is as follows:

- Understand and agree to the capital equipment work to be performed by Amtrak for the states.
- Identify all work elements and associated costs included within the approved work.
- Identify the condition of equipment before and after it is overhauled.
- Identify quality control procedures, associated costs and warranty processes for any rework.
- Support and monitor the reconciliation process for planned overhauls.
- Understand cost allocation and develop reconciliation processes for the capital plan and capital charges for equipment shared among states or states and national/long-distance or Northeast Corridor fleets.
- Identify and track costs of each element pursuant to standard accounting principles.

The Section 209/305 Equipment Capital Charge Subcommittee shall meet by conference call every other week or as determined by the Subcommittee. Any meetings to be conducted in person will be arranged in conjunction with other events of Executive Board and subcommittees in order to keep expenses to a minimum. Travel related expenses for state members are provided in the AASHTO Support Services/Professional Services budget.

#### AASHTO SUPPORT SERVICES

AASHTO has provided support services for the NGEC, under agreement with Amtrak, since January 2010. The Executive Board intends to continue to utilize AASHTO services to support efforts of the NGEC. Amtrak will contract with AASHTO to secure AASHTO services in support of the NGEC.

The services provided fall into the following categories:

1. **Meeting support**—AASHTO will provide comprehensive meeting support for: face-to-face meetings of the Executive Board or Subcommittee or Task Force (up to six during the October 2016 – September 2019 period) and any conference call meetings that are scheduled; the face-to-face Annual Meetings (three total during the October 2016 – September 2019 period); any conference call meetings of the Technical Subcommittee, the Finance and Administrative Subcommittee, the “514” Subcommittee, the Joint Procurement Task Force, and the Executive Board Specification Review Panels as needed. Meeting support includes reimbursing state officials for travel costs incurred, securing meeting rooms, meeting all on-site needs for equipment, materials, food and beverages, and other responsibilities as needed and directed.
2. **Communications-Coordination-Management Support**— AASHTO will provide a high level of effective effort to communications, coordination, and management support to expedite the work of the NGEC. Maintaining clear lines of communication and a flow of accurate information within and among the Executive Board and its subcommittees and task forces is especially important due to:
  - the complexity of the mission of the NGEC,
  - the diversity among and within the primary participants,
  - the need to maintain clarity and focus on the work plan, and
  - the need to transition to the second phase of its mission systematically and efficiently.

The significance of this function and the challenges associated with carrying it out have increased, and will further increase as the NGEC continues its work.

3. **Web Site**—The NGEC web site is an essential element of the support infrastructure for the NGEC. It has been established on the AASHTO web site, [www.highspeed-rail.org](http://www.highspeed-rail.org). It provides a central repository for NGEC documents, both background and administrative and serves as a vehicle for communicating

among NGEN members and between the NGEN and the wider community of interest. It is the repository for all information related to the operations of the NGEN, and, most importantly, for the specifications established by the NGEN. The web site has tracked the evolution of the process to accommodate changes in specifications, establishing procedures for document changes, for efficient and secure access to specifications and referenced documents, and preparing for requirements that will result from the procurement process. AASHTO will continue to maintain the NGEN web site and will develop it into a fully functioning stand-alone site while still being maintained and hosted by AASHTO by December 31, 2018.

AASHTO support activities will include, but not be limited to: assistance in the preparation of agendas, preparation and dissemination of meeting summaries; the maintenance of accurate member and participant lists, the assembly and distribution of materials, maintaining lines of communication between the Executive Board and the subcommittees; the provision of expert policy decision support; maintaining focus on work plan and schedule; providing content and technical support for the NGEN web site; and providing conference call and, as required, webinar lines and support for all NGEN Board, subcommittee, and task force meetings.

AASHTO will also carry out responsibilities related to contracting for consultant support as directed by the Executive Board.

AASHTO will provide management oversight and staff support. AASHTO meetings staff will be responsible for meeting arrangements. AASHTO professional support staff will provide assistance as needed, for the Subcommittee secretariat function and for the maintenance of the web site. Consultants retained by AASHTO will provide the bulk of the day-to-day support for the Executive Board, the subcommittees, and the NGEN in general.

AASHTO consultant support responsibilities will include:

**Manager of the NGEN Support Services (Manager).** The Manager will manage and coordinate communication within and among the NGEN Executive Board, its standing subcommittees, review panels and any additional subcommittees, task forces, or working groups established by the Executive Board; while also coordinating information among working groups established under direction of the Technical or Finance and Administrative Subcommittees that are formed throughout the term of the grant agreement. The Manager will also provide Secretariat services; serve as parliamentarian, ensure consistency and clarity of message; and manage the day to day business of the Executive Board, the subcommittees and task forces or working groups; ensuring that schedules are adhered to; questions and concerns of the public and the industry are responded to; timelines are met; and action items are completed on time. In general, the Manager will preserve the integrity of the process established in the Committee's Work Plan and provide quality assurance support by conforming process and NGEN business with the approved by-laws.

**Specification Consultant.** The Specification Consultant will independently review the release of any Next Generation Equipment specification, and the revisions proposed in the context of their responsiveness to the provisions of the any requirements document developed, the performance objectives of PRIIA and whether the actions taken by the NGEN Technical Subcommittee to revise the documents are consistent with established processes. The relevant Document Control Coordinator will provide the Specification Consultant with all necessary documentation (the current specification, the proposed revisions and the pertinent Requirements Document). Upon completion of deliberations, the Specification Consultant will prepare letter reports for presentation to the Executive Board describing the findings and recommendations of the Review Panel. These reviews include those of the full reviews and updates of all of the existing NGEN specifications as listed in the previous section, Technical Subcommittee, Scope of Work and Budget.

**Technical Specification Consultant (Technical Writer).** The Technical Writer performs technical writing services as required to support the document needs of the NGEC. These services include writing, proof reading and/or formatting submissions from NGEC subcommittees and the Executive Board, including:

- Original Vehicle Specifications
- Changes to Specifications
- Original Support Documents and Changes
- Creating forms in Adobe or Word in support of these efforts
- Other document-related duties as maybe tasked by the NGEC subcommittees and Executive Board.

Documents shall be created in Microsoft Word. Conversion of documents to “pdf” formats for posting on the AASHTO web site is required, creating both “secure” and non-secure versions. The Technical Writer’s tasks will be supervised by the NGEC Section 305 Revision Control Coordinator.

#### PROJECT SCHEDULE

The period of performance for the above work shall be 36 months, beginning October 1, 2016 and ending September 30, 2019

#### PROJECT BUDGET

The total estimated cost of the project is \$1,250,000 for which the FRA grant will contribute 100% of the total cost, but no more than \$1,250,000.

Cost Summary:

|                       | Executive Board | Technical Subcommittee | Finance & Admin. Subcommittee | “514” Subcommittee | AASHTO Support Services | TOTAL              |
|-----------------------|-----------------|------------------------|-------------------------------|--------------------|-------------------------|--------------------|
| Labor                 |                 | \$72,000               | \$90,000                      |                    | \$100,000               | \$262,000          |
| Meetings              |                 |                        |                               |                    | \$90,000                | \$90,000           |
| Travel                |                 |                        | \$10,000                      |                    | \$90,000                | \$100,000          |
| Professional Services |                 |                        |                               |                    | \$682,000               | \$682,000          |
| Financial Review      |                 |                        | \$100,000                     |                    |                         | \$100,000          |
| Conference Calls      |                 |                        |                               |                    | \$12,000                | \$12,000           |
| Webinar               |                 |                        |                               |                    | \$3,000                 | \$3,000            |
| Website               |                 |                        |                               |                    | \$1,000                 | \$1,000            |
| <b>TOTAL</b>          | <b>\$0</b>      | <b>\$72,000</b>        | <b>\$200,000</b>              | <b>\$0</b>         | <b>\$978,000</b>        | <b>\$1,250,000</b> |

On 9-16-20, The NGEC Treasurer and Chair of the Finance and Administrative subcommittee, Tim Ziethen, Amtrak, reported that the FRA and Amtrak had executed a 36 month no-cost NGEC grant agreement extension. The executed extension agreement has been provided to the executive Board.

The work of the committee as described in the scope of the initial grant agreement of 2016 (extended for 12 months through 9-30-20 and revised to move the "514 subcommittee to SAIPRC) continues using the funds that remain available from the initial \$1,250,000. The extension is for the period beginning on 10-1-2020 through 9-30-2023.

In October 2020, the NGEC 36-month no cost grant agreement extension was approved and fully executed by Amtrak and the FRA for the period beginning on 10-1-2020 through 9-30-2023.

As of 11-30-2020, AASHTO and Amtrak have fully executed a 36-month support services contract for the same period as the grant agreement extension, and AASHTO, in turn, has fully executed 36-month contract extensions with its on-going subcontractors including: Steve Hewitt (Hewitt Consulting) – NGEC Support Services Manager; Tammy Krause, NGEC Document Control Manager; and Camren Cordell (Casamar) as the NGEC Technical Writer. Larry Salci, Technical Consultant to the NGEC Review Panels will also be retained by AASHTO on individual task orders.

On September 30, 2023, the performance period for the FRA Grant Agreement with Amtrak for NGEC funding ended. Amtrak had applied for a CRISI Grant for new funding for the NGEC. A CRISI Grant for this purpose was not awarded by FRA. In anticipation of this possibility, the NGEC Executive Board developed a 12-month interim work plan and budget for consideration by the Amtrak Board to include in its FY 2024 AOP.

On October 1, 2023, the NGEC continued its activities under the terms of the work plan and budget approved by the Amtrak Board to keep the NGEC going for a 12-month period while alternative funding options are explored. The funding for the 12-month period from 10-1-23 through 9-30-24 is \$260,000.

Through Amtrak, a CRISI Grant Application for long-term funding for the NGEC has once again been submitted.