
SECTION 305 NGEC Executive Board

MINUTES

SEPTEMBER 1, 2015

11:30 EASTERN

CONFERENCE CALL

FACILITATOR	<i>Eric Curtit, Chair, S305 NGEC Executive Board</i>
ATTENDEES	Board Members: <i>Eric Curtit, Michael Lestingi, Darrell Smith, Ray Hessinger, John Oimoen, John Oimoen also as proxy for Arun Rao, Paul Worley, Tammy Nicholson, Ron Pate, Momoko Tamaaki, Michael Jenkins, Brian Beeler II</i> Support Staff: <i>Shayne Gill, Bryan Hong, Steve Hewitt, Larry Salci, Jeff Gordon, Jason Biggs, Jeremy Jewkes, Sal DeAngelo, Nico Lindenau, Patrick Centolanzi, Dale Engelhardt, Vincent Brotski, Dave "Emeritus" Warner</i> Guests: <i>Derry Henrick, Maria Wallace and others from GAO, Rob Edgcumbe – consultant to Caltrans</i>
ABSENTEES	Board Members, <i>Mario Bergeron, John Rosacker, Arun Rao, Tim Hoeffner,</i> Support: <i>Strat Cavros, Martin Schroeder, Beth Nachreiner, Allan Paul</i>

DECISIONS MADE

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

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

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

Steve Hewitt called the roll and after at first being unable to confirm a quorum, additional Members joined the call and the presence of a quorum was confirmed.

3. Review of Action Items – Steve Hewitt:

Steve Hewitt noted that all open action items are covered on today's agenda.

The current status of open action items are listed below.

Action Items Status

Mid-west States – Section 6 progress report: Progress is being made on the issue of governance and ownership – a draft ownership document is under review by the states' general counsels. The RFP for a Fleet manager should be released shortly – final steps are being taken by IDOT to make that happen.

Agenda item 7

514 Subcommittee update: The end of the fiscal year is approaching. Revised Minor update, based on comments/input provided by the states, will be issued this Friday. The next subcommittee meeting is scheduled for 8-17-15. (ongoing)

Agenda item 11

The Finance and Administrative subcommittee continues to look at potential funding options and strategies for the future of the NGEC: (ongoing)

Eric Curtit will chair the Legislative Outreach Task Force and is reaching out to potential members.

Agenda item 8

Dual Mode Locomotive (DC 3rd Rail) specification development: The Technical subcommittee will meet face to face in Albany, NY on August 19th to consider approval of the Dual Mode (DC 3rd Rail) Locomotive specification.

Agenda items 5 and 6

4. Approval of the Minutes from the 8-4-15 conference call meeting – Eric Curtit:

On a motion by Michael Lestingi, FRA, and a second by Ron Pate, WSDOT, the minutes from the 8-4-15 Executive Board conference call were approved without exception.

5. Technical Subcommittee Report – Dual Mode (DC 3rd Rail) Locomotive Specification Approval Meeting – Ray Hessinger and Dale Engelhardt for Mario Bergeron:

In the absence of Mario Bergeron, Ray Hessinger, NYSDOT and Dale Engelhardt, provided a summary of the Technical subcommittee specification approval meeting.

The Technical subcommittee met on August 19, 2015, in Albany, NY at NYSDOT, to consider approval of the Dual Mode (DC 3rd Rail) Locomotive Specification.

The subcommittee conducted a comprehensive review of Draft version 2 of the specification, providing members an opportunity to review all changes submitted for consideration since the distribution of Draft version 1. At the end of the day, Draft version 2 with a few minor corrections to be included in the final version, was approved by unanimous consent, by the voting members of the Technical subcommittee.

The subcommittee, on August 19th, also approved making a recommendation to the Executive Board to make a change the Dual Mode (DC 3rd Rail) Locomotive Requirements Document. The recommended change is to drop the HEP from 1000kw to 800kw in section 2.6 (Electrical) of the Requirements Document – the same as it is in the Diesel-Electric Locomotive Specification.

The process for making a Requirements Document change is for the Technical subcommittee to recommend the change to the NGEC Executive Board. (The Executive Board "owns" NGEC Requirements Documents) The Board would, if it accepts the recommendation, be responsible for approving it and directing the Document Revision Coordinator to make the change accordingly.

The subcommittee also agreed to make several changes to the specification reference document 305-912 (Environmental conditions). Initially, the intent was to add an appendix to the document for equipment dedicated to the Northeast with a lower bottom temperature but, as the members reviewed the base document it was recognized that it was written around the Bi-Level Specification, even though it is reference in all of the other NGEC specifications that have followed. It was agreed that the Technical subcommittee will go back into the document and make changes to it to make it more generic rather than Bi-Level specific. Once the Technical subcommittee has approved the revised document it will be submitted for Executive Board approval.

Ray also reported that on August 20th the subcommittee members given a tour of the Amtrak Maintenance facility at Rennselaer, NY where the Amtrak Dual Mode locomotives are serviced.

Steve Hewitt reported that about 23 members attended the tour hosted by Mario Bergeron and the plant manager Jim Shelgren. All participants found the tour to be very worthwhile. Many had never seen, hands on, a Dual Mode Locomotive. The tour was professionally done and a valuable experience. The NGEC wishes to thank Mario Bergeron and Jim Shelgren and his staff for arranging and conducting the tour.

It was agreed that Steve Hewitt, on behalf of the Executive Board, will send a thank you note to Mr. Shelgren.

Special thanks are also offered to Jack Madden, NYSDOT, for his exceptional work as Chair of the Locomotive working group which put together the Dual Mode specification, and arranged the Albany meeting as well as the facility tour.

After the Technical subcommittee meeting, Steve Hewitt informed Chairman Curtit, of the subcommittee's actions and, on behalf of subcommittee chair, Mario Bergeron, requested that Eric re-convene the Locomotive Review Panel and begin the process for obtaining Executive Board approval.

Tammy Krause is finalizing the approved Draft version 2 to include the modifications approved on August 19th. Once complete, the document will be forwarded to Eric Curtit who will then ask Larry Salci, consultant, to review the document against the Requirements Document.

The Requirements Document, however, will need to be revised before approval of the specification. Steve Hewitt noted that the approval of the change as recommended by the Technical subcommittee can happen today, if the Board concurs.

6. Convene Locomotive Review Panel (confirm members) – Eric Curtit:

It was Steve's suggestion that the Chair first confirm the members of the Locomotive Review Panel, and formally re-convene the panel in preparation for its review of the Dual Mode (DC 3rd Rail) Locomotive Specification.

Steve reviewed the current member list and Eric Curtit asked for confirmation from the members that they are willing to continue to serve in this capacity. All agreed to do so (Arun Rao was not on today's call so Steve Hewitt will check with him to be confirm his participation.)

Locomotive Review Panel:

Eric Curtit, Missouri DOT – Chairman
Arun Rao, Wisconsin DOT
Tammy Nicholson, Iowa DOT
Ray Hessinger, NYSDOT
Jason Biggs, Washington State DOT
John Tunna, FRA
Larry Salci, Consultant to the Panel
Tammy Krause, Amtrak technical support
Steve Hewitt – NGENC support

Larry Salci, consultant to the Review Panel, provided a tentative timeline for completion. He anticipates receiving the final draft from Tammy Krause around the first of October, 2015; a draft report with recommendations for Review panel consideration will be ready around mid- November with Board action to approve by early December, 2015.

Larry will work with Steve Hewitt to get Review Panel meeting scheduled as he is close to completing his report.

Accepting the Technical subcommittee's recommended change to the Dual Mode (DC 3rd Rail) Locomotive Requirements Document – Eric Curtit:

After getting the Review Panel in place, and having heard the report from the Technical subcommittee and the timeline and process provided by Steve Hewitt, Eric Curtit entertained a motion offered by Ray Hessinger, NYSDOT, and seconded by Tammy Nicholson, Iowa DOT, to accept the recommendation of the Technical subcommittee that the Dual Mode (DC 3rd Rail) Locomotive Requirements Document be changed to reduce HEP from 1000kw to 800kw in Section 2.6 Electrical of the Requirements Document. (This change will make this document consistent with the Diesel-Electric Locomotive Document)

With no further discussion, Chairman Curtit asked Steve Hewitt to call the roll:

Eric Curtit, MODOT – aye
Darrell Smith, Amtrak – aye
Michael Lestingi, FRA – aye
Ray Hessinger, NYSDOT – aye
Tammy Nicholson, Iowa DOT – aye
Paul Worley, NCDOT – aye
John Oimoen, IDOT – aye
John Oimoen as proxy for Arun Rao, Wisconsin DOT – aye
Ron Pate, WSDOT – aye
Momoko Tamaaki, Caltrans – aye
Michael Jenkins, Oregon DOT – aye
Brian Beeler II, NNEPRA for Maine DOT - aye

With a quorum having been established and all members present voting in the affirmative, the Chair determined that consensus had been achieved and the motion is approved. Tammy Krause is requested to make the appropriate language change to the Requirements Document.

7. Progress Report: Mid-West States – John Oimoen for Tim Hoeffner:

John Oimoen, IDOT, reported that the Mid-West States continue to meet on a regular basis to resolve issues related to

section 6 compliance.

The Fleet Manager RFP is in the final review stages – FRA has provided its comments and IDOT legal review is in process. IDOT is in the last steps of the process before posting the RFP – this will occur hopefully by next week.

The Fleet Maintainer RFP is in the hands of Michigan DOT and is being worked on internally.

The meetings of the group have focused on issues of governance and ownership. Draft documents are currently under review by the legal offices. Progress is being made – there is still a lot to do before the equipment comes on line late next summer.

8. Progress Report: Activities of the Finance and Administrative Subcommittee (FASC) – Darrell Smith:

Darrell Smith, Amtrak reported that the FASC continues to evaluate future funding options and structure for the NGEC and expects to have its recommendations ready for submittal to the NGEC Executive Board by the end of October, 2015.

Darrell also noted the formation of the Legislative Outreach task force which is being chaired by Eric Curtit and is looking at developing a message and a strategy for educating the Hill on the NGEC and its needs for future federal funding.

Eric reported that the task force has met once and will be meeting later this week. MODOT is developing a 1-2 page educational document with graphics. He is working with both Amtrak (Dale Engelhardt) and with Ron Pate and the 514 subcommittee for information and graphics.

9. Status Update: Bi-Level Car Procurement – Momoko Tamaoki:

Momoko Tamaoki provided an brief update on the Bi-Level Car Procurement;

FAI's – no update since the last call – there are additional FAIs scheduled for September on items such as truck frames, floor covering and electrical panels.

Design Review – there are 12 hot list items remaining open – most are check list items and are expected to be closed soon.

There are 5 RFCs open – 3 are in the hand of Caltrans and 2 are with the vendors.

Car shell testing – Momoko reported that they conducted a pre-compression test at the end of August and it resulted in structural failure. The vendor is investigating how and why this happened – Caltrans is getting daily updates on the investigation, but still no resolution to it. Based on the failure – the schedule is uncertain and will remain uncertain until the root cause of the problem is determined.

Ron Pate, WSDOT commented that he appreciates Momoko's candidness in providing the Board with this report, and he is certain they will work hard to resolve the issue.

Rob Edgcumbe, Consultant (Jacobs) for Caltrans, was on the call today and any member having questions should feel free to contact Rob or Momoko.

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

John Oimoen provided a brief update on the Diesel-Electric Procurement:

FDR – follow up items are in the process of being closed out.

FAIs are trending well – Completed a number in August and have several scheduled for September and October.

The car body manufacturing is continuing and making good progress – work on the truck frame is beginning.

14 Draft DCRs are been prepared and will be sent to Tammy Krause.

The locomotive weight is 271,000 lbs (+/-) and the calculated P2 force is still within specified limits.

The DEF working group met on 8-31-15 and looked at fueling locations.

11.

Status Update: 514 Subcommittee –Ron Pate:

Ron Pate, WSDOT, provided a brief update on the activities of the 514 subcommittee:

The Capital Improvement Program (CIP) major update is due in October, 2015.

States have completed their 5 year outlook – all of the states have provided their information as had been requested by Ron Pate. The information is being captured with regard to need and demands from the state side.

The FMCS facilitated meetings with 209 have continued with Governance having been agreed upon. Ron pointed out that "514 was formed under the 305 NGEC due to the NGECs expertise in equipment and has worked very well. A link has been requested between the 305 and 209 groups...which is fine, but I hope it doesn't mean two approvals will be required...2 approvals would not be good." There is a meeting in September (8th) as a part of the SCORT meeting, and it is hoped this issue can be resolved. Ron will be in attendance via conference call, and Jason Biggs will be there in person.

Areas of concern with regard to the reconciliation process and costs to states are being worked out. It is likely that these will go to the FMCS group.

"Candid discussions, to date, have lent themselves well to positive results."

The CIP plan provides "us with something to compare and measure against...without it none of this would have happened... the plan and tools coming out of it are critical to our work."

12.

GAO – Overview and discussion of its S305 NGEC review effort – Derry Henrick:

Members of a GAO project team were on today's call and provided an overview of the Rail Grant Oversight Engagement with regard to the NGEC and the two ongoing procurements.

The GAO conducts periodic reviews of federal funding – this particular review was requested by members of the House T&I committee.

They have asked the GAO to look at what legal responsibility the FRA has and to what extent it has been involved in the NGEC activities especially with regard to the two procurements.

Some of the questions being asked include: Will the new equipment achieve speeds up to 125mph? What have been the limitations of the procurement process?

The GAO team has interviewed AASHTO staff, FRA and Steve Hewitt.

Steve has been particularly helpful in providing NGEC documents to the team.

Some items provided include: the NGEC By-Laws and Operating Procedures; the Bi-Level Car Specification document and the C.3 Review Panel Report; the Diesel-Electric Locomotive Specification Revision A document; the Bi-level Requirements Document; the Caltrans Bi-level Car RFP as well as some other material such as the NGEC Backgrounder and its Document Management Procedures.

The Gao team is in the initial phase of the effort and is currently determining its scope of work and its schedule and timeframe for completion. It is anticipated that a final report will be released within the next year.

The GAO will be meeting with the FRA with regard to grants management (broadly) and within this grant itself as well as in the design review process.

Shayne Gill, AASHTO, noted that AASHTO and the NGEC have been trying to make the case about the amount of work the NGEC has done with a small appropriations and what has been achieved with regard to cost savings realized as well as the voluntary nature of the work being conducted. Would the Gao be looking at those factors as well?

The GAO asked that Shayne provide "us with good examples of lessons learned, opportunities for changes; and tangible benefits and cost savings."

Part of the reason for being on today's call is to get a sense of how best to proceed to set up follow up questions. The team wants to look further into the 2 procurements and into FRA's role in them.

The team would like to talk to the Technical subcommittee, the Review Panel and get input from the states and industry members.

It would also be helpful if they could talk to IDOT and Caltrans about the two procurements. John Oimoen, IDOT, and Momoko Tamaoki, Caltrans, agreed this would be ok and the team agreed to reach out to John and Momoko to coordinate follow up discussions.

Steve Hewitt was asked what would be the best way to connect with the technical subcommittee. Steve suggested that it would be beneficial for the GAO to participate on an upcoming Technical subcommittee call just as they did today with the NGEC Board. It would be a good learning experience to hear the subcommittee conduct its bi-weekly business, and an opportunity for the GAO to explain what its assignment is and get some feedback.

Steve Hewitt will talk to Technical subcommittee chair Mario Bergeron to see if he concurs and to get a sense of when he would like to add the GAO to the agenda of a future call.

Steve will follow up with Derry Henrick after he has talked with Mario.

The Gao asked several questions today (having provided discussion topics in advance of the call).

What has worked well with regard to structure and process? What improvements could be made?

Eric Curtit, NGEC Chair commented that "the collaborative nature of the NGEC – with all parties (Amtrak, FRA, the states and industry) at the table at the same time developing and managing specifications has been the key to the NGECs excess. Collaboration and cooperation is key to, not only getting it done, but getting it done in a timely way with a positive impact on the market" and has been a critical function/result of the Committee's efforts. "Having members of the industry who will ultimately be competing with each other in future procurements, all working together to develop and maintain specifications, has been most beneficial and has resulted in savings in the procurement costs as well as the industry involvement equaling a positive market reaction to it."

Eric added, "What is the tough side of it all? – State laws and coordination in a multi-state procurement is challenging."

Tammy Nicholson, Iowa DOT, added "The structure – this being a state led/run committee with Steve Hewitt and others giving us lots of support has led to efficiencies in getting so much done at a low cost and in getting states buy-in. This kept us engaged throughout the process."

Maria Wallace, GAO asked about the delivery dates of the two procurements. John Oimoen and Momoko Tamaoki agreed to talk with Maria and/or the GAO team at some point following this call.

13.

Other issues – All:

With no further issues forthcoming, Chairman Curtit adjourned today's meeting at approximately 12:33 PM Eastern.

The next call is September 15, 2015

Decisions/Action Items

Mid-west States – Section 6 progress report: Progress is being made on the issue of governance and ownership – a draft ownership document is under review by the states' general counsels. The RFP for a Fleet manager could be released as early as next week (week of 9-7-15). Michigan is developing the RFP for a Fleet Maintainer.

514 Subcommittee update: The end of the fiscal year is approaching. The CIP Major update will come out in October. Interaction/coordination with the FNCS and the new 209 Governance will need to be worked out without duplicating approval processes. (ongoing)

The Finance and Administrative subcommittee continues to look at potential funding options and strategies for the future of the NGEC: Recommendations for future funding options and structure will be submitted to the Executive Brad by the end of October as previously agreed. The legislative outreach task force is developing the message and a strategy to educate the Hill on the need for continued federal funding for the NGEC. (ongoing)

Dual Mode Locomotive (DC 3rd Rail) specification development: The Dual Mode (DC 3rd Rail) Locomotive Specification was approved (Draft version 2) by the Technical subcommittee on August 19, 2015 in Albany, NY at NYS DOT. A final version of the specification as approved is being prepared and will be submitted to Chairman Curtit for

dispersal to Review Panel consultant Larry Salci. Mr. Salci will prepare a report with recommendations for Review Panel consideration. Once approved it will be presented to the executive Board for final approval and acceptance of the NGEN's 6th vehicle specification.

Requirements Document change: Today, (September 1, 2015) the Executive Board accepted the Technical subcommittee's recommendation to revise the Dual Mode (DC 3rd Rail) Locomotive Requirements document by reducing HEP from 1000kw to 800kw in Section 2.6 Electrical of the Requirements Document. (This change will make this document consistent with the Diesel-Electric Locomotive Document)

Thank You Letter to Jim Shelgren, Amtrak: Steve Hewitt will draft a thank you note to Plant Manager Jim Shelgren on behalf of the Executive Board and the Technical subcommittee for conducting the most productive, professional and informative tour of the Amtrak Rennselaer Maintenance facility.

Re-Convening the Locomotive Review Panel: Today, in preparation for the review of the Dual Mode (DC 3rd Rail) Locomotive Specification, Chairman Curtit formally re-convened the Locomotive Review Panel and confirmed its members (Arun Rao was absent – Steve Hewitt will confirm his intent to remain on the panel.)

GAO request to meet with the Technical subcommittee: Steve Hewitt will contact subcommittee chair Mario Bergeron to get his ok to add the GAO to a future Technical subcommittee agenda and will follow up with the GAO through Derry Henrick to get it on their schedule.

ATTACHMENTS



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

S305 NGEN Executive Board Conference Call September 1, 2015

11:30 AM – 12:30 PM Eastern

Call in number: 888 585-9008 conference access: 559-120-127

Agenda

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| 1. Welcome and Open the Meeting | Eric Curtit |
| 2. Roll Call | Steve Hewitt |
| 3. Action Items Status Review | Steve Hewitt |
| 4. Approval of Minutes from the August 4, 2015 Call | Eric Curtit |
| 5. Tech. Subcommittee Report: Dual Mode Spec Approval Meeting | Mario Bergeron |
| 6. Convene Dual Mode Locomotive Review Panel (confirm members) | Eric Curtit |
| 7. Progress Report: Mid-West States – Section 6 | Tim Hoeffner |
| 8. Progress Report: Activities of Finance and Administrative subcommittee | Darrell Smith |

9. Status Update: Bi-Level Car Procurement	Momoko Tamaoki
10. Status Update: Diesel-Electric Locomotive Procurement	John Oimoen
11. Status Update: 514 subcommittee	Ron Pate
12. GAO – Overview of its S305 NGEC review effort	Derry Henrick
13. Other	All

Next Call: September 15, 2015

Attachment 2

GAO Federal Rail Grant Oversight Engagement and Discussion Topics
NGEC Executive Board Meeting, 9/1/15, 11:30 Eastern
 Conference line: 1-888-585-9008; code: 559-120-127

GAO Engagement overview

- Request, objectives, status.

Next Steps

- Input on best approach for meeting with the technical subcommittee, state and industry representatives, and specification review panel members.

Discussion Topics

- 1) In your view, what has worked well with the NGEC process (re: both the structure of the committee and the process used to develop technical specifications)? Why? What, if any, issues have been identified and what improvements could be made?
- 2) To what extent do the locomotive and bi-level car procurements differ from past rail equipment procurements (e.g., Amtrak's own procurements)?
- 3) What role did FRA, state, and industry representatives on the NGEC have in developing the technical specifications? In developing or reviewing the requests for proposals?
- 4) Describe the Executive Board's process for voting and approving final specifications or revisions to the specifications (e.g., are specifications only approved by unanimous vote? If a voting member agency disagrees with a NGEC decision, is this documented?).
- 5) To what extent was the NGEC involved in developing the process California and Illinois used for their multi-state equipment procurements? What, if any, outside resources or guidance were used in developing the process?

Document Request

- Copies of the MOUs between lead states and the other states for each procurement.
- Bi-level car requirements document.