



Section 305 Next Generation Corridor Equipment Pool Committee (NGEC)

Monthly Activities Report: March 31, 2017

Submitted by: Steven J Hewitt, Manager, S305 NGEC Support Services

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."

Executive Board

Chair: Eric Curtit, Missouri DOT

Vice Chair: Mario Bergeron, Amtrak

Secretary: Ray Hessinger, NYSDOT

Treasurer: Darrell Smith, Amtrak

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

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

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, NGECC Consultant, Paul Jamieson, SNC-Lavalin, and Dick Bruss, NARP. Steve Hewitt has agreed to provide NGECC 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 TTCL 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 TTCL 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 10th.

He expressed his thanks to Amtrak for providing the 1st 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 NGENC 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 NGENC 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.

Technical Subcommittee:

Chair: Mario Bergeron, Amtrak

Vice Chair: Dale Engelhardt, Amtrak

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

During the month of March, 2017, the Technical subcommittee met twice, via conference call, on the 9th and on the 23rd. 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 NGENC Annual Meeting, but her presentation is available on the website at www.ngenc305.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.

The Finance and Administrative Subcommittee

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 holds a conference call every four weeks on Wednesdays at 3:00pm Eastern.

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.

The 514 Subcommittee:

Chair: Brian Beeler II – NNEPRA (Maine DOT)

Vice Chair: Jonathan Dees - NCDOT

The 514 Subcommittee holds a monthly conference call on Mondays at 4:00PM Eastern.

On March 28th, Chairman Brian Beeler II, provided the following update to the NGEN 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 10th.

Brian expressed his thanks to Amtrak for providing the 1st 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.

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

NGEC Specification Review Panel(s):

For each PRIIA NGEN 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 NGEN 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.

In March, 2017, the Review Panels did not meet.

Milestones – Quarterly update (January 1, 2017 through March 31, 2017)

Capital Improvement Program (CIP) completion and updates by the 514 Subcommittee:

During this quarter, the 514 subcommittee continued activities related to the “major” update of the CIP. The subcommittee agreed, in March, 2017 to increase their call frequency to twice a month to better accommodate the work that will go into completing the CIP update.

Bi weekly meetings:

Throughout the quarter, the NGEN Executive Board and the Technical subcommittee held bi-weekly conference call meetings.

Monthly meetings:

Throughout the Quarter, the Finance and Administrative Subcommittee (FASC) and the 514 Subcommittee held monthly conference calls. The one exception being the month of March, during which the FASC meeting was cancelled due to a schedule conflict, and the fact that the subcommittee had just presented its Annual Update, and the Treasurer's Report at the NGEC at the Annual Meeting held on February 24, 2017.

Dissemination of educational/informational pieces:

During the quarter, approximately 270 copies out of 300 from the initial printing order of the NGEC Educational/Outreach document were distributed broadly to Congressional delegation and staff, states, industry members, and other passenger rail related organizations and associations. A second printing of the document has been requested.

NGEC Annual Meeting:

The NGEC Annual Meeting took place on 2-24-17 with over 70 NGEC members present.

Highlights of the meeting include:

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.ngec305.org

Annual Review of NGEC By-Laws and Operating Procedures:

During the quarter, the NGEC's Finance and Administrative subcommittee (FASC) conducted its annual review of the NGEC By-Laws and Operating Procedure and reported to the Executive Board that no changes were warranted now. The Board accepted the "no changes" recommendation. The FASC will conduct its next annual review in December, 2017.

Grant reporting:

As required by the Grant Agreement, Amtrak will submit a quarterly report to the FRA. The first such quarterly report included the period from October 1, 2016 through December 31, 2016, and will be submitted by Amtrak by January 31, 2017.

The second quarterly report will include the period from January 1, 2017 through March 31, 2017 and the information provided in the monthly NGEC Activities reports for the quarter, prepared by the NGEC Manager, will be utilized as a basis for the Quarterly Report to the FRA.

Fiscal and contractual actions:

During the last quarter, with the execution of the new Grant Agreement, as a part of the Statement of Work and Budget for the NGEC, a review of current consultant and administrative support contracts

occurred. Each contract was included as a part of the SOW and budget for the new grant agreement and was to be continued consistent with the Grant Agreement through 9-30-19.

No action is necessary on these contracts now since each currently runs through 9-30-17. As the contracts' expiration dates approach, action will be required to execute extensions consistent with the intent of the NGEC Board and in compliance with the Grant Agreement and the approved SOW and budget.

Review/Update of NGEC Specifications (Document Control):

During the quarter, the NGEC Technical subcommittee, through its Document Control Process, continued its review of the PRIIA Single Level Car Specification 305-003 following the timeline developed during the last quarter and reprinted below:

PRIIA Specification 305-003 Single Level Specification Update Timeline

| Task | Due |
|---|----------|
| 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 |

In March 2017, in accordance with the Document Control Process, the Locomotive technical working group completed its review and approval of change requests for the Diesel-electric locomotive specification. The Revision Control Coordinator compiled the changes into a spreadsheet and they were distributed to all Technical subcommittee members for review and comment. In April, 2017, it is anticipated that a subcommittee vote in consideration of approval will take place. Once approved, the table of changes will be submitted to the Chair of the NGEC executive Board, and the Locomotive Review Panel will be re-convened to review the changes and produce a report with recommendations to the Executive Board. The Board would then take up action to consider adoption of the changes, and, if adopted they will be incorporated into the current specification (Revision A) to create PRIIA Diesel-Electric Locomotive Specification Revision B.