

SECTION 305 NGEN

Executive Board Conference Call Meeting

MINUTES

NOVEMBER 13,
2012

11:30AM EASTERN

CONFERENCE CALL

FACILITATOR	<i>Bill Bronte, Chair, S305 NGEN Executive Board</i>
ATTENDEES	Executive Board Members: <i>Bill Bronte, Mario Bergeron, John Tunna as proxy for Paul Nissenbaum, Gordon Hutchinson, Darrell Smith (as proxy for Gordon at times during the call), Ron Adams, Eric Curtit, Kevin Lawson, John Oimoen, Ray Hessinger, Anthony Fuller as proxy for Paul Morris, Johnson Bridgwater, Ron Pate as proxy for John Sibold, Support Staff:</i> <i>Steve Hewitt, David Ewing, Larry Salci, Jeff Gordon, Nico Lindenau, Ashok Sundararajan, Dave Warner</i>
ABSENTEES	Board Members: <i>Paul Nissenbaum, John Sibold, Paul Morris, (each represented by proxy as noted above) Tammy Nicholson, Alan Ware Support Staff:</i> <i>Leo Penne, Shayne Gill, Andy House, Tim Hoeffner, Jason Biggs, Chad Edison, Kevin Kesler, Whitney Phend, Ryan Swick, Vincent Brotski, Dale Engelhardt, Shayne Gill, Martin Schroeder</i>

WELCOME/ROLL CALL/MINUTES

Opening – Bill Bronte-chair:

Chairman Bill Bronte opened the conference call, and asked Steve Hewitt to call the roll.

Roll Call – Steve Hewitt, Manager, S305 NGEN Support Services:

Steve Hewitt took a roll of Executive Board members, and the presence of a quorum was confirmed with 12 of 14 voting members present or represented by proxy.

Approval of the Minutes from the October 16, 2012 Executive Board Conference Call Meeting:

Bill Bronte asked for a motion to accept the minutes of the October 16, 2012 Executive Board call.

On a motion by Ray Hessinger, NYSDOT, and a second by Ron Adams, Wisconsin DOT, the minutes of the October 16, 2012 conference call meeting of the Executive Board were approved without objection.

Review Of the Status of Action Items from October 16, 2012 – Steve Hewitt:

Bill Bronte will continue to keep the Board "generally" apprised of the progress of the bi-level railcar procurement and of the progress of the locomotive procurement. **Status: Ongoing standing agenda item**

Jeff Gordon will continue to provide the AASHTO, Amtrak and FRA public affairs officers with email notifications of NGEN activities. **(ongoing)**

Setting a timeline for Revision A (Single level) Review: **Status: The Review Panel met on November 6, 2012 and approved the Review Panel Report as prepared by Larry Salci. The Report was sent out in advance of this call (November 8, 2012) for Board members review. Larry Salci will give a summary overview on today's agenda, and a vote is anticipated.**

Technical subcommittee review of AWG DCR process policy vs. technical: **Status: The AWG has provided change recommendations to the Technical subcommittee which will take it through the DCR process. The proposed DCR (twin loop) has been distributed to all Technical subcommittee members and will be discussed on the next Technical subcommittee call – November 15, 2012.**

The ATF development of a marketing/educational document: **Status: The ATF met on October 26, 2012 – Leo Penne, AASHTO, is developing a first draft for ATF review, the ATF anticipates meeting the November 23, 2012 timeline for considering a final version to go to the Board.**

The RR101 webinar sessions: **Status: A webinar on "Establishing a Rail Office, Best Practices from State Perspectives and Work Force Development" was held on October 24, 2012. A summary of the session is included as an agenda topic for this call.**

The revisions/budget adjustments as approved by the Board on September 20, 2012 were sent over to FRA by the Amtrak grants office on September 27, 2012 for FRA approval: **Status: On October 22, 2012 FRA approval was provided to the Amtrak Grants office. A copy of the approval letter has been distributed to all Board members. TASK COMPLETE**

Budget discussions for the NGEC for April 1, 2013 through March 31, 2014: **Status: The Finance subcommittee began budget discussions on October 26, 2012 and a brief budget presentation is scheduled on today's agenda.**

Review of Executive Board member Vision statements: **Status: This topic is an agenda item for today's call. The FRA has provided an overview of the statements received. This will be used as a basis for today's discussion. Steve Hewitt distributed the overview to all Board members on Friday, October 26, 2012.**

All members are asked to compare the vision statements with that of the SFTF charge document: **Status: The SFTF met on November 5, 2012, and voted to approve the revised SFTF charges as presented by Eric Curtit (with amendments). The revised charge was sent to all Board members on November 5, 2012 and is on today's agenda for Board consideration.**

Jeff Gordon, FRA, will provide contact information to Steve Hewitt to invite APTA and FTA representative(s) to listen in to NGEC Executive Board calls. **Status: Jeff Gordon provided Steve Hewitt with contact information for Martin Schroeder, APTA. Steve sent an invitation to Martin to attend all Executive Board calls, and sent all read ahead material for this call. Martin has now been added to the Executive Board email list. No FTA contact information has been received to this point in time.**

Remaining Agenda Items

Status: Status Update: Structure and Finance Task Force (SFTF) – Eric Curtit:

a. Section 6 project update:

Eric Curtit provided an update on the status of this project. Eric reported that he and Chad Edison, FRA, had spoken, via conference call, with the Parsons Brinkerhoff (PB) team that will be working on the Section 6-fleet plan development project. The call was arranged to clarify what the tasks are, and what PB should be doing as a first step. The call went well, and Eric is "encouraged that we are beginning to hit on all cylinders". Eric noted that PB will participate on upcoming SFTF calls on a regular basis. He also noted that PB found the FRA power point which draws comparisons among the Executive Board member's vision statements very helpful. It is important for PB to have a sense of what the Board is thinking in terms of the NGEC moving forward.

b. Update on SFTF charge – Review/revision:

Eric Curtit provided an overview on the SFTF effort to update its original charge. He summarized that the charge has been revised to better reflect the tasks the SFTF is and will be undertaking going forward. Each Board member received a copy of the revised charge from Steve Hewitt on November 5, 2012. Earlier in the day, on November 5, 2012, the SFTF unanimously approved the charge and is asking the Executive Board to consider it for adoption as submitted.

Consider for approval: Revised SFTF charge – Bill Bronte:

Bill Bronte recommended that the Board members adopt the Revised SFTF charge as submitted, and called for a motion to adopt.

Kevin Lawson, Louisiana DOT made a motion to adopt and Ron Adams, Wisconsin DOT seconded that motion.

Steve Hewitt polled the voting members of the Board represented on today's call:

Bill Bronte, Caltrans – aye

Mario Bergeron, Amtrak – aye

Darrell Smith, Amtrak – proxy for Gordon Hutchinson, - aye

John Tunna, FRA – proxy for Paul Nissenbaum – aye

Eric Curtit, Missouri DOT – aye

Kevin Lawson, Louisiana DOT – aye

John Oimoen, Illinois DOT – aye

Ray Hessinger, NYSDOT – aye

Johnson Bridgwater, Oklahoma DOT – aye

Ron Pate, Washington State DOT – proxy for John Sibold

Ron Adams, Wisconsin DOT – aye

Anthony Fuller, NCDOT – proxy for Paul Morris - aye

With the presence of a quorum having been established, and all members voting aye, the chair determined that consensus was achieved and the motion carried.

Overview: Single Level Revision A Review Panel report – Larry Salci:

Larry Salci provided Board members with a brief summary of the Single Level Revision A Review Panel report. The report and its recommendations were approved by the Review Panel on November 6th, 2012, pending FRA representative John Tunna's concurrence. On November 7th, John Tunna agreed to the report, as approved, with minimal changes. Mr. Salci made those changes, and Steve Hewitt distributed the final Revision A Review Panel report to all Board members on November 7, 2012 in preparation for its consideration on today's call.

Consider for approval : Single Level car Revision A – Bill Bronte:

At the conclusion of Mr. Salci's overview, Bill Bronte recommended that the Board members adopt Revision A, as submitted, and called for a motion to adopt.

Eric Curtit, Missouri DOT, made a motion to adopt and Ray Hessinger, NYSDOT seconded that motion.

Steve Hewitt polled the voting members of the Board present on today's call:

Bill Bronte, Caltrans – aye

Mario Bergeron, Amtrak – aye

Darrell Smith, Amtrak – proxy for Gordon Hutchinson, - aye

John Tunna, FRA – proxy for Paul Nissenbaum – aye

Eric Curtit, Missouri DOT – aye

Kevin Lawson, Louisiana DOT – aye

John Oimoen, Illinois DOT – aye

Ray Hessinger, NYSDOT – aye

Johnson Bridgwater, Oklahoma DOT – aye

Ron Pate, Washington State DOT – proxy for John Sibold

Ron Adams, Wisconsin DOT – aye

Anthony Fuller, NCDOT – proxy for Paul Morris - aye

With the presence of a quorum having been established and all members voting aye, the chair determined that consensus has been achieved and the motion has carried.

Bill Bronte commented, "we now have Revision A for the Single level car". Bill added, "I want to recognize Dave Warner (Amtrak). Without Dave we would never have been able to get all of this accomplished." Bill noted that the document control process, which Dave manages, has been a great success, and "Dave and all those who work with him on this effort deserve special recognition."

Mario Bergeron, Amtrak, commented, "if this was in the form of a motion, I would second it."

Bill Bronte agreed with this sentiment, and, again, expressed his thanks on behalf of all of the members of the Board to Dave Warner, and those who work with him in making the Document Control Process work so well.

Status Update: Procurements – Bill Bronte:

a. Bi-Level procurement update:

Bill Bronte reported that on November 6, 2012 a formal Notice of Contract Award to Sumitomo Corporation was announced.

John Oimoen, Illinois DOT, reported that "the effort has come a long way" and that "here will be a signature ceremony in Rochelle, at the plant." John also noted that IDOT is working closely with Caltrans to get teams assigned for design review and they "are looking forward to getting together with Nippon (Sumitomo) and getting construction started."

Bill Bronte emphasized what a great accomplishment this has been. He noted that the normal time for a procurement to be finalized is around 24 months. This one took approximately 9 months to complete! Bill, again, credited the document control process as the primary reason for this having been accomplished so expeditiously.

b. Diesel-electric locomotive update:

John Tunna, FRA, stated at this point "there is nothing new to report" on the diesel electric locomotive procurement. He added that FRA Deputy Administrator Karen Hedlund was in California last week, but the issue of who the lead state will be remains unresolved.

Bill Bronte called for this to remain as a standing agenda item for future Board calls, to keep members informed of progress being made going forward.

Finance subcommittee update-Gordon Hutchinson/Darrell Smith:

Darrell Smith walked through a presentation previously given to the Finance subcommittee in regards to developing the steps for re-programming the initial grant balance, and developing the budget for 4-1-13 thru 3-31-14:

NGEC Budget:

- Current grant budget is for April 1, 2012 – March 31, 2014
- Re-program funding carried over from prior period (ended March 31, 2012)
- Program contingency funds from current budget

Estimated Total Remaining Funds from First \$2 Million Grant:

\$766,012

Budget, 4/1/2012 – 3/31/2014 Contingency fund balance:

\$539,338

2013-2014 Available Funds:

\$766,000 From Period Ending 3/31/2011
539,300 From Contingency
\$1,305,300 Available for 4/1/2013 - 3/31/2014

Estimate of Continuing Activity:

- Staff to Technical Sub-Committee
- Project management staff in Administrative Task Force
- AASHTO Support Services
 - Meetings & Travel
 - AASHTO Staff
 - AASHTO "base level" Consultants (Hewitt, Ewing)

Estimate of Continuing Activity:

\$729,662

Available to Budget:

\$1,305,300 Available for 4/1/2013 - 3/31/2014
- 729,700 Continuing Activity
\$575,600 Available to define for the last year of approved funding

Next Steps:

- Remaining NGEC work plan for grant period
- Call for Sub-Committee and Task Force requests
- Executive Board adopts at annual meeting on February 21, 2013
- Amtrak submits supplemental budget and statement of work to FRA

Following the presentation, Darrell noted that the Finance subcommittee had agreed that it should take what it is calling the continuing activities, "clean it up and get it programmed within the next month or so" separately from programming the remaining contingency funds (approximately \$576,000). He noted that the Finance subcommittee thought that this should be done first, and adopted by the Board so that no problems occur as we approach the end of the NGEC budget year – 3-31-13.

At this point, Darrell asked that Bill Bronte request all subcommittees and task forces begin preparing their budget requests for the 4-1-13 to 3-31-14 period.

Steve Hewitt asked for clarification noting his understanding that the subcommittees and task forces budget requests would be on the \$576,000 (contingency funds) and would be for new requests, separate from budgeted items that fit under the continuing activities budget. Darrell agreed that this is the case, and Steve and Bill

Bronte agreed to "nudge" the chairs of the subcommittees and task forces to begin to develop their requests.

Report/Summary: October 24, 2012 RR101 webinar –Steve Hewitt:

Tammy Nicholson was not present on today's call. Steve Hewitt noted that she and Shayne Gill (also not present on this call) had provided a summary to the Administrative task force (ATF) on October 26, 2012. Steve agreed to insert that report into the minutes of this call for the benefit of the Executive Board members:

Report to the ATF on the RR101 webinar held on October 24, 2012 – Tammy Nicholson:

Tammy Nicholson, Iowa DOT, reported that a RR101 webinar was held on October 24, 2012 with around 45 participants. The topic of this session was Establishing a Rail Office, Best Practices from State Perspectives and Work Force Development.

Tammy felt that the session went well and that the presenters were very good.

The presenters were:

*Tammy Nicholson, Iowa DOT
Kevin Page, Virginia Department of Rail and Public Transportation
Ron Adams, Wisconsin DOT
Monique Stewart, FRA
Dr. Peter Haas, Mineta Transportation Institute
Dr. Pasi Lautala, Michigan Tech University*

Tammy expressed appreciation to Shayne Gill, AASHTO, and Chris Smith, AASHTO. for organizing the session. Overall, she felt it all went very well.

Shayne Gill noted that the 45 participants included representatives from 26 states and 2 additional agencies as well as FRA and others.

Steve Hewitt commented that he listened in and found it to be an excellent session, and agreed that the presenters were very good. They gave their presentations at the right level for the participants to get the most out of it.

The next webinar will be on the topic of Rail Planning. No date has been set yet, and ideas for speakers and/or format are welcome. Anyone having suggestions should send them directly to Shayne Gill.

The presentations and the recording of the webinar will be posted to the AASHTO website as soon as AASHTO has completed changes to the overall site that are currently taking place.

Discussion: Executive Board Vision – Bill Bronte:

Bill Bronte opened the discussion by commenting that he has started a "strawman" proposal for moving forward, and will get it completed soon.

Bill also noted that the FRA had prepared a one page comparison of the vision statements submitted by the Board members. Bill felt that the FRA presentation captured the views expressed by the members very well. It will serve as a snapshot of the statements as the effort moves ahead. He thanked FRA and its consultants for putting this together, and added that he hoped all members had reviewed it, noting that Steve Hewitt had sent it out to everyone in advance of this call.

Bill then expressed his view that it is difficult to know "what we should do" adding that it is important to answer the question "what is our mission?"

He has looked at the PRIIA Section 305 legislation and is of the view that this is, basically "our mission statement". He elaborated, "Our mission is defined by the legislation and we need to determine how far into it we want to go." He noted that in several parts of the legislation it states "the Committee may..." Bill asked "do we want to take may and make it shall? If it is our mission statement – is it may or shall? This is what we need to decide".

John Tunna, FRA, noted "the question is well summarized ... but is not something we can answer now...we need to

analyze the options before we can answer the question.”

It was suggested that it may be prudent to hold a structured workshop where the Board can have an extensive discussion/brainstorming session.

Ron Adams noted that “some of this will come from Section 6” and he added “to make the ‘may’ of procurement into a ‘shall’ is a lot of work.”

Bill Bronte noted that he is concerned about the appropriation cycle too, in so far as the Committee will likely need additional funding going forward.

Returning to the workshop idea, Bill asked if PB could lead a facilitated workshop.

Eric Curtit noted that what we are really looking at is “finishing up” what was started in Portland, Maine in September and agreed we need to get a facilitator.

Bill Bronte asked what the timing is for requesting continued funding for the NGECC especially through the appropriations process.

David Ewing called it “an ongoing question – there are many opportunities to answer it”. He added, “the T&I Committee is holding a hearing and 305 will be addressed during the hearing.” He continued, “The lame duck session starts in an hour or so – this question came up in Portland and we need to clearly define the question around it and we needed it yesterday.”

Ron Adams suggested “we look at the President’s budget.”

David added “there are a series of benchmarks to look at” including the President’s budget. He also noted that Amtrak has mentioned 305 in its budget requests previously.

At this point Ron Adams asked Mario Bergeron, Amtrak, “how compatible are your single level cars (Amtrak has ordered new equipment) going to be with our single level specifications?”

Mario responded “our procurement preceded the PRIIA specification”, but added, “we (PRIIA) did use an Amtrak source document for 305” in developing the specification.

Bill Bronte noted “In the last Amtrak Fleet Plan there was a commitment by Amtrak to use 305 specs.”

Mario Bergeron responded, “Absolutely – where it makes sense.”

Returning to the concept of a workshop and the timing for it. The Board generally agreed that February (around the NGECC Annual Meeting) would be the best time to do it. It was also agreed that the Board should check with AASHTO to see about a facilitator - possibly they will have a recommendation.

It was also agreed that the SFTF will take up this discussion on its call on Monday November 19, 2012. Steve Hewitt will add an agenda item covering this topic. The SFTF will then “float it up to the Board” as it gets a better sense of it.

Bill Bronte agreed that he will provide his draft “strawman” to the SFTF prior to its Monday call.

David Ewing summarized that there are three major pieces to be looked at by the SFTF and then the Board:

1. Bill’s “strawman” vision
2. PB’s Section 6 work
3. The FRA’s “context” document (an outline of the scope is to be presented to the SFTF on the 19th)

Steve Hewitt added that the Administrative Task Force effort to develop a “marketing” piece also fits in as an integral part of this.

David Ewing added that all of these first three pieces are “well captured in the SFTF charge that has just been adopted.”

As the discussion wound down, Bill Bronte was asked to summarize the next steps/action items agreed to:

Bill described those actions as:

- Bill Bronte "locks down" the "strawman"
- The FRA and Eric Curtit develop the outline for the scope of work for the "context" piece
- Darrell Smith has laid out the financial resources the Committee has to work with, and this should be the guide.
- The Board will talk with Leo Penne/Shayne Gill, AASHTO about arranging for a facilitated workshop possibly for February in DC. The purpose would be to refine the vision.

Those on the call generally agreed with this list of actions/next steps, and the discussion was closed.

Adjourn:

With no other business to come before the Board today, the meeting was adjourned at 12:47pm Eastern.

The next Executive Board conference call is November 27, 2012

Decisions/Action Items

The locomotive procurement status will remain as an agenda item to keep the Board updated as to its progress. (ongoing)

Jeff Gordon will continue to provide the AASHTO, Amtrak and FRA public affairs officers with email notifications of NGEC activities. (ongoing)

The Single Level Revision A has been adopted by the Board. Steve Hewitt will provide the report to AASHTO for posting.

The SFTF charge, as revised, was adopted by the Executive Board.

The Finance subcommittee will "clean up" and program the budget for ongoing activities within a month for Board consideration separately from the programming of the contingency funds.

Bill Bronte will provide the SFTF with a "strawman" for the NGEC vision prior to its meeting on November 19,

2012.

The FRA and Eric Curtit will work towards developing the "context" piece. (The FRA has already committed to providing the SFTF with an outline of a scope of work for Defining the NGEC's Future and the development of an Implementation Plan – this is due to the SFTF prior to November 19, 2012.

The Administrative task force will provide the Executive Board with its Marketing document asap (November 23, 2012 is the plan for it to get finalized in the ATF) (ongoing)

Steve Hewitt will work with AASHTO to arrange for the facilitated workshop in conjunction with the NGEC Annual Meeting in Washington, DC in February (likely February 20, 2013)

Jeff Gordon, FRA, will provide contact information to Steve Hewitt to an FTA representative(s) to listen in to NGEC Executive Board calls. (carryover)

Technical subcommittee review of AWG DCR process policy vs. technical is complete and a revised process for Accessibility DCRs has been developed and will be considered by the Technical subcommittee – once approved there it will come to the Board for its consideration. (ongoing)

ATTACHMENTS



**S305 NGEC Executive Board Conference Call
November 13, 2012
11:30 AM – 1:00 PM Eastern
Call in number: 866 299 7945 passcode: 1601544#
Agenda**

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| 1. Open the Meeting | Bill Bronte |
| 2. Roll Call | Steve Hewitt |
| 3. Approval of Minutes from October 30, 2012 conference call | Bill Bronte |
| 4. Action Items Review | Steve Hewitt |
| 5. Status Update: Structure and Finance Task Force | Eric Curtit |
| a. Section 6/fleet deployment project update | |
| b. Update on SFTF Charge - Review/revision | |
| 6. Consider for approval – Revised SFTF charge | Bill Bronte |
| 7. Overview: Single Level Revision A Review Panel Report | Larry Salci |
| 8. Consider for approval: Single Level car Revision A | Bill Bronte |

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9. Status update: Procurements: Bill Bronte
- a. Bi-Level procurement update Bill Bronte
 - b. Diesel-electric locomotive update Chad Edison/Kevin Kesler
10. Finance Subcommittee Update: Gordon Hutchinson/Darrell Smith
- a. Brief presentation on a putting forward budget recommendations Darrell Smith
for the period 4-1-13 thru 3-31-14
11. Report/Summary: October 24, 2012 RR101 webinar Tammy Nicholson
12. Discussion: Executive Board Vision Bill Bronte
- a. Review of FRA Vision Statements comparison matrix
 - b. Group discussion
- 13. Other** All

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