



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: March 31, 2022

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 March 2022, the Executive Board met once on the 22nd, canceling the March 8th call due to its proximity to the Annual Meeting held on February 25th.

Highlights, decisions, and action items from the month of March 2022 include:

- 2022 Annual Meeting Summary Overview and discussion:

Overview/reactions/comments

Ray Hessinger provided a brief summary of the Annual Meeting stating that the presentations went well, and the meeting was productive and well attended. All reactions he has heard were positive.

Steve Hewitt reported that the 2022 Annual Meeting – the first held as a hybrid - was one of the most well attended in the 12 years the NGEC has been active. There were 70 members in attendance in-person and 41 attending virtually.

A highlight of the meeting was Amit Bose, FRA Administrator, stopping by to address NGEC members. The Administrator mentioned that he had previously met with the NGEC Executive Board and that he wanted to stop by to re-emphasize the importance of the Committee and “all the work you have done over the years.”

He noted that the recently passed Infrastructure Investment and Jobs Act (IIJA) has a lot of focus on Rail – passenger and Freight.

He added that there is a lot of interest in the area of passenger rail and new equipment – mentioning that the Venture Cars are beginning to enter into service.

For the Administration – equipment manufacturing is an important part of the overall rail efforts. Per the Law – the key is US manufactured equipment.

Steve also noted that Chairman Hessinger sent a thank you letter to the Administrator expressing his appreciation for his participation at the meeting his expression of support for the committee.

In the meeting there were presentations from the two NGEC standing subcommittees (Technical and Finance and Administration), a Treasurer’s report, Chairman’s report, update presentations on the ongoing procurements and presentations on how the Charger Locomotives are performing. We also heard from Document control on the year’s activities as well as a look ahead with a focus on the Chairman’s priorities.

All of the presentations are available on the NGEC website or by request (shewitt109@aol.com).

The NGEC Executive Board and its officers were all elected to new two year terms.

Overall, it was a great meeting! The feedback has been all positive. The flow of the meeting and the information provided has been widely complimented, and, of course one of the major highlights was the presence of Administrator Bose!

Action Items – Ray Hessinger:

One of the critical action items coming out of the meeting was the need to seek a source of funding. To date, the FRA has not responded to the NGEC’s request for funding out of the FRA budget or any other potential pocket of money.

Given that and the fact that the NGEC has only enough funding to get it about 3 or 4 months past the grant agreement end date of 9-3023, it is time that the Committee look for another source. One suggestion that came up after the meeting, was a suggestion that the more viable path forward may be for the NGEC to seek a grant in the next round of CRISI. Ray believes that with the partnership the NGEC has with members of the industry, states, Amtrak, and FRA there should be strong support for the Committee to receive a grant under CRISI. The ask is relatively small, and the benefits are huge.

Ray emphasized the point that “absent the FRA coming to us to say yes we will fund you out of some pocket, we need to pursue this path”.

Discussion of Next Steps – Ray Hessinger/Steve Hewitt:

Steve Hewitt recommended that the Finance and Administrative subcommittee (FASC) would be the place to look into CRISI and to put together a framework. With Amtrak as the Fund Administrator for our current grant – it would likely also be the applicant for a CRISI grant.

FASC Chair and NGEC Treasurer Tim Ziethen noted that he has reached out to Amtrak grants to discuss the process and timing. He also expressed his concurrence with the thoughts and recommendations expressed by the Chair today.

Ray Hessinger commented that the FASC will be the lead and will come back to the Executive Board with content and “we will go from there”.

Tim Ziethen agreed that the FASC will be active and will set the marker.

Steve Hewitt noted that the FASC meets next week (3-30-22) and he will add this item to the agenda for that meeting.

- Treasurer’s Report – 3-22-22:

Balance/ Spend Rate:

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

Amount Spent through January: \$912,469.91

Balance remaining: \$ 337,530

Current Spend Rate per month (as info and used in calculating): \$14,257

Estimated Balance at the end of the Extension Period (Contingency): \$52,000

Ray Hessinger would like the NGEC to refresh its website (full discussion below). He was very impressed with the updated States for Passenger Rail Coalition’s (SPRC) site and asked Arun Rao, Chair of SPRC, what it cost to do the refresh of the website. Arun did not have the exact number but he and Steve Hewitt both stated that there was a \$10,000 budget for it, and it came in below that.

Tim Ziethen noted that the cost of a website refresh would likely eat into the contingency funds which were hoped to be used to extend the life of the NGEC beyond 9-30-23. If the cost comes in around the \$10,000 range, it is possible to spend that amount and still retain some funding to carry the Committee for a few months beyond 9-30-23.

- Discussion – NGEC Website Refresh:

Ray Hessinger reported that he recently had a need to go to the NGEC website. He found what he was looking for but the “look and feel of the website is stale”. He added that “in light of the States for Passenger Rail Coalition’s (SPRC) recent refresh of its website which looks great, it is appropriate for the NGEC to have a conversation about updating its website”.

Strat Cavros, AASHTO, said they could put out an RFP - leave it open ended - and see what they get back.

Steve Hewitt mentioned that this too, would be a FASC assignment. The FASC has the NGEC Treasurer and manages the budget.

Tim Ziethen agreed the site does need an update and advised Strat Cavros that it would be prudent to mention that the Committee has “limited resources”.

Ray Hessinger also noted that the website is under a broader AASHTO website address – www.high-speedrail.org and he would like to see if it is feasible to have “our” own web address. This would help the NGEC in its efforts to increase awareness. It would raise the NGEC profile. “I don’t know if it will work or not, but it should be something we look into”.

Jason Biggs, WSDOT mentioned that states are technically savvy and may be able to help. In WSDOT they just recently did an overhaul. It is possible that states may have some resources and could partner with the NGEC on its efforts to refresh its website.

Strat Cavros recommended that the NGEC put together a Statement of Work and AASHTO will put out an RFI. He said he already has 3 firms in mind.

- 2022 NGEC two-pager:

The 2022 NGEC two-page educational document was released in January and distribution has begun. To date 425 electronic copies and 125 hard copies have been distributed.

- Annual By-Law Review/Update:

The 2021 Annual Review of the NGEC By-Laws was completed in November 2021 and proposed changes were adopted by the Executive Board. The updated By-Laws were distributed to Board members and posted to the NGEC website.

The 2022 Annual review will be scheduled by the NGEC Finance and Administrative subcommittee.

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

On 10-5-21, Mike Murray, FRA, reported that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take time. When he has more information, he will let the Board know.

Tim Ziethen reported that he has reached out to Ken Altman, Amtrak Government Affairs to follow-up with him on previous discussions that an option could be Amtrak funding the NGEC through its grant. It was the general thinking that this would be a possibility as the NGEC was included as a potential type of recipient in the overall Amtrak grant request. Tim will report back once he hears from Ken Altman.

Mike Murray notified Steve Hewitt and Ray Hessinger prior to the NGEC Annual Meeting that the FRA would not have an answer on this for the Annual meeting.

Steve Hewitt noted that he will keep this item open to see if it is possible that FRA will have a response before the Annual Meeting.

Update/Action – 3-22-22:

One of the critical action items coming out of the meeting was the need to seek a source of funding. To date, the FRA has not responded to the NGEC's request for funding out of the FRA budget or any other potential pocket of money.

Given that and the fact that the NGEC has only enough funding to get it about 3 or 4 months past the grant agreement end date of 9-30-23, it is time that the Committee look for another source. One suggestion that came up after the meeting, was a suggestion that the more viable path forward may be for the NGEC to seek a grant in the next round of CRISI. Ray believes that with the partnership the NGEC has with members of the industry, states, Amtrak, and FRA there should be strong support for the Committee to receive a grant under CRISI. The ask is relatively small, and the benefits are huge.

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Next Steps:

Steve Hewitt recommended that the Finance and Administrative subcommittee (FASC) would be the place to look into CRISI and to put together a framework. With Amtrak as the Fund Administrator for our current grant – it would likely also be the applicant for a CRISI grant.

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- Update – Multi-State Rail Car Procurement (provided by Caltrans) as of 3-22-22:

The Cab Carshell final design has been approved and the cab structures are in production. Remaining Cab Car FDRs are in the final submittal and review stage. Cab Car Safety Appliance documents have been sent to the FRA for review, and the Cab Car Clearance information has been approved by Amtrak. IDOT Café Car FDRs are in the closure stage and Galley open items are being addressed.

The Cab Car Collision and Corner Post Appendix F testing is complete, and the test report has been submitted for review. The cab car compression test report review is complete, and Siemens is preparing responses. FAIs will continue for café and cab car subsystems.

103 cars are in production or have been produced at Siemens Sacramento Facility. Revenue Service relevant FMIs are in progress and open items are being addressed.

- Metro-North Dual Mode Locomotive Equipment as of 3-22-22:

Metro-North and Siemens are still in the Preliminary Design Review phase. They have only a few open items left to resolve, and they continue to move forward.

- Amtrak Equipment Procurement Update – as of 3-22-22:

On the Acela: They continue to work on the qualification efforts with FRA. One trainset is in Philadelphia for APTA's meeting and can be seen there.

On the Intercity Passenger Rail Trainset – they continue with Design Review.

On the Charger Locomotives: Amtrak continues to deliver units. There are two in service between Chicago and Seattle – and things are going well.

- Connecticut DOT Rail Car Procurement as of 3-22-22:

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

- VIA Rail Equipment Procurements:

On 2-25-22 at the Annual Meeting a comprehensive overview/update of the VIA Rail procurement was presented. The presentation has been posted to the NGEC website and distributed to all NGEC members.

- Document Control Progress Report – 3-22-22:

Document Control has been working on the DMU Specification and it will be completed by the end of the month. Tammy Krause, Document Control Manager has put together a proposed timeline to accomplish the tasks for the TSC this year.

The first item is the new revision of the Bi-Level specification. Tammy will be reviewing all the Document Change requests (DCRs) that have been processed since 2016 for applicability to the Bi-Level specification. She also would like everyone to look at the current version and start thinking of any changes that should be made. Tammy would like the Working Groups to be able to review all the Bi-Level DCRs at the same time. She has tried to arrange the timeline so that once the WGs are back to regular meetings, they will be able to continue them.

Tammy (through Steve Hewitt) distributed a proposed timeline and asked that Technical subcommittee members get back to her with any comments.

Technical subcommittee

Chair: George Hull, Amtrak

Vice Chair: Joe Paul, Amtrak

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

During the month of March 2022, the NGEC Technical Subcommittee met twice – on the 17th and 30th.

Key decisions and action item updates from the month of March 2022, included:

- Backgrounder educational document:

The 2022 NGEC two-page educational document/handout is now available in electronic or hard copy versions. Requests should be sent to Steve Hewitt at shewitt109@aol.com

To date 425 electronic copies and 125 hard copies have been distributed.

- Document Control Update as of 3-22-22:

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

- Discussion: Addressing the issue of car body materials – George Hull:

On 3-22-22, Technical subcommittee Chair, George Hull noted that there had been a discussion during the update of the DMU specification about the issue of alternate carbody materials. It was decided at that time that rather than try to take the issue on as a part of the update, it would be better taken up in more depth separate from a specific specification.

At the Annual Meeting 2-25-22, NGEC Chair Ray Hessinger identified this issue as one of his priorities for 2022.

On the NGEC Executive Board call on 3-22-22, Chairman Hessinger asked the Technical subcommittee to take it up and Tech subcommittee Chairman George Hull agreed to introduce it on the 3-31-22 Tech subcommittee call and have a discussion as to whether a special working group to address the issue should be established (similar to the weight issues working group) or if the subject matter should be taken up within the structural and mechanical permanent working groups.

Tammy Krause, on 3-31-22, recommended that this issue (carbody materials) would be better served in a temporary working group established for this specific subject matter rather than have it incorporated within the permanent working groups.

Jeff Gordon, FRA, agreed with Tammy Krause's recommendation and Ray Hessinger, NYSDOT also voiced his agreement.

With no objection or further discussion, George Hull established the Car Body Material working group and Tammy Krause was asked to organize it and schedule the first meeting. She will ask for volunteers to be a part of the working group and a volunteer to serve as team leader.

Tammy Krause agreed to "send an informational email to Steve Hewitt about the new Carbody Material Working Group and set up a meeting for around the 4-13-22 to get the group started".

- Update: Electronics on Trains working group activities:

Team Leader David Brabb resigned his position due to a job change. To date there has been no notification by the group as to whether a new team leader has been named. Tammy Krause has been asked to monitor the activities of this working group and provide information on when it will meet next and who the team leader will be. This item will be on the next Technical subcommittee agenda for an update from Tammy Krause.

- 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 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:

As of 3-22-22 this procurement remains in the "cone of silence".

- University of Nebraska study on High Speed wireless technology as of 2-3-22:

On 3-31-22, Hamid Sharif provided the following update for inclusion in the meeting minutes:

We have been investigating 160 MHz for rail applications. We have designed and implemented a detailed analytical and computer simulation model for 160 MHz with the capabilities and constraints of this band. One of our objectives is to come up with a RF transceiver design for maximum end to end throughput. In doing so, we have gone through detailed channel models and parameters such as two ray ground reflection, path loss, Doppler effect, and other signal distortions to evaluate the performance of 160Mhz channel.

We have presented our findings in two papers with the following titles:

- 1) *Modeling and Performance Evaluation of an RF Transceiver System at 160 MHz for Railroad Environments*
- 2) *Maximizing RF Communications Throughput for Railroad Applications at 160 MHz*

These papers are accepted and will be presented at the 2022 Joint Rail Conference Railroad Engineering scheduled for April 20 – 21 - (<https://event.asme.org › Joint-Rail-Conference>).

For questions, please contact:

*Hamid Sharif
hsharif@UNL.edu*

- Working Group on Specification Weight Issues as of 3-17-22:

The NGEN Vehicle Weight Working Group last met on March 3, 2022. Nine participants were in attendance.

Jeff had prepared a draft summary document to collect the items the working group had discussed to date which was distributed in advance for review.

We reviewed some of the topics including vehicle imbalance requirements and the potential for providing allowances for certain vehicle types such as café cars which have inherent imbalance challenges. The allowance is to be considered while continuing to observe requirements for protection against derailment, ride quality, clearance, and maintenance.

We discussed the specification requirements for determining P2 forces and will be reviewing those requirements in the context of the APTA Recommended Practice for Truck Design to ensure consistency between the NGEN specifications and that industry standard.

The next meeting of the working group will be on April 6, 2022, at 11:00am ET.

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

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 March 2022, the Finance and Administrative Subcommittee did not meet due to scheduling conflicts. The work of the subcommittee continued throughout the month:

- Treasurer's Report – 3-22-22:

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As noted in the Executive Board section of this report, NGEC Executive Board Chair Ray Hessinger would like the NGEC to refresh its website (full discussion above). He was very impressed with the updated States for Passenger Rail Coalition's (SPRC) site and asked Arun Rao, Chair of SPRC, what it cost to do the refresh of the website. Arun did not have the exact number but he and Steve Hewitt both stated that there was a \$10,000 budget for it, and it came in below that.

Tim Ziethen noted that the cost of a website refresh would likely eat into the contingency funds which were hoped to be used to extend the life of the NGEC beyond 9-30-23. If the cost comes in around the \$10,000 range, it is possible to spend that amount and still retain some funding to carry the Committee for a few months beyond 9-30-23.

In March, Steve Hewitt drafted a proposed Statement of Work (SOW) for use in putting out an RFI for a website refresh. The draft SOW was submitted to FASC Chair Tim Ziethen for review and comment before presenting to the full subcommittee.

Follow up Discussion regarding future funding options beyond 9-30-2023:

Mike Murray, FRA, had reported to the Executive Board on 10-5-21 that the FRA is looking at options and briefing leadership in the Office of Railroad Policy and Development. This will take a couple of months and Mike suggested that the Board not carry this as an agenda item for the bi-weekly meetings as it will take some time. When he has more information, he will let the Board know. Ray Hessinger suggested, at that time, that this information be reported to the FASC on its next call (today) and that the FASC keep track of it.

As of 3-31-22, there has been no decision on FRA's review of potential options for future funding.

- Looking into submitting an NGEC CRISI Grant application with Amtrak as the applicant:

The Executive Board has asked the FASC to take the lead on this and to determine the next steps. Tim Ziethen has reached out to Amtrak grants and received feedback. He will provide FASC members with the summary of that discussion.,

- Conveying the message as of 3-31-22:

The 2022 NGEC two-pager is available as reported in the Executive Board section of this report and 425 electronic or "soft" copies have been distributed. 125 hard copies have also been distributed.

Along with the two-pager, the website refresh will look at ways to increase NGEC awareness.

- Quarterly Grant Agreement Progress Report to FRA

All reports this year have been submitted on time. The report for the period ending 3-31-22 will be due to FRA on 4-29-22. Below, please find the update of NGEC Grant Milestones that will be used in the compilation of the quarterly report to FRA.

- Follow ups on further plans to increase NGEC awareness as of 3-31-22:

Tim Ziethen has had several discussions with Michael Alexis, Amtrak Deputy General Counsel, and an exchange of emails with him.

Michael has been assigned to the NGEC for any legal questions or related issues.

Michael provided Tim Ziethen with guidance on issues related to the NGEC's ability to take steps to increase awareness of the Committee and the work that it does.

In general, the guidance is that posting factual information on the website is permitted providing that the Committee follows Amtrak contractor promotion policies which the Committee has been following. For posting on social media, again, the NGEC would be permitted to do it as long as it follows the Amtrak policies. None of this is new, the NGEC has always lived up to these policies.

Issuing Press releases would also be permissible as long as it transmits simply factual information.

Using paid advertising or attending trade shows would require By-Law changes and there would be an issue of spending funds for these activities as they would need to be paid outside the grant.

As noted previously, the NGEC should not proactively communicate with Congress due to "lobbying" issues but can respond with factual information in compliance with Amtrak contractor promotion policy upon request.

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 DMU Specification Review panel did not meet during the month of March 2022.

Milestones – Quarterly update (January 1, 2022, through March 31, 2022)

Bi-weekly meetings:

Throughout the quarter, the NGEC Executive Board and the Technical subcommittee held bi-weekly conference calls with the exception of the Board which met once in March due to the close proximity of its first scheduled call with that of the 2-25-22 NGEC Annual Meeting. 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 once a month with the exception of March where schedule conflicts resulted in canceling the meeting. The work of the subcommittee

Dissemination of educational/informational pieces:

The 2022 two-page educational/backgrounder was released in February 2022. To date, around 550 hard and soft versions have been distributed to NGEC members and various associations.

A website refresh is under consideration with a draft SOW having been prepared. Once approved it will be sent to AASHTO to use in putting out an RFI.

The website is continued another tool in increasing public awareness and disseminating information.

NGEC Annual Meeting:

The (12th) Annual Meeting took place virtually on 2-22-22 and was the NGEC's first Hybrid (in-person and virtual) meeting. The meeting was attended by approximately 114 members.

The NGEC's 2023 Annual Meeting (the 13th) will take place as a hybrid meeting in Washington, DC in February 2023.

Annual Review of NGEC By-Laws and Operating Procedures:

The 2021 annual By-Law review was completed in November 2021. The review began within the FASC and was ultimately adopted by the Executive Board with all recommended changes approved.

The 2022 By-Laws review will be conducted in the third quarter unless there is a need to review it earlier due to recommended changes that may be presented. (There is thought in the FASC of revising the By-Laws to formalize potential activities aimed at increasing NGEC awareness).

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.

The third quarterly report for 2018 includes the period from July 1, 2018, through September 30, 2018, and will be submitted by Amtrak to FRA by October 31, 2018.

The fourth quarterly report for 2018 includes the period from October 1, 2018, through December 31, 2018, and will be submitted by Amtrak to the FRA by January 31, 2019.

The first quarterly report for 2019 includes the period beginning January 1, 2019, through March 31, 2019, and will be submitted by Amtrak to FRA by April 30, 2019.

The second quarterly report for 2019 will include the period beginning on April 1, 2019, and ending on June 30, 2019. The report was submitted by Amtrak to FRA by July 31, 2019.

The third quarterly report for 2019 will include the period beginning on July 1, 2019, and ending on September 30, 2019. The report will be submitted by Amtrak to FRA by October 31, 2019.

The fourth quarterly report for 2019 will include the period beginning on October 1, 2019, and ending on December 31, 2019. The report was submitted by Amtrak to FRA on time by January 31, 2020.

The first quarterly report for 2020 will include the period beginning on January 1, 2020, and ending on March 31, 2020. The report was submitted by Amtrak to FRA by April 30, 2020.

The second quarterly report for 2020 will include the period beginning on April 1, 2020, and ending on June 30, 2020. The report was submitted by Amtrak to FRA by July 31, 2020.

The third quarterly report for 2020 will include the period beginning on July 1, 2020, and ending on September 30, 2020. The report was submitted by Amtrak to the FRA by October 30, 2020.

The fourth quarterly report for 2020 will include the period beginning on October 1, 2020, and ending on December 31, 2020. The report was submitted by Amtrak to the FRA on January 31, 2021.

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

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

The third quarterly report for 2021 included the period beginning on 7-1-21 and ending on 9-30-21. The report was submitted to FRA by 10-31-21.

The fourth quarterly report for 2021 included the period beginning on 10-1-21 and ending on 12-31-21. The report was submitted to FRA by the due date of 1-31-22.

The first quarterly report for 2022 will include the period beginning on 1-1-2022 and ending on 3-31-22. The report is due to FRA on 4-29-22.

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 coordinated 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 coordinated 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 NGEN Executive Board on 6-6-2017 and per Chairman Ray Hessinger's instructions during the Executive Board web conference held on 9-22-20.

In October 2020, all contract extensions (Amtrak/AASHTO) and ASSHTO/Hewitt, AASHTO/Krause and AASHTO/Casamar) were executed and will run through 9-30-23.

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

As of 12-31-21 all contracts are up to date and active.

As of 3-31-22 all contracts are up to date and active.

Review/Update of NGEN Specifications (Document Control):

This activity is ongoing:

Activities specific to this quarter:

During this quarter, Document Control Manager Tammy Krause, presented an action plan and timeline for 2022 based on the Executive Board Chair's priorities (identified below).

Other related quarterly activities:

The DMU Specification Revision A was adopted by the Executive Board and is with the Technical Writer for finalizing. It will be available by request to Steve Hewitt per NGEN Records Management procedures.

Tammy Krause has kicked off the review of the Bi-Level specification and has updated the Document Change Request form.

A new working group has been established by the Technical subcommittee chair, George Hull to address carbody materials.

Dave Warner, Industry member (STV Inc.) and NGEN member "emeritus" gave a presentation on emerging zero emission technologies and will provide the Executive Board with a presentation on the activities of APTA in this area.

2022 Priorities – Chairman Hessinger:

Review/update NGEN Reference and Drawings series 305-900 and 305-800.

Review/Update the Bi-level specification currently in Revision C.4. With Amtrak looking at using some of the funding from the new IJA for its western fleet, it makes sense for the NGEN to review and update the Bi-Level car specification.

Review the car body materials issue from a broader perspective for all NGEN equipment not only DMUs. Ray would like to take a look at developing a consistent approach for all of the NGEN vehicle specifications.

Review "emerging technologies": On the last technical subcommittee call (12-9-21) the topic of emerging technologies for propulsion was raised. Ray believes that the technical subcommittee should conduct a scan of the industry regarding emerging technologies for propulsion and how they relate to the NGEN.

Review and consider using the Metro-North Dual Mode Locomotive Specification organizational changes to determine if they should be adopted by the NGEN and applied across the board to all NGEN specifications. This would be an administrative change not impacting technical content of any of the specifications and could be resolved by the Executive Board.

The NGEN Document Control Manager, Tammy Krause, has been asked to develop an action plan and timeline as a part of her presentation at the NGEN Annual Meeting.