

SECTION 305 NGEC Executive Board

MINUTES

FEBRUARY 3, 2015 11:30 EASTERN

CONFERENCE CALL

FACILITATOR	<i>Eric Curtit, Chair, S305 NGEC Executive Board</i>
ATTENDEES	Board Members: <i>Eric Curtit, Ray Hessinger, Darrell Smith, Dale Engelhardt for Mario Bergeron, John Tunna for Paul Nissenbaum, Tammy Nicholson, John Oimoen, John Oimoen also as proxy for Arun Rao and Tim Hoeffner, Stan Hunter, Ron Pate, Paul Worley, John Rosacker, Brian Beeler II</i> Support Staff: <i>Shayne Gill, Steve Hewitt, Nico Lindenau, Kevin Kesler, Dave Warner, Tammy Krause, Sal DeAngelo, Vincent Brotski</i>
ABSENTEES	Board Members, <i>Paul Nissenbaum, Arun Rao, Mario Bergeron, Tim Hoeffner, Michael Jenkins</i> Support: <i>Jason Biggs, Allan Paul, Strat Cavros, Larry Salci, Jeff Gordon, Michael Lestingi, Patrick Centolanzi Martin Schroeder,</i>

DECISIONS MADE

1. Welcome – Eric Curtit, Chair, S305 NGEC Executive Board:

Chairman Curtit opened today's meeting and asked Steve Hewitt to take the roll.

2. Roll Call –Steve Hewitt, Manager, S305 NGEC Support Services:

Steve Hewitt called the roll and confirmed the presence of a quorum.

3. Review of Action Items – Steve Hewitt:

Decisions/Action Items

Mid-west States – Section 6 progress report: This remains as an ongoing agenda item. An RFP for a Fleet Manager is being finalized by IDOT, and an RFI for a Fleet Maintainer has recently been released.

Agenda item 5

Updating the NGEC Backgrounder: Steve Hewitt has revised the Backgrounder to reflect the changes made by the Board in October, 2014 – (combining the ATF and Finance SC – and has updated the org chart and member list and any other areas in the document that were out of date. The next step would be to send to AASHTO for finalizing, and, hopefully, re-producing for the Annual Meeting.

514 Subcommittee update: Cost Control is currently the major outstanding issue and continues to be a focus point.

Agenda item 8

Host Railroad Blessing of NGEC equipment: Criteria for new equipment has been developed by the locomotive committee. The committee will brief Jim Grady, AAR on the criteria. Following this – a subgroup will be formed to work with the NGEC after the beginning of the new year. (ongoing)

Letter to the FRA: the NGEC will formally ask the FRA for a FY2016 budget request for funding for the development and maintenance of specification standards. Eric Curtit and Steve Hewitt will draft a proposed letter, for Board review, to be submitted to the FRA. This is not meant to be the funding options solution for sustaining the NGEC in the long term, but is seen as one potential future resource which would mirror funding provided to some of the other transportation modal administrations.

Status: Shayne Gill provided edits to the letter – a draft of the letter was sent to all Board members along with the agenda for today's call – It will be a discussion topic under agenda item 9/4.

NGEC Annual Meeting – 2015: The meeting will take place in Washington, DC on February 20, 2015.

Logistical information has been provided as has a DRAFT agenda.

The most recent draft agenda was sent out along with today's agenda. Under agenda item 10 Steve Hewitt will provide an overview of Annual Meeting items/issues yet to be finalized.

NGEC Future: The FASC has several assignments which are to be the first steps taken towards establishing the NGEC future – short term and long term:

Revising/updating the NGEC Bylaws:

The FASC approved revisions to the Bylaws on its January 14, 2015 conference call. The revised version was sent to all Board members on January 16th.

Board members are asked to review the Bylaws, as revised, (Steve Hewitt sent a clean version for all to see – without redline track changes) and to be prepared to come to consensus on the next call (February 3, 2015) for formal adoption at the NGEC Annual Meeting.

Any comments that Board members may have should be submitted to Ray Hessinger and Steve Hewitt prior to the February 3, 2015 Executive Board call.

Status: No comments received as of 2-2-15 Agenda items 9/1 and 1a will address the Bylaws.

Development of a Statement of Work and budget for a no-cost extension of the current grant agreement through September 30, 2017:

The FASC approved the proposed SOW on January 14, 2015, with the agreement of additional language as presented by FRA.

The agreed upon language was received by Darrell on Friday (from Nico Lindenau) and he will incorporate it into the SOW. Once this action has been taken, the document will be transmitted to Board members next week. On the next Board call Darrell will walk through the document in detail and respond to any questions, comments or concerns. The intent is to come to a consensus on the SOW in order to consider its approval formally at the NGEC Annual Meeting.

Status: A draft of the SOW was sent to Board members on 1-31-15 for discussion under agenda item 9/2.

The Finance and Administrative subcommittee will begin developing a proposal for potential funding options to present to the Board for its consideration by October, 2015:

The FASC began discussions on this activity on January 14th. Members of the FASC have been asked to bring ideas to the table for discussion.

Exploring options for long term future funding of the NGEC is now the primary focus of the FASC with a due date of submitting recommendations to the Executive Board by October of 2015.

Darrell and Steve Hewitt are compiling a list of concepts/ideas presented to date and other relevant material to help the FASC as it begins to progress this effort forward.

Next FASC call is: February 11th

Outreach to All Aboard Florida:

It was agreed that a "simple outreach" to AAF would be made by Chairman Curtit with regard to use of the NGEC specs. Tim Hoeffner will provide Eric Curtit with contacts for the outreach.

Status/next steps for outreach - Agenda item 9/3

Design of safety cards for insertion in seatbacks of the new bi-level cars:

Steve Hewitt will forward Stan Hunter's email with information on this topic to the Board members and it will be "revisited" on the February 3rd Board call.

Agenda item 11.

4. Approval of the Minutes from January 20, 2015 – Eric Curtit:

On a motion by Paul Worley, NCDOT, and a second by Darrell Smith, Amtrak the minutes from the January 20, 2015 Executive Board conference call meeting were approved without exception.

**5.
Progress Report – Mid-West States – Section 6 – John Oimoen for Tim Hoeffner:**

John Oimoen provided a brief update on the status of the Mid-West States Section 6 activities.

The group is meeting regularly and making good progress.

The two primary focus areas are governance and ownership. A couple of paths forward have been identified as have a number of action items.

Overall, the group is working very well together.

In regard to the RFI for a fleet maintainer – 4 vendors responded to the Q and As.

In regard to the RFP for a Fleet manager, IDOT expects to issue the RFP later this week.

**6.
Status Update: Diesel-Electric Locomotive Procurement – John Oimoen:**

John Oimoen, IDOT provided the following update for inclusion in today's minutes:

Invoice for Milestone 'A' has been paid and Milestone 'F' (major purchase orders) is being processed for payment.

Follow-up action items to close IDR are nearing closure.

Detailed planning for Final Design review (FDR), in Seattle, is underway for February and March 2015.

DCRs are being processed. The locomotive specification calls for a 140M wheel profile. A DCR will be prepared to specify either the 140M or a 340 wheel profile for the locomotive.

IDOT is working towards finalizing option assignments for 12 additional locomotives which would bring the total to 33 for the Mid-West states.

Ron Pate asked – with the new option assignments – is IDOT making them a part of the capital equipment plan and working with Amtrak?

John Oimoen responded that it is a bit premature, but yes it is part of the plan.

Darrell Smith, Amtrak, added that he has received the assumptions – and that "we have gotten everything we requested from the Mid-West states."

**7.
Status Update: Bi-Level Car Procurement – Stan Hunter:**

Stan Hunter provided an update on the status of the bi-level car procurement:

Stan is currently at the Nippon Sharyo plant in Rochelle, Illinois, working on follow ups to the QA audit.

Nippon Sharyo is working with inspection teams from IDOT and Caltrans.

Overall things are moving along – a bit slower than expected due to some material issues, but making progress.

A Prima Vera schedule is being finalized

They are working on a revised contract to add option cars to the contract and delivery schedule.

The agreement for 11 option cars has not yet been finalized.

Caltrans and Amtrak have reached a tentative agreement on the OBIS project. They are awaiting execution of the agreement, but ramping up in expectation of having it done soon. With that expectation they are moving forward with the "mission critical system."

First Article Inspections continue to be underway.

**8.
Status Update – 514 Subcommittee – Ron Pate:**

Ron Pate reported that the 514 Subcommittee is making progress and has been prioritizing its next steps. Having a priority list will provide a better opportunity to “get it done more quickly.”

State equipment forecasts were due to Amtrak by January 15, 2015. Ron asked what the status was.

Darrell Smith responded that “everything is in except for California”. If he gets California’s information, or determines he has enough to work with, he will be able to meet the schedule of “getting it out by March, 2015.”

Stan Hunter commented that he had prepared the California forecasts including the Capital Corridors, but was notified early last week by his boss Bruce Roberts that there were some changes in the assumptions that Stan had submitted.

Stan intends to get the forecast completed asap.

Ron continued his update:

The reconciliation process is generally accepted by all or most of the states. Some concerns have been expressed over cost control. On February 9th Amtrak will make a presentation to the 514 members.

Shayne Gill asked if the presentation would be open to just 514 members or all 209 states.

Ron noted that they would share the information, but, because of the large number of participants if you included all 209 working groups, it would be more reasonable to just include the 514 members.

Ron is hoping to take this opportunity to move forward in getting this issue resolved and moving on to next steps.

Ron concluded his report stating that administrative work – preparation of agendas, minutes etc. was getting to be a huge challenge. He said FRA and Oregon had said they could provide some resources.

Ron requests that “we talk about this in DC in February (at the NGEN Annual Meeting)”.

Eric Curtit agreed this should be a discussion while in DC.

Darrell Smith noted that since this is now formally an NGEN subcommittee it comes under the NGEN Support Manager’s area of responsibility.

Steve Hewitt commented that, while he is willing to coordinate the subcommittee and take on its management and oversight responsibility, taking on the day to day administrative tasks such as taking minutes, setting agendas and schedules would be “stretching me a little thin” and is not something “I would want to add on at this point.”

Steve emphasized that the subcommittee should follow all of the formats, guidelines, and structure of the other subcommittees and/or working groups; and that he would set the subcommittee up to follow the NGEN structure and would be happy to manage and coordinate the activities.

As there is no specific budget for administrative support for the 514 subcommittee Jeremy Jewkes had been tasked by Ron Pate to provide an idea of costs, and Ron asked Steve if he could look into it as well.

Steve agreed to take a look and be ready to discuss this further in DC when he Board gets together for the Annual meeting.

**9.
Status Update/Discussion: NGEN Future Activities - Darrell Smith/Eric Curtit:**

1. Final Review: NGEN Bylaws revisions/updates (approved FASC on 1-14-15) - Ray Hessinger:

Ray Hessinger reported that he had not received comments on the Bylaws since they had been distributed to Board members; and noted that he had walked through the changes on the last call.

Steve Hewitt added that the Bylaws, as presented were approved by the Finance and Administrative

subcommittee (FASC) with a recommendation for the Board to adopt them as revised.

Ray Hessinger commented "I think they are ready to move forward."

Eric Curtit stated that he would be willing to entertain a motion for adoption today, noting that approval today would mean that the Bylaws could be produced, as revised, for distribution at the Annual Meeting.

With no comments forthcoming, Eric Curtit called for a motion to adopt the NGEC Bylaws, as revised and approved by the Finance and Administrative subcommittee.

Darrell Smith, Amtrak, offered a motion to adopt, which was seconded by Stan Hunter, Caltrans.

Eric Curtit asked Steve Hewitt to poll the voting members of the Board:

Eric Curtit, Missouri DOT – aye
Dale Engelhardt, Amtrak - for Mario Bergeron – aye
Ray Hessinger, NYSDOT – aye
Darrell Smith, Amtrak – aye
John Tunna, FRA, for Paul Nissenbaum – aye
Tammy Nicholson, Iowa DOT – aye
John Oimoen, IDOT – aye
John Oimoen as proxy for Arun Rao, Wisconsin DOT – aye
John Oimoen as proxy for Tim Hoeffner, Michigan DOT – aye
Paul Worley, NCDOT – aye
John Rosacker, Oklahoma DOT – aye
Ron Pate, Washington State DOT – aye
Stan Hunter, Caltrans – aye
Brian Beeler, NNEPRA, for Maine DOT – aye

With a quorum having been established and all members present voting in the affirmative, Chairman Curtit determined that consensus has been achieved and the motion is approved and the revised Bylaws have been adopted as presented.

Steve Hewitt will finalize the document with the date of adoption and distribute them to all Board members and AASHTO for posting. A hard copy will also be placed in the annual Meeting folders as well.

2. Review/discussion: SOW - no cost Grant Agreement extension (approved FASC 1-14-15) -Darrell Smith:

Darrell Smith provided a brief overview of the SOW that had been distributed to the Board members in advance of today's call. He noted that two versions had actually been distributed – the second one today. The latest version was the same as the first with the correction of a few errors in the text and corrections to consistency in language.

He noted that the FASC had approved the SOW and agreed to the inclusion of language provided by the FRA that "makes sure we capture the intent" of what was agreed to in October, 2014 in Wilmington to:

Explore options for long term future funding of the NGEC and to provide recommendations to the NGEC Executive Board by October of 2015.

Ron Pate commented that he would like to also see additional support (Administrative) added to the 514 subcommittee's budget in the SOW.

Darrell noted that there is an un-programmed reserve in the amount of \$158, 725.00 a part of which could be programmed for 514.

It was agreed that support would be included for 514 – the amount as yet to be determined, but to be decided at the Annual meeting.

It was also agreed that, as much as possible, it is important to have the SOW as close to final form in advance of the Annual Meeting.

Steve Hewitt noted that he has a deadline of February 9th to provide AASHTO with any documents

to be printed for inclusion in the meeting packets.

Eric Curtit asked if there were any additional comments or concerns at this time that anyone would like to raise. Hearing none – Eric asked that any comments on the SOW be sent to Steve Hewitt and Darrell Smith by COB on Friday, February 6, 2015.

3. Status: Next steps - outreach to All Aboard Florida - Eric Curtit:
Nothing new to report on this item.
4. Review/discussion: DRAFT Letter to FRA - Eric Curtit:

Eric Curtit asked Steve Hewitt to provide the context and background for the DRAFT letter to FRA.

Steve summarized that the Board agreed in October, 2014, in Wilmington, DE, that the NGEC will formally ask the FRA for a FY2016 budget request for funding for the development and maintenance of specification standards. Eric Curtit and Steve Hewitt were tasked to draft a proposed letter, for Board review, to be submitted to the FRA. Steve noted – the letter was not meant to be the funding options solution for sustaining the NGEC in the long term, but is seen as one potential future resource which would mirror funding provided to some of the other transportation modal administrations.

Steve noted that the original suggestion of the letter had come from Shayne Gill, and that Steve and Eric asked Shayne to perfect language in the letter in the paragraph relating to the request mirroring other modal requests for funding for specification standards.

Shayne added the language to the letter, and the DRAFT was sent to all Board members for review and discussion.

Steve noted that, for obvious reasons, the expectation was that Amtrak and FRA would not sign the letter – it would come from the NGEC states members or the Chair.

Eric asked for comments on the letter, and for an opinion on how best to proceed – who should sign.

A number of state members commented that it was a very good letter and should be signed by all of the state members rather than just the chair – if possible.

John Tunna, FRA, noted that the letter referred to FY 2016 appropriations and suggested “it be made more general”.

Members on that call agreed that this made sense and asked that Steve revise the letter accordingly.

It was agreed that Steve would finalize the letter and circulate it for another review. Members are asked to provide Steve with their electronic signature as well. Prior to the Annual Meeting an electronic vote of states will be called for to approve the letter and add the signatures.

Shayne Gill suggested the letter not only go to FRA, but also to the committees of jurisdiction as well.

Shayne will provide Steve Hewitt with the names and contact information – including email addresses for where to send the letters to the House and Senate.

**10.
2015 NGEC Annual Meeting – Finalizing Agenda/ Attendance review/presentation deadlines - Steve Hewitt:**

For the Annual Meeting there are a few items in the agenda that need to be firmed up.

Steve Hewitt walked through the areas where he needs input and/or where he has closed the gap from the last call:

Attendance:

By the registration it looks like there is no problem establishing a quorum for the meeting. All state members, but IDOT, have notified me that they will be present or have designated a representative.

FRA has identified Michael Lestingi as its representative for the meeting.

John Tunna, FRA, confirmed that Paul Nissenbaum would give the FRA update, but would not be there for the whole meeting – and that Michael Lestingi would represent the FRA as Paul's proxy throughout the meeting.

Both Amtrak Board members have confirmed their attendance (Mario Bergeron and Darrell Smith)

5 states who are not members of the Board have registered to attend – Connecticut; Arkansas; Texas; Pennsylvania and Louisiana.

Currently there are 53 attendees registered for the meeting – 22 from the industry.

Only a few members of the Executive Board email list have not let me know if they are coming or not – mostly everyone is accounted for. If you plan to attend, and have not let Steve know, please do so asap –the list for name badges and tent cards is due to Andrea Ryan – AASHTO - by February 11th.

Dale Engelhardt, Amtrak, confirmed that he would be attending the meeting.

Speakers/presenters:

John Tunna, FRA, confirmed that Paul Nissenbaum would give the FRA update, but would not be there for the whole meeting – and that Michael Lestingi would represent the FRA as Paul's proxy throughout the meeting.

Joe McHugh has been confirmed to present the Amtrak Government Affairs update.

Most other speakers for updates have been previously confirmed.

Steve asked for clarification on the following:

Who will give the Diesel-Electric Locomotive Procurement update from the states?

John Oimoen, IDOT, was not yet sure of his status due to travel restrictions, but will follow up with Steve Hewitt, and if unable to attend, Ron Pate would likely give the update.

Who from Siemens will give a presentation from the OEM on the D/E locomotive procurement?

John Oimoen reported that Dave Ward, would give the Siemens presentation.

Who from Nippon Sharyo/Sumitomo will provide the bi-level car OEM presentation?

Stan Hunter confirmed that Bruce Roberts would represent Caltrans at the meeting, and for the bi-level car procurement update; and that it is likely that David Yomada, Nippon Sharyo and Zak Susuki, Sumitomo, will give the manufacturer's presentation. Stan will confirm this and provide Steve Hewitt with contact information.

All other agenda items seem to be set.

All speakers are asked to use the template that Steve provided previously and, if possible, send him the presentation by COB on February 18th so that he can put them on one thumb drive. If not ready – bring a thumb drive with you.

Dave "Emeritus" Warner has graciously agreed to run the PowerPoints at the Annual Meeting – Thanks Dave! Greatly appreciated!

Documents for the meeting packet:

The DRAFT Minutes from today's Call; the meeting agenda; the PRIIA 305 Statute; NGEC member lists (Board; subcommittees; industry participants); updated Bylaws; DRAFT SOW; Minutes from the last Annual Meeting; Backgrounder – if it is ready; and the NGEC Activities monthly report for January, 2015.

All presentations will be posted and distributed after the meeting.

11.

Discussion: Safety Card Design - Stan Hunter:

After some discussion on this topic, it was agreed that more thought was needed. Members are asked to come to the Annual Meeting with suggestions.

Steve Hewitt will add this as an agenda item for February 20th.

Adjourn:

With no other business forthcoming today, Chairman Curtit adjourned the call at approximately 12:35 PM Eastern.

**The next call is canceled in deference to the NGEN Annual Meeting – 2-20-15 at 8:30AM Eastern
Hyatt Regency Hotel on Capitol Hill, Washington, DC**

Decisions/Action Items

Mid-west States – Section 6 progress report: This remains as an ongoing agenda item. The two primary focus areas are governance and ownership. A couple of paths forward have been identified as have a number of action items. In response to the RFI for a fleet maintainer– 4 vendors responded to the Q and As. The RFP for a Fleet manager is expected to be released later this week by IDOT.

514 Subcommittee update: Cost Control is currently the major outstanding issue and continues to be a focus point. Next steps are being prioritized. Administrative support is an issue. A decision will be made at the Annual Meeting as to how best, and at what cost, to provide administrative support to 514. Steve Hewitt will work through estimated costs and assist in developing procedures consistent with other NGEN subcommittees and/or working groups.

Design of safety cards for insertion in seatbacks of the new bi-level cars:

Steve Hewitt will forward Stan Hunter’s email with information on this topic to the Board members and it will be “revisited” on the February 3rd Board call.

The Board has asked for more time to consider this issue. Steve Hewitt will add it as an agenda item for the Annual Meeting to allow for more discussion.

Host Railroad Blessing of NGEN equipment: Criteria for new equipment has been developed by the locomotive committee. The committee will brief Jim Grady, AAR on the criteria. Following this – a subgroup will be formed to work with the NGEN after the beginning of the new year. (ongoing)

Letter to the FRA: the NGEN will formally ask the FRA for a FY2016 budget request for funding for the development and maintenance of specification standards. Eric Curtit and Steve Hewitt will draft a proposed letter, for Board review, to be submitted to the FRA. This is not meant to be the funding options solution for sustaining the NGEN in the long term, but is seen as one potential future resource which would mirror funding provided to some of the other transportation modal administrations.

It was agreed that the letter would be revised to make a more general request rather than a specific request for FY2016. With that change – it will be finalized and distributed to all Board members states for review. The intent

is that the state members will sign the letter – electronic signatures will be required – to be sent to Steve Hewitt.

The letters will go to Paul Nissenbaum, FRA and to congressional committees of jurisdiction. Shayne Gill will provide Steve Hewitt with the contact information for the congressional versions.

NGEC Annual Meeting – 2015: The meeting will take place in Washington, DC on February 20, 2015. Logistical information has been provided as has a DRAFT agenda.

Comments/changes to the agenda are requested to be submitted to Eric Curtit and Steve Hewitt. Steve will make changes as noted in today's discussion and prepare a revised draft.

Stan Hunter and John Oimoen will follow up with Steve in regard to speakers for the D/E locomotive and bi-level car procurement presentations.

Please see item #10 in today's minutes for a list of items yet to be addressed.

NGEC Future: The FASC has several assignments which are to be the first steps taken towards establishing the NGEN future – short term and long term:

Revising/Updating the NGEN Bylaws:

The FASC approved revisions to the Bylaws on its January 14, 2015 conference call. The revised version was sent to all Board members on January 16th.

On today's Executive Board call, the updated/revised Bylaws as previously approved by the FASC were formally adopted by the Board. Steve Hewitt will finalize the Bylaws with adoption date and distribute to Board members and AASHTO for posting. Steve will also have the Bylaws ready for inclusion in the Annual Meeting handout packets.

Development of a Statement of Work and budget for a no-cost extension of the current grant agreement through September 30, 2017:

The FASC approved the proposed SOW on January 14, 2015, with the agreement of additional language as presented by FRA.

The Board has received a final draft of the SOW with the FRA language and a few additional corrections to text and typos. Left open is the matter of possibly using some of the reserve funds (un-programmed) to provide support for the 514 subcommittee. This will be determined at the Annual Meeting.

Comments on the SOW as presented today, are due to Darrell Smith and Steve Hewitt by COB on Friday, February 6th.

The Finance and Administrative subcommittee will begin developing a proposal for potential funding options to present to the Board for its consideration by October, 2015:

The FASC began discussions on this activity on January 14th. Members of the FASC have been asked to bring ideas to the table for discussion.

Exploring options for long term future funding of the NGEN is now the primary focus of the FASC with a due date of submitting recommendations to the Executive Board by October of 2015.

Darrell and Steve Hewitt are compiling a list of concepts/ideas presented to date and other relevant material to help the FASC as it begins to progress this effort forward.

Outreach to All Aboard Florida:

It was agreed that a "simple outreach" to AAF would be made by Chairman Curtit with regard to use of the NGEN specs. Tim Hoeffner will provide Eric Curtit with contacts for the outreach.

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10. NGEC Annual Meeting – Finalizing Agenda/ attendance review/ presentation deadlines
 11. Discussion: Safety Card Design
 12. Other

Steve Hewitt
Stan Hunter
All

Next Meeting: February 20, 2015 – NGEC Annual Meeting