



*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: June 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 June 2021, the Executive Board met three times via web conference, on the 1<sup>st</sup>, the 15<sup>th</sup>, and the 29<sup>th</sup>.

Highlights, decisions, and action items from the month of June 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 NGE C technical subcommittee informed as the process is completed.

As of 6-30-21 – this item remains in a holding pattern.

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

Development of a TSSSA template/primer:

In June 2021, the NGE C the Executive Board continued its review of the DRAFT document and on 6-29-21, Chairman Hessinger set a deadline for comments by 7-8-21 and will look to have a discussion and consideration of approval on the bi-weekly Board meeting on 7-13-21.

- Treasurer's Report – 6-29-21:

Balance and Spend Rate

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

Amount Spent through April 2021: \$766,612.50

Balance remaining: \$ 483,387.50.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$404,213.86.

Current Spend Rate per month (as info and used in calculating): \$13,938.41

Estimated Balance at the end of the Extension Period (Contingency): \$79,173.64

- 2021 NGE C two-pager:

The 2021 version of the NGE C two-page backgrounder/educational document remains available electronically or in hard copy by request - contact Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com).

To date approximately 550 electronic versions have been distributed.

- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 6-29-21:

Design review for the standard coach is complete. The Cab Car structure FDR is complete and in the approval process. The Cab Car HVAC FDR occurred on June 14. The Cab Car Cab Layout FDR is scheduled for July 1<sup>st</sup> and the Cab Car Safety Appliance & Clearance FDR is scheduled for July 14. IDOT Café Car FDR releases are ongoing and the Galley FAI occurred June 23 in Texas.

The Cab Car Compression Test setup is in process in Sacramento with testing planned to begin July 13. Cab Car Collision and Corner Post testing has been reserved for August in Germany. NEC testing for standard coach is complete and the report is accepted by FRA. Caltrans and IDOT 238.111 testing is complete and both reports have been submitted to Amtrak and FRA.

90 cars total are in production or have been produced at Siemens Sacramento Facility. Car deliveries are ongoing to Chicago and Beech Grove for IDOT, and Stockton for Caltrans. The initial consists for Caltrans and IDOT are being prepared for Conditional Acceptance and revenue service while open items are addressed.

Metro-North Dual Mode Locomotive Equipment as of 6-29-21:

Initial Design Review meetings continue with a focus on systems that remain unchanged from the ACL42.

- Amtrak Equipment Procurement Update – as of 6-29-21:

On The CAF cars – two more were accepted – the last few are expected to by the end of the Fiscal Year.

On the Acela Express 21 – Testing of prototype two continues on the Northeast Corridor. Amtrak is getting ready for Trainset 3.

On the Intercity Passenger Rail Trainset – Final contract discussions continue to advance quickly. Discussions with FRA and on the Hill are taking place as required.

On the Long-Distance Locomotives – the first one is in Chicago for pictures and then will be shipped East to begin the commission process.

- Connecticut DOT Rail Car RFP as of 6-29-21:

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 around June or July 2021.

- Document Control Update - as of 6-29-21:

The rewrite of the trainset specification continues. All the chapters have been reviewed. The non-technical specification change sheet is now complete. The DCRs are now all complete and were sent to the Working Groups.

I have reached out to the WGs that are working on the DCRs for the DMU and I have received the status on the comments from two of the four groups. The last two Working Groups are expected to provide their comments to Tammy tomorrow (6-30-21). That will allow the document compiling to be complete by 7/16/21 and sent to the Technical subcommittee prior to the 7/22/21 meeting.

The Electronics on Trains Working Group is meeting today (6/29/21) and will discuss the possible development of a new specification concerning Cellular Communication on Railcars.

Steve Hewitt asked Larry Salci if he has provided an updated scope and budget for the DMU to AASHTO so that the task order can be adjusted accordingly. Larry responded that he has not yet but has the information he needs now to prepare and submit an amended scope and budget.

Tammy informed Larry that the Trainset rewrite has also resulted in some DCRs that will need to be reviewed. Steve Hewitt commented that that would require a separate Task Order that AASHTO and Larry Salci would need to execute. Larry agreed and said he would prepare a scope and budget for that one as well.

- METRA Equipment Procurement Effort:

As of 4-9-19, an RFP was on the street for 200-400 bi-level cars. They were going through the process now. Interested parties were to respond by August 2019.

METRA has the NGEN specification, but it was unknown if the plan to use it or if they will be in contact with the NGEN or not.

John Oimoen, IDOT, is scheduled to provide an update on this procurement to the Executive Board in a future Board call.

As of 6-30-21 – nothing new has been reported.

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

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

- Reauthorizing the NGEC as of 6-29-21:

Steve Hewitt reiterated to Executive Board Members that the House and Senate Committees of jurisdiction released their versions of Federal Surface Transportation Authorization legislation. The House has passed its bill through the T&I Committee – next step the Floor of the House. The Senate Commerce Committee passed its bill through the committee as well.

Neither bill included NGEC reauthorization despite requests to do so by numerous associations and the industry (SPRC, MIPRC, AASHTO, CSG-East, Siemens).

No amendments to either bill in committee were presented – so as the bills go to their next step, the NGEC remains out of reauthorization.

Steve Hewitt has since followed up with industry members to make them aware of this and asking for them to reach out to see if they could get a member to request a managers' amendment when the House bill is on the Floor. On 6-21-21, Steve Hewitt spoke to Steve Morrison, Siemens, who conferenced him in with their lobbyist Harrison Wadsworth. Steve Hewitt provided Harrison with context and background on the NGEC – its history, what it does and what it has accomplished and what the ask is legislatively. Harrison reached out immediately to Ken Altman, Amtrak to get his sense of Amtrak's support, and planned to reach out to try to also get an AASHTO decision maker involved. Siemens is concerned about going it alone as it would seem self-serving, so they wanted to work with Amtrak and AASHTO on this.

Following the call with Siemens, Steve Hewitt informed AASHTO (Shayne Gill) of the conversation as a heads up and informed Tim Ziethen who also had been reaching out to Ken Altman.

On 6-24-21, Steve Morrison emailed Steve Hewitt to let him know that he did not have anything new to report but would let Steve H know as soon as he did.

While there is still some opportunity to get the NGEC into the reauthorization bill, that opportunity is narrowing.

Shayne Gill, AASHTO, reported that AASHTO did review both bills and all amendments and concurred that neither included reauthorization of the NGEC.

AASHTO followed up by sending in a recommendation to the House that reauthorization of the NGEC is important and should be added. AASHTO fully supports reauthorizing the NGEC.

Tim Ziethen, Amtrak, reported that he has been reaching out to Ken Altman, Amtrak Government Affairs, and has provided follow-up information.

Tim expects to speak with Ken Altman sometime today (6-29-21). Steve Hewitt recommended that Tim ask Ken if he has discussed the issue with the Siemens lobbyist who reached out via email last week. Tim agreed to try to get a status update.

Tim also reiterated that Amtrak is supportive of reauthorizing the NGEC.

Following the 6-29-21 call – John Oimoen, IDOT, called Steve Hewitt to inform him that IDOT Deputy Secretary Doug House has agreed to reach out to Senator Durbin and Representative Castin. Steve provided John with background information and proposed legislative language scope and funding for the Deputy Secretary to use in his discussions with Durbin and Castin.

Steve informed Siemens of this activity and they are willing to help with Durbin following the IDOT outreach.

Note: On 7-1-21, the House passed the INVEST Act – the NGEC was not included. IDOT working with Senator Durbin is key to a potential amendment to the Senate bill.

- Executive Board Meeting with FRA Deputy Administrator Amit Bose 6-1-21:

On 6-15-21, Ray Hessinger provided a brief overview of the highlights of the 6-1-21 Executive Board meeting with FRA Deputy Administrator Amit Bose and opened the floor for discussion/reaction. The meeting was dedicated solely to the discussion with the Deputy Administrator. There were no other agenda items.

Ray highlighted several of the key discussions that took place during the meeting – following the Deputy Administrator’s summary description of the American Jobs Plan.

Ray emphasized to the Deputy Administrator the need for harmonization on use of funds across DOT (FTA, FRA, FHWA) and the flexibility needed for the use of funds for equipment purchases. He stressed that mixing money from various modal agencies with various versions/interpretations of Buy America cannot be done.

The Deputy Administrator noted that this is an on-going issue and that it is on his radar, and he was generally supportive, but noted that it would be require a legislative fix.

Turning to the issue of the NGEC, the Deputy Administrator asked about the extent of manufacturers and suppliers’ involvement with the Committee and if it was continuous. He noted that he believes that their (the industry) engagement is important.

Steve Hewitt responded in detail about the industry’s consistent and strong involvement in the NGEC from its inception in 2010. He explained that over 200 representatives of the passenger rail equipment manufacturing and supply industry (including all of the major OEM’s) are members of the NGEC’s industry participation group. The number of industry representatives has been very consistent over the years. They are actively engaged and have been involved in the development and updating of each of the NGEC vehicle specifications as well as the recently adopted PRIIA 305-200 Recommended Practices document.

Ray asked for comments/reactions from Board members:

Jason Biggs echoed Ray’s sentiments on the Buy America issue noting that it is a challenge to WSDOT. Jason feels it is important to keep this critical issue “front and center” and believes having this discussion with Deputy Administrator Bose was key.

Overall, Jason felt “it was a good session”.

Asked if he had heard anything from the FRA senior management following the meeting, Jeff Gordon responded that he has not, and Ray Hessinger commented “I guess no news is good news”.

- Announcement about the new Mid-West Equipment – Venture cars – John Oimoen, IDOT:

John Oimoen, IDOT announced that last week (week of 6-21-21) was an exciting week for IDOT and the Mid-West states as 5 Venture cars manufactured by Siemens were completed and will be ready to begin revenue service within 5 weeks. The 5 cars are the first of 88 that are being manufactured.

John noted that while the effort had some starts and stops the collaboration among the states, the NGEC, Amtrak, FRA, and the industry helped them to persevere and get to this point where they will soon be ready for customers to enjoy and use the new technology and new next generation passenger rail cars.

John expressed his appreciation to the NGEC – NGEC specifications and procedures were used – and to all of the stakeholders, partner agencies and the industry as well as Amtrak and FRA. John noted that he is “thankful for all who played a part in this project”.

Ray Hessinger, NYSDOT, and Chair of the NGEC executive Board commented “outstanding news – congratulations on behalf of the NGEC”.

Kyle Gradinger, Caltrans, also congratulated John and the IDOT team for reaching this great milestone. Kyle also singled out Jennifer Bastian, IDOT for her role and hard work in making this a success. Kyle also thanked Jeff Gordon, FRA, “for all you have done”.

John Oimoen also noted the value of the Lessons learned and Best Practices document produced and released recently by the NGEC which is a tool that will be invaluable to states that have not been through the procurement process before and also as a reference for those who have experienced it and will again.

Jeff Gordon, FRA, congratulated IDOT and the Mid-West State partners and note that he has been involved from the beginning (nearly 12 years ago) and knows the hard work that went into this and the collaboration that played a critical part. “Congratulations to all.”

**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 June 2021, the technical subcommittee met twice, via conference call, on the 10<sup>th</sup> and 24<sup>th</sup>.

Key decisions and action item updates from the month of June 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](mailto:shewitt109@aol.com).

Total distribution is approximately 550 as of 6-29-21. 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 6-30-21 – the Access Board continues to be in a holding pattern on this review.

- Document Control Update:

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

Procurement Updates:

- 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 6-10-21:

On 6-10-21, Hamid Sharif-Kashani reported that the study has been looking at the spectrum for variable applications and developing models for 160MH and 450 MH. They have completed models on various items with tools to compare different variables. Next - channel interference based on the environment of various applications will be evaluated.

Asked if they will be issuing interim reports, Hamid responded yes – at the end of July 2021, they should have a complete report on the first phase of the project. It should be available in August. Hamid will provide it to Steve Hewitt for distribution to the NGEC members.

For any questions, please contact Hamid Sharif at [hamidSharif@UNL.edu](mailto:hamidSharif@UNL.edu).

- Working Group on Specification Wright Issues as provided by Jeff Gordon, FRA on 6-10-21:

The NGEC Vehicle Weight Working Group had its 6<sup>th</sup> meeting on June 9. There were 15 members in attendance.

The group discussed various topics which were not finished during our previous call including:

- defining the baseline production weight for different types of equipment,
  - allowable serial production vehicle weight deviations,
  - lateral and end-to-end imbalance requirements (and how these should be defined),
  - requirements for vehicle scales,
  - and initial discussion on dynamic P2 forces and whether P2 limits for coaches are needed.
- The next meeting of the Working Group has not yet been scheduled but will occur during the week of July 12.

If interested in participating on this working group, contact Jeff Gordon at [Jeffrey.gordon@dot.gov](mailto:Jeffrey.gordon@dot.gov) or Steve Hewitt at [shewitt109@aol.com](mailto:shewitt109@aol.com)

- Reauthorizing the NGEC:

See Executive Board section of this report for an update on activities related to this topic.'

#### **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 June 2021, the Finance and Administrative Subcommittee met on 6-23-21:

- Treasurer's Report as of 6-23-21:

Balance and Spend Rate

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

Amount Spent through April 2021: \$766,612.50

Balance remaining: \$ 483,387.50.

Estimated spend at current rate for the remaining grant period (through 9-30-23): \$404,213.86.

Current Spend Rate per month (as info and used in calculating): \$13,938.41

Estimated Balance at the end of the Extension Period (Contingency): \$79,173.64

- Conveying the message (Federal Surface Transportation Authorization) as of 6-29-21:

2021 NGEC two-page handout

Over 550 of these documents have been distributed electronically. Feedback continues to be positive.

Reauthorization of the NGEC

Steve Hewitt reported that the House and Senate Committees of jurisdiction released their versions of Federal Surface Transportation Authorization legislation. The House has passed its bill through the T&I Committee – next step the Floor of the House. The Senate Commerce Committee passed its bill through the committee last week.

Neither bill included NGEC reauthorization despite requests to do so by numerous associations and the industry. (SPRC, MIPRC, AASHTO, CSG-East, Siemens)

Senate Commerce staff was reached out to on 6-11-21 by SPRC and it was acknowledged that the NGEC had not gotten into the legislation. Staff was not sure what happened but, in the discussion, commented that the thought the funding request was for \$5 million. SPRC told him the number was \$2.5 million and was for the full life of the bill - \$500,000 a year. Hearing this, staff asked for an email to that effect (and it was provided) and suggested that a member of the Senate be asked to submit an amendment to the Committee by Noon on 6-14-21.

Steve Hewitt – on 6-12-21 – provided an FYI and call to action to all NGEC State members to reach out to their Senator(s) if possible, to ask for an amendment to be put forth to include the reauthorization of the NGEC with funding. Steve also reached out to Siemens as well.

Steve Hewitt reached out to Siemens making sure they were aware of the fact that the NGEC was left out of each bill and asking for them to reach out to see if they could get a member to request a managers' amendment when the bill is on the Floor.

Following Steve Hewitt's outreach, Steve Morrison, Siemens, called him and conferenced him in with the Siemens lobbyist Harrison Wadsworth to provide him with background on the NGEC and discuss strategy. Harrison planned to contact Ken Altman, Amtrak Government Affairs, and planned to also reach out to AASHTO leadership to be sure they are all involved in a push for a manager's amendment as the bill comes to the House Floor. Siemens felt they could not do it alone because it would seem self-serving as they have benefited so well from the use of the NGEC specifications. Steve provided the proposed legislative language sent around previously. Siemens said they would follow up with Steve Hewitt as they knew more.

Today, Tim Ziethen reported he has talked to Cody McClellan, who works for Ken Altman, and stresses the belief that the NGEC is important and needs to be reauthorized. Tim also reached out to Ken Altman (through Cody). Cody confirmed that the NGEC was in their reauthorization proposal language as one of their line items.

Tim will convey the message again to Ken Altman and make sure he is aware of the Siemens outreach and efforts to get a managers' amendment on the Floor of the House.

Tim also emphasized the need for states to reach out to any member they may know and do whatever they can to get this situation resolved.

- Quarterly Grant Progress Report:

The quarterly report for the period ending 6-30-21 is due to FRA by 7-31-21. Information to be included in the report are attached at the end of this document.

- Annual Review of NGEC By-Law:

Task complete – next review – Fall 2021.

### **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.**



The Trainset Specification Review Panel met on October 17, 2019 and approved the Trainset Specification 305-007 Revision B Review Panel Report and recommendations as presented by consultant Larry Salci. On 10-22-19, the NGEN Executive Board accepted the Review Panel's Report and Recommendation and formally adopted PRIIA Single Level Trainset Specification 305-007 Revision B.

In October 2020, NGEN Executive Board Chairman, Ray Hessinger re-convened the DMU Specification Review Panel and tasked technical consultant Larry Salci with reviewing the changes approved by the technical subcommittee on 10-15-20 and preparing a Review Panel report with recommendations.

As of 11-30-20, additional comments submitted on weight, by the mechanical working group have not yet been adjudicated. Industry members from Stadler (builders of DMUs) have come in late to the process and requested time to develop and submit more changes through the NGEN DCR process. As noted above, Mr. Salci emphasized that any changes requested by Stadler must be FRA compliant. As of 11-30-20, the Stadler comments have not been submitted and they have requested and were provided more time to develop those comments internally before submitting through the NGEN Document Control process as DCRs. The timeline for consideration of the additional DCRs by the Technical subcommittee is now anticipated to be sometime in January 2021. The view is that it is better to get it right than rushed.

Additionally, the broader issue of weight across the vehicle procurements will likely be taken up by a working group being established to look at that issue and report back to the NGEN technical subcommittee with recommendations. Establishing the working group will be on the 11-10-20 Technical subcommittee agenda.

As reported earlier in this document, a technical working group on equipment weight was established under the jurisdiction of the NGEN Technical subcommittee on 12-20-20 and is led by Jeff Gordon, FRA.

As of 1-31-21, the DMU specification update Revision B was on hold pending the Stadler DCRs.

As of 4-30-21 – DCRs submitted by Stadler for the DMU Specification Revision B have been distributed to the appropriate working groups.

The rearranging/reformatting of the Single Level Trainset specification is in process and is expected to be completed within the current quarter.

As of 6-29-21 – there were no changes in the activities of the Review Panels. It is likely that in the 3<sup>rd</sup> quarter 2021, y both the DMU and the Trainset Review Panels will meet to review changes to their respective specifications.

#### **Milestones – Quarterly update (April 1, 2021, through June 30, 2021)**

##### **Bi-weekly meetings:**

Throughout the quarter, the NGEN Executive Board and the Technical subcommittee held bi-weekly conference calls with one exception. 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 NGEN Executive Board as presented.

##### **Dissemination of educational/informational pieces:**

The 2021 two-page educational/backgrounder was released in January 2021. To date, around 550 electronic versions have been distributed to NGEN members and various associations.

##### **NGEN Annual Meeting:**

The (11<sup>th</sup>) Annual Meeting took place virtually on 2-23-21 with over 100 NGEN members attending.

The next (12<sup>th</sup>) 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 NGEN.

#### **Annual Review of NGEN By-Laws and Operating Procedures:**

This task for 2020 was completed in the 4<sup>th</sup> quarter. The Executive Board adopted changes proposed by the NGEN 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 NGEN website.

The 2021 annual By-Law review will take place in the last quarter of 2021.

#### **Grant reporting:**

As required by the Grant Agreement, Amtrak will submit a quarterly report to the FRA. Information provided in the monthly NGEN Activities reports for the quarter, prepared by the NGEN 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 will include 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 third quarterly report for 2021 will include the period beginning on 4-1-21 and ending on 6-30-21.

**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 6-30-21, all contracts are up to date and active.

**Review/Update of NGEC Specifications (Document Control):**

This activity is ongoing and on track:

Activities specific to this quarter:

During the quarter ending June 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 third quarter 2021.

The re-write of the Single Level Trainset specification continues and has resulted in a number of DCRS which have been distributed to the appropriate working groups for review per NGEC procedures.

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