



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

Section 305 Next Generation Corridor Equipment Pool Committee (NGEC)

Monthly Activities Report: December 31, 2020

Submitted By: Steven J Hewitt, Program Manager, S305 NGEC

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, considering 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."*

Executive Board

Chair: Ray Hessinger, NYSDOT

Vice Chair: George Hull, Amtrak

Secretary: John Oimoen, IDOT

Treasurer: Tim Ziethen, Amtrak

The Executive Board holds bi-weekly conference calls – Tuesdays at 11:30am Eastern

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 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.

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 NGEC 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 NGEN 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 NGEN 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 NGEN specification, but it was unknown if they plan to use it or if they will be in contact with the NGEN 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 – NGEN Virtual Annual Meeting 2-23-21.

- NGEN Annual Meeting – 2021:

Note – on December 1, 2020, the Executive Board agreed to hold the NGEN “virtual” Annual Meeting on February 23, 2021 from 11:30AM-1:30PM Eastern. Steve Hewitt has sent a Save the Date notice and a calendar appointment out to all NGEN 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 NGEC members. Most speakers have been confirmed. Follow-ups to speakers invited but not yet confirmed are underway.

Technical Subcommittee:

Chair: George Hull, Amtrak

Vice Chair: Joe Paul, Amtrak

The Technical subcommittee holds bi-weekly conference calls on Thursdays at 3:00pm Eastern

During the month of December 2020, the Technical subcommittee met once, via conference call, on the 10th. The second monthly meeting landed on Christmas Eve and was cancelled.

Key decisions and action item updates from the month of December 2020, included:

- Backgrounder educational document:

The current 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

The Executive Board has approved proposed updates as presented by the NGEC 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 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 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.

- 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 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 24th 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)

There was nothing new reported in December, as the meeting scheduled for the 24th 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 24th 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

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.

The Finance and Administrative Subcommittee

Chair: Tim Ziethen, Amtrak

Vice Chair: Brent Thompson, Washington State DOT

Second Vice Chair: John Oimoen, Illinois DOT

The Finance and Administrative subcommittee (FASC) will hold a conference call every four weeks on Wednesdays at 3:00pm Eastern.

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 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 12-31-20 - NGEN Equipment Acquisition and Ownership Best Practices Working Group:

On 12-9-20 Steve Hewitt reported that the NGEN Equipment 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 NGEN 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 NGEN "virtual" Annual Meeting on 2-23-20.

- **Quarterly Grant Progress Report:**

The 4th 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 NGEN By-Law:**

Task complete – next review – Fall 2021.

NGEC Specification Review Panel(s):

For each PRIIA NGEC specification a Review Panel has been established to compare the specification (as developed by the Technical subcommittee) against a Requirements document previously adopted by the Executive Board. As the Review Panel completes its work, it prepares a report with recommendations. This report is submitted to the Executive Board for its consideration. Once accepted by the Board, the specification is subsequently formally adopted by the Executive Board. As part of the Document Control process, any proposed revisions to a PRIIA NGEC specification must go through the Review Panel process as well. At such times, the Review Panel, previously established for a specification, is re-convened by the Executive Board chair.

The Trainset Specification Review Panel met on October 17, 2019 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 NGEC Executive Board accepted the Review Panel's Report and Recommendation and formally adopted PRIIA Single Level Trainset Specification 305-007 Revision B.

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 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.

As reported earlier in this document, 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.

Milestones – Quarterly update (October 1 through December 31, 2020)

Bi-weekly meetings:

Throughout the quarter, the NGEC Executive Board and the Technical subcommittee held bi-weekly conference calls.

Monthly meetings:

During the quarter, the Finance and Administrative Subcommittee (FASC) met every four weeks on Wednesdays.

Dissemination of educational/informational pieces:

During this quarter, the 2020 NGEC two-page educational document was released and made available in in hard copy and electronically by request through NGEC Program Manager Steve Hewitt. The document is also posted on the opening page of the NGEC website at www.ngec305.org and it was distributed at the TRB Annual Meeting during the session on the NGEC in January; and at the NGEC Annual Meeting in February 2020.

As of 12-31-20, approximately 455 hard copies and electronic have been distributed to NGEC members, Congressional staff, stakeholders, and transportation organizations.

On 12-15-20, the NGENC approved updates to the two-pager as developed and presented by the Finance and Administrative subcommittee pending several permissions and confirmations related to publishing a picture of an NGENC (IDOT) coach car. Approvals/permissions have been received and the document is with Missouri DOT graphic arts to format and finalize the changes into a final draft for Executive Board review. The intent is to have a new educational, document ready for distribution by the end of January 2021 or by the NGENC Virtual Annual meeting to be held on 2-23-21.

NGENC Annual Meeting:

The NGENC's 10th Annual Meeting took place on 2-21-20 at the Hyatt Regency, Capitol Hill with approximately 80 NGENC members present.

The next (11th) Annual Meeting will take place virtually on 2-23-21. Invitations have been sent out to all NGENC members and a Final DRAFT agenda was approved by the NGENC Executive Board (12-15-20).

Annual Review of NGENC By-Laws and Operating Procedures:

This task was completed in the quarter. The Executive Board adopted changes proposed by the NGENC Finance and Administrative subcommittee. The changes were incorporated into the document by Steve Hewitt and he distributed to the Executive Board members and to AASHTO to post it on the NGENC website.

Grant reporting:

As required by the Grant Agreement, Amtrak will submit a quarterly report to the FRA. Information provided in the monthly NGENC Activities reports for the quarter, prepared by the NGENC Manager, will be utilized as a basis for the Quarterly Reports to the FRA.

The first such quarterly report included the period from October 1, 2016 through December 31, 2016, was submitted by Amtrak by January 31, 2017.

The second quarterly report included the period from January 1, 2017 through March 31, 2017 and was submitted by April 30, 2017.

The third such quarterly report included the period from April 1, 2017 through June 30, 2017 and was submitted by Amtrak to FRA by July 31, 2017.

The fourth such quarterly report included the period from July 31, 2017 through September 30, 2017 and was submitted by Amtrak to FRA by October 31, 2017.

This first quarterly report for 2018 included the period from January 1, 2018 through March 31, 2018 and was submitted by Amtrak to FRA by April 30, 2018.

The second quarterly report for 2018 includes the period from April 1, 2018 through June 30, 2018 and will be submitted by Amtrak to FRA by July 31, 2018.

The third quarterly report for 2018 includes the period from July 1, 2018 through September 30, 2018 and will be submitted by Amtrak to FRA by October 31, 2018.

The fourth quarterly report for 2018 includes the period from October 1, 2018 through December 31, 2018 and will be submitted by Amtrak to the FRA by January 31, 2019.

The first quarterly report for 2019 includes the period beginning January 1, 2019 through March 31, 2019 and will be submitted by Amtrak to FRA by April 30, 2019.

The second quarterly report for 2019 will include the period beginning on April 1, 2019 and ending on June 30, 2019. The report was submitted by Amtrak to FRA by July 31, 2019.

The third quarterly report for 2019 will include the period beginning on July 1, 2019 and ending on September 30, 2019. The report will be submitted by Amtrak to FRA by October 31, 2019.

The fourth quarterly report for 2019 will include the period beginning on October 1, 2019 and ending on December 31, 2019. The report was submitted by Amtrak to FRA on time by January 31, 2020.

The first quarterly report for 2020 will include the period beginning on January 1, 2020 and ending on March 31, 2020. The report was submitted by Amtrak to FRA by April 30, 2020.

The second quarterly report for 2020 will include the period beginning on April 1, 2020 and ending on June 30, 2020. The report was submitted by Amtrak to FRA by July 31, 2020.

The third quarterly report for 2020 will include the period beginning on July 1, 2020 and ending on September 30, 2020. The report was submitted by Amtrak to the FRA by October 30, 2020.

The fourth quarterly report for 2020 will include the period beginning on October 1, 2020 and ending on December 31, 2020. The report will be submitted by Amtrak to the FRA by January 31, 2021.

Fiscal and contractual actions:

During the April 1 to June 30, 2017 quarter, the Finance and Administrative subcommittee, and, subsequently, the Executive Board, adopted a motion that expressed the intent to extend the contracts of AASHTO and the subcontracts in synch with the Grant Agreement and consistent with the budget and SOW. Currently, Amtrak and AASHTO are in the process of developing their contract extension and, following its execution, AASHTO has been directed to do the same with the sub-contracts identified in the SOW and noted in the adopted motion inserted below.

“As was intended in past NGENC budget approvals and to ensure compliance with the Audit of Grant Agreement of March 27, 2013, and the NGENC’s updated Procedure of Establishing Contract Support adopted August 6, 2013, the NGENC 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 NGENC’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.”

Adopted by the NGENC Executive Board on 6-6-17.

On 9-26-17, AASHTO and Amtrak executed a contract extension for NGENC Support services to continue from 10-1-17 through 9-30-19. On 9-27-17 AASHTO executed a contract modification with Hewitt Consulting – (Steve Hewitt) extending the NGENC Manager’s contract for the period 10-1-17 through 9-30-19.

In the fourth quarter, 2017 – AASHTO and Amtrak executed a contract extension for technical support (spec writing) with Casamar – extending the contract through 9-30-19.

During the fourth quarter, NGENC Revision Control Coordinator (RCC), Tammy Krause, Amtrak, accepted the separation agreement and announced her departure to the NGENC Executive Board – effective 12-31-17. To fill the void created by this change, Amtrak has temporarily assigned these responsibilities to Michael Burshtin, Amtrak, and has begun taking steps needed to potentially subcontract this work similarly to how the other NGENC support services are provided. The SOW was revised by the NGENC Executive Board during this quarter to provide the flexibility to have the duties of the RCC conducted in house – Amtrak – or be subcontracted to a consultant. The Amtrak and FRA grants offices are reviewing the proposed change and, if approved, a sole source contract will be executed per NGENC Contract Management procedures.

As of 3-31-18, and as noted previously in this quarterly report, the NGENC Grant Agreement SOW revisions have been submitted to FRA and are under review. It is anticipated that the revisions will be approved and executed in April 2018. Simultaneously, the actions necessary to execute a contract for the Document Control Manager (DCM) have progressed with a revised SOW and budget having been

submitted by the prospective sole source contractor for review and approval of the NGEC Treasurer and the Technical Subcommittee Chair who will be responsible for managing the work of the DCM.

During the quarter ending June 30, 2018, per the NGEC process, AASHTO executed a contract with TLK Associates, LLC (Tammy Krause) to perform the Document Control Management responsibilities, as identified in the SOW and budget, and as previously approved by the NGEC Executive Board.

During the quarter ending September 30, 2018, the FRA and Amtrak executed a no-cost 12-month extension (as approved by the NGEC Executive Board and formally requested by Amtrak) of the NGEC Grant Agreement. This extends the grant performance period to 9-30-2020.

Subsequently, on 5-8-19 AASHTO executed contract modification #2 with Hewitt Consulting – (Steve Hewitt) extending the NGEC Manager's contract for the period 10-1-19 through 9-30-20.

In December, the Executive Board Chairman approved a contract modification extending the document control manager's contract through 9-30-20.

During the quarter ending June 30, 2019, the NGEC Finance and Administrative subcommittee, through its chair, (the NGEC Treasurer) clarified with Amtrak Grants and FRA Grants that the NGEC would be eligible for a further no-cost extension beyond the current grant period end date of 9-30-2020.

In the quarter ending December 31, 2019, the FRA confirmed that a no-cost NGEC grant agreement extension can be for multiple years and has recommended that Amtrak (and the NGEC) make the formal request by July ,2019 to fit within the window for extension requests (July -September). The NGEC Executive Board agreed with the FASC recommendation that the grant agreement extension be for a 36-month period (10-1-2020 through 9-30-2023) and will formalized its request in January 2020.

In January 2020, Amtrak submitted the formal request (GARF) for a 36-month no-cost extension. It is currently in the review process at FRA with the intent being to approve/execute the agreement extension sometime in May 2020.

As of 6-30-20 – the FRA is reviewing the grant extension request with consideration of approval anticipated to occur soon.

As of this quarter, (ending 6-30-20) all NGEC subcontractor/consultant contracts are current.

On 9-16-20, the FASC Chairman announced that the FRA and Amtrak had approved and executed a 36 month – no cost NGEC grant agreement extension. This would extend the NGEC grant agreement through September 30, 2023. The scope and activities identified in the grant agreement remain the same and the work of the committee will continue as described there-in.

As of 9-30-20 – the subcontractor/consultant contracts are current. As of the end of business on 9-30-20, they will need to be extended in sync with the 36-month extension. The first step in this process is for Amtrak and AASHTO to extend the AASHTO contract for the 36-month period. AASHTO would, in turn, extend the subcontractors contracts for the same period as per the motion adopted by the NGEC Executive Board on 6-6-2017 and per Chairman Ray Hessinger's instructions during the Executive Board web conference held on 9-22-20.

In October 2020, all contract extensions (Amtrak/AASHTO) and ASSHTO/Hewitt, AASHTO/Krause and AASHTO/Casamar) were executed and will run through 9-30-23.

Review/Update of NGEC Specifications (Document Control):

This activity is ongoing and on track:

Activities specific to this quarter:

During the quarter ending March 31, 2020, the adopted update to PRIIA Single Level Trainset Specification 305-007 (Revision B) was with the Technical writer who is completing the incorporation of the approved changes to the specification as adopted by the Board. As of 6-30-20, there continues to be a delay in completing this task due to errors found in the numbering of the sections. It is expected that corrections will be completed in the 3rd quarter 2020.

Also, during this quarter, (ending 6-30-20) work continued on the update of the PRIIA DMU specification. Completion of the DMU update process is anticipated to occur in July 2020.

During the 2nd quarter 2020, the Technical subcommittee began work on the development of a TSSSA template/primer which, when complete, will be included as a part of the NGEC library of documents and specifications.

During the quarter ending on September 30, 2020, progress has been made on updating the PRIIA DMU specification. It has moved through all of the technical working groups. A summary of approved changes will now go to the full Technical subcommittee for its review. Once approved by the subcommittee, the changes will be submitted to the NGEC Executive Board Chair who will re-convene the NGEC DMU Review Panel and request that Technical consultant Larry Salci to review the changes against the requirements document to ensure compliance with it. He will then develop a Review Panel Report with recommendations. The Review Panel will review the report and, once it is approved and finalized, it will be submitted to the Executive Board for its consideration of adoption.

The Single Level trainset specification – previously updated and approved by the Executive Board as PRIIA 305-007 Revision B has been undergoing a reformatting so as to make it consistent with all NGEC specifications in format. This process is nearly complete with the Technical writer finalizing the process.

The development of a Recommended Practices document by the Equipment Acquisition and Ownership working group is with the Technical writer as well to be updated with final revisions suggested by the working group. Once complete, the working group will do a final review and then consider its approval. Once approved by the working group, it will be sent to the Executive Board for its review and consideration.

During the 4th quarter (ending on December 31, 2020) progress was made on updating the PRIIA DMU specification. An industry member (Stadler) – builders of DMU's asked for additional time to provide recommendations (DCRS) to improve the specification. They are expected to provide those DCRs in January 2021. All other changes have been adjudicated and approved by the Technical subcommittee. The Review Panel has been reconvened and Technical consultant Larry Salci has been contracted to prepare a Review Panel Report, once the final DCRs are received.

The Recommended Practices (PRIIA 305-200) is in final review by the members of the NGEC Equipment Acquisition and Ownership Best Practices and Lessons Learned working group. The group met twice in December 2020 and finalized changes to the 4th revision. It has been sent to the NGEC technical writer who will incorporate all changes into a final DRAFT formatted consistent with all NGEC documents. The final draft will be reviewed for fatal flaws by the working group and once approved, will be sent to the executive Board. It is expected that this document will be released by the NGEC Virtual Annual meeting – 2-23-21.