

SECTION 305 FINANCE and ADMINISTRATIVE SUB COMMITTEE

MINUTES JANUARY 11, 2017 3:00PM EASTERN CONFERENCE CALL

FACILITATOR	<i>Darrell Smith, Chair of the S305 Finance and Administrative Subcommittee (FASC)</i>
ATTENDEES	<i>Darrell Smith, Brent Thompson, Ray Hessinger, Eric Curtit, Arun Rao, Arun Rao also as proxy for Tim Hoeffner, Brian Beeler II, Amanda Martin, Sal DeAngelo for Michael Lestingi, Beth Nachreiner, Jeff Gordon, Steve Hewitt</i>
ABSENTEES	<i>Tim Hoeffner, John Pagano, Michael Lestingi, Lynn Everett, Jason Biggs, Larry Salci, Nico Lindenau, Shayne Gill</i>

DECISIONS MADE

1. Welcome and Open Meeting – Darrell Smith:

Subcommittee Chair Darrell Smith, Amtrak, opened the conference call meeting and asked Steve Hewitt to call the roll.

2. Roll Call – Steve Hewitt:

Steve Hewitt called the roll and confirmed the presence of a quorum.

3.

Action Item Review -Steve Hewitt:

With most items being covered under the agenda a review of the action items on the call was tabled. A full update as of the start of the call is provided below:

Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGECC: Each state member and Amtrak is to work with its Government Affairs office and ask that the two pager (currently being finalized) be included in its package during Hill visits to keep the NGECC on Congress’ radar even though we are not yet ready to ask for more money.

A “regular update/report card/dash board” will be developed through the NGECC Legislative Task Force with the intent that it be provided to Congress through the states and Amtrak Government Affairs Offices as a means of continuing the outreach and education on the activities of the NGECC.

The first such update will be the “two-page” educational document being finalized for Executive Board approval.

Status: The education and outreach document has been printed and is now available upon request through Steve Hewitt. Board members have each received 2 copies. Additional copies will be available at the NGECC Annual Meeting. A distribution (electronically) was sent to both SPRC and One Rail and a hard copy went to Anne Canby, One Rail. David Ewing has also been provided with 40 copies and he is using them on the Hill.

Review of NGECC By-Laws: Ray Hessinger, FASC co-Vice Chair for Administrative issues and Steve Hewitt, NGECC Support Services Manager, have reviewed the By-Laws and have provided a version with a few minor changes and some comments for discussion on today’s call under agenda item 5.

Syncing the new Grant Agreement with ongoing NGECC contracts: Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.

Milestones for the new Grant Quarterly Report: Eric Curtit had previously provided FASC members with recommended milestones. No additional items or changes to Eric’s suggestions were offered. Members had until the 12-14-16 to submit additional suggestions for milestones for inclusion in the quarterly report. With no additional items received, the current milestones were used in the last monthly activity report of this quarter by Steve Hewitt to be used

as a basis for the Quarterly grant report to be submitted by Darrell Smith.

Agenda item 6

Preparing the Project Close Out Report – The DRAFT Project Close Out Report, as edited, was approved by the FASC for submittal to the NGEC Executive Board for its consideration on its next call – 11-22-16.

Task Complete – the Executive Board approved the Report on 11-22-16 and it was submitted to FRA by Amtrak in December, 2016.

4.

Approval of Minutes from the 11-16-16 FASC conference call - Darrell Smith:

On a motion by Sal DeAngelo, FRA, and a second by Eric Curtit, Missouri DOT, the minutes from 11-16-16 were approved without exception.

5.

Review of NGEC By-Laws – Ray Hessinger:

Ray Hessinger reported that he and Steve Hewitt had completed a review of the NGEC By-Laws and Operating Procedures and noted that there were no structural changes to the NGEC like there were last year due to provisions in the FAST Act.

Ray reported that a few minor typos were identified, but none which would rise to the level of opening the By-Laws up for a revision and a vote at the Annual Meeting.

Ray also pointed out that there was one provision within each of the Subcommittees that recommended that representation should include States that fund Amtrak train service or that are funding corridors in development, *or representative of professional organizations that represent States (E.g., AASHTO) and/or represent Amtrak.* The line in question is that part identified here in italics, and although it has never been used to this date it does provide states and/or Amtrak with some flexibility if needed.

Additionally, Steve and Ray pointed out a provision in the By-Laws which states: *A representative of Amtrak shall permanently serve as an Officer on each of the standing Subcommittees.* It is raised, not to make a change, but to point out that when the 514 subcommittee was formed and established as the third standing subcommittee, this provision was not addressed. Ray Hessinger has informed the 514 subcommittee that the provision is in the By-Laws, and it is recommended that the subcommittee address it in some way. It could easily be handled by establishing a second vice chair position. Again, this is not a By-Law provision being recommended for a change, but to pointed out more as a matter of compliance.

After considerable discussion, regarding the potential changes pointed out by the review, it was the consensus of the Finance and Administrative subcommittee (FASC) that the By-laws remain as currently written. "If it ain't broke don't fix it" was the general view of the FASC members. He By-laws undergo an annual review, and when the next review is undertaken, the starting point will include the minor typo corrections.

Darrell Smith will report to the Executive Board on its next call that the FASC has conducted its annual review, and is not recommending any revisions to the By-Laws at this time.

6.

Milestones – Quarterly Report to FRA/NGEC Monthly Activities Report – Darrell Smith/Steve Hewitt:

Darrell Smith reported that Steve Hewitt has added into the monthly activities report a section which reports on the status of milestones during the quarter, which is something that FRA has called for in the new grant agreement. Darrell intends to include the information on the milestones, revised to fit the FRA's format, when he submits the quarterly progress report to FRA.

The following is what Steve Hewitt added to the end of the monthly update for 12-31-16:

Milestones – Quarterly update (October 1, 2016 through December 31, 2016)

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

In December 2016, the 514 subcommittee began the activity of doing a "major" update of the 5-

year Capital Improvement Plan (CIP)

Bi weekly meetings:

Throughout the quarter, the NGEC Executive Board and the Technical subcommittee held bi-weekly conference call meetings. The only exception to this was during the month of December, when vacations and the holiday schedules of members resulted in a reduced December schedule – one meeting was held by the Board (12-6-16) and the Technical subcommittee in December (12-15-16).

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 December, during which the FASC meeting was cancelled due to a schedule conflict.

Dissemination of educational/informational pieces:

During the quarter, the Educational/outreach document that had been under development, was finalized, printed, and distributed to NGEC members, congressional staff, and related organizations and it was posted to the NGEC website. It is available in hard copy upon request, through NGEC Manager Steve Hewitt.

Also during the quarter, the NGEC Technical subcommittee (at the direction of the NGEC Executive Board) agreed to provide a representative (Tammy Krause, Amtrak, NGEC Revision Control Coordinator (RCC) to participate on TRB Session #545 *"PRIIA Equipment Specifications: Lessons Learned in the First Use for Construction of Locomotives and Cars"* to be held Tuesday, 1/10/2017 during the TRB annual meeting.

NGEC Annual Meeting:

The NGEC Annual Meeting has been scheduled for 2-24-17 at the Hyatt Regency Capitol Hill, Washington, DC. A notice was sent out to all NGEC members announcing the date of the meeting. This occurred during the quarter. Also, a DRAFT agenda was sent to all NGEC members to assist in making travel plans. The hotel room block information was provided as well (on 12-21-16) to all NGEC members. The DRAFT agenda has also been posted to the NGEC website.

Annual Review of NGEC By-Laws and Operating Procedures:

During the quarter, the NGEC's Finance and Administrative subcommittee (FASC) began its annual By-Laws and Operating Procedures review. The FASC will discuss and consider recommended changes (if there are any) during its January 11, 2017 conference call meeting, and will provide a recommendation for approval to the Executive Board in advance of its call on January 17, 2017. If revisions are recommended the Board will have a 30-day review period before taking up those changes/revisions for consideration.

Grant reporting:

As required by the Grant Agreement, Amtrak will submit a quarterly report to the FRA. The first such quarterly report will include the period from October 1, 2016 through December 31, 2016, and will be submitted by Amtrak by January 31, 2017. The information included in the monthly NGEC Activities reports for this quarter, prepared by the NGEC Manager, will be utilized as a basis for the Quarterly Report to the FRA.

During this quarter, the NGEC and Amtrak closed out the previous FRA Amtrak/NGEC Grant. In accordance with FRA requirements a Final Project Close Out Report was prepared by the FASC – approved by the NGEC Executive Board - and submitted by Amtrak to FRA in December, 2016.

Fiscal and contractual actions:

During the quarter, and 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 of them 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, began a review of the PRIIA Single Level Car Specification 305-003 and established a timeline for its completion:

PRIIA Specification 305-003 Single Level Specification Update Timeline

Completed)	Task	Due (Red =
	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

With no objection or exception noted by FASC members, Darrell will use this information for inclusion in the grant quarterly progress report to FRA. Steve Hewitt will update it at the end of each quarter in the last monthly activities report of the quarter.

7. Preparing the Annual Meeting Treasurer's Report and FASC update presentation – Darrell Smith:

Darrell Smith reported that he will draft the Treasurer's report and the FASC update presentation for review by FASC members prior to the next FASC call – 2-8-17.

8. Other Issues/questions – All:

No other issues were forthcoming.

9. Adjourn – With no other business brought forth on today's call, Darrell Smith adjourned the meeting at approximately 3:25PM Eastern.

**Next Finance and Administrative subcommittee conference call February 8, 2017
866 209 1307 access code: 9786620#**

Decisions and Action Items

Legislative Outreach Task Force – developing a strategy and implementation plan to obtain future federal funds for the NGEC: Each state member and Amtrak is to work with its Government Affairs office and ask that the two pager (currently being finalized) be included in its package during Hill visits to keep the NGEC on Congress' radar even though we are not yet ready to ask for more money.

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Review of NGEC By-Laws: On today's call (1-11-17) the FASC agreed to recommend to the NGEC Executive Board that no changes to the By-Laws be made at this time. Only minor typos have been indicated in the annual review, and, in and of themselves, they do not warrant a revision.

Syncing the new Grant Agreement with ongoing NGEC contracts: Because the current Amtrak and AASHTO contract is in place until 9-30-17, and the current sub-contractor contracts are also in place until 9-30-17, no action is necessary right now. Amtrak and AASHTO have a process in place to extend the Amtrak/AASHTO contract in sync with the grant and effective 10-1-17 through 9-30-19. The subcontractors currently in place will be extended at the same time - effective 10-1-17 through 9-30-19 as anticipated in the new grant agreement SOW and budget.

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Preparing the Treasurer's Report and the FASC update presentation for the NGEC Annual Meeting: Darrell Smith will draft the Treasurer's Report and the FASC update presentation for review by FASC members prior to the next FASC call - 2-8-17.

ATTACHMENTS

Next Generation
Equipment Committee



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

SECTION 305 Finance and Administrative Subcommittee (FASC)

**Conference call
January 11, 2017
3:00PM Eastern
866 209 1307 pass code 9786620#**

MEETING AGENDA

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| 1. Welcome/Open | Darrell Smith |
| 2. Roll Call | Steve Hewitt |
| 3. Action Items Review | Steve Hewitt |

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| 4. Approval of the Minutes from 11-16-16 | Darrell Smith |
| 5. Review of NGEC By-Laws | Ray Hessinger |
| 6. Milestones – Quarterly Report to FRA/NGEC Monthly Activities Report | Darrell Smith/Steve Hewitt |
| 7. Preparing Annual Meeting Treasurer’s Report and FASC presentation | Darrell Smith |
| 8. Other Issues/questions | All |

Next Call February 8, 2017
Call in # 866 209 1307 passcode 9786620#