



*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: September 30, 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 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 NGECC specifications to ensure compliance and make any necessary changes by utilizing the NGECC 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.

- 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 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 NGECC Grant Agreement Extension has been approved/executed and the Treasurer's report includes that period going forward.

Syncing all NGECC 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.

**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 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 NGEC 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 NGEC By-Laws, George became Vice Chair of the NGEC 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 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)

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 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 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 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.

### **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 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 NGEC 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 NGEC 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 NGEC 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 NGEC 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 NGEC, but the 36 month no-cost grant agreement extension will enable the NGEC 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- NGEC 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.

### **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 September 2020, the Review Panels did not meet.

### **Note from Steve Hewitt, NGEC Program/Support Services Manager:**

On behalf of the members of the NGEC, I would like to congratulate Charlie King as he retires from Amtrak and I would like to express my appreciation to him for his dedication to the NGEC and its work. Charlie served as Chair of the Technical subcommittee and as Vice Chair of the NGEC Executive Board. We appreciate the time, effort and commitment from Charlie in taking on these roles and keeping the NGEC Technical subcommittee moving forward in developing and maintaining standardized specifications and in making sure each of the specifications would be updated to stay current and useful.

Thank you, Charlie, we wish you all the best in whatever the future brings.

### **Milestones – Quarterly update (July 1 through September 30, 2020)**

#### **Bi-weekly meetings:**

Throughout the quarter, the NGEC Executive Board and the Technical subcommittee held bi-weekly conference call meetings with one exception – in July, due to schedule conflicts, the Executive board met once.

#### **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](http://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 9-30-20, 425 hard copies and electronic copies have been distributed to NGEC members, Congressional staff, stakeholders, and transportation organizations.

On 9-16-2020, FASC Chairman Tim Ziethen formed a task force comprised of Tim Ziethen, Steve Hewitt, Ray Hessinger, and Troy Hughes to review and recommend updates to the document to make it current. The intent is to have a new educational, document ready for distribution by January 2021.

#### **NGEC Annual Meeting:**

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

The next (11<sup>th</sup>) Annual Meeting is intended to take place in Washington, DC in February 2021. The location has not yet been formally determined, but could well be at the Hyatt Regency, Capitol Hill once again. The formal announcement and invitation to the Annual Meeting will go out in late Fall, 2020. It is possible, depending on COVID 19 restrictions, that the meeting will be conducted “virtually” via web conference. Either way, the Annual Meeting will take place – format, location, and date to be determined.

#### **Annual Review of NGEN By-Laws and Operating Procedures:**

On 9-16-20, based on the recommendation of Steve Hewitt, NGEN Program/Support Services Manager, Chairman Tim Ziethen tasked Steve Hewitt and NGEN Secretary, John Oimoen, IDOT to begin the review of the By-Laws. They will provide an update on their progress on the next FASC call (10-14-20). The intent would be to have any recommended approved by the Executive Board by December 2020.

#### **Grant reporting:**

As required by the Grant Agreement, Amtrak will submit a quarterly report to the FRA. Information provided in the monthly NGEN Activities reports for the quarter, prepared by the NGEN 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 will be 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 will be 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 will be submitted by Amtrak to the FRA by October 30, 2020.

**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 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.”*

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

On 9-26-17, AASHTO and Amtrak executed a contract extension for NGEC 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 NGEC 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, NGEC Revision Control Coordinator (RCC), Tammy Krause, Amtrak, accepted the separation agreement and announced her departure to the NGEC 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 NGEC support services are provided. The SOW was revised by the NGEC 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 NGEC Contract Management procedures.

As of 3-31-18, and as noted previously in this quarterly report, the NGEC 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.

#### **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 3<sup>rd</sup> 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 2<sup>nd</sup> 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 though 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 NGENC 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.