

SECTION 305 TECH SUB COMM

MINUTES

OCTOBER 10, 2013 3:00PM EASTERN

CONFERENCE CALL

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| FACILITATOR | <i>Mario Bergeron, Chair NGENC Technical Subcommittee</i> |
| ATTENDEES | Core Team Members: Mario Bergeron, Stan Hunter, Allan Paul, Jack Madden, Jeff Schultz, Art Peterson, Phil Meraz, Melissa Wilbers, Michael Burshtin, Nico Lindenau, Sara Sarkhili, Dave Warner, Curtis McDowell, Michael Coltman, Steve Hewitt Industry Participants: Eric Smith, Eric Wilde, Tom Sisler, Craig McKeen, Josh Coran, Michael Pracht, Rodney McGhee, Lew Hoens, Chuck Wochele, James Michel |
| ABSENTEES | <i>Kevin Kesler, Kevin Lawson, Mike Jenkins, Dale Engelhardt, Darrell Smith, Tammy Krause, Greg Gagarin, Vincent Brotski, Andrew Wood, Melissa Shurland, Devin Rouse, Anand Prabhakaran, Charles Bielitz, Jeff Gordon, Brian Marquis, Patricia Llana, Charlie Poltenson, Camren Cordell, Larry Salci, Shayne Gill</i> |

DISCUSSION/DECISIONS MADE

1.

Chairman Mario Bergeron, called today's meeting to order and asked Steve Hewitt to take the roll.

As he called the roll, Steve noted that Michael Jenkins, Oregon DOT, will be a new state voting member of the Technical subcommittee.

Steve called the roll, but, due to the federal government shutdown the FRA is unable to attend the call, and therefore, the presence of a quorum cannot be established.

It was agreed that this conference call meeting would take place, but that no votes would be taken, and the minutes from the last call would be held over for approval on the next call scheduled for October 24, 2013.

As always, industry participants are asked to email a notification of their attendance to Steve Hewitt at shewitt109@aol.com

2.

Review of the Agenda – Mario Bergeron:

Chairman Bergeron provided a brief overview of today's meeting agenda and noted that two agenda items would be tabled until the next call – the Accessibility Working Group update - due to Melissa Shurland's, FRA, absence (Federal Government shutdown), and the Status report on the DTL specification development – due to the absence of Tammy Krause – (vacation).

3.

Review of Action Items – Steve Hewitt:

Steve Hewitt reviewed the open action items, providing a brief update on those items that were not to be specifically covered on the agenda:

Maintaining Industry Participation List: Status: Steve reported that this remains an ongoing action item. There are currently **227** registered industry participants – over this past week, we added two new members, and two previous members have changed jobs and have been removed from the list.

Requesting Backgrounder educational document: Backgrounders have been extremely well received. Original Backgrounders remain available and all are encouraged to use them – educate your own leadership as well as legislators. Subcommittee members should contact Steve Hewitt at shewitt109@aol.com if you would like to receive hard copies of the NGENC Backgrounder document. Please provide a mailing address and the number of copies being requested. **Status:** The new educational document – a one pager – double sided – will be available soon. Steve Hewitt will let you know when they are available.

Updating ECP Standards: Status: This is an ongoing item which the Technical subcommittee is tracking – it is anticipated that status updates will take place on every other call rather than on each call. **Status:** Paul

Jamieson provided the following update for inclusion in today's minutes:

"Current project status has addressed these items:

All characterization testing for in-service and new production completed. Final reports are due.

Safety analysis RFQ responses have been received and are under evaluation.

Final program schedule with field testing costs identified is scheduled for completion in October 2013 – on track.

Standard development presentation will be made next week at the ASME RTD conference – Altoona, PA

Working/Review Group – Developing Commuter Equivalent of NGEN Bi-Level Specification: This effort (not an official NGEN effort) continues with Kevin Kesler, FRA, in the lead. kevin.kesler@dot.gov. Kevin has submitted a draft concept to Chairman Bergeron, and he and Kevin have agreed to discuss the concept proposal at some point in the near future.

Metro North Dual Mode Specification: Jack Madden, NYSDOT, will keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process and it is not an official NGEN effort.) This will remain as an open item to track the progress being made. **Status:** Jack Madden reported that Metro North and NYSDOT met this morning, via conference call, and that the Draft proposal remains on track for completion by the end of the first quarter, 2014.

Preparing a list of NGEN accomplishments in regard to accessibility and ADAAG feasibility document: The review of NGEN accessibility has been completed by the Technical subcommittee. **Status:** The Technical subcommittee reviewed the proposed accommodations and recommendations prepared by FRA for feasibility. The Accessibility Policy Group (APG) met on September 17, 2013 and reviewed the presentation. The APG agreed to make some changes to it. The changes were included in a revised document. During the week of September 30, 2013, the APG unanimously approved the revised presentation, via electronic vote, and asked that the Executive Board conduct an electronic vote and, if approved, submit the presentation to the Access Board (The Access Board has requested that all presentations be submitted by October 10, 2013). The electronic vote was to conclude on October 8, 2013. However, with the Federal Government shutdown—the vote has not yet concluded because FRA is not available to vote. Steve reported that he will await word from FRA, and then send out the vote results and Inform Melissa Shurland, so that she can send it to the Access Board.

Mario Bergeron asked if the changes to the presentation by the APG would need to be reviewed by the Technical subcommittee, before Board approval. Steve Hewitt noted that if the changes, as noted in the revised presentation are related to technical feasibility, it would seem as though the subcommittee should see them again before the Board votes. He suggested that Mario and his team would be the best judge of the need for technical review. The process would then be that the Technical subcommittee would review the document and send its comments back to the APG; the APG would then review and consider any additional revisions and send back to the Board for its consideration.

4.

Approval of the Minutes of the September 12, 2013 Technical subcommittee call – Mario Bergeron:

Due to the Federal Government shutdown and the resulting unavailability of the FRA on today's call, the presence of a quorum could not be established. The approval of the minutes will, therefore, be considered on the next call – scheduled for October 24, 2013.

5.

Summary Report: September 26, 2013 Executive Board meeting held in Columbus, Ohio – Mario Bergeron/Steve Hewitt:

Steve Hewitt provided a summary of the key items of interest from the Executive Board meeting held in Columbus, Ohio on September 26, 2013.

Treasurer's report: Darrell Smith, Amtrak Finance, provided a presentation of the Treasurer's report (budget and forecast). The report included an explanation of the total amount granted to the NGEN since its inception (\$4 million) as well as the expenses invoiced to date. He also provided an estimate of the current burn (or run) rate per month to give Board members a sense of what can be anticipated to have been spent at the end of the current grant agreement – 3-31-2014.

In his presentation Darrell also pointed out what has yet to be programmed from the initial funds and what funds may make sense to re-program as part of a revised Statement of Work (SOW) for an extension of the current

grant agreement.

Over the last few months the Board has recognized that there will likely be no new funding from the federal government in this fiscal year's appropriation, and has been looking at establishing an austerity budget to continue its work beyond the current grant agreement period. In that regard, the Board asked Amtrak to provide Board members with a sense of what has been spent, what is expected to be spent, and what may remain available to maintain the NGEC activities through an as yet undetermined extension period.

At the conclusion of the Treasurer's report, it was apparent that, while some clarification is still needed, the NGEC, at its current run rate of approximately \$40,000 per month, should have enough of a fund balance to request a 12 to 18 month extension of the grant agreement. To do so, the Board will need to develop a new SOW and budget along with a request of Amtrak to ask for a grant agreement extension from FRA for a specific period of time beyond the current end date of 3-31-2014.

It was generally agreed that there is ongoing and future work that needs to be undertaken by the NGEC. An additional specification is planned for development – the Dual Mode Locomotive. The prototype equipment from the current bi-level car procurement will be out, and the NGEC will need to be involved. Document management is an ongoing process that must continue as specifications will change through the course of time and the NGEC, or an entity of some kind, will need to be in place to continue this process. The Committee is currently looking at potential structure options of an entity that would carry out the process of managing, procuring, maintaining next generation equipment, and creating an equipment pool.

This effort is ongoing and will need to be continued beyond the March 31, 2014 end date. A draft proposal of a possible entity structure and its functions has been put forth for discussion by the working group established for that purpose; however, the Board recognizes that much more work needs to be done to get to the point where such an entity would be created. Continuing this effort is critical, and will take a period of time beyond 3-31-2014 to be resolved and ultimately implemented.

The steps that need to be taken to extend the current grant agreement include: developing a new budget and a revised statement of work, determine the length of the extension to be requested, and have the Executive Board approve these items and formally request that Amtrak ask FRA for an extension of the current grant agreement.

NGEC Future Working Group Status Report: Steve reported that there has been an Executive Board working group that has looked at the future of the NGEC, and has developed a concept for what that entity should look like going forward. After a thorough look at functions and a look at options for a structure to carry out those functions, the concept of having the NGEC entity become an Amtrak subsidiary, at least as a starting point came to the forefront.

The Board had the opportunity to review the proposed concept, and questions and concerns were raised about it from both sides. It seemed that the functions for the entity, as developed identified by the working group were generally correct, but the issue of structure and governance has not been resolved at this point. Chairman Bronte suggested that the working group be re-constituted, and get a work plan put together to move it forward. Bill also noted that the group may wish to look at other options for structure and governance such as cooperatives; a TTX model etc.

Ultimately, it was agreed that the NGEC Future working group would be re-constituted after the first of the year and would then resume its work.

It was also agreed that the revised SOW for the grant agreement would include tasks related to the development of a plan for creating an entity moving forward. Bill Bronte agreed to "pull out a list of tasks and add budget to it" and will send it to Darrell Smith to help facilitate the SOW. The list will include an initial cut of short term vs. long term activities. This task will be completed in time for a report to the Board on its call of October 29, 2013. Bill Bronte will copy Steve Hewitt on what he sends to Darrell.

It was also noted that the establishment of a 305-209 capital access working group that would be established would, in many ways serve as an example of the type of activities the NGEC would be taking on as it moves forward. Intentionally, the Board decided to have the 305-209 effort get under way with the NGEC Future working group lagging behind "a bit". Thus the decision to re-constitute the Future group after the first of the year.

Establishing the 305 NGEC-Section 209 Working Group: Steve reported that the Board, on September 26, 2013 established a 305-209 working group and appointed Ron Pate as its chair. It was established as a working group reporting directly to the NGEC Executive Board. The group will develop a work plan focusing on high priority areas and make a bi-weekly status report to the Board on its regular conference calls. This update will be a standing agenda item. The first step will be to get members assigned to the group, and Ron Pate will draft the group's charge and begin developing a work plan.

Mario Bergeron, agreed with Steve's summary of the working group and added that the organization of 305 and its structure and process was appreciated and the "209 piece relating to equipment needed to be better understood...so it was decided to bring in the 305 process as the best venue to use." Mario added, "we are not looking to 305 to be the governance entity of the 209 effort, but it is a way to monitor its progress and activities."

Filling the NGEN Executive Board Secretary position: Steve reported that the position of Secretary of the NGEN Executive Board whose primary responsibility is to serve as chair of the Administrative task force (ATF) had been vacant since the resignation from state service of Al Ware, Georgia DOT. At the September 26th Executive Board meeting, Eric Curtit, Missouri DOT, was named as Secretary and chair of the ATF through the current term which will end with the election of new NGEN officers in February, 2014 at the Annual Meeting. Steve noted that Eric is also the Structure and Finance task force (SFTF) chair, and will remain in that position as well through to the Annual meeting.

SFTF report on the Section 6/fleet deployment project: Steve Hewitt reported that during the September 26th meeting, SFTF chair Eric Curtit provided a brief update on the status of the Section 6/deployment project.

Task 1 was submitted by the contractor and has been reviewed thoroughly by a core team and by the full SFTF membership. Many comments have been submitted and a small working group was established to work with the contractor in an effort to revise and complete task 1. The working group is holding weekly conference calls with the contractor team to work through a variety of issues.

Eric will continue to keep the Executive Board apprised of progress made.

This concluded Steve's overview of the key items taken up by the Board during the September 26, 2013 Executive Board meeting. Mario Bergeron commented that Steve had provided a good summary and asked if there were any others who attended the meeting who had anything to add. No additional comments were forthcoming.

Steve reminded those on today's call that all of the presentations given at the meeting were available on the NGEN website at www.ngec305.org and encouraged all Technical subcommittee members to go to the site and review the minutes of the meeting and the presentations.

6. Accessibility Working Group Status Update – Due to the Federal government shutdown and resulting furlough of FRA staff, this item was tabled until the next Technical subcommittee call (assuming the shutdown is resolved).

7. Document Control Update – Dave Warner:

Dave Warner provided the following report for inclusion in today's minutes

"Camren continues to make progress on the Single Level specification Revision A, and I have begun proofing the revision efforts. Review Panel report for Trainset Revision A is just about complete. Larry Salci has contacted Steve Hewitt about setting up a meeting, but because of the government shutdown, and the temporarily-out-of-business FRA, the meeting cannot be held until the FRA is again available. "

8. Status: DTL specification Development – Tammy Krause:

As Tammy Krause was on vacation, and therefore not available, this update will also be tabled until the next conference call.

9. Update: Diesel-electric Locomotive – Art Peterson:

Art Peterson reported that proposals have been received and are under review. Confidential discussions with the proposers will take place during the week of October 21, 2013.

Other: With no other items to come before the Technical subcommittee, the chair adjourned today's call at approximately 3:35 pm EDT.

Next conference call – October 24, 2013 – 3:00pm EDT

Decisions and Action Items

Working/Review Group – Developing Commuter Equivalent of NGEN Bi-Level Specification: This effort (not an official NGEN effort) continues with Kevin Kesler, FRA, in the lead. kevin.kesler@dot.gov. Kevin Kesler has met (conference call) with Gavin Frazier, and both agree that the path being taken by Metro North in developing its Dual Mode spec is the right one with the NGEN utilized as a resource. Kevin has developed his concept into a document and submitted it to the Chairman Bergeron. The chair and Kevin will have a follow up discussion at their earliest opportunity.

Preparing a list of NGEN accomplishments in regard to accessibility and ADAAG feasibility document: The review of NGEN accessibility has been completed by the Technical subcommittee. The Accessibility Policy Group has been provided with a condensed power point document highlighting the ADAAG feasibility document and NGEN accomplishments. The APG met, via conference call on September 17, 2013. The week of September 30, 2013, the APG approved a revised presentation via electronic vote. The Executive Board is currently voting on the presentation, but due to the FRA furlough has not completed the vote. Mario Bergeron raised the issue of the possible need for the document to be sent back to the Technical subcommittee for a technical feasibility review of the revisions made to the presentation by the APG, before concluding an Executive Board vote. This will be discussed on the Board call on October 15, 2013.

The DTL requirements document has been approved by the Executive Board, and the Technical subcommittee has been tasked with developing the DTL specification. A status update will be given on the October 24, 2013 Technical subcommittee call.

Jack Madden, NYSDOT, will continue to keep the subcommittee updated on the status of the Metro North Dual Mode specification as it is developed. (This is an internal New York State process, not an official NGEN effort.) Current status is that the draft proposal remains on target for the end of the first quarter, 2014.

Updating ECP Standards: remains as a standing action item – see today's report submitted by Paul Jamieson and entered into these minutes.

Maintaining Industry Participation List: This remains an ongoing action item. There are currently **227** registered industry participants.

Requesting Backgrounder educational document: The original Backgrounders are still available, and a new version – a one pager – double sided – will be available soon. Contact Steve Hewitt for copies of either version.

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ATTACHMENTS

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

PRIIA Section 305 Tech Sub Committee Meeting

October 10, 2013

The agenda for the meeting is below:

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| 1. Roll Call | Steve Hewitt |
| 2. Review meeting agenda | Mario Bergeron |
| 3. Review Action Items | Steve Hewitt |
| 4. Approve Minutes of September 12, 2013 | Mario Bergeron |
| 5. Summary report: 9-26-13 Executive Board meeting in Columbus | Mario Bergeron/Steve Hewitt |
| 6. Accessibility Working Group Status Update | Melissa Shurland |
| 7. Document Control update | Dave Warner |
| 8. Status: DTL Specification Development | Tammy Krause |
| 9. Update: Diesel-electric Locomotive Procurement | Art Peterson |
| 10. Review this meeting: | Steve Hewitt |
| a) Decisions | |
| b) New Action Items | |

***Technical Sub Committee Conference Call Meeting:
Thursday October 10, 2013 3:00 EDT: 1-866-209-1307 / passcode 6486648#***

***Please call in a few minutes early so all is in attendance for Roll Call.
Thank you***

Next Technical Subcommittee Call: 10-24-13 at 3:00pm EDT