



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, 2021

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 2021, the Executive Board met twice via web conference, on the 7th and the 21st.

Highlights, decisions, and action items from the month of September 2021 include:

- Technical subcommittee review of the Access Board Advance Notice of Proposed Rulemaking regarding accessibility guidelines for Rail vehicles:

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines Advance Notice of Proposed Rulemaking. Amtrak has submitted its comments already and will share them with the Executive Board. Once the comments have come back (The comment period has been extended) and there is ultimately a Final Rule, the technical subcommittee (through its technical working groups) will compare them with the 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 NGECE technical subcommittee informed as the process is completed. As of 9-30-21, nothing new has been reported.

- Executive Board review of NGECE documents to ensure there are no holes in the NGECE portfolio of specifications and other documents.

Development of a TSSSA template/primer:

In July 2021, the NGECE the Executive Board approved the TSSSA document as submitted by the Technical subcommittee with some minor edits/corrections. The document is now being finalized with the approved changes and will become a part of the NGECE inventory of documents. It will be distributed to all NGECE members once finalized and will be posted on the NGECE website.

This task has been completed - the document was adopted in September 2021 by the Executive Board and distributed to all NGECE members and was posted to the NGECE website.

- Treasurer's Report – 9-30-21:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through July 2021: \$812,477.83

Balance remaining: \$ 437,522.17

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$364,246.20

Current Spend Rate per month (as info and used in calculating): \$14,008.24

Estimated Balance at the end of the Extension Period (Contingency): \$73,307.97

- 2021 NGECE two-pager:

The 2021 version of the NGECE two-page backgrounder/educational document remains available electronically or in hard copy by request - contact Steve Hewitt at shewitt109@aol.com.

To date approximately 575 electronic versions have been distributed.

In September the FASC began its review of the 2021 two-pager and began discussion suggested updates for 2022. Members were asked to provide recommended changes to the document to FASC chair Tim Ziethen and NGECE manager Steve Hewitt by 10-6-21 for discussion on the 10-13-21 FASC call. The goal is to publish/distribute hard copies of the 2022 version during the in-person NGECE Annual Meeting to be held in Washington, DC on 2-25-22.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 9-30-21:

Design review for the standard coach is complete. The Cab Carshell final design has been approved for production. Remaining Cab Car FDRs are in the final submittal and review stage and the cab car Clearance information has been submitted to Amtrak. The IDOT Café Car FDR is in the closeout stage with action items being addressed.

The Cab Car Collision and Corner Post Appendix F testing is in process in Germany and the compression test report is in work. FAls for cab car Engineer's seat and windshield occurred on September 22.

94 cars total are in production or have been produced at Siemens Sacramento Facility. IDOT has conditionally accepted 8 coach cars. The Caltrans cars are being prepared for Conditional Acceptance and revenue service while open items are being addressed.

Metro-North Dual Mode Locomotive Equipment as of 9-30-21:

Metro-North continues to hold their initial design review meetings.

They were scheduled to do an on-site visit of the Siemens factory in Sacramento during the week of 9-20-21. The purpose will be to review some of the systems that will remain the same in the Dual Mode Locomotive as those in the Charger. Next update to the Board is due on 10-5-21.

- Amtrak Equipment Procurement Update – as of 9-30-21:

On the Acela 21 – work continues on qualification and testing.

On the Intercity Passenger Rail Trainset (Amfleet) – it is progressing well. It is in the initial design review stage.

On Long Distance Locomotive – There are two in Wilmington doing testing. Another one is ready to ship, and one is behind that.

- Connecticut DOT Rail Car Procurement as of 9-30-21:

This procurement remains in the “cone of silence” period.

- VIA Rail Equipment Procurements:

On 2-23-21 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented by Mario Bergeron, Bruce Cacciola, Ron Bartels, and Joe DiLiello. This full presentation was distributed to NGEN members and is posted on the NGEN website.

The next update is anticipated to take place at the NGEN Annual Meeting 2-25-22.

- Document Control Update - as of 9-30-21:

When presented with the concerns raised at the Technical subcommittee meeting of 9-16-21, over the proposed changes from Stadler which called for Aluminum car bodies, the Executive Board, on 9-21-21, directed the subcommittee to proceed with the adjudication of the remaining DCRs to advance the DMU update without the changes related to the Aluminum materials - for now. Since it would take a policy change by the Executive Board and a re-write of the specification to include Aluminum the Board may wish to take it up in 2022 but does not want this issue to prevent the current specification from being updated in accordance with current NGEN policy and compliance with the requirements document.

As directed by the Board, Tammy Krause, today, (9-30-21) proceeded to walk through the remaining DCRs in the structural section of the specification rejecting (for now) changes related to Aluminum.

After going through a fairly in-depth discussion on many of the remaining DCRs there were a number of the Stadler proposed changes that needed clarification. Stadler subject material experts for those specific changes were not available to respond to these requests for clarification on today's call. Stadler representatives on the call agreed to have the appropriate subject matter experts on the next call to provide clarification and respond to any questions.

With the allotted time for the meeting having been met, it was agreed that the call would end at this point, and the continuation of the adjudication of the remaining Stadler DCRs would resume on the next Technical subcommittee call (10-14-21).

Tammy Krause was asked by Steve Hewitt to update the DCR summary sheet to the point where the Technical subcommittee left off today (9-30-21) and to provide it to him for distribution in advance of the next call.

Steve Hewitt also suggested, and the Chair agreed, that once the adjudication of all of the proposed DCRs has been completed, Tammy Krause would be asked to prepare a final summary of the DCRs, and the decisions agreed to. Tammy would then send that final summary of changes to Steve Hewitt for distribution in advance of the following call at which point a vote could take place.

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- Updates: States and Amtrak – Charger Locomotive and Rail Car Experience:

In-depth updates were provided during the 2021 Annual Meeting and were distributed to NGEC members and can be found on the NGEC website.

- Exploring/confirming funding options beyond 9-30-2023:

Tim Ziethen reported that on the last FASC call a discussion ensued regarding NGEC securing future funding.

Tim noted that it may be covered by the FRA's budget – maybe not as a line item, but within the confines of its budget.

Tim also noted that, in talking with Ken Altman and others at Amtrak, it is apparent that nothing prohibits the NGEC from getting funding from Amtrak through its grant process. The NGEC is listed as one of the possible recipients within the overall Amtrak grant request. He also emphasized that Amtrak is supportive of the work that the NGEC does, but it would be good to get something more concrete from Amtrak.

Steve Hewitt clarified that FRA has not confirmed that it has been provided with funding for the NGEC in its budget, but that House T&I Committee staff (Frances Bourne), when asked about the NGEC not being reauthorized in the House Federal Surface Transportation Authorization Bill, stated "it's been taken care of – its covered in the budget". Arun Rao, Wisconsin DOT, and Chair of the States for Passenger Rail Coalition (SPRC) had the conversation with Frances, and he confirmed this is what she said. Arun added that he had heard nothing further.

Steve Hewitt suggested it would be appropriate and reasonable to get clarification from FRA on whether or not this is correct. Steve asked Jeff Gordon, FRA, if he would look into this with the appropriate FRA office/contact. Jeff agreed to look into it. Tim Ziethen offered to assist Jeff in any way that he could.

Steve Hewitt and Tim Ziethen provided a brief background on past efforts to look at funding options for the NGEC outside of FRA or Amtrak. Steve reported that an NGEC Task Force had looked at various options extensively and concluded that the NGEC and its activities are a federal government responsibility and should be funded through the federal government. The Executive Board at the time, formally adopted the task force recommendations.

Jeff Gordon, FRA, commented that a complete summary of the Task Force activities and its recommendations, and the ultimate Executive Board action is well documented in the NGEC Comprehensive Activities Report that Steve Hewitt has written.

Tim Ziethen agreed that pursuit of other options is not likely and that the best way forward is to pursue clarification from FRA and/or Amtrak.

Ray Hessinger – suggested that the NGEC explore the various grant programs that are available to see if there are grants available that may work for the NGEC. It is understood that Amtrak would likely have to be the applicant in any such grant as the NGEC is not a legal entity.

Ray also mentioned future appropriations requests.

Actions:

Tim will reach out to Ken Altman, Amtrak, for clarification.

Jeff Gordon, FRA, will reach out internally, for FRA clarification.

Explore potential grant opportunities and potential appropriations requests for funding beyond 2023.

NGEC Annual Meeting 2022:

As announced previously, the NGEN will hold its 2022 Annual Meeting in-person at the Hyatt Regency, Capitol Hill on February 25, 2022. The meeting will begin at 8:30am and conclude around Noon (Eastern). More details will follow as an agenda is developed and the time for the meeting draws nearer. All NGEN members have been informed of the date and location of the meeting.

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 2021, the technical subcommittee met three times, via web conference call, on the 2nd, 16th and the 30th.

Key decisions and action item updates from the month of September 2021, included:

- Backgrounder educational document:

The 2021 NGEN educational document. remains available in hard copy and/or in a PDF by sending a request to Steve Hewitt at shewitt109@aol.com.

Total distribution is approximately 575 as of 9-30-21. All distributions have been electronic to date.

- AWG/RVACC:

Technical subcommittee review of Access Board advance NPRM Accessibility Guidelines and compare with current NGEN Specifications

The intent of this effort is for states to submit their comments to the Access Board Docket on the Accessibility Requirement Guidelines (advanced) Notice of Proposed Rulemaking. Amtrak has submitted its comments already. Once the comments "have come back", the technical subcommittee will compare them with the NGEN specifications to ensure compliance.

As of 9-30-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update as of 9-30-21:

Status – Trainset Specification Re-write:

The re-write is ready for technical subcommittee review, but is in a holding pattern until the subcommittee completes its review and consideration of the DMU specification DCRs. (See Executive Board section of this report for the status of the DMU specification).

Update – Electronics on Trains Working Group - current activities – list of issues this group is working on:

We received important feedback on how CAL IDOT (Siemens) used (and did not use) the old 919 hardware specification for their builds. We are going to get our latest 919 revision reviewed by Nicolas Brogue of Siemens to help identify how the new 919 can better be written to handle already built coaches for better interchangeability with what will be built in the future.

Review of the DMU Specification DCRs:

Tammy Krause summarized where the subcommittee review left off on the last call (9-16-21).

Initially, it was thought that Aluminum was not permitted under the DMU requirements document. The thought was that it required stainless steel. However, research has confirmed that the requirements

document did not call for a specific material but left that to the Technical subcommittee for each of the NGEN specifications. It does, however, call for a 40-year life of the car body. The DMU specification does allow for alternative materials to be used if allowed by the buyer, but the 40-year life of the car body requirement would preclude Aluminum.

When presented with the concerns raised at the Technical subcommittee meeting of 9-16-21, over the proposed changes from Stadler which called for Aluminum car bodies, the Executive Board, on 9-21-21, directed the subcommittee to proceed with the adjudication of the remaining DCRs to advance the DMU update without the changes related to the Aluminum materials - for now. Since it would take a policy change by the Executive Board and a re-write of the specification to include Aluminum the Board may wish to take it up in 2022 but does not want this issue to prevent the current specification from being updated in accordance with current NGEN policy and compliance with the requirements document.

As directed by the Board, Tammy Krause, today, (9-30-21) proceeded to walk through the remaining DCRs in the structural section of the specification rejecting (for now) changes related to Aluminum.

After going through a fairly in-depth discussion on many of the remaining DCRs there were a number of the Stadler proposed changes that needed clarification. Stadler subject material experts for those specific changes were not available to respond to these requests for clarification on today's call. Stadler representatives on the call agreed to have the appropriate subject matter experts on the next call to provide clarification and respond to any questions.

With the allotted time for the meeting having been met, it was agreed that the call would end at this point, and the continuation of the adjudication of the remaining Stadler DCRs would resume on the next Technical subcommittee call (10-14-21).

Tammy Krause was asked by Steve Hewitt to update the DCR summary sheet to the point where the Technical subcommittee left off today (9-30-21) and to provide it to him for distribution in advance of the next call.

Steve Hewitt also suggested, and the Chair agreed, that once the adjudication of all of the proposed DCRs has been completed, Tammy Krause would be asked to prepare a final summary of the DCRs, and the decisions agreed to. Tammy would then send that final summary of changes to Steve Hewitt for distribution in advance of the following call at which point a vote could take place.

- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each technical subcommittee call and each Executive Board call.

See the update provided in the Executive Board section of this report.

- Metro North Dual Mode Locomotive Procurement:

See the update provided in the Executive Board section of this report.

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK Acting CMO and NGEN Vice Chair George Hull on a regular basis.

See the update provided in the Executive Board section of this report.

- Connecticut DOT Rail Car Procurement:

See the update provided in the Executive Board section of this report.

- University of Nebraska study on High Speed wireless technology as of 9-2-21:

Hamid Sharif-Kashani was unavailable for this call, but previously had provided Steve Hewitt with the following update for inclusion in the meeting minutes. Steve Hewitt read them into the record:

"We continue our work in studying the characteristics of 160 MHz RF band. We are currently working on design and implementation of a computer simulation model to evaluate a number of path loss predictions to be used in our end-to-end transceiver design. Here, we want to determine the performance of a transceiver design – the transmitter and receiver pair – and through different the RF channel conditions for 160 MHz. Our focus is on a model that excels at representing different environment scenarios with high accuracy for this RF band. Hope to share our findings with the group next time. "

For any questions, please contact Hamid Sharif at hamidSharif@UNL.edu.

- Working Group on Specification Wright Issues as provided by Jeff Gordon, FRA on 9-30-21:

The 9-27-21 call was canceled as the strawman that was to be developed was not yet complete. Jeff Gordon reported that he has not yet scheduled the next call but will do so in the near future.

The last update was provided on 9-2-21:

The NGENC Vehicle Weight Working Group has its 8th meeting on August 9. There were 11 members in attendance.

We discussed lateral imbalance and some ideas for how this parameter can be defined in a common way for all specifications. Some carbuilders expressed concern that the clearer definition of the vehicle condition(s) under which the imbalance is evaluated is required. Discussions ensued about clearance issues and that lateral imbalance is most often corrected by ballasting.

It was noted that the specifications do not explicitly require that production cars must be vertically plumb (although carbuilders achieve this by ballasting as required). Some carbuilders do not consider imbalance until all requirements related to wheel load equalization, derailment safety, ride quality and clearance are addressed.

It was noted that generally food service (café) cars pose the greatest challenge as it relates to lateral imbalance.

The Working Group lead proposed to assemble the information the group has deliberated upon to date and synthesize this into a single document for review at the next WG meeting on September 27 at 1pm ET. This document will eventually become the Working Group's report to the Technical Subcommittee.

Please let Jeff know if you are interested in attending the next WG meeting.

The Finance and Administrative Subcommittee

Chair: Tim Ziethen, Amtrak

Vice Chair: Brian Beeler II, NNEPRA for Maine 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 2021, the Finance and Administrative Subcommittee met on 9-15-21:

- Treasurer's Report as of 9-30-21:

Balance/ Spend Rate:

Total Initial Grant Amount: \$1,250,000.

Amount Spent through July 2021: \$812,477.83

Balance remaining: \$ 437,522.17

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$364,246.20

Current Spend Rate per month (as info and used in calculating): \$14,008.24

Estimated Balance at the end of the Extension Period (Contingency): \$73,307.97

After providing the Treasurer's update, Tim reiterated the point that, while the NGEC does not appear to have been formally reauthorized in the pending Federal Surface Transportation Authorization legislation, the collective understanding (and intent of the Committee) is to continue to operate and spend down the current funds per the current grant agreement which runs through 9-30-2023 and to work at various options to obtain future funding beyond FFY 2023.

Discussion/next steps in looking for future funding option beyond 9-30-2023:

Tim noted that future funding for the NGEC may be covered by the FRA's budget – maybe not as a line item, but within the confines of its budget.

Tim also noted that, in talking with Ken Altman and others at Amtrak, it is apparent that nothing prohibits the NGEC from getting funding from Amtrak through its grant process. The NGEC is listed as one of the possible recipients within the overall Amtrak grant request. He also emphasized that Amtrak is supportive of the work that the NGEC does, but it would be good to get something more concrete from Amtrak.

Steve Hewitt clarified that FRA has not confirmed that it has been provided with funding for the NGEC in its budget, but the House T&I Committee staff, when asked about the NGEC being reauthorized stated "it's covered in the budget". It would be appropriate and reasonable to get clarification from FRA on whether or not this is correct.

Steve also provided a brief background on past efforts to look at funding options for the NGEC outside of FRA or Amtrak, and after all was said and done, the NGEC determined that its activities were a federal government responsibility and should be funded through the federal government.

Tim agreed that pursuit of other options is not likely and that the best way forward is to pursue clarification from FRA and/or Amtrak.

Steve Hewitt will add this item to the next Executive Board agenda (9-21-21) as a part of the FASC report from Tim Ziethen.

Additionally, Tim raised the issue of raising the awareness of the NGEC to Congress and others with a more aggressive approach by an outward focused effort within the parameters of the NGEC's abilities. He noted that the NGEC is a "victim of its own success" and, as demonstrated in the Reauthorization effort, it goes unnoticed or is overlooked. The NGEC will need to be more aggressive in its approach.

It was agreed, that this will also be a discussion item for the Executive Board call under the FASC update on 9-21-21.

- Conveying the message as of 9-30-21:

2021 NGEC two-page educational document:

On 9-14-21, Steve Hewitt sent out the NGEC 2021 Two-Pager to all members asking that they begin to review it and begin to think about updates that will better identify the accomplishments of the NGEC this last year when more entities are using the NGEC specs and when more and more of the new equipment is being placed into service. The NGEC has a great story to tell and should be doing all it can to get that story out.

Ray Hessinger was unavailable for the call today, but provided his input on updating the two-pager:

Change the date to 2022 and add in the TSSSA document to the timeline list of specifications and documents developed by the NGEC.

Mike Murray, FRA, was also unavailable, but let Steve Hewitt know that he will review the two-pager and provide input.

Tim Ziethen commented that he would like to see interoperability added to one of the results bullets.

Possibly: Standardized specifications add predictability *and interoperability*.

After some discussion, it was agreed that FASC members should review the two-pager and provide comments/edits/improvements to Steve Hewitt and Tim Ziethen by 10-6-21 so that they can be compiled and discussed on the next FASC call on 10-13-21.

- Annual By-Laws Review:

On 9-15-21, Steve Hewitt reported that he did a preliminary review of the By-Laws and provided FASC Secretary, John Oimoen, with some suggested changes to review and comment on. Once John has had a chance to conduct his review, he and Steve will present any recommendations they have to the full FASC for discussion/input and possible consideration. This will likely take place on the 10-13-21. If changes are approved by the FASC, the proposed revised By-Laws will be sent to the NGEN Executive Board which will need to have them in writing in their possession for 30 days before considering adoption. This timeline takes us to either the second November call of the Board or the first one in December. The intent is to adopt any revisions by the end of the calendar year 2021 to fulfill the Annual Review task identified in the NGEN grant agreement.

Asked to elaborate on the potential changes he is suggesting, Steve noted that most have to do with consistency and, in particular, quorum requirements are an example. The Board has different requirements for what constitutes a quorum than the two standing subcommittees. Every other aspect of voting is exactly the same, and Steve believes that the quorum requirements for the Board should be worded consistent with the two subcommittees.

It was agreed that Steve Hewitt will confer with John Oimoen, and once they agree to proposed changes, he will send on to the full FASC for discussion on the 10-13-21 call.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 6-30-21 was submitted by the deadline of 7-31-21.

Next Report will be for the period ending 9-30-21 and will be due to FRA on 10-31-21.

Included in this report (at the end) are the status of the NGEN milestones as of 9-30-21 which will be used as the basis for the quarterly report due to FRA on 10-31-21.

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.

As of 9-30-21 – there were no changes in the activities of the Review Panels, however, the Technical subcommittee is continuing its review of the DMU summary of changes. It is expected to complete the review on the 10-14-21 Technical subcommittee call with a vote on approval to be conducted on the following call (10-28-21). If approved out of the Technical subcommittee, the Executive Board chair will direct them to the DMU Specification Review Panel per NGEN procedures.

Additionally, the PRIIA Trainset Specification re-write is ready to go to the Technical subcommittee for its review but is in a holding pattern waiting on the DMU review to be completed.

Milestones – Quarterly update (July 1, 2021, through September 30, 2021)

Bi-weekly meetings:

Throughout the quarter, the NGEN Executive Board and the Technical subcommittee held bi-weekly conference calls except where noted, when a holiday or a schedule conflict occurred. All business of the Board and its subcommittees continued to progress throughout the quarter.

Monthly meetings:

During the quarter, the Finance and Administrative Subcommittee (FASC) met every four weeks on Wednesdays. A complete Annual Treasurer's Report was provided during the Annual Meeting and was accepted by the NGECE Executive Board as presented.

Dissemination of educational/informational pieces:

The 2021 two-page educational/backgrounder was released in January 2021. To date, around 615 electronic versions have been distributed to NGECE members and various associations.

NGECE Annual Meeting:

The (11th) Annual Meeting took place virtually on 2-23-21 with over 100 NGECE members attending.

The next (12th) Annual Meeting will take place in-person in Washington, DC on February 25, 2022, at the Hyatt Regency on Capitol Hill. Notifications have been sent to all members of the NGECE.

Annual Review of NGECE By-Laws and Operating Procedures:

This task for 2020 was completed in the 4th quarter. The Executive Board adopted changes proposed by the NGECE 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 NGECE website.

The 2021 annual By-Law review will take place in the last quarter of 2021. The review has begun within the FASC and will be presented to the Executive Board with recommended changes by November 2021 with adoption taking place in December, 2021.

Grant reporting:

As required by the Grant Agreement, Amtrak will submit a quarterly report to the FRA. Information provided in the monthly NGECE Activities reports for the quarter, prepared by the NGECE 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 was submitted by Amtrak to the FRA on January 31, 2021.

The first quarterly report for 2021 included the period beginning on 1-1-21 and ending on 3-31-21. This report was submitted to the FRA on time by 4-30-21.

The second quarterly report for 2021 included the period beginning on 4-1-21 and ending on 6-30-21. The report was submitted on July 30, 2021.

The third quarterly report for 2021 will include the period beginning on 7-1-21 and ending on 9-30-21. The report will be due to FRA by 10-31-21.

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.

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.

As of 9-30-21, all contracts are up to date and active.

Review/Update of NGEC Specifications (Document Control):

This activity is ongoing:

Activities specific to this quarter:

During the quarter ending September 30, 2021, the DMU Specification Revision B continues to be worked through the process with Stadler Rail having requested additional time to review and submit DCRS. The extended period of time was granted and in February, all changes had been received and are being reviewed by the appropriate technical working groups.

It is anticipated that the update will be through the NGEC process in the fourth quarter 2021.

The re-write of the Single Level Trainset specification continues and has resulted in a number of DCRS all of which have been distributed to the appropriate working groups for review per NGEC procedures. The working groups have completed their work and the rewrite is ready to go, following the Technical subcommittee completing its review of the DMU specification updates.

It is anticipated that the updates to this specification will also be completed in the fourth quarter 2021.