



Section 305 Next Generation Corridor Equipment Pool Committee (NGEC)

Monthly Activities Report: June 30, 2018

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, 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: Charles King, Amtrak

Secretary: Ray Hessinger, NYSDOT

Treasurer: Tim Ziethen, Amtrak

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

During the month of June 2018, the Executive Board met twice via conference call, on the 5th and on the 19th.

Highlights, decisions, and action items from the month of June 2018 include:

- Procurement Updates:

Status Update – Multi-state Car Procurement (Caltrans - Lead State) - as of 6-28-18:

- *Caltrans is working on the Document Change Requests (DCR) for the cab cars to submit to the NGEC. We are hoping to submit three DCRs soon pending outcomes of upcoming concept meeting with Siemens. Target to submit those DCRs is July.*
- *Caltrans is working on the Document Change Requests (DCR) for the cab cars to submit to the NGEC. We are submitting those DCRs is July.*

- *Caltrans visited Televic (communication components vendor) yesterday (June 27) to get more information about what the system can offer. California is really interested in expanding on-board information system in our state-owned fleet.*
- *Testing and Commissioning internal meeting is scheduled for July 10 in Sacramento, CA. After the internal meeting, Caltrans and IDOT will be meeting with Amtrak, FRA, SCOA and Siemens in August to clearly define roles and responsibilities regarding the testing and all logistics and costs associated with it. (i.e. insurance, indemnification, etc.).*
- *The design review meetings took place in the week of June 18. The discussion topics included: the final design review of double sliding step, Seats, lighting system, and communication analog system. We also talked about testing and PRTIA compliance during the design review. Our PRTIA compliance plan was approved by FRA on 6/15.*

Status Update: The Charger - Diesel-Electric Locomotive Update as of 6-28-18:

North County Transit District (NCTD) is responsible for the Coaster commuter rail service between San Diego and Oceanside, CA. The NCTD board approved on June 21, 2018 the purchase of 5 Diesel-electric Charger locomotives from Siemens using the available options from the Multi-State Diesel-electric locomotive procurement. In addition, 4 optional locomotives are foreseen. NCTD evaluated several possibilities for purchasing new Tier 4 passenger locomotives and came to the conclusion, that the Multi-State procurement based on the PRTIA specification was most beneficial.

Metro North Dual Mode Locomotive Procurement as of 6-19-18:

As of 6-19-18, Metro North and Amtrak have reviewed their respective specs side-by-side and have identified several differences, but “no show stoppers”. Amtrak will try to include what they can from the Metro North specification into the specification in their RFP, but not in the initial amendment of their spec.

They are working to come up with a specification that would work for both parties even if not under the same procurement. The intent is to get a spec that they can both work off. Amtrak, time-wise, is ahead of Metro North’s schedule.

- Mid-West States Section 6 Activities – as of 6-19-18:

The deliverable (Section 6 - Plan) is being finalized by the states and is down to the final comments provided by the FRA. Once complete, it will be sent back to FRA and should be approved shortly.

- Finance and Administrative status updates – as of 6-27-18:

Status of the FRA Grants Office review of the grant agreement SOW changes:

Amtrak is finalizing the changes to the SOW in response to FRA’s recommended edits. The intent was to send it back to FRA for its review of the final changes and responses to their edits, by 6-28 or 29-18.

Steve Hewitt and Chairman Eric Curtit will receive a copy, as well, and determine if the changes need to be re-submitted to the NGEC Executive Board for consideration.

Resolution of unpaid AASHTO invoice:

Amtrak has paid AASHTO, and now awaits direction from FRA as to how to bill FRA for reimbursement. Chairman Curtit will be pressing the point to FRA that Amtrak needs to be made whole.

Treasurer’s Update- NGEC Budget Status – Expenditures to Date/Balance/Spend Rate as of 6-27-18:

The NGEC continues to be in underspending mode. Invoice #3 in the amount of \$40, 957 is in final review by Amtrak and should be paid soon. The last quarter expenditures totaled \$64,981. Treasurer Tim Ziethen, Amtrak, reports that the spend rate is much under what was expected. The most recent invoice is about on

target, and there will be an increase in expenditures as the specification update process continues to move forward. Still, for budgeting purposes, the NGEC is well under spending.

AASHTO, notes that they show an outstanding invoice for the April – June 2017 period in the amount of \$55,106. Tim has done some research, and has more to do, but “our system says it was paid – however there is no proof of a check...there was a voucher cut and paid (according to Amtrak). Tim does not know if it was sent by check or electronically. The Purchase Order was complete. The invoice # is S1017042. Amtrak shows “it is an approved/paid invoice. Tim Ziethen will do further research to see if there is proof of how it was paid...” and to determine what the discrepancy is.

Requesting a 12 month No-Cost Grant Agreement Extension:

As of 6-27-18, Tim Ziethen reported that there is no question that the NGEC will need a 12 month no-cost extension – there will be no need for additional funding for the extended period based on the spend rate. The question is process and timing.

FRA has suggested that the first step is for the NGEC Executive Board to make a formal request for a no cost extension for 12 months. (current grant agreement expires 9-30-19 – the extension would be through 9-30-20)

NGEC Chairman Eric Curtit has asked FRA to provide the NGEC with confirmation that this grant makes a 12 month no-cost extension eligible.

Beth Nachreiner will check with FRA grants on the question of eligibility and get back to Eric with the answer. Once this question is resolved the next steps can be determined.

NGEC Audit – timing and process:

As of 6-27-18, Treasurer Tim Ziethen has inquired about the Audit and has been given a contact name at Amtrak’s OIG to go to but needs to follow up with Amtrak Grants as to what the timing is relative to this grant.

- Acquisition and Ownership Best Practices Working Group – as of 6-28-18:

Team Leaders will continue to work on their section DRAFTS. If possible, DRAFTS should be distributed for working group members to review and comment on (in track changes) in advance of the next call. Each Team leader will be asked to provide a status update on their progress on the next call which is scheduled for 7-26-18.

- Document Control Update – as of 6-28-18:

All the received DCRs have been addressed, the rejected ones have been returned to the originators. The new revision of the Single Level specification will be available next week (week of 7-2-18).

On 6-5-18, the Executive Board accepted the Single Level Car Specification Review Panel Report and adopted 305-003 Revision B.1.

Technical Subcommittee:

Chair: Charles King, Amtrak

Vice Chair: George Hull, Amtrak

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

During the month of June 2018, the Technical subcommittee met twice, via conference call, on the 14th and the 28th.

Key decisions and action item updates from the month of June 2018, included:

- Status of the activities to update ECP Standards: This is an ongoing item which the Technical subcommittee is tracking. Status as of 6-28-18:

Through April 2018, the revenue service demonstration has accumulated 699,126 ECP miles and 1,874,840 emulation miles for a grand total of 2,573,966 miles. Since January 2018, the ECP mileage is 171,594 miles. Coach cars 82610 and 82629 were removed from revenue service for non-ECP preventive maintenance and some minor updates. These coach cars will be out of service for 4 to 6 weeks. The remaining two coach cars will be undergoing the same maintenance and updates after the first two coach cars are returned. The other coach cars will be operated in emulation mode during the service removal time period.

The 5 members of the ECP technical working group published an ASME paper on the project to date which was a follow up to the 2013 paper.

An ECP project update will be presented at the APTA Rail Conference in Denver. Tentative time slot is Tuesday afternoon June 12th.

The revenue service demonstration period will end during Q4 2018 or Q1 2019 due to the waiver expiration. Currently, Amtrak intends to continue the revenue service operation and accumulate additional time to justify the extended periodic maintenance interval.

Periodic Brake Maintenance:

As of 6-28-18:

The FRA has requested APTA PRESS Mechanical to support the codification of various existing waivers regarding brake periodic maintenance as cover under 49 CFR 238.309. Electronic air brake (NYAB and Wabtec), 26C, 26L and other types of brake equipment will potential be lengthened under this review. The FRA has a short time window to prepare these updates for internal review and then be published in the Federal Register later this year.

- Backgrounder educational document:

The 2018 version of the NGEC Backgrounder is available electronically or by hard copy. Contact Steve Hewitt at shewitt109@aol.com for copies; if you desire hard copies, please tell Steve how many you need and provide a mailing address. As of 6-28-18, Steve has distributed a total of 465 copies (electronic and hard copies).

- AWG Update:

Melissa Shurland, FRA provided an update on the activities of the Accessibility Working Group and on the RVACC effort during the NGEC Annual Meeting. The presentation is available on line on the NGEC website at www.ngec305.org.

As of 6-28-18, nothing additional/new has been reported.

- Document Control Update as of 6-28-18:

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

Procurement Updates:

- Diesel-Electric Locomotive Procurement: See the Executive Board section of this report for the latest update.
- Multi-State Car Procurement - Caltrans (Lead State): Progress reports from the lead state on the PRIIA multi-state car procurement is provided on each Technical subcommittee call and each Executive Board call.

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

- Metro North Dual Mode Locomotive Procurement:

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

- Amtrak Equipment Procurement Updates: Progress reports are provided by AMTRAK CMO and NGEC Vice Chair, Charlie King on a regular basis.

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

- AAR Updates:

TAG committee on LED Headlights as of 6-14-18:

The final report was completed on 5-10-18 and has been shared with the AAR Technical committee members. There was a conference call a week ago. Tarek Omar agreed to share the report with the NGEC's Technical subcommittee. He will provide it to Steve Hewitt following today's call. (6-14-18). Tarek Omar, FRA, agreed to discuss comments received on the 7-12-18 NGEC Technical subcommittee call.

- DEF-UREA Implementation Update as of 6-28-18:

DEF supply and usage are reported to be working well in all areas of the country where the Chargers are in use. No issues reported. The one item that is being worked on is the information needed from Amtrak on usage amounts, for invoicing in the Midwest in relation to the multi-state split.

This update is from April, but nothing new has been reported since that time. Next update will be provided as/when appropriate.

- University of Nebraska study on High Speed wireless technology as of 6-14-18:

On 6-14-18, Hamid Sharif gave a brief overview of the project which is to study wireless technology in freight and passenger trains – including 4G and 5G for higher speed wireless. He noted that he gave a presentation to the NGEC's Electronics on Trains Working Group.

The intent is to have a complete simulation tool from technology to technology 4G and 5G and to provide a tool for different scenarios.

Next update – 7-12-18 Technical subcommittee call.

Contact Information:

Hamid Sharif
Phone: 402-554-3628
Email: hsharif@unl.edu

- Update: Electronics on Trains Working Group:

As of 6-28-18, Tom Sisler provided the following update:

The last meeting was held on Tuesday 6/26.

Reviewed the DTL Software Specification PR1IA 305-920 Draft and made notes for possible changes.

Requirements specification being created by this group needs reorganization into a first draft which will be distributed to the committee and a round of comments will take place.

The Finance and Administrative Subcommittee

Chair: Tim Ziethen, Amtrak

Vice Chair: Brent Thompson, Washington State DOT

Vice Chair: Ray Hessinger, New York State DOT

The Finance and Administrative subcommittee (FASC) holds a conference call every four weeks on Wednesdays at 3:00pm Eastern.

During the Month of June 2018, the Finance and Administrative Subcommittee met once, on the 27th.

Key decisions and action item updates from the month of June 2018, included:

- Status: Approval/execution of the revised NGEC Grant SOW:
See the update provided in the Executive Board section of this report.
- Resolving missing invoice payment Amtrak to AASHTO and determining the mechanism for FRA reimbursement of Amtrak:
See the update provided in the Executive Board section of this report.
- NGEC Budget Status – Expenditures to date/Balance/Spend Rate:
See the update provided in the Executive Board section of this report.
- Requesting a 12 month no-cost grant agreement extension:
See the update provided in the Executive Board section of this report.
- NGEC Audit – timing and process:
See the update provided in the Executive Board section of this report.
- Distribution Quarterly Grant Progress Report for April-June 2018:
Information for this report will be compiled as a part of this monthly activities report and prepared by Amtrak for submittal to FRA by July 31, 2018.
- Annual NGEC By-Laws Review:
Steve Hewitt and Ray Hessinger will conduct the initial review and make recommendations to the FASC in mid to late Fall – with the intent that the activity will be completed and approved by the NGEC Executive Board by 12-31-18.

The 514 Subcommittee:

The responsibilities associated with the 514 subcommittee have been moved to SAIPRC.

NGEC Specification Review Panel(s):

For each PRIIA NGEC specification a Review Panel has been established to compare the specification (as developed by the Technical subcommittee) against a requirements document previously adopted by the Executive Board. As the Review Panel completes its work, it prepares a report with recommendations. This report is submitted to the Executive Board for its consideration. Once accepted by the Board, the specification

is subsequently formally adopted by the Executive Board. As part of the Document Control process, any proposed revisions to a PRIIA NGEC specification must go through the Review Panel process as well. At such times, the Review Panel, previously established for a specification, is re-convened by the Executive Board chair.

On 6-5-18, the Executive Board accepted the Single Level Car Specification Review Panel Report and adopted 305-003 Revision B.1.

Milestones – Quarterly update (April 1, 2018 through June 30, 2018)

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

During this quarter, the 514 Subcommittee responsibilities have transferred to the SAIPRC. As of 6-28-18, Amtrak Grants had submitted the revised SOW with changes previously approved by the NGEC Executive Board, and made additional changes recommended by FRA. FRA asked that SAIPRC revise its mission/charter to reflect the inclusion of the 514 activities. During this quarter, FRA also made changes to the NGEC submittal and as of 6-27-18 Amtrak was finalizing its changes to the FRA edits and expected to re-submit by 6-29 or 6-30-18

Bi weekly meetings:

Throughout the quarter, the NGEC Executive Board and the Technical subcommittee held bi-weekly conference call meetings. Exceptions – in May the Technical subcommittee met three times via conference call due to the way the calendar fell.

Monthly meetings:

During the quarter, the Finance and Administrative Subcommittee (FASC) met every four weeks on Wednesdays.

Dissemination of educational/informational pieces:

During the quarter, the updated two-pager, formally released on 2-23-18, continued to be distributed electronically and in hard copy by request through NGEC Program Manager Steve Hewitt. As of 6-30-18, 465 copies have been distributed. The document is also posted on the opening page of the NGEC website at www.ngec305.org

NGEC Annual Meeting:

The NGEC's 8th Annual Meeting took place on 2-23-18 at the Washington Court Hotel in Washington, DC with 68 NGEC members present.

The next Annual Meeting will take place in February 2019 – in Washington, DC.

Annual Review of NGEC By-Laws and Operating Procedures:

During the quarter ending December 31, 2017, the NGEC Executive Board adopted Revisions to the NGEC By-Laws and Operating Procedures per its requirements. The changes were proposed by the NGEC Finance and Administrative Subcommittee after a complete annual review and were subsequently adopted on 12-19-17 by the Executive Board. The primary revisions to the document addressed the requested move of the 514 subcommittee from the NGEC to the SAIPRC.

In June 2018, the Finance and Administrative subcommittee tasked Program Manager Steve Hewitt and NGEC Secretary, Ray Hessinger, NYSDOT with conducting the initial Annual Review of the NGEC By-Laws and Operating Procedures. This review will begin in mid to late Fall with a timeline for completion and formal NGEC Executive Board adoption of any proposed changes by 12-31-18.

Grant reporting:

As required by the Grant Agreement, Amtrak will submit a quarterly report to the FRA. 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 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.

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.

Review/Update of NGEC Specifications (Document Control):

This activity is ongoing and on track:

During the quarter ending June 30, 2018, the PRIIA Single Level Car Specification 305-003 Revision B.1 was adopted. The Diesel-Electric Locomotive Specification 305-005 Revision B.1 was adopted, per the NGEC procedures, by the Executive Board (June 5, 2018). As an active multi-state procurement (lead state California), changes continue to be brought forth and are being handled through the document change request process. Approved changes will be included in the next Revision of 305-003.)

In June 2018, the technical writing of Specification Diesel-Electric Locomotive 305-005 Revision B was completed and is available by request through Steve Hewitt.

Also completed in the quarter ending June 30, 2018, the technical writing to include all approved changes comprising Revision C.4 of PRIIA Bi-Level Car Specification 305-001 were completed and are available by request through Steve Hewitt.

Also completed in the quarter ending June 30, 2018, the technical writing to include all approved changes comprising Revision C of PRIIA Reference Specification 305-912 Revision C were completed and are available by request through Steve Hewitt.