



PRIIA Section 305 Next Generation Equipment Pool Committee

Background and Activities – Update: 9-30-2011 (*updates in bold italics*)

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, taking into account 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.”

On January 13th and 14th, 2010, acting on the requirements of Section 305 of the Passenger Rail Investment and Improvement Act (PRIIA), Amtrak established the next Generation Equipment Pool Committee (NGEC). During the course of this initial meeting, the Committee constituted itself; formed an Executive Board; elected officers, appointed members; developed and approved a Work Plan with a very aggressive schedule and timeline; and adopted By-Laws.

The elected Officers of the Section 305 NGEC Executive Board are:

Bill Bronte, CALTRANS – Chair

Mario Bergeron, Amtrak - Vice Chair

DJ Stadtler, Amtrak – Treasurer

Alan Ware, Georgia – Secretary (Appointed by the Board to fill the vacancy – Sept. 15, 2011

Voting members of the Executive Board, including the officers, represent eleven (11) State Departments of Transportation (DOTs), the Federal Railroad Administration, (FRA) and Amtrak (full Executive Board member and support staff list is included in this package)

At the initial meeting, and in accordance with the By-Laws, the Executive Board established two subcommittees: the Technical subcommittee and the Finance subcommittee; and also established an Administrative task force. The subcommittees and the task force were tasked with constituting themselves, electing officers, and developing work plans and a first year budget.

Section 305 Next Generation Equipment Pool Committee – approved Work Plan:

- A. Committee Work will be a multi-year process
- B. Goals/Deliverables:
 - 1. Develop Single Level Specifications
 - 2. Finalize Bi-Level Coach Specifications
 - 3. Develop Diesel Locomotive specifications – specs to accommodate 125 MPH
 - 4. Develop Ownership and Organizational Structures
 - 5. Develop Procurement Strategies
 - 6. Develop Fleet management (pool) Strategies
 - 7. Prepare Initial Procurement
- C. Elements
 - 1. Overall Committee
 - a.) Determine Strategy on Equipment Specification Development
 - b.) Assess State Needs (amount, timing, type) - AASHTO to work with Amtrak to develop a survey of the states to truly assess/update current needs including; types of cars and timeframe with a 5, 10, 15 year outlook. AASHTO will be responsible for distributing the survey and will work with Amtrak to help define the questions.
 - c.) Develop/refine State corridor specific Operating Plan, Facilities, Fleet Needs – these issues would also be included in the survey of the states.
 - d.) Answering key Questions:
 - i. Does one size fit all?
 - ii. What types of Equipment are appropriate?
 - a.) Single level Tilt/Non-Tilt – this issue will be included in the states survey
 - b.) Bi-Level
 - c.) Tier II high speed equipment
 - d.) Geographical/driven needs
 - iii. Car based procurements or trainsets? – This issue is also to be included in the survey of the states.
 - iv. Provide common vision and direction to manufacturing community
 - v. Safety Standards, ADA and Buy American
 - e. Reporting to Congress/others as appropriate
 - i. Vital for funding and implementation – important for both visibility and to provide information
 - 2) Finance subcommittee – DJ Stadtler, Amtrak, Chair
 - a. Identify Joint Procurement Opportunities with Amtrak Fleet Plan
 - b. Evaluate Funding/procurement Strategies for Fleet Acquisition
 - c. Prepare Initial Fleet Procurement – first year goal/deliverable
 - d. Identify institutional opportunities/structures for successful implementation of procurement strategies

The Finance subcommittee will also serve as liaison to financial institutions, and manufacturers looking for finance opportunities. The issue of establishing a corporation is one which the Finance subcommittee should take up and can propose it to the Executive Board, but it is ultimately the Board's decision.

- 3) Technical subcommittee – Mario Bergeron, Amtrak, Chair
 - a. Salient Features – core features of the Sub-Committee are of a technical nature

- b. Determine appropriate level of involvement from industry – The Technical subcommittee should make the agenda and seek involvement of the larger community.
- c. Establish Interoperability and Safety Standards
- d. Adapt Current Bi-Level Spec for generic Use
- e. Develop Single Level Specification(s) for State Use
- f. Develop Additional Specification(s) for State Use

A direct result of the subcommittee discussions was the realization of the need for an administrative arm of the overall committee to be established. It was agreed that the committee should establish an Administrative task force to handle budget issues and manage the operation of the NGEC. The Administrative task force would be able to determine protocols for various issues that may come up such as; site tours, definition of what the NGEC can present to Congress – ensuring that the Board is not engaging in lobbying activities, but is getting information out and maintaining visibility and, in general, establish administrative policy for the NGEC. The task force would also determine where and how the administrative support is housed and provided to the NGEC.

Support Services:

From the inception of the S305 NGEC, it was clear to the Executive Board that support services would be essential in order to fulfill the work of the committee in an organized, efficient manner – providing access to records; coordination among the subcommittees, task force(s) and the Board; ensuring adherence to the work plan, schedules and timelines, as set by the Executive Board; providing meeting support – logistical and material preparation (agendas, member list maintenance, meeting summaries preparation) – for conference calls, webinars and in-person meetings; maintaining lines of communication among all parties; and providing quality assurance support by conforming process and committee business with the adopted By-laws. Such support is being provided to the Board and subcommittees and task force(s) by the American Association of State Highway and Transportation Officials (AASHTO). AASHTO was asked, and agreed, to serve as the support team and provide the services as described.

At the March 10, 2010 meeting of the Executive Board, AASHTO notified the Board that Steve Hewitt, consultant to AASHTO, would serve in the capacity of S305 NGEC Support Services Manager. His responsibilities include managing and coordinating communication within and among the “305” Executive Board, its subcommittees, and task force(s). He also provides Secretariat services; ensures consistency and clarity of message; serves as the communication hub; manages the business of the Board, the subcommittees and task force(s); ensures that schedules are adhered to; questions and concerns of the public and the industry are responded to; timelines are met; and action items are completed on time. In general, he helps to preserve the integrity of the process established in the NGEC Work Plan.

AASHTO also provides the needed interaction with all of the states (those who are not NGEC members) and has provided information support and open records management through the establishment of the AASHTO Rail Resource Center (ARRC) web site. The web site, as currently identified, is: www.highspeed-rail.org. It contains links to all Executive Board, subcommittees, and task force(s) activities including, but not limited to; meeting summaries; the approved PRIIA Bi-Level Specification; requirements documents; NGEC By-laws; the PRIIA statute; Buy America provisions; Amtrak Fleet Plan; Executive Board, subcommittees, and task force(s) member lists, and industry participants lists as well as links to the Locomotive Technology Task Force, ADA Working Group, the Joint Procurement Task Force, Document Change Pilot Program, Standardization Pilot and more....

S 305 NGEC Activities through September 30, 2011:

Since the initial meeting held January 13-14, 2010 in Washington, DC, the Section 305 NGEC has aggressively implemented its work plan. The Executive Board has held **seven** more in-person meetings: March 10, 2010, May 26, 2010, August 31, 2010, February 15, 2011, March 16, 2011, and June 23, 2011, **September 15, 2011**, as well as conference call and/or webinar meetings on June 2, 2010, July 21, 2010, September 15, 2010, November 18, 2010, January 28, 2011, February 10, 2011, March 29, 2011, April 12, 2011, May 10, 2011, May 24, 2011, June 7, 2011, and **July 5, 2011, August 2, 2011, August 16, 2011, August 30, 2011, and September 27, 2011**. Summaries are available on line at www.highspeed-rail.org for all of the Board meetings held to date.

In January of 2010, both subcommittees and the Administrative task force constituted themselves, named officers, appointed members, and submitted work plans and proposed first year budgets. All three have been conducting regularly scheduled conference call meetings and have been adhering to the schedules and timelines set by the Board. (subcommittees and task force member lists are included in this package)

The Executive Board met on June 2, 2010 via conference call to review and approve the S305 NGEC first year Budget and narrative to be submitted to Amtrak for finalization and presentation to FRA to execute the S305 Funding Grant Agreement. The Board unanimously approved the budget and provided suggested edits to the narrative which were to be incorporated in the final package submitted to FRA.

On June 17, 2010, the Executive Board held an electronic vote to approve a modification to the budget to increase the budgeted amount from \$1.85 million to the fully funded level of \$2 million. All members of the Executive Board participated in the vote, and the modification was approved with consensus achieved (approval was unanimous).

On July 16, 2010, all members of the Executive Board received a draft Bi-level specification requirements document for review and comment.

On July 21, 2010, the Executive Board approved the requirements document during a webinar meeting of the Board. The document was approved by all voting members of the board present on the call (11 of 14 were present) and consensus was determined to have been achieved. The document will be used as a basis for measuring the specification against. There may be modifications made to the document prior to the July 29-30, 2010 meeting of the Technical subcommittee – if so – it will be entitled Version 2 and will be voted on via conference call of the Executive Board.

On August 31, 2010, the Executive Board held an in-person meeting in Washington, DC with a full business agenda. During this meeting the Board voted unanimously to approve the PRIIA Bi-level specification developed by the Technical subcommittee. This approval was a **landmark event** and represented the first standardized specification developed by the S305 NGEC in accordance with the requirements of PRIIA.

Additionally, at the August 31, 2010 meeting of the Board, it was decided that the priority order established in January for developing the next sets of specifications would be revised to accommodate the immediate needs of states who had acquired federal funding through the High Speed Intercity Passenger Rail (HSIPR) program for procurement of equipment; and whose plans called for that equipment to be single level trainsets. Equipment purchased with federal funding through the HSIPR program requires that the equipment to be procured uses an approved PRIIA specification; and the states looking to purchase trainsets were concerned with meeting the timeline guidance provided by the FRA in announcing the HSIPR grant program. It was understood that the money must be obligated by September 30, 2011 or it would be lost. If that is indeed the case, the development of the PRIIA specification for trainsets, as soon as possible, was considered vital to the states whose service development plans called for trainsets. After a great deal of discussion, a poll of member states was taken in regards to their intentions to procure single level standalone cars in the immediate future. After it was determined that none of the member states were ready to procure at this point in time; it was generally agreed that the most pressing need was that of the states who were ready to procure trainsets.

By an 11-3 vote, and consensus determined to have been achieved by the Chair, it was agreed that the priorities set in January, 2010, be revised to call for the Technical subcommittee to develop the single level Tier I trainset specifications next (along with the already agreed to development of the diesel-electric locomotive specifications) with completion targeted for December 31, 2010; and that the single level standalone cars specification would follow thereafter with a target completion date of first or second quarter 2011.

On September 15, 2010, Chairman Bill Bronte, acting on a request from the FRA, convened an emergency conference call of the S305 Executive Board for the purpose of reconsidering the August 31, 2010 decision to change priorities to develop trainsets first and standalone cars next. The FRA request for consideration was based on the fact that the President had subsequently announced a \$50 Billion stimulus plan, which included funding for replacing much of the existing Amtrak Fleet. The fact that the Board (and the FRA voting member) did not have access to this information at the time of the August 31, 2010 vote; led the FRA to formally request a reconsideration of that decision. With the President's proposal targeting replacement of the Amtrak Fleet, it was felt that the impetus to be derived by an order of substantial volume; would go a long way towards rebuilding the rail equipment manufacturing industry in the United States (U.S.) and the creation of sustainable jobs.

The representatives of the FRA attending the emergency meeting, understood the concern of the states looking to procure trainsets; and assured them that the HSIPR grant money, once obligated, (by February, 2011) would remain available to the recipient states until 2017. The short term delay in developing the specifications for trainsets, therefore, would not preclude those states from procurement in accordance with the HSIPR program guidance and their Service Development Plans (SDP). Further, the FRA representatives offered to provide additional resources to the Technical subcommittee to help to expedite the development of the standalone cars to meet the December 31, 2010 timeline; and to expedite the trainset specification development immediately thereafter.

After a long discussion had ensued, the Executive Board achieved consensus and agreed to reconsider the August 31, 2010 decision to reprioritize the mandate of the Technical subcommittee to develop trainsets first, with standalone cars to follow. A consensus was determined by the Chair as a result of a poll of the voting members, which resulted in; 11 favoring reconsideration, 1 opposed, and 2 absent. After additional discussion, the Board acted on a motion to change its priority to have the subcommittee develop the single level standalone cars first, with trainsets to follow. A poll of the voting members present resulted in; 10 favoring the motion to again reprioritize, 1 opposed, and 3 absent.

On November 18, 2010, the Executive Board held a webinar/conference call meeting to review and consider, for approval, the requirements documents for the two sets of specifications currently under development by the Technical subcommittee. (diesel-electric locomotive specification and single level standalone cars specification)

The webinar resulted in the unanimous approval of the requirements documents, as presented and modified, in real-time during the meeting. The requirements documents approved were for the diesel-electric locomotives and for single level standalone cars and trainsets (As a result, the trainsets specification to be developed after the standalone cars, will already have a requirements document against which the specifications will be measured)) The requirements documents, as approved/adopted by the Executive Board, can be found on the AASHTO website: www.highspeed-rail.org.

The Board also appointed two Review Panels, each to review one of the specifications (single level standalone cars and diesel-electric locomotives) against the approved/adopted requirements documents. The Review Panels will be assisted by a consultant provided by the FRA (Larry Salci). The Panels will provide a written report on their findings along with recommendations to the Executive Board for its consideration at the next meeting of the Board to be held in Washington, DC on February 15, 2011.

The Review Panels received a written report with recommendations prepared by Larry Salci on January 25, 2011. The Panels reviewed the respective report and recommendations pertaining to the specification to which they were assigned, and, on February 1, 2011, the Reports with recommendations were distributed to the Executive Board Members for their review. On February 15, 2011, at the Annual

Meeting of the NGEC, consultant Larry Salci was to give a presentation summarizing the two reports and providing the Review Panels' recommendations. It was intended that the Board would vote for approval/adoption of each of the specifications at the February 15, 2011 meeting.

The Annual Meeting of the NGEC was scheduled by the Executive Board for February 15, 2011, to be held in Washington, DC at USDOT facilities. The meeting was to serve dual purposes – to hold the S305 NGEC Annual Meeting, as required in the By-laws, and to conduct an Executive Board business meeting.

On January 28, 2011, the Executive Board met via conference call, to review and finalize the agenda items for February 15, 2011, as well as to review draft work plans and budgets requested of the subcommittees and the Administrative task force; and an estimated AASHTO Support Services Budget for the period beginning April 1, 2011 through March 31, 2012.

The Board approved the “final draft” agenda for the February 15, 2011 Annual Meeting with minor modifications.

The subcommittees and the task force submitted budget and work plan proposals, which were reviewed by the Executive Board Members. AASHTO provided a preliminary estimate for support services for the same 12 month period.

Ken Uznanski, Amtrak's 305 NGEC project manager, worked with the subcommittees and task force chairs, and AASHTO, to reconcile the budgets and work plans. He submitted a summary for Board review on Wednesday February 2, 2011. On February 10, 2011, on a conference call of the Board; the revised budget and work plan was finalized in preparation for its consideration at the February 15, 2011 Annual Meeting.

On the January 28, 2011 Executive Board conference call, a general agreement was made to hold more frequent Executive Board calls throughout the coming year. Members were to provide input in regards to frequency of those calls by the February 10, 2011 Executive Board Call.

On January 28, 2011, the Executive Board also approved, with minor modifications, the Procurements Approval Process Matrix as developed and approved by the Finance subcommittee and Administrative task force.

On February 10, 2011 the Executive Board met, once again, via conference call, to finalize the agenda and all plans for the February 15, 2011 NGEC Annual Meeting.

On February 15, 2011 the first Annual Meeting of the NGEC took place in Washington, DC at USDOT facilities. In addition to the members of the Executive Board, (13 of 14 were in attendance – 1 was represented via proxy) approximately 75 members of the rail manufacturing and supply industry, state DOTs, Amtrak, and FRA participated in this historic event.

Administrator Szabo welcomed the Committee to the USDOT facilities, and thanked the Board and all Committee members for their hard work to date. Mr. Szabo also noted that, with what is in the President's budget proposal, it is clear that the work of this Committee has just begun.

Administrator Szabo described the elements in the President's transportation budget as “a transformative vision for travel in the future. We now have a President who says that passenger rail should be an integral part of the vision.” The President has stated that his goal is, within 25 years, to give 80 percent of Americans access to high-speed rail. To implement the President's vision “we are proposing \$53 billion in funding over the next 6 years including over \$8 billion in Fiscal Year 2012, which begins in October.”

This is the type of multi-year commitment that made the Interstate Highway program a reality. Through it we will become a reliable and stable market for rail infrastructure and passenger rail equipment.”

“What we seek is the development of a domestic rail car manufacturing industry that covers the entire spectrum from design, to the manufacture of components and subcomponents, to assembly, and repair.”

“We want commonality of design and standardization of components and parts that will permit multiple firms to build essentially the same, interoperable equipment and its components.”

Mr. Szabo emphasized “we are presented a once-in-a-lifetime opportunity to literally change our world and realize the benefits that rail offers to our passenger mobility. The Secretary and I are counting on the Section 305 Committee to help lay the foundation for success”.

Actions taken by the Board on February 15, 2011:

During the meeting, the Board took a number of actions including;

- the adoption of the second PRIIA specification, the Single Level Standalone Car Specification;
- deferral of adoption of the Diesel-Electric Locomotive Specification until recommendations made by the Locomotive Review Panel are incorporated into a revised specification;
- acceptance of the Standardization working group’s process recommendations;
- the approval of the proposed concept for developing a Systems Engineering process;
- a By-law amendment allowing the Executive Board to make changes to the By-laws at regular meetings of the Board (with 30 day prior notice) rather than only at the Annual meeting;
- tasked the Finance subcommittee and the Administrative task force with jointly working on the issue of intellectual property;
- Agreed to begin holding bi-weekly conference calls of the Executive Board – every other Tuesday at 11:30am Eastern time (The first of these calls is scheduled for March 29, 2011);
- The Board also accepted the revised work plans and budgets presented by the subcommittees and the Administrative task force chairs for the period of April 1, 2011 through March 31, 2012;
- the Board directed Amtrak’s 305 project manager, Ken Uznanski, to work with Amtrak and FRA to make the necessary grant agreement modifications to extend the agreement and revise the initial work plan in accordingly;
- Scheduled the next in-person meeting of the Board for March 16, 2011 from 8:00 am to 4:00pm Eastern. The meeting will be held at the Phoenix Park Hotel, Washington, DC. At this meeting, among other agenda items, the Board will consider approval of the revised Diesel-electric locomotive specification and will spend time working towards developing an outline for a long range “business plan” for the NGEC.

As agreed on February 15, 2011, the Executive Board met in Washington, DC, on March 16, 2011 to approve the revised diesel-electric locomotive specification. Consensus to approve this specification was achieved. (Support was unanimous)

This marked the third PRIIA specification successfully developed and adopted by the S305 NGEC since its inaugural meeting of January 13-14, 2010. At that time, the Board set an aggressive schedule and has been ever diligent in adhering to it. The next specification to be considered for Board approval will be the Tier I single level trainset specification currently under development by the Technical subcommittee. (The subcommittee completed its development of the trainset specification and held a final review and approval meeting on June 22, 2011)

In addition to the adoption of the diesel-electric locomotive specification, the Board took the following actions:

- Approved the establishment of a Locomotive Technology Task Force within the Technical subcommittee

- Approved a Document Management Control Pilot to begin immediately as a part of the Systems Engineering effort underway within the Technical subcommittee. The Pilot will run until the Board meets at a date yet to be determined in June, 2011. At that time recommendations will be presented to the Board for making the Pilot permanent.
- A timeline was established for the Finance subcommittee to present a work plan and budget for funding and structuring options to the Board on its April 12, 2011 conference call.
- A disclaimer statement, presented by the Administrative task force was approved by the Board and will be added to all current and future PRIIA specifications on the inside cover page and as a link on the website.
- A proposed "Rolling Stock 101" timeline and syllabus is being prepared by a working group comprised of members of the Finance subcommittee and Administrative task force and will be presented to the Board for approval in the near future.
- A discussion regarding the possible establishment of the NGEC as a formal entity took place during a "brainstorming" session of the Board. It was agreed to continue the discussion on the Board's scheduled March 29, 2011 conference call. Jack Basso, AASHTO CFO was to be invited to attend the call to provide input on some suggestions arising out of the discussions including; AASHTO as a repository for specifications and as a potential "vehicle" for an NGEC entity.

On March 29, 2011, the Executive Board held the first of what will be bi-weekly conference calls. The primary discussion topic for this call was a continuation of the "brainstorming" session from March 16, 2011.

Decisions/actions taken on the call included:

- Chairman Bill Bronte will formally request that FRA provide a representative to participate on the Finance subcommittee – preferably a representative from legal or finance.
- The Finance subcommittee working group will finalize its scope of work and budget for securing outside support for developing funding and structure options for the NGEC. The scope of work and budget will be presented to the Board for its consideration on the April 12, 2011 conference call.

On April 12, 2011, the Executive Board held the second of its newly established bi-weekly conference calls.

Decisions/actions taken on the call included:

- The proposed Scope of Work and Budget for the Funding and Structure Options Working Group was approved unanimously
- The Rolling Stock 101 educational webinar series will be discussed further before approval of the proposed work plan. A small working group comprised of FRA, Amtrak, and states representatives, will meet separately to clarify what the scope and purpose of the proposed webinar series is.
- DJ Stadtler reported that the process for modifying the grant agreement as approved by the Board on February 15, 2011, was proceeding and was anticipated to be turned around quickly.
- Bill Bronte agreed to develop an Equipment Procurement Process outline for distribution prior to the next Executive Board Conference call. The outline would be for the purpose of "getting the discussion going and planting the seed."
- It was agreed that the Board would meet via webinar/conference call on August 2, 2011 at 11:30 am to consider the trainset specification document for approval. It was also agreed that the

Board would appoint a Review Panel for the trainset specification on the next Board conference call.

- It was agreed that the next "in-person" meeting of the Executive Board would be held in Charlotte, NC on September 15, 2011 following the AASHTO SCORT meeting.

On May 10, 2011, held its regularly scheduled bi-weekly conference call

Decisions/actions resulting from the call included:

- Steve Hewitt was asked to arrange a states-only conference call to discuss filling the Board vacancy created by the resignation of Caitlin Hughes Rayman, on behalf of Maryland DOT.
- It was agreed that the notes from the conference call held between members of the Rolling Stock 101 (now Railroading 101) working group and the FRA will be provided to Steve Hewitt (from Rob Edgcumbe) for distribution to the Board Members. Rob Edgcumbe will also circulate (through Steve Hewitt) the proposed equipment module for this webinar series, once he has received feedback from working group members.
- Board Members and/or support staff wishing to volunteer to be a member of the procurement/equipment acquisition task force are asked to contact Stan Hunter, Caltrans, before June 21, 2011.
- Comments on the procurement issues document circulated prior to this call are also due to Stan Hunter prior to June 21, 2011.
- It was agreed that the Executive Board would plan to meet in Chicago, in conjunction with the Technical subcommittee – either June 21 (prior to the Technical subcommittee meeting) or June 23, 2011 (the day after the Technical subcommittee meeting). AASHTO and Steve Hewitt will work with the Holiday Inn Chicago Plaza mart to secure a room for a half day meeting of the Board on either June 21 or June 23, 2011. The primary purpose of the Board meeting is to focus on procurement/acquisition issues and process.
- The Executive Board appointed a Trainset Specification Review Panel. The members of the Review Panel are:
 - Bill Bronte, California DOT (Panel Chair)
 - Ron Adams, Wisconsin DOT
 - Allan Paul, North Carolina DOT
 - Scott Witt, Washington State DOT (Andrew Wood to provide support)
 - John Tunna, FRA
- It was agreed that Ken Uznanski, Amtrak, (Amtrak's NGEC Project Manager) will work with Amtrak and FRA Grants people to finalize the current grant agreement modification, in accordance with the scope and budget approved by the Executive Board on February 15, 2011. Further, it was agreed that this grant agreement modification would be completed separately from the \$2 million additional grant money that has (apparently) been appropriated in the FY 2011 Omnibus bill. Mark Yachmetz, FRA, to get clarification on the purported additional funding.
- There was a discussion of possibly developing specifications for DMUs. This item remains open, no decision was reached. A determination of demand is yet to be made, and a suggestion was made that the party or parties interested in asking that DMU specs be developed; prepare a requirements document first. Bill Bronte will "encourage those who have approached me to move in that direction."

On May 24, 2011, the Board held its regularly scheduled bi-weekly conference call

Decisions/actions resulting from the call included:

- Bill Bronte reported that the states had met via conference call on May 17, 2011, and agreed to invite Illinois DOT (IDOT) to become a member of the Executive Board to fill the vacancy created by Maryland DOT's resignation. Bill has reached out to Illinois DOT Rail Division head, George Weber. George has agreed to accept the invitation, contingent upon Illinois DOT upper management's approval. Bill Bronte has drafted a letter to send to Illinois DOT Secretary of Transportation, Gary Hanning, formally extending an invitation to IDOT to join the NGEN Executive Board. Until formal acceptance has occurred, George Weber will be considered as an ad hoc member of the Board.
- Ken Uznanski reported that he has completed the paper work necessary to modify the grant agreement in accordance with the Scope of Work and Budget (from April 1, 2011 through March 31, 2012) approved by the Board on February 15, 2011. The modification was to be submitted to the Amtrak grants people and CFO DJ Stadtler "today". (March 24, 2011)
- DJ Stadtler notified Board members that the additional \$2 million in funding that had been previously reported as having been appropriated to the NGEN in the FY 2011 Omnibus bill was a misinterpretation, and that there was no additional funding provided for the NGEN in FY 2011.
- It was agreed that DJ Stadtler will take the lead in developing a list of questions to be answered in preparing to make a compelling story for moving forward beyond the current grant agreement modification (which utilizes the remaining 2010 funds). DJ will provide a draft (at least list of questions) to the Board on the June 7, 2011 conference call.
- It was agreed that the Board will hold a half day meeting in Chicago at the Holiday Inn Chicago Mart Plaza on June 23, 2011. AASHTO and Steve Hewitt will finalize logistics for the meeting and arrange a call –in line and easel and paper).
- It was agreed that Stan Hunter will provide an update on the procurement strategies to the Board on its June 7, 2011 conference call.
- It was agreed that Rob Edgcumbe, on behalf of the Railroad 101 webinar series working group, will continue to move forward and will provide a status update to the Board on June 7, 2011.
- It was agreed that Kevin Kesler, FRA, will continue to provide updates on the Document Control Management pilot and to provide AASHTO (through Steve Hewitt) with information/change forms, etc. to post the website.
- It was agreed that Rob Edgcumbe will report on the status of the FSWG on the June 7, 2011 Board conference call.
- It was agreed that Rob Edgcumbe will provide an update on the Standardization implementation efforts on the June 7, 2011 Executive Board conference call.

On June 7, 2011 the Board held its bi-weekly call.

Decisions/action items resulting from this call included:

- It was agreed that DJ Stadtler, Chairman of the Finance subcommittee and Treasurer of the S305 Executive Board would draft a letter and proposed template for a letter to be sent to the Senate and House Appropriations Committees, making the case for the need for additional funding to move the NGEN forward as it now enters the procurement phase for equipment acquisition.
- Chairman Bill Bronte was tasked to draft a letter to the editor of Trains magazine in response to an article in the July, 2011 issue of Trains which called the NGEN lethargic. Bill's letter will

highlight the many accomplishments the Committee has made in a very short time, and will correct factual misstatements found in the article.

- Illinois DOT has been invited to join the S305 NGEC as a member of the Executive Board; and is expected to accept. Bill Bronte will confirm with IDOT's Rail Division Director, George Weber.
- The Board began to finalize agenda items for the upcoming in-person meeting to be held in Chicago June 23, 2011. Agenda Items were to include updates on Standardization implementation; the Railroading 101 webinar series; the Document Control Management Pilot, and the progress of the Finance and Structure Working Group.
- Stan Hunter, Caltrans was asked to prepare a schedule, RFI, and an updated matrix for the focused procurement session scheduled as a part of the June 23, 2011 meeting.

On June 23, 2011 the Board held an in-person meeting in Chicago. The Board had a full business agenda as well as a separate agenda focusing on detailed discussions in regards to procurement issues.

Decisions/Action items resulting from this meeting included:

- DJ Stadtler prepared a presentation outlining the need for additional funding for the NGEC moving forward, and describing the basis for the letter to go to the Appropriations Committees for funding requests for FY2012. The Board agreed with the premise of the letter, and agreed to provide DJ with high level goals and funding requirements from each of the two subcommittee chairs and the Administrative Task Force, for inclusion in the letter. These goals and funding requirements are due to DJ by June 30, 2011. The intent is to have a final letter approved for submission to the Appropriators by July 15, 2011. All members of the Board will be asked to sign the letter. (It was also noted that the letter will build on the letter written to Trains magazine)
- Illinois DOT was officially named as a state member of the S305 NGEC Executive Board, with George Weber named as the state's representative. George was present at the June 23, 2011 meeting.
- Chairman Bronte reported that the letter to the editor of Trains magazine, as agreed, has been sent to the magazine.
- The Technical subcommittee Chairman, Mario Bergeron, reported that the Technical subcommittee (which met on June 22, 2011) had approved the Trainset Specification for submission to the Board and the Board's review panel. (details of that meeting can be found in the Technical subcommittee section of this report)
- The Board established a Joint Procurement Task Force (JPTF) comprised of representatives of states who have received HSIPR grant awards for equipment acquisition, namely; Illinois, Iowa, Missouri, Michigan, Washington State and California, as well as Amtrak and FRA. The PTF will develop an approach to joint procurements; a structure to advance the procurement grant agreement; and will help to develop a model that can be used by future procuring states. The PTF will hold an in-person meeting to begin discussions in early to mid-July, 2011 and will hold weekly conference calls. As a basis for beginning discussions, California will provide PTF and Executive Board Members with a "white paper" describing a "participating agreement". The PTF will be asked to provide a progress report to the Board at each of its meetings. It will be a standing agenda item.
- The Board asked that the Locomotive Technology Task Force of the Technical subcommittee develop a "white paper" on the issue of 110-125 mph.

On July 5, 2011, the Executive Board held its bi-weekly conference call.

Decisions/Action Items resulting from the call included:

- In regards to making a case to Congress for the need for additional funding to move the NGECC forward:
 - o DJ Stadtler will draft the letter for Board member consideration
 - o The Administrative Task Force, Finance subcommittee and Technical subcommittee will submit (by July 6, 2011) draft goals and budget requirements for the period from April 1, 2012 through March 31, 2013. AASHTO will also submit its support services budget requirements for that same 12 month period.
 - o The intent is to have the letter approved by the Board by July 10, 2011 and taken "to the Hill" by no later than July 15, 2011. (Later in the month, due to the Appropriations committees deferring mark up action until September – the subcommittees and Board members revised the date for finalizing the letter – but acknowledged that it was still vital that the letter be completed and presented prior to mark up)
 - o The FRA informed the Board that it will not be a signatory on the letter
- The Joint Procurement Task Force (JPTF) formed on June 23, 2011, will begin holding regular (weekly to start) conference calls beginning on July 7, 2011 and will hold a one and a half day face to face meeting in Chicago on July 19 and 20, 2011.
- California agreed to provide a description of a "participating agreement" (white paper) to the Board and JPTF members.
- The FRA is working on the CEM position paper, agreed to on June 22 and 23, 2011, and will have it available for the August 2, 2011 Executive Board webinar/conference call meeting.
- Shayne Gill, AASHTO, will send out an email inviting states to participate in the upcoming webinar course on Equipment as part of the AASHTO Rail Resource Center Railroading 101 webinar series. Steve Hewitt will notify all NGECC states, Amtrak and FRA members. The anticipated timeframe for the first webinar will be late August-early September, 2011. (Steve did send out the email notice to NGECC members on July 6, 2011 – to date approximately 7 individuals have responded)
- The Board will next meet in-person in Charlotte, NC on September 15, 2011. Steve Hewitt is working with AASHTO on logistics and will provide Board members with Hotel information by July 7, 2011. (This was done and a reminder was sent out on July 22, 2011)
- In deference to the JPTF meeting on July 19 and 20, 2011, the Board's regularly scheduled bi-weekly call of July 19, 2011 was cancelled – the next call will be the August 2, 2011 webinar meeting during which the Trainset specification will be considered for Board approval.

In August, 2011, the Executive Board held three meetings:

On August 2, 2011 the Board held a webinar meeting with the primary purpose being to vote for adoption of the PRIIA 305 Trainset specification. After a presentation given by Larry Salci, on behalf of the Trainset Review Panel, which summarized the panel's findings and recommendation for approval; the Board voted on adoption of the specification.

After a poll of the Board, with all members voting in favor, except the FRA, which abstained due to concerns over current CEM language, it was agreed that the PRIIA Trainset specification was adopted.

This is another landmark accomplishment. The Committee has now approved four PRIIA specifications – Bi-Level Cars; Single Level Standalone Cars; Diesel-Electric Locomotives; and Single Level Trainsets in approximately 18 months!

On August 16, 2011, the Board met via conference call. On this call, Bill Bronte announced that Board members, Rod Massman Missouri DOT and Scott Witt, Washington State DOT, had (or were) leaving state service, and the Board would need to ascertain whether or not their resignations were on behalf of their states and/or themselves as Board members.

Key decisions/action items of the call included:

- Rod Massman, attending his final Board call agreed to check with Missouri DOT officials to see if the state was going to remain an active 305 NGECC participant and member of the Board.
- Jeannie Beckett, a consultant to Washington State DOT reported that it was her understanding that the state intended to remain on the Board and would likely name John Sibold as its representative.
- The issue of CEM language remained open, as the FRA position paper was being revised to include a disclaimer statement which would make it clear that the PRIIA requirements documents and specifications in no way reflected an intent to modify FRA safety regulations.
- DJ Stadler reported that the 305 Committee letter to appropriators to request additional funding in FY 2012 was being finalized and would be distributed to Board members shortly for their review and approval.
- Bill Bronte reported on the progress being made by the Joint Procurement Task Force. Bill Bronte reported that the cooperative agreement that California is preparing on behalf of California and the mid-west states is being reviewed internally. He expects to get these reviews completed shortly, and will get the document out to other members of the JPTF by next week.

The RFI that is to go to the industry should be ready to go by the end of the month. The RFI is using what APTA has done as a frame work. The intent is to get input from the industry as to whether or not it is biddable and buildable, as well as finding out what issues there are from an industry perspective.

Bill mentioned the Buy America provisions and Intellectual Property as two issues to cover, and said there are "many more." He also noted that the FRA has distributed a Buy America questionnaire to some industry members, and these questions would be part of the RFI.

- The question of a DMU specification was, once again discussed. A survey of interest had been sent to the states and to the industry. Since the states survey response due date was set at August 24, 2011; the Board agreed to keep this as an open agenda item to be considered on the August 30, 2011 conference call.
- Bill Bronte raised the possibility that it may be necessary for the Board to consider modifying its Diesel-Electric Locomotive Requirements Document and ultimately the specification document as well.

The issue is the feasibility of building a locomotive that meets Tier IV and operates at 125 mph. The real concern is "can it even be built?" Should we, instead, move forward with 110 mph and Tier III locomotives? He is concerned that with the 36 locomotives planned for procurement by California and the impending large order from the Class I Railroads; the 36 locomotives will get sent to the end of the line, and "be forced into Tier IV". It is possible that the result will be that "the order of 36 will get lost".

After much discussion, It was agreed that Mario Bergeron will ask Dave Warner to prepare a draft revision. Mario did not think it would take too long, and felt that "we should be able to act on the next call." He will try to get the proposed change sent out next week.

On August 30, 2011, the Executive Board met via conference call.

Key decisions/action items resulting from this call included:

- It was agreed that the 305 appropriations request letter would be sent out by DJ Stadler by August 31, 2011. The letter would contain 9 Executive Board Members signatures: (possibly 10 – awaiting Louisiana)
- The FRA expects to complete the CEM position paper and disclaimer statement over the next several weeks. The intent is to be sure it is resolved before the RFI for the Joint Procurement goes out.
- Mark Yachmetz reported that the end of the year budget discussions/decisions at FRA may include a “plus up” of funding for the S305 NGEC. Mark will know over the next few days and let the Committee know. If the additional funds are allocated to the NGEC, a grant agreement modification between FRA and Amtrak, reflecting the additional funds, would need to be completed.
- The FRA has proposed revisions to the Diesel-electric locomotive requirements document revisions prepared by the Technical subcommittee as requested by the Board on August 16, 2011. The Locomotive Task Force of the Technical subcommittee will review the FRA proposal and it will be an agenda item on the subcommittee’s call on September 8, 2011.
- The Executive Board achieved consensus on a motion to direct the Technical subcommittee to begin developing a 305 DMU specification. The subcommittee will begin with the development of a Requirements document. The Board anticipates reviewing and voting on the requirements in 6 weeks. (Its next call, following the September 15th in-person Board meeting)
- Missouri DOT has decided to remain on the NGEC Board and has named Eric Curtit as its representative. Eric will attend the September 15th meeting in Charlotte, NC.
- Washington State has also decided to remain on the NGEC Board and has named John Sibold as its representative. John will participate, via phone, at the September 15th Board meeting.
- In Charlotte, September 15, 2011, the Board will try to fill the vacancies of Chair of the Administrative Task Force and the officer position of Secretary – both vacant due to Rod Massman’s resignation.
- The FRA-Amtrak 305 NGEC Grant agreement modification covering the period from April 1, 2011 through March 31, 2012 has been signed by both parties.

On September 15, 2011, the Executive Board held a full day in-person meeting in Charlotte, North Carolina.

Key decisions/action items established during this meeting were:

- ***The FRA continues to finalize its position paper on CEM. The paper will include a proposed disclaimer statement. The intent is to have the paper done before the RFI goes out. This will remain an open agenda item until it has been resolved.***
- ***The FRA reported that it continues to finalize year end funding, and will inform the Board within ten days as to whether or not the NGEC will receive additional funding from the FRA to continue its work through 3-31-2013. If “plus” money is provided, the Board will need to move quickly to revise work plans and a budget for the period covering 4-1-2012 through 3-31-2013.***
- ***Alan Ware, Georgia DOT, was named as Executive Board Secretary and Chairman of the Administrative Task Force. Alan fills the vacancies created by the departure of Rod Massman from Missouri State service. Alan resumes his new duties immediately.***

- *The Joint Procurement Task Force (JPTF) continues to make progress – and will remain as an open agenda item for future calls/meetings of the Board so as to provide regular updates on progress being made.*
- *Mario Bergeron will provide a Statement of Work (SOW) for Rob Edgcumbe’s services to DJ Stadtler by COB September 9, 2011. DJ will make arrangements for Rob to meet with Amtrak Lawyers for an “ethics debrief” and will then proceed with taking the approved steps to procure Rob’s services for the 305 Committee.*
- *A Review panel was appointed by the Board to review the Bi-level Change summary Revision A to ensure consistency with the Bi-Level Requirements document. Members named to the Review Panel were: Bill Bronte, Caltrans, Ron Adams, Wisconsin DOT, Eric Curtit, Missouri DOT, Tammy Nicholson, Iowa DOT, and John Tunna, FRA.*
- *Larry Salci, consultant, has been asked to begin work on reviewing the Bi-Level Car change summary – Revision A provided by the Document Control Board. Larry will prepare a report with recommendations to the Review Panel. The Review Panel will make its recommendations to Board members for their consideration on the September 27, 2011 Board conference call.*
- *On September 27, 2011, it is anticipated that the Technical subcommittee will provide a draft Requirements document for DMUs to the Board for its consideration.*
- *The Dual Mode Locomotive Requirements Document remains as an open agenda item to be taken up by the Board once the CEM issue is resolved.*
- *Chairman Bronte will formally request of Chad Edison, FRA and Dale Engelhardt, Amtrak a set of questions for the RFI.*
- *The ADA Working Group (ADA WG) continues its work and will survey wheel chair providers to determine real time needs. The ADA WG will also look at comparing regulatory requirements once its report is complete, and work with FRA on how to best move forward.*
- *The ADA WG will also provide a list of questions for the RFI*
- *The Board will, at some point in the future, begin to look a developing a process to efficiently monitor and track contracts. It may well be an assignment for the Administrative task force.*
- *Kevin Kesler will work with Steve Hewitt to distribute or present a briefing on the results of the FRA’s survey of industry members in regards to Buy America. Questions will also be forthcoming for the RFI concerning Buy America.*
- *The Standardization working group (SWG) will look at options to possibly engage the services of an outside consultant to assist in moving this effort forward without bias.*
- *The Board will take up the issue of the Technical subcommittee’s role in design/design review as the Bi-level and Locomotive procurement processes move forward. This will be an agenda item for September 27, 2011.*
- *In regards to the issue of changing the Diesel-electric Locomotive requirements document to call for a top speed of 110 mph rather than 125 mph as is currently required, the Board, via roll call vote, achieved consensus (unanimous) on a motion that stated:*

The Section 305 Next Generation Equipment Committee (NGEC) will utilize the RFI process to assess the capability of the industry to deliver locomotives in full compliance with spec # ___ and with sustained operating speeds up to 125 mph.”

The Executive Board met again, via conference call on September 27, 2011. Some of the action items from the meeting of September 15, 2011 were carried over and will be addressed on the next call – October 11, 2011.

Key decisions/action items that were addressed during this meeting were:

- **The Executive Board accepted the recommendations of the Review Panel to accept the Bi-Level Changes presented in Revision A. After a roll call vote of the Board was taken, consensus was determined to have been easily achieved with all members present voting in favor.**
- **The Executive Board approved a proposed by-law change presented by the Administrative Task Force. The change was to number 5.2 which states:**

5.2 State Representation on Executive Board

*The States shall determine their representation on the Executive Board based on such factors as geographic diversity, technical expertise, procurement and operational experience, including experience with different types of equipment. States will endeavor to obtain a balance of representation on the Executive Board. Each representative [will] **may** have an alternate person designated to participate in and vote in meetings in the absence of the designated representative.*

It is recommended that state representatives be familiar with the day to day and longer term financial challenges of developing and/or operating a corridor route.

The Board unanimously approved the change denoted in bold – changing the word will to may.

- **Kevin Kesler will provide Steve Hewitt with the Buy America Survey results presentation for distribution to the Board and Technical subcommittee members, following the call today.**
- **The FRA position paper on CEM has been finalized and will be distributed once all required signatures have been collected.**
- **The FRA has provided an additional \$2 million in funding for the NGEC to continue its work. A grant agreement for the additional funding has been signed by DJ Stadtler, Amtrak and sent back to FRA, where it has been or is about to be signed by Administrator Szabo.**
- **The Board has asked the chairs of the Technical and Finance subcommittees and the chair of the Administrative task force to begin developing their revised work plans for consideration at the Board’s October 25, 2011 conference call.**
- **The Board has also asked that the subcommittees and task force prepare a work plan and budget for any potential consultant needs they may have. These work plans are to be considered by the Board on its October 11, 2011 conference call.**
- **Consultant Larry Salci and the SWG have been asked to draft a proposed SOW and cost “guesstimate” for bringing in an independent assessor to advance the standardization effort. The draft SOW and budget will be considered by the Board on October 11, 2011.**

- ***The 305 DMU Requirements document is undergoing a revision by the Technical subcommittee based on feedback received on the initial draft presented on September 22, 2011 to the subcommittee. The intent is to consider the revised version for approval on the October 6, 2011 Technical subcommittee call and, if approved, present it to the Board for its consideration on October 11, 2011.***
- ***DJ Stadtler will present the SOW for Rob Edgcumbe, based on Mario Bergeron's submittal, to the Finance subcommittee and ultimately to the Technical subcommittee and the Board for its approval. It is intended that the contract be completed and Rob Edgcumbe be brought on board by the next Board call. (October 11, 2011) Rob's SOW primarily calls for completion of the various tasks he was working on previously.***

Technical Subcommittee:

From the outset of the S305 NGEC, the Technical subcommittee had been tasked with the most immediate responsibilities. It successfully met the Board's directive of completing the first set of standardized specifications for bi-level cars by July 31, 2010. On August 31, 2010, the Executive Board approved the PRIIA Bi-level specification as developed by the subcommittee.

The subcommittee began its work shortly after the first meeting of the Executive Board and held weekly conference calls over the first few months. The subcommittee is comprised of members from 9 state DOTs, Amtrak, and FRA as its core team; and has enjoyed extensive participation from the rail manufacturing and supply industry as well, with over one hundred (135) participants active in the work of the subcommittee.

The subcommittee held an in-person meeting in Chicago, April 22, 2010, which included the Technical subcommittee core team members and over 100 members of the industry. At this meeting the subcommittee established seven subgroups and assigned a leader to each team and membership that included industry and core team volunteers. The subgroups were: Locomotive, Mechanical, Car Manufacturers, Structural, Interiors, Electrical, and VTI. Each subgroup, with a focus on components related to their topic, met regularly via conference call. Many subgroups met weekly. The Technical subcommittee, since that initial in-person meeting, has continued to meet, as a whole, with all industry participants invited; on a bi weekly basis. The focus of the calls was, and still is, to receive reports from the subgroups on their specification development progress. The subgroups adhered to tight timelines and presented recommendations for standardization specs to the Technical subcommittee core team on June 16, 2011.

On July 1, 2010, the Technical subcommittee approved its voting procedures (attached) without exception or dissent – 9 states members present and FRA and Amtrak - all voted Aye for approval.

On July 22, 2011, the specifications as compiled, with recommended changes, were distributed to all Technical subcommittee members (core team and industry) for review and comment, and a meeting of the whole, was scheduled for Chicago July 29-30, 2010.

The final Bi-level specification review meeting of the subcommittee was held July 29-30 in Chicago. Attending the meeting were approximately 100 members of the subcommittee, including; Amtrak, FRA, the states and industry participants. On July 29, 2010, the Technical subcommittee unanimously approved the Bi-level specification document and submitted it to the S305 NGEC Executive Board for its consideration. The Board provided the document to the Executive Review Panel with instructions to review the specification against the previously approved requirements document, and to file a report and recommendation with the members of the Executive Board by August 20, 2010.

The Review Panel conducted its review and provided a detailed report, with a recommendation for approval, to the Executive Board on August 20, 2010, as scheduled. The Executive Board met, in person,

in Washington, DC on August 31, 2010 and unanimously approved the first set of PRIIA specifications – the PRIIA Bi-level car specification.

After the Executive Board meeting of August 31, 2010 which revised the priority order for the Technical subcommittee to develop its next sets of specifications; and, subsequently, on September 15, 2010, again revised the priority order to the original mandate of single level standalone cars (and simultaneously diesel-electric locomotives) next with trainset specifications to follow; the Technical subcommittee re assessed its timeline schedule for completion. On its regularly scheduled call of September 16, 2010, the Technical subcommittee reviewed the timelines as originally defined. In light of the change in priorities; Chairman Bergeron asked subgroup leaders to review the timeline to determine whether or not they remain achievable. Subgroup leaders were asked to advise the Chair, through the Support Services Manager, Steve Hewitt, of their ability to meet the timelines and/or provide a description of any issues or concerns if they believe they cannot meet the timelines. By September 24, 2010, all five subgroups working on the car specification had reported to Steve Hewitt that they believed they would be able to meet the timeline as defined. Each team leader noted that the schedule is tight, but appears doable.

The subcommittee followed the same general procedures for specification development and approval as used for the Bi-level specification, and the timeline called for a final review meeting of the subcommittee in mid December. Following that meeting at which the subcommittee would vote to approve the diesel-electric locomotive specification and the single level standalone cars specification; the specifications were to be submitted to the Chair of the Executive Board and he would, subsequently, transmit each specification to one of two Review Panels (one for each specification) for review and recommendation. The Review Panels will submit their reports and recommendations to the Board for consideration during the February 15, 2011 NGEN Annual Meeting

The subcommittee held a two day in-person meeting for the purpose of finalizing and approving the single level standalone cars specifications and the diesel-electric locomotive specifications. The meeting(s) took place in Arlington, Virginia on December 15 and 16, 2010. Over 100 members of the subcommittee (Amtrak, states, FRA and industry participants) attended the meetings. In the end, both specifications were approved by the Technical subcommittee with consensus being achieved (unanimously). The final versions were posted on the website and transmitted to the two Review Panels for comparison against the requirements documents. A report and a recommendation on each will be submitted to the Board by February 1, 2011. (See summary of review panel timelines)

With work completed on the single level standalone cars specifications and the diesel-electric locomotive specifications; the subcommittee has begun work on developing the single level trainsets specifications as agreed at the Emergency Executive Board conference call meeting of September 15, 2010. A proposed schedule and timeline for completion of the trainsets specification is currently under review by the subcommittee members. On January 20, 2011, during the Technical subcommittee conference call, the subgroup leaders provided input received from their team members concerning the timelines and schedule. Concerns were expressed by some members that the timeline was too aggressive and that there was a lack of clarity in the definition of trainsets. Concerns with regard to market demand and anticipated procurement volume were also expressed. The subcommittee will address these concerns and a potential extension of the timelines and schedule on the next Technical subcommittee conference call. (February 8, 2011)

A “draft” scope of work, and budget for the Technical subcommittee for the upcoming year – April 1, 2011 through March 31, 2012, was submitted to the Executive Board for its review on January 28, 2011. As noted earlier in this report, the proposed budget and work plan will be reconciled during the week of January 31, 2011, (along with the Finance subcommittee and the Administrative task force and AASHTO support services submittals) and further discussions took place during the February 10, 2011 Executive Board Conference call.

At the February 15, 2011 Annual Meeting of the NGEN, the Executive Board approved the Technical subcommittee’s scope of work/work plan and budget, as presented.

The subcommittee met via conference call on February 24, 2011 and began to implement the standardization process recommendations presented to the Board by Rob Edgcumbe on behalf of the standardization working group; and subsequently approved by the Board as a part of the Technical subcommittee's work plan.

On February 24, 2011, the subcommittee achieved consensus (without objection) and approved the revised Diesel-electric locomotive specification. The specification was then transmitted to Board Chair, Bill Bronte and to the Diesel-electric locomotive review panel for its consideration. The panel will file its report and recommendations with the Executive Board approximately one week to ten days prior to the March 16, 2011 Board meeting. At that meeting it is anticipated that the Board will consider the recommendations of the review panel and vote on approval of the revised specification.

The Technical subcommittee, on February 24, 2011, also approved a revised timeline and schedule for completion of the trainset specification currently under development. The new timeline targets subcommittee approval on or around June 20, 2011.

The subcommittee continues to progress the trainset specification development and has set the final specification review and subcommittee approval meeting for June 22, 2011 in Chicago, Illinois. The meeting will be held at the Holiday Inn Market Place.

The approved Locomotive Technology Task Force has developed a work plan/statement of work to progress the tasks defined at the March 16, 2011 Board meeting, and a call for volunteers will be sent out prior to the next Technical subcommittee conference call (May 5, 2011). Dave Warner, Amtrak is coordinating the task force.

The Document Management Control Pilot is underway. Bi-weekly progress reports will continue to take place on the Technical subcommittee conference calls.

The Standardization process approved by the Board on February 15, 2011, is moving forward with the development of a work plan for implementation. A status update was provided on the May 19, 2011 subcommittee conference call. Michael Burshtin, Amtrak has been named as the Standardization coordinator.

The subcommittee continues to meet via bi-weekly conference call. In May the subcommittee met on May 5, 2011 and May 19, 2011, and in June it met on June 2, 2011, June 16, 2011. The subcommittee also met in-person, in Chicago, on June 22, 2011. In July, the subcommittee met on July 14 and July 28, 2011. In August it met on August 11 and August 25, 2011. ***In September it met on September 8 and 22, 2011.***

On the June 2, 2011 and June 16, 2011 conference calls, the subcommittee finalized the plans for the June 22, 2011 in-person meeting. The primary purpose of the meeting was to do a final review of the Trainset specification and to vote on its approval.

In June, 2011, the subcommittee also continued to develop a Dual Mode Locomotive Requirements document. The intent is to consider approval of the document at the next conference call meeting of the subcommittee following the June 22, 2011 meeting. (The next call is scheduled for July 14, 2011)

The Locomotive Technology Task Force has been constituted and meeting regularly.

The Document Control Management Pilot is underway and making progress. The Document Control team is expected to provide a final report in September, 2011.

At the June 22, 2011 meeting of the Technical subcommittee, the Trainset specification was approved by the subcommittee. As noted by Technical Subcommittee Chairman Mario Bergeron in his report to the Executive Board on June 23, 2011, "This specification was different from the first three specs" that the subcommittee had developed and approved, in that it was "the first one without unanimous approval".

The subcommittee did approve the Trainset specification, but had to go to a block vote, as called for in the voting procedures when the Chair determines that consensus has not been achieved.

The FRA was the dissenting vote, not because it disapproved of the Trainset specification, as a whole, but because of the rejection of their request that the language pertaining to Crash Energy Management (CEM) be changed.

At the June 22, 2011 Technical subcommittee meeting, Kevin Kesler had, on behalf of FRA, stated, "The FRA desires that, where present in the trainset specification, the requirement for crash energy management (CEM) feature be denoted as optional". Further, Kevin proposed that the language in the specification be revised to state, "The design of the trainset must be compliant with FRA's regulations or consistent with Engineering Task Force Guidance, (ETF) and may, as an option, incorporate Crash Energy Management (CEM) features."

Mr. Bergeron pointed out that the current language calling for CEM is contained in the previous specifications adopted by the Executive Board, and was contained in the Board's Requirements document for the Trainset specification.

Mr. Bergeron explained that we (the subcommittee) "take our mandates from the Executive Board through a Requirements document approved by the Board." He elaborated that the "CEM modification would have moved us from the Requirements document. The Technical subcommittee could not send to the Executive Board "a specification that is not aligned with its (the Board's) Requirements document."

Ultimately, the Trainset specification was approved by the subcommittee, and the CEM issue has been" brought to the Board for progression". All of the Specifications and Requirement documents include CEM. We can't let CEM "get in the way of procurements" – we are, therefore, "seeking the Board's input on this issue."

Kevin Kesler noted that the FRA has agreed to Mario's request, as Chair of the Technical subcommittee, to submit "a written explanation of our dissent and to do it quickly – we do not want to hold up procurements."

Also, at the Board meeting of June 23, 2011, John Tunna, FRA, commented "To clarify our position, FRA will approve equipment that meets CFR requirements or the Engineering Task Force Tier 1 waiver guidance for alternatively designed equipment. Whether or not to go above the minimum is a matter for the States to decide, and for that reason we believe it should be an option in the specification."

Kevin Kesler noted that, at the subcommittee meeting, some states expressed concern that states," if given the option will not put in CEM, due to costs."

Various other comments had been made at the subcommittee meeting, including liability concerns. The intent is that the FRA's position paper will address both technical and legal issues related to this requested change, and the issue will be a standing agenda item on future Board meetings to keep the Board apprised of progress being made on the position paper.

As for the Trainset specification, it has been submitted to Executive Board Chairman Bill Bronte and provided to the Trainset Review Panel. The Panel will provide a report with recommendations to the Executive Board two weeks prior to a scheduled August 2, 2011 webinar meeting of the Executive Board during which the Trainset specification will be considered for adoption. If it is adopted, it will be the fourth PRIIA specification to have been developed and approved by the S305 NGEN in approximately 18 months – a significant accomplishment!

On July 14, 2011, the subcommittee met via conference call. During this call, the subcommittee, via block vote, with FRA dissenting, approved the Dual Mode (DC) Locomotive Requirements Document version 1.3 as presented. The dissenting vote by FRA was, once again, in regards to the Requirements Document including CEM language consistent with the previously approved Requirements Documents and PRIIA adopted specifications. It was agreed that, in transmitting the Dual Mode (DC) Locomotive

Requirements Document to the Board for its consideration; Steve Hewitt would note the CEM issue as the cause of the FRA dissent; and ask that the Board not consider approval of the Requirements Document until the FRA had submitted its position paper, the Board had reviewed it, and a final decision on CEM has been made.

It was agreed that the Locomotive Technology Task Force will provide a summary report on the industry search on technology to the subcommittee by the end of August. The LTTF also intends to issue a draft report in regards to the issue of 110-125 mph by late August.

Once the LTTF has completed its work, and depending on the subcommittee's capacity, a Car Technology Task Force will be considered for establishment within the subcommittee.

The subcommittee, on July 14, 2011, established an ADA Technical Working Group to be led by Melissa Shurland, FRA. Steve Hewitt will send out a solicitation for volunteers to express their interest in participating on this working group. (As of July 25, approximately 18 volunteers have come forward, and the first conference call is scheduled for August 3, 2011)

On July 28, 2011, the subcommittee met, via conference call. During this call, the subcommittee received an update on the Document Control Pilot (Bi-Level spec) which is progressing quite well with 55 Document Control Requests (DCRs) submitted and 38 adjudicated thus far. Revision A is expected to be completed sometime in September, 2011 and submitted to the subcommittee for review and on to the Board for approval.

The LTTF continues to move forward on its two assigned tasks and on target as described on July 14th.

The ADA Working Group will hold its "kick off" conference call on August 3, 2011. Steve Hewitt has asked AASHTO to add a page to the website dedicated to the work of this group.

Larry Salci, consultant to the Trainset Review Panel provided an overview of the activities of the Review Panel, and gave a summary of its report to the Executive Board. (see review panel section of this report) The panel is recommending that the Board approve the Trainset specification, as submitted, but with a note in regard to resolving the CEM issue raised by the FRA.

On August 11, 2011 the subcommittee met, via conference call, with Dale Engelhardt (subcommittee Vice Chair) facilitating the meeting.

Dale Engelhardt reported that the Trainset specification was adopted by the Executive Board on August 2, 2011 during its webinar/conference call meeting. Larry Salci, consultant, provided the Board with an overview of the Review Panel report and its recommendation for approval. Due to their ongoing concerns over the CEM language in the specification, the FRA abstained from voting for adoption of the Trainset specification. All other Board members voted in favor.

Kevin Kesler summarized, for the Technical subcommittee, the reason for the abstention. The FRA is concerned that with the CEM language in the specification, there are, essentially, two definitions in two places. (The Engineering Task Force, working with RSAC, and the NGEC) "The concern is that we are building two tracks at the same time". FRA would prefer that the NGEC "adopt what's been done by RSAC".

Steve Hewitt reminded Kevin that there was also discussion at the Board meeting of the development of a disclaimer statement by the FRA, as a part of the CEM position paper they are preparing. The issue is that if the FRA votes to approve a specification with language (such as the CEM requirement), when regulations have not yet been written, then the NGEC, could be perceived as modifying the current FRA regulations. A member of the Board recommended that a resolution to the problem may be to propose a disclaimer statement that clarifies that there is no intent to modify regulations. FRA had agreed to include a proposed disclaimer statement in its position paper for Board consideration as a possible remedy for this issue.

Other key actions/decisions coming out of this meeting included:

- The DMU specification remained an open issue – industry representatives were asked to contact Dave Warner and Steve Hewitt, to express their interest in assisting in the development of a 305 DMU specification. The Executive Board ultimately will determine if a DMU specification is to be developed and, if so, will direct the Technical subcommittee to begin the work.
- The Standardization working group is working towards a goal of having standardization candidates for its pilot program by the end of August, 2011.
- The Locomotive Technology Task Force (LTTTF) will provide its two assigned reports to Steve Hewitt for distribution. The reports will be posted once a disclaimer statement has been developed by the Administrative task Force.
- Dale asked the LTTTF to look at fuel consumption issues in relation to 110-125 mph speeds and Tier III and IV.
- The ADA Working group continues to make progress.
- The Buy America survey has been completed – follow up calls are taking place between survey respondents and the FRA and a briefing of the results will be presented to the USDOT Secretary and the FRA Administrator. Once finalized and approved the survey results report will be presented to the Technical subcommittee and the Executive Board in a webinar meeting. Kevin Kesler will work with Steve Hewitt on making those arrangements.

On August 25, 2011, the subcommittee held its bi-weekly conference call with the following decisions/action items resulting:

- The Standardization Working Group will have 2 to 3 candidate items for Board consideration by mid-September. The candidates will be brought to the subcommittee prior to going to the Board.
- New Technical subcommittee members will be solicited to become involved in the various subgroups that have been established by the subcommittee. The subgroups are: Mechanical, Electrical, VTI, Structural, Interiors and Locomotive.
- The subcommittee approved the Diesel-electric locomotive requirements document to reflect a top speed of 110 mph. The revised document has been sent to the Executive Board. (As FRA's Technical subcommittee representative was not present on this call- he will be given an opportunity to weigh in prior to a Board vote).
- Dale Engelhardt will begin developing a DMU Requirements document using input from a document submitted by US railcar, as well as input from other manufacturers and the Mechanical sub group. The results of the two surveys of interest in having the NGEC develop a DMU specification were: 11 states expressed interest in a DMU spec and 9 members of the industry volunteered to assist in the effort. Pending final approval by the Executive Board (decision – August 30th) the subcommittee will move forward in anticipation that it will be directed to develop a DMU specification. (as reported under the Executive Board section of this activities report – the Board agreed on August 30, 2011 that the NGEC will develop a 305 DMU specification).

Dale will present a draft DMU requirements document to the Technical subcommittee on its September 22, 2011 conference call.

The Document Control Task Force has completed the “change summary” and the subcommittee intends to vote on its approval on September 8, 2011. If approved, it will go to the Executive Board for consideration.

Key decisions and action items resulting from the September calls of the Technical subcommittee were:

- ***The Standardization Working Group (SWG) continues to progress the pilot process. On its next call, the working group will do an assessment of the process – look at lessons learned, and make suggestions for improving the process going forward. A presentation on the activities and issues related to the SWG will be on the agenda for the Executive Board call on September 27, 2011.***
- ***As the SWG develops lists of standardization components – the DCR process will be used to handle the administrative aspects of Standardization.***
- ***The Bi-level change summary Revision A was approved by the subcommittee on September, 2011, and submitted to the Executive Board. The Board, on September 15, 2011, formed a Review Panel to review Revision A against the Bi-level Requirements document and the Board, on September 27, 2011 accepted the Review Panel’s recommendation that Revision A be accepted.***
- ***It was agreed that the deadline for submissions for DCRs for inclusion in the Bi-level cars Revision B is October 14, 2011.***
- ***In regards to the DMU requirements document, Dale Engelhardt will take the feedback received, in reference to the draft requirements document presented to the subcommittee on September 22, 2011, and will prepare a revised version. Version 2 will be presented to the subcommittee on October 6, 2011 (its next call) with the intent to vote it out of the subcommittee. If it is approved, it will be sent to the Executive Board for its consideration on its October 11, 2011 call.***
- ***FRA has sent out its Buy America survey results presentation. Steve Hewitt distributed it to the subcommittee members and the Executive Board. Subcommittee chair, Mario Bergeron has asked that it be included as an agenda item on October 6, 2011.***
- ***The ADA WG continues its efforts and will be conducting a survey of wheel chair providers to get a better understanding of “real world” needs.***
- ***As part of the Systems Engineering process, clones have been created of existing Amtrak specifications, and assigning them PRIIA numbers. Disclaimers are being placed on both the Amtrak and PRIIA versions that mention their “parentage”, and requesting Amtrak/PRIIA contact each other if a change is made to one. For drawings, a disclaimer is being placed on the PRIIA clone to not change the drawing without getting Amtrak’s approval. Dave Warner continues to lead this effort.***

Finance Subcommittee:

The Finance subcommittee is comprised of members of the Executive Board, as well as state financial officers and Amtrak and FRA members and observers. The subcommittee continues to reach out, through AASHTO, to add financial officers from additional state DOTs.

The Finance subcommittee has been meeting on a regular basis (every other week) via conference call, and continues to look at financing/funding and procurement strategies for fleet acquisition, as well as institutional and organizational structure issues. The work of the Finance subcommittee, at this point, is to evaluate, strategize and identify institutional opportunities (and structure) for successful implementation of procurement strategies. The subcommittee is working closely with the Administrative task force in looking at, and evaluating, the need for outside legal counsel; as well as considering what type of entity/corporation, if any, will need to be established to effectively carry out the work of the S 305 NGEC.

The subcommittee is also looking into funding and financing opportunities such as; RRIF, P3s, joint applications for future HSIPR grants – collaborative/supportive efforts among Amtrak and the states.

The subcommittee has focused on linkages between the work of this group and that of the Administrative task force. Much of the work of the subcommittee overlaps with that of the Administrative task force, thus the two groups have regularly interacted and worked together on key areas of commonality.

The subcommittee worked with the task force to develop a procurements approval process for the NGEC.

At the meeting of the Executive Board on August 31, 2010, the task force presented a draft approval process matrix, initially drafted by the Administrative task force, and reviewed and modified by the Finance subcommittee. After Board members provided input and guidance; it was agreed that the subcommittee and task force should form a subset of the two groups to work together to revise and refine the approval process.

On the September 8, 2010 conference call of the subcommittee, Chairman DJ Stadtler asked for volunteers to serve on the joint sub set/working group to develop the approval process.

DJ Stadtler, Leo Penne, Ken Uznanski and David Ewing agreed to participate in the joint effort. Steve Hewitt agreed to provide support services.

The joint subgroup met on a conference call on October 14, 2010, and discussed, at length, the draft matrix as presented to the Executive Board on August 31, 2010. It was agreed that there remained more questions than answers and it was agreed that a small working group comprised of members of both the subcommittee and the task force would meet with AASHTO program and accounting staff, and with members of Amtrak's accounting department in November, 2010, to receive input on some of the issues raised on the conference call.

On November 23, 2010, the subgroup met in Washington, DC and agreed on key points for revising and refining the original matrix. Caitlin Hughes Rayman was tasked with drafting a revised matrix based on those discussions. The revised matrix was distributed to the Finance subcommittee and the Administrative task force for consideration.

On January 26, 2011, the Finance subcommittee approved the revised matrix, as approved by the Administrative task force on January 21, 2011. The Executive Board subsequently approved the matrix, with minor modifications during its January 28, 2011 conference call.

On October 20, 2010, the Finance subcommittee convened a joint conference call with the members of the Administrative task force. The primary purpose of this conference call was to have members of both groups engage with Amtrak's consultants – Steve Patterson and George Howell, of Hunton & Williams, on the issues related to possible NGEC incorporation. Mr. Patterson and Mr. Howell gave a power point presentation of preliminary considerations that the NGEC should look into when considering forming a corporation or other entity. The presentation described options, types of entities to be considered, tax implications, etc. The members of the subcommittee and task force interacted with the presenters and, it was agreed that state members of the Executive Board of the NGEC need to determine what their need and objectives for the NGEC are in order to even consider what, if any, entity should be established.

It was agreed that members of the subcommittee and task force would prepare a list of needs/objectives for the NGEC, and submit it to Support Services Manager, Steve Hewitt, by COB on October 29, 2010. Along with the list of needs, the members were asked to provide feedback – comments, suggested additions – on the presentation in order to assist the Hunton & Williams team in refining it for a possible Executive Board presentation in February at the next in person meeting of the Board.

The Finance subcommittee held a second joint conference call with the Administrative task force on November 3, 2010, at which point the comments, feedback and needs lists were discussed and next steps for moving towards a presentation to the Board were agreed to.

DJ Stadtler, Chair of the subcommittee, presented an overview of the joint efforts in regards to the issue of creating an entity to the Executive Board during its November 18, 2010 webinar meeting. The Board agreed to DJ's request (on behalf of the two groups) to develop a subgroup with the task of polling states

in regards to their needs/objectives for the NGEN. As described in the Action items section of this report, Rod Massman and David Ewing volunteered to work with Steve Hewitt to conduct a poll of the 11 NGEN Board Member states, and utilized 3 questions developed by Rob Edgcumbe as the basis for the poll. It was agreed that this information is essential in determining what type of entity, if any, should be established going forward.

Subsequently, on January, 19, 2011, Rob Edgcumbe, Nancy Greene, David Ewing, Rod Massman and Ken Uznanski met to review and assess the responses received, and it was agreed that Rob Edgcumbe would develop a paper on "Options for an NGEN Entity" and provide it to the subcommittee and task force. This paper was developed, and further discussions will take place at the Annual Meeting of the Executive Board on February 15, 2011. Rob Edgcumbe will give a presentation to the Board on the subject and the status of the states poll and surveys with regards to incorporation.

Note: By January 31, 2011, all 11 NGEN Board member states had submitted responses to the poll.

On its January 5th conference call, the subcommittee agreed to explore the possibility of developing a "101 Syllabus on Rolling Stock" to assist or educate states with minimal experience in procuring equipment. A draft outline of a syllabus was prepared by Rob Edgcumbe for consideration and further development by the Finance subcommittee members and has also been reviewed by the Administrative task force.

After considerable discussion and input from both groups, the Finance subcommittee included the development of a plan to conduct a series of "Rolling Stock 101" webinars as a part of its proposed work plan for April 1, 2011 through March 31, 2012. AASHTO agreed to prepare a cost estimate and general plan for conducting the webinars.

The Finance subcommittee met again, via conference call, on February 23, 2011 and discussed next steps for implementing its work plan, as approved by the Executive Board on February 15, 2011. A working group was established to begin to draft a scope of work and budget for developing an options paper on issues related to funding and structure of the NGEN. The subcommittee presented a draft scope of work to the Executive board on its March 29, 2011 conference call and will present a revised scope of work and budget for Board consideration on April 12, 2011.

(Note, the Finance subcommittee also met on March 9, 2011, March 23, 2011 and April 6, 2011)

The Rolling Stock 101 webinar series was accepted as part of the Finance subcommittee work plan, as well as being a part of the Administrative task force's work plan and budget. A draft scope of work and budget, along with an outline time schedule was developed by the working group comprised of members of the task force and the Finance subcommittee. On April 6, 2011, the draft work plan and budget was approved by the subcommittee and was to be presented to the Board for its consideration on April 12, 2011.

On April 12, 2011 the Executive Board approved the revised Scope of Work and Budget for the Structure and Finance Options Working Group. (SFWG)

The Rolling Stock 101 webinar series draft scope of work and budget was also presented to the Board on April 12, 2011. Additional clarification of its scope and purpose was called for by FRA, and subsequently, the Board asked for a small "working group" to meet separately to discuss further.

Due to the Easter and Passover seasons, the April 20, 2011 conference call of the subcommittee was cancelled. The next call was scheduled for May 4, 2011.

On May 4, 2011, the subcommittee met via conference call. (May 18th call was postponed due to unavailability of the Chair and Vice Chair) The subcommittee continues to advance the efforts of the Finance and Structure Options Working Group (SFWG). Regular updates are to be provided to the subcommittee and to the Board on its conference calls, as this effort progresses. The current status is

that the SFWG has formed three subgroups: Structure – led by Nancy Greene, Amtrak; Finance, led by Reuben Vabner, Amtrak; and Management, led by Larry Salci, Consultant to the Committee.

In June, 2011, the Finance subcommittee met via conference on June 15 and June 29, 2011.

In June, the primary focus of the Finance subcommittee was to progress the work of the SFWG. On June 29, 2011, the working group reported that it had finalized its first draft report and would be providing it to Steve Hewitt for distribution to the subcommittee members for review and comment. The report will be distributed to subcommittee members by July 5, 2011. The next steps will be to receive subcommittee approval and send the report on to the Executive Board for its input and eventual approval.

As noted previously, Finance subcommittee Chairman DJ Stadtler has developed a draft letter to be submitted from the Board to the Appropriations Committees in Congress requesting additional funding be provided for the S305 NGEC in FY2012. On the June 29, 2011 Finance subcommittee call, members agreed with the strategy and began to develop general high level goals and funding requirements for inclusion in the proposed letter. Mr. Stadtler will finalize the goals and funding requirements based on subcommittee member input and distribute for review prior to submitting it to the Board.

In July, 2011, the Finance subcommittee met on July 13 and July 27, 2011.

All high level goals and funding requirements have been submitted by the subcommittees, the Administrative Task Force and AASHTO (for support services) The draft letter to the Appropriations Committees has not yet been finalized. On the July 27, 2011 Finance subcommittee conference call, DJ reported that he will complete the draft and distribute it to the Board (and Finance subcommittee members) in advance of the Board's August 2, 2011 webinar meeting.

The SFWG initial report in regards to their efforts to look at structure, finance and management of the S305 NGEC moving forward has been distributed to the subcommittee members. Although some comments have been received; the subcommittee has not gotten input from the FRA representatives on the subcommittee. This is a concern because FRA staff attending the June 23, 2011 Executive Board meeting heard a preliminary summary of the SFWG report and appeared to be surprised by the direction the working group was taking in regards to structure and management.

On July 27, 2011, the subcommittee agreed that the comments received to date should be incorporated into the draft document and it should be re-circulated to all subcommittee members. Since a number of FRA representatives are on the recipients list, it is hoped that they will provide input to the document prior to it being brought forward for consideration by the Executive Board. It is now the intent of the subcommittee to have the SFWG report as an agenda item for the August 16, 2011 Board conference call.

During the July 27, 2011 call, Bill Bronte provided a report on the activities to date of the Joint Procurement Task Force. The Task Force has held a number of conference calls and met in-person in Chicago July 19-20, 2011.

Bill Bronte reported that the meetings were very productive. California and Illinois DOT (and the other states involved) agreed that a cooperative procurement agreement is the appropriate document to proceed with. California will be the lead for the procurement. There will be a draft cooperative agreement available to those parties involved by September 1, 2011.

It was also agreed that IDOT will do an MOU with the Mid-west states to define the role of each state. This will be a post obligation deliverable.

They agreed that there will be an RFI – and it will be out by late August – early September, 2011. This should give the industry a chance to have input in a variety of areas such as; Buy America; bonding; warranty; standardization; and intellectual property.

There will be an RFP process which will focus on qualifications – with an extensive series of items requiring a bidder to demonstrate the ability to deliver on time and on budget.

Mr. Bronte also informed the subcommittee members that the second round of funding for California was obligated the day before yesterday (\$68 million). The FRA anticipates a press release will be forthcoming soon and it is likely it will mention the mid-west states as well and the fact that a joint procurement will result in approximately 150 bi-level cars of different types being ordered.

Because most of (about 80%) the funding is from ARRA, Bill raised a concern in regards to their ability to meet the delivery and expenditure requirements by the September 30, 2017 deadline.

Rob Edgcumbe agreed that obligating and spending the money in accordance with the deadline was a concern, but emphasized that the “locomotive acquisition will be problematic”.

Bill Bronte agreed, and said that IDOT has been in touch with California on this issue. Staffing is a problem.

DJ Stadtler noted that Amtrak would try to assist where they can, but they are not likely to be a part of the procurement as funding is an issue. He will have a discussion with Mario Bergeron in regards to offering Amtrak staffing assistance, but noted that Amtrak also has “resource issues”.

On another matter, Ken Uznanski reported that the Amtrak grants people still had not received proposed language changes from FRA to the current Grant Agreement modification. The status of the modification will be an agenda item for the Board on August 2, 2011.

The Finance subcommittee met once in August (August 24, 2011) via conference call. The key issues discussed included:

- The appropriations request letter has been submitted to the Executive Board for review and sign off. (as reported in the Executive Board section of this report – the Board approved the letter – with 9 signatures and DJ Stadtler will send it to the Hill on August 31, 2011).
- Rob Edgcumbe, Amtrak consultant, is limited to Amtrak’s “two year rule” and cannot have his contract renewed with Amtrak. Rob’s work has been invaluable to the Committee, and it is intended that he will be contracted by the 305 NGEC to continue his work for the Committee (primarily the Technical subcommittee). It is hoped that this situation will be resolved shortly.
- The work of the SFWG, led by Rob Edgcumbe, is pending resolution of Rob’s contract. The SFWG had provided a report and had received comments from the FRA, which will be addressed as the SFWG regroup.
- The Grant Agreement modification was approved and signed by Amtrak and FRA. It continues the current NGEC funding through March 31, 2012. It is the hope of the Committee that additional funding will be granted to the NGEC in the FY 2012 Appropriations Act.

The Finance subcommittee met once in September (on the 7th) of 2011. The key items /actions coming out of that call were:

- ***The Appropriation’s request letter has been sent to the Appropriations Committees (House and Senate). Copies of the letter have been sent to all NGEC Board members.***
- ***On the September 7, 2011 call of the subcommittee, there still had not been confirmation on whether or not the FRA was going to provide additional funding to the NGEC to continue its work through 2012 and into 2013. As described in the Executive Board section of this report, the FRA did, ultimately provide an additional \$2 million to the NGEC. DJ Stadtler has now signed the grant agreement providing the additional funds and, it is believed that FRA Administrator Joe Szabo has also signed on behalf of FRA.***

- ***The Finance subcommittee will develop a proposed work plan and budget for the period from April 1, 2012 through March-31-2013; and will, as requested by the Executive Board, take a specific look at the need for outside consultants to assist in the work of the subcommittee, especially in regards to the SFWG activities.***
- ***On the next call of the Finance subcommittee (October 5, 2011) DJ Stadtler will present a proposed Statement of Work for contracting with Rob Edgcumbe.***

Administrative task force:

The Administrative task force had been holding regular conference call meetings every 3rd Friday @ 11:00am EST. (In 2011 the task force began holding bi-weekly calls) The initial task force work plan called for the it to oversee budget issues; manage the operation of the S305 NGEC, determine protocols that may come up; define what is presented to congress; serve as the keeper of the By-Laws; serve as the policy development arm of the Executive Board; and the keeper of open records and relevant policies; while also performing additional tasks as defined by the task force and/or requested by the Board or its subcommittees.

The Administrative task force has been working closely with the subcommittees, especially the Finance subcommittee, to coordinate efforts in examining issues such as obtaining outside counsel and/or establishing a corporate structure.

The task force had approved a series of technical amendments to the By-laws and an amendment to allow the Executive Board to vote by e-mail. All but one were approved unanimously at the August 31, 2010 meeting of the Board (one item was withdrawn from consideration after discussion at the Board meeting)

The task force also presented a proposed policy statement in regards to electronic voting for Board consideration and it, too, was approved unanimously (with a minor word change).

The task force presented its draft approval process matrix to the Board and, as described above in the Finance subcommittee section of this report, the Board provided input and asked that the Finance subcommittee and the task force form a joint subset to work together to refine and revise the initial draft matrix and an approval policy.

On its September 10, 2010 conference call, the Task Force added Rod Massman and Caitlin Hughes Rayman as members of the joint subset and Nancy Greene agreed to participate as observer and monitor the activities of the group. Marvin Winston, FRA, agreed to check into who the appropriate FRA representative should be to participate in this effort.

Other key agenda items/activities of the task force discussed over the first fifteen months of the NGEC's existence, include; issues related to the possible Incorporation of the S305 NGEC; the development of a "questions" document related to issues to be resolved, if, or when considering incorporation; and developing a contact list for attorneys that deal with states intercity passenger rail programs; developing a list of models of multi-state compacts; and gathering examples of liability statements used by other organizations, states, Amtrak, AASHTO, etc; and using this research to develop a liability statement for consideration by the task force and, subsequently, by the Executive Board.

Thus far the models of multi-state compacts that the Task Force has compiled includes; the Georgia-Tennessee-Kentucky-Indiana Rail compact; North Carolina-Virginia compact; WMATA and enabling federal legislation for compacts; and the Midwest Interstate Passenger Rail Compact.

The task force developed a questionnaire/survey to look into the ability of states to participate in a legally cognizable entity in the context of Section 305 (c) of the Passenger Rail Investment and Improvement Act (PRIIA). This questionnaire/survey was distributed to states at the September Annual Meeting of the AASHTO Standing Committee on Rail Transportation (SCORT) and states have been asked to submit the completed document to Steve Hewitt.

The task force also developed, and presented to the Board, a draft liability statement for discussion purposes. It was agreed at the Board meeting that this item should be set aside until such time as the Board has incorporated or become an entity or has begun to procure. At that time, the Board will include the development of a liability statement as part of the work of legal counsel if and when counsel is procured.

In January, 2011, the task force approved a draft liability statement prepared by Missouri DOT. This statement notes that Board members will be protected through the liability policies of the organizations or agencies in which they are employed. The draft statement will be presented for consideration at the February 15, 2011 meeting of the Executive Board.

In regards to issues pertaining to corporations/incorporating – the Task Force held a special conference call on September 28, 2010 to have a focused discussion on the issue.

The questionnaire/survey responses received as of January 31, 2011 came from 11 states (of which 8 were NGEN Board member states). Copies of the completed surveys have been distributed to Administrative task force Finance subcommittee members. The survey responses were also provided to Steve Patterson and George Howell (Hunton & Williams) in advance of their presentation on the call of October 20th.

As noted in the Finance subcommittee section of this report, at the Executive Board webinar meeting of November 18, 2010, it had been agreed that the subcommittee and the Administrative task force would form a subgroup to take on the task of polling the states in regards to their needs/objectives for the S305 NGEN.

The Administrative task force joined the Finance subcommittee on its conference call on October 20, 2010 and interacted with the presenters on the issue of incorporation.

The Administrative task force once again joined the Finance subcommittee on its November 3, 2010 conference call. The primary purpose was to review the lists and comments submitted following the October 20, 2010 joint call; and to determine next steps in progressing towards a presentation on the topic to the full Executive Board on February 15, 2011. No states had submitted their lists by the time the November 3, 2010 call had taken place, although AASHTO consultant David Ewing did submit a list for consideration in regards to a possible structure and purpose for the S305 NGEN as an entity.

At the Executive Board webinar meeting of November 18, 2010, it was agreed that the Finance subcommittee and the Administrative task force would form a subgroup to take on the task of polling the states in regards to their needs/objectives for the S305 NGEN. It was agreed that this step was necessary before any determination could be made as to what kind of, if any, entity is needed moving forward.

As noted in the Finance subcommittee update, a poll of the states has taken place, in which the NGEN Board member states were asked to respond to questions ascertaining their needs/objectives for the NGEN. Poll responses were received from all 11 NGEN Board member states by January 31, 2011, and Rob Edgcumbe will give report on the poll/surveys at the February 15, 2011 Annual Meeting.

On November 23, 2010, a joint Finance subcommittee and Administrative task force subgroup met in Washington, DC, and agreed on key points for revising and refining the procurements approval process matrix. Caitlin Hughes Rayman was then tasked with drafting a revised matrix based on those discussions. On January 21, 2011, the Administrative task force approved the revised matrix and sent it to the Finance subcommittee for its review and approval. On January 26, 2011, the Finance subcommittee approved the matrix as well. On January 28, 2011, the Executive Board adopted the matrix with minor modifications.

The Administrative Task Force also began to look at possible next steps in specification development for the NGEN. At the request of the task force, Rob Edgcumbe drafted a “white paper” - “Next Steps for NGEN Specification Development”. The task force reviewed the document, and, subsequently, the

Technical subcommittee circulated among its members for review and comment. As part of the Technical subcommittee's report to the Executive Board on February 15, 2011, Rob Edgcumbe will give a presentation on this topic.

On its' January 7, 2011 conference call, the task force asked Rob Edgcumbe to prepare a statement describing where things currently stand in regards to intellectual property and change control. The statement was prepared; it was discussed on the next task force call, January 14, 2011, and is expected to be presented to the Board on February 15, 2011.

Administrative task force Chair, Rod Massman, prepared a By-laws amendment, which was approved by the task force on January 7, 2011. The proposed amendment will allow for future By-law changes/amendments to be approved by the Executive Board at meetings of the Board held throughout the year; rather than, as currently written, only at the Annual Meeting. Any such amendment will need to be distributed to Board members 30 days prior to the Board meeting at which the amendment will be considered. This specific By-law change was sent to Board members on January 11, 2011.

The issue of indemnification of Executive Board members has been ongoing. On January 14, 2011, Rod Massman presented a sample liability policy statement to serve as a temporary protection while the Board is determining its possible structure as a corporation or other type of entity. The temporary policy is predicated upon Board members being currently covered by their own organization's indemnification policies. Amtrak legal staff reviewed the draft statement and found it to be fine. Rod will present the proposed statement to the Board on February 15, 2011.

On the January 28, 2011 Executive Board conference call, Rod Massman, on behalf of the task force, presented a work plan and budget for the 12 month period from April 1, 2011 through March 31, 2012. As previously noted, Ken Uznanski worked with all subcommittee and task force chairs, as well as AASHTO, to reconcile the proposed work plans and budgets; and presented a summary to the chairs and Board members on Wednesday February 2, 2011.

At the February 15, 2011 meeting of the Executive Board, the proposed By-law amendments were accepted; the work plan and budget for the task force for April 1, 2011 through March 31, 2012 was approved; the indemnification statement was accepted, as proposed; and the Rolling Stock 101 webinar series (contained in both the Finance subcommittee's work plan and the task force's budget) was approved as an effort to be taken up by the NGEN.

On February 25, 2011, the task force met, via conference call, and began to address the implementation of its approved work plan and budget.

A task force comprised of Al Ware, Georgia DOT; Rob Edgcumbe, Amtrak; David Ewing, AASHTO consultant; Leo Penne, AASHTO; and Shayne Gill, AASHTO, has begun to develop a plan to conduct the Rolling Stock 101 webinar series. Rob Edgcumbe and David Ewing will prepare an outline for task force consideration on its next call scheduled for March 11, 2011. It is intended that the Rolling Stock 101 webinar series will be an NGEN effort, with input from the Board, both subcommittees, the Administrative task force and AASHTO, rather than housing it in either of the subcommittees or the task force.

At the February 15, 2011 Board Meeting, the issue of intellectual property was discussed and determined to be an open item which needed further discussion. The Board tasked the Finance subcommittee and the Administrative task force with working together to develop recommendations for future consideration by the Board.

At the March 16, 2011 meeting of the Executive Board, the Administrative task force proposed a Disclaimer statement for Board consideration. The Disclaimer was approved unanimously by the Board and will be included with all PRIIA specifications on the inside cover page. It will also be placed on the AASHTO website as a link that will appear when a party is accessing any of the PRIIA approved specifications.

The issue of intellectual property remains an open item. Much of its resolution will depend upon the establishment of the NGEC as an entity. (If and when that occurs)

The task force met via conference call on April 8, 2011. It was agreed that, while the intellectual property issue remains an open item, one area has been addressed – that of issuing a disclaimer statement. The Board approved disclaimer statement was to be added to all PRIIA specification documents and a link would be established on the AASHTO website. The disclaimer will be placed inside the cover page of the specifications. The process of revising the specifications to add the disclaimer is likely part of the document control process currently underway as a pilot process.

Further discussion on intellectual property resulted in the general opinion that the specifications should not have a lot of restrictions on their use. The intent is that the specifications be widely used by the industry.

It was agreed that, consultant Larry Salci, should be contacted to discuss the issue further, as he initially raised it as a major issue at the last meeting of the Executive Board. (March 16, 2011)

The April 22, 2011 task force call was cancelled due to observance of Good Friday. The next call is scheduled for May 6, 2011.

In May, 2011, the Administrative Task Force met on May 6, 2011 and May 20, 2011.

The task force continues to monitor the progress of the Railroading 101 Webinar Series Working Group. Rob Edgcumbe reported that he had sent out a draft of the equipment module to working group members for their feedback/input. To date, he has heard from Al Ware and Shayne Gill. Once other members of the core working group have submitted their comments, he will circulate it more widely for comment. In general, Rob summed up the activity as, “it is moving, but slowly.”

It was agreed that the issue of intellectual property (an open action item) will be addressed through the Finance subcommittee’s FSWG analysis, rather than as an action item of the Administrative Task Force.

Task force Chair, Rod Massman, raised the need for a by-law change to No. 5.2-State Representation on Executive Board. Rod pointed out that the last sentence of paragraph 1 states that each representative will have an alternate person designated to participate in and vote in meetings in the absence of the designated representative.

The concern expressed by Rod was that none of the states has actually designated an alternative representative. Many states do not have enough staff available to even name an alternate representative.

After a fair amount of discussion, on a motion by Rod Massman, seconded by Pat Simmons, (no objections) it was agreed that the By-law be revised by changing the word will to may in the referenced sentence. Each representative may have an alternate person designated to participate in and vote in meetings in the absence of the designated representative.

This proposed by-law change was distributed to the members of the Executive Board by Steve Hewitt on May 19, 2011 for its future consideration.

Chairman Massman raised the issue of the need to keep a record or history of the use of 305 specifications. He also raised the question as to whether or not there should be a quality review process regarding procurement –“did it meet the specification?”

The general discussion focused on the need to create a framework of what is being done and a follow up document/audit.

Pat Simmons recommended that “we do a who, what, when and where form as part of the specification.” Once the specification has been used, the user sends the form back to the NGEC with a contact name, who, what, when and where - what did you learn? The form could be inserted at the end of the

specification, similar to the way the disclaimer statement is to be inserted inside the front cover of each specification.

It was agreed that Rod Massman would draft a proposed form based on this concept, and “bounce it off Al Ware” for his comments/input, and distribute it to the Administrative Task Force members in four weeks – on the June 3, 2011 conference call.

Due to numerous schedule conflicts, the Administrative task force did not hold a conference call in June, 2011. The task force did meet, via conference call, on July 1, 2011 and will next meet on August 12, 2011.

During the July 1, 2011 conference call, the task force approved its high level goals and funding requirements for the period from April 1, 2012 through March 31, 2013.

As agreed, the High Level Goals and Funding Requirements for the Administrative task force are:

1. Coordinate with Executive Board and Finance Committee (which is the developing arm) on incorporation/procurement/organizational re-structuring activities; and serve as the implementation arm; while also providing support for those activities as needed in getting details worked out.
2. Conduct periodic reviews of PRIIA requirements and keep Executive Board apprised of the two subcommittees’ adherence to PRIIA guidelines.
3. Serve as budget overseer.
4. Perform other duties as assigned by Executive Board or requested by the two committees.

Budget for these activities: \$100,000.00 will include costs for travel, and consultant, coordination, and AASHTO support for activities other than the implementation of the procurement. (Overall AASHTO support needs to be enumerated elsewhere in the budget).

There was discussion on ensuring that somewhere in the overall proposal to Congress – the AASHTO support services costs are factored into the total request.

On other business, the task force also approved an “instructions” document prepared by Rod Massman and revised by Nancy Greene. The document is intended to be a forward look – something a customer would fill out when using a PRIIA specification. The plan, moving ahead, is to take the proposed document forward to the Executive Board at an upcoming conference call. (Possibly August 16, 2011)

Due to the resignation from Missouri state service by the Administrative task force Chair, Rod Massman, the task force did not meet in August. The Executive Board will look to fill the chair position at its September 15, 2011 meeting in Charlotte, NC.

On September 15, 2011, the Executive Board named Alan Ware, Georgia DOT, as the new Chair of the Administrative task force. Alan held his first conference call meeting of the task force on September 23, 2011.

Key decisions/action resulting from this initial task force call under Alan’s leadership were:

- ***Alan will contact DJ Stadtler in regards to the Rob Edgcumbe contract status and ensure that the Statement of Work include the Railroading 101 webinar series. Alan will also ask that a placeholder for additional funding to be set aside with respect to the SFWG to have outside review of the structure section of the report released in July, 2011.***
- ***David Ewing will provide Ken Uznanski with a draft write up of a proposal for additional resources (between \$30 and \$40 k) for outside review of the structure section of the SFWG report.***

- ***The task force discussed, at length, the need for FRA involvement in the task force and attendance on the calls. Steve Hewitt will contact Chad Edison to see where FRA representation will come from moving forward.***
- ***The task force members also recognize the need for additional state representation. With the resignation of Rod Massman, Missouri, and Scott Witt, Washington State, the Administrative task force has only two states represented – Georgia and North Carolina. Alan Ware will reach out to Eric Curtit, Missouri to see if he would be interested in joining the task force. Alan will also reach out to Joe Kyle, Oklahoma, to see if he would be willing to provide a staff member to represent Oklahoma on the task force. Steve Hewitt will reach out to Tim Hoeffner, Michigan, requesting that he provide a representative to the task force, as well.***
- ***The task force will bring the by-law change to number 5.2 to the Board for its consideration on September 27, 2011. (As described in the Executive Board section of this report – the by-law change was approved on September 27, 2011)***
- ***Nancy Greene will begin to look into possible templates for preparing a disclaimer protecting industry members (and NGENC members) from any liability when preparing reports which are based on “opinions” – expert opinion, but opinions none the less. David Ewing will look into possible state disclaimer templates. (The request for this disclaimer has come from the Locomotive Technology Task Force of the Technical subcommittee).***
- ***The task force will continue to pursue the development of a legal pool of states rail lawyers for purposes such as this – where their insight would be most helpful.***
- ***The task force agreed to begin meeting every other Friday (rather than every third Friday). The next call will take place on October 7, 2011 at 11:00am Eastern.***

Specification Review Panel(s):

At the May 26, 2010, Board meeting, it was agreed that there needed to be a process by which the work of the Technical subcommittee could be reviewed for adherence to certain criteria in preparing the initial set of specification recommendations. It was decided that a requirements document would be drafted for approval by the Board and a Review Panel would be established to review the specification document for conformance against the requirements document; and file a report with the Board prior to its approval meeting.

All members of the Specification Review Board attended the July 29-30, 2010 Chicago meeting of the Technical subcommittee; and Larry Salci, Interfleet, Inc. was named as the consultant to the Review Panel. At the conclusion of the meeting, the Review Panel began its task of measuring the PRIIA Bi-level specification document against the requirements document which had previously been developed by CALTRANS and approved by the Executive Board at a webinar meeting held July 21, 2010.

The Review Panel reviewed and approved Larry Salci’s report (recommending approval of the Bi-level specification) and met the established timeline by submitting the report to the Executive Board on August 20, 2010. The Executive Board reviewed the report and, as noted previously, unanimously approved the PRIIA Bi-level specification at the August 31, 2011 meeting of the Board in Washington, DC.

The Board will be using the same process for future specifications as developed. The requirements documents, however, will be prepared earlier in the process – rather than at the end of the process - as was the case with the bi-level specifications.

The single level standalone cars and trainsets requirements document and the diesel-electric locomotive requirements document were approved by the Executive Board on November 18, 2010, during a webinar meeting of the Board. These documents are posted on the AASHTO website at www.highspeed-rail.org,

as are the specifications currently under consideration. (Single level standalone cars and the diesel-electric locomotive)

During its November 18, 2010 Webinar meeting, the Executive Board appointed two Review Panels each tasked to review one of the two specifications under development at that time by the Technical subcommittee.

As is discussed in earlier sections of this document, the Review Panels acted in January, 2011. The single level standalone cars specification Review Panel completed its work with a report and recommendation for approval submitted to the Executive Board in advance of the February 15, 2011 Annual Meeting. At that meeting, the Board accepted the Review Panel recommendations and adopted the single level standalone car specification unanimously.

The diesel-electric locomotive specification Review Panel also provided its report and recommendation to the Board in advance of the February 15, 2011 Annual Meeting. The Panel recommended that the Board defer approval of the specification pending additional work to be completed in areas deemed to be lacking. The Board accepted the recommendation, and deferred approval until March 16, 2011. Prior to the March 16, 2011 Board meeting, the Review panel met and submitted a report which recommended that the revised diesel-electric locomotive specification be approved by the Board. On March 16, 2011, the Review Panel recommendation was accepted and the Board voted unanimously to adopt the revised specification.

Members of the Review Panels named during the November 18, 2010 Webinar meeting:

To review the single level standalone cars specification:

Bill Bronte, CALTRANS

John Tunna, FRA

Scott Witt, Washington State DOT

Ron Adams, Wisconsin DOT

Larry Salci, Interfleet, Inc (consultant to the Review Panels)

To review the diesel-electric locomotive specification:

Bill Bronte, CALTRANS

John Tunna, FRA

Scott Witt, Washington State DOT

Ron Adams, Wisconsin DOT

Ray Hessinger, NY State DOT

Larry Salci, Interfleet, Inc (consultant to the Review Panels)

A Review Panel for the Trainset specification was appointed by the Executive Board on May 10, 2011.

The members of the Trainset Review Panel are:

Bill Bronte, California DOT (Panel Chair)

Ron Adams, Wisconsin DOT

Allan Paul, North Carolina DOT

Scott Witt, Washington State DOT (Andrew Wood to provide support)

John Tunna, FRA

Larry Salci will serve as consultant to the Review Panel

On June 22, 2011, the Technical subcommittee approved the Trainset specification and it has been turned over to the Review Panel. The Panel will file its report with recommendations, approximately two weeks prior to the August 2, 2011 Executive Board Webinar meeting. The intent is that the Trainset specification will be considered for adoption during this webinar meeting.

On July 22, 2011, the Trainset Review panel met, via conference call, to review the report and recommendations provided by consultant Larry Salci. With some suggested edits, the Panel approved the report and it was transmitted to the Executive Board on July 23, 2011 by Steve Hewitt. The Board will consider the report and recommendations on August 2, 2011. The Panel has recommended that the Trainset specification be adopted by the Board. It did, however, note that the Board will still needs to address the FRA concerns regarding CEM language in this specification (and all other PRIIA specifications already adopted). Until the Board has received the dissent position paper from FRA, the language will remain as written in accordance with the previously approved Trainset Requirements document.

On September 15, 2011, the Executive Board reconstituted the Bi-level car Review Panel for the purpose of reviewing Revision A as approved by the Technical subcommittee. As described in the Executive Board section of this report, the Review panel met on September 23, 2011 and recommended Board approval of Revision A. On September 27, 2011, the Board accepted the recommendation and approved Bi-level car change summary Revision A.

Members of the Review Panel established on September 15, 2011 are:

Bill Bronte, Caltrans – Chairman

Ron Adams, Wisconsin DOT

Eric Curtit, Missouri DOT

Tammy Nicholson, Iowa DOT

John Tunna, FRA

Consultant to the Review Panel – Larry Salci, SalciConsult

Summation:

The Section 305 Next Generation Equipment Pool Committee has recognized the importance of its work and understands that progressing that work in a timely, comprehensive, thorough and open manner is vital to its success and will lead to a rebuilding of the rail equipment manufacturing industry in the United States. It is also understood that the success of the work of the Committee will lead to significant and sustainable job creation with the results being an improved economy, and a more efficient, reliable, safe, and environmentally sound national intercity passenger rail system as an integral part of the nation's vast transportation network.

Over the first **21** months of the existence of the Section 305 NGEC, a great deal of work has been done and there is much more yet to come. Four PRIIA Section 305 Specifications have been adopted by the Executive Board (the Bi-level cars, the Single level standalone cars, the Diesel-electric locomotive, and the Single level Trainset) and the development of a fifth specification, DMU cars, has been tasked to the Technical subcommittee by the Executive Board as of August 30, 2011. The subcommittee has begun

work on developing a DMU Requirements document and expects to move it for Board approval by September 27, 2011.

It is also anticipated that the Board will direct the Technical subcommittee to develop a Dual Mode Locomotive Specification in the near future. The Dual Mode Requirements Document has been approved by the Technical subcommittee and is in front of the Board for action once the CEM issue has been resolved.

These are all landmark achievements and can be considered an extraordinary start to a long term effort. Throughout this year and a half plus period, the NGECE has experienced a strong sense and willingness among the states, Amtrak, FRA, and the manufacturing and supply industry, to work collaboratively with a common set of goals and objectives and an eye towards achievement at the highest levels.

With the recent award of HSIPR grants to a number of states for equipment acquisition, the NGECE, while continuing to develop new specifications, (as appropriate); implementing standardization and developing a Document Control Process as ***part of an overall Systems Engineering process***; has turned its focus towards procurement with the Executive Board establishing the Joint Procurement Task Force at its June 23, 2011 meeting. The ultimate goal of getting “wheels on the track” and creating jobs and a reinvigorated domestic rail manufacturing industry in this country is close at hand.

The overall effort, to date, has included (and will continue to include) a tremendous amount of involvement from experts in the field found among the states, Amtrak, FRA and the industry. (It should be noted, the industry participation membership on the Technical subcommittee continues to grow – there are now **188** members involved on behalf of the manufacturing and supply industry! The complete list is attached to this package) Still, many of those involved do not appear on the various member lists included in this package, and though they are anonymous in many ways, their efforts are extraordinary and invaluable.

All entities involved have been willing to provide extensive in-kind services, beyond the federal funding levels authorized for the NGECE. It is truly a federal-state-and private sector partnership that will benefit the country for years to come.

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Revised Work Plans for the S305 NGEC Subcommittees & Administrative Task Force

Approved by the Executive Board: February 15, 2011

TECHNICAL SUBCOMMITTEE

Work Plan as revised to reflect 4-1-2011 through 3-31-2012

The purpose of the Technical Subcommittee is to (1) develop and/or evaluate alternative passenger rail car and propulsion technologies and designs, (2) evaluate proposed vehicle subsystems, (3) establish performance and safety criteria standards, develop specifications, (4) respond to requests made by the Committee or Executive Board to assist in carrying out their duties; and (4) any such other tasks and duties as assigned by the Executive Board.

The Technical Subcommittee will maintain an updated catalog of one or more approved passenger vehicle specifications that are determined to be eligible for use in the Next Generation Passenger Rail Equipment Pool. As appropriate, it will develop its ongoing efforts into recommendations for the Executive Board to act upon. The complete specifications or portions thereof may, as determined by the Executive Board, be subject to limitations.

Subjects to be addressed by the Technical Subcommittee may include but are not limited to:

- Safety criteria
- Regulatory compliance requirements and procedures
- Interoperability of car/locomotive/infrastructure requirements
- Performance Criteria
- Passenger car interior configurations, including design enhancements to facilitate travel by the disabled and elderly communities
- Passenger amenities
- Motive Power
- Operational issues
- Efficiency of operations
- Economies of scale benefits from common fleets
- Servicing/Inspection requirements
- Maintenance and overhaul criteria
- Procurement guidelines
- Inventory criteria for both spare parts as well as vehicle spare margins
- Maintenance facility requirements

While exploring these subjects, the subcommittee shall utilize lessons learned from the worldwide development of intercity passenger rail rolling stock and apply best practices to promote safe, reliable, efficient and cost effective development and utilization of equipment. Amtrak will need to provide significant technical support to the process. Working in partnership with the FRA and the state partners, Amtrak will provide the technical coordination role and the leadership of the technical sub-committee.

SCOPE OF WORK

The Technical Subcommittee Scope of Work April 2011 through March 2012 shall include the following deliverables:

- Development and completion of a NGEC single level trainset Specification by July 31, 2011
- Development of a NGEC equipment pool management plan
- Development of a systems engineering process for the ongoing support of the existing specifications and for the future development of new specification
- Support of any acquisition programs that are commenced based on the specifications delivered to date (bi-level passenger car, single level standalone passenger car and high speed diesel locomotive) as well as any specification completed during this period
- Development and implementation of the strategy on standardization as it relates to existing specifications and specifications yet to be developed or approved

The Technical Subcommittee will hold **periodic** conference calls, web based seminars as necessary, and in-person meetings on a periodic basis as appropriate. **In person meetings will be scheduled as required for the final debate and acceptance of specifications.**

The Technical Subcommittee will engage with the industry to examine issues and develop recommendations to the Executive Board that will culminate in the adoption of the above referenced specifications. In order to accomplish these efforts, the work required to deliver these specifications will include (but is not limited to) the following items:

- Survey and collation of key performance requirements of state services
- Historical and technical analysis in assessing states responses to the equipment needs survey
- Definition of performance requirements for core product
- Identification of customer specific elements that can be varied without impacting the core specification
- Survey of developments in the supplier base for the whole vehicle and sub-systems to be required
- Definition with the FRA of the regulatory requirements for the vehicle including (but not limited to) the implementation of crash energy management in advance of the publication of new requirements
- Identification of proposed maintenance philosophies and the impact on the vehicle specification process
- Definition of the expected performance regime that equipment will experience in service utilization
- Agreement on the procurement philosophy to be utilized and its impact on the scope of the vehicle specification
- Creation of a development path for the specification to allow the progressive updating of the specification to meet future needs without compromising the objective of equipment commonality
- Compilation of technical requirements, performance standards, measurement criteria for those standards, testing and proving requirements and a performance model for in service support
- Generation of the first draft of the specification
- Circulation to interested parties, receipt of comments and update of the draft specification based on the comments received and accepted
- Issue of the final specification document
- Involvement in the project team established to manage procurement activities
- Response to questions provided by prospective bidders during the RFP phase
- Questioning of bidders after bid submission and analysis of the proposals from a technical and operational perspective

- Management of the technical interaction during any ongoing procurement phases including approval of design selections during design and build, oversight of the inspection process, management of the acceptance process, testing of equipment prior to service entry and then support to equipment upon entry into service

In order to complete the scheduled tasks, the technical subcommittee will make use of consultants to support the tasks as required. This consultancy support will include the management of the tasks of the technical subcommittee as well as technical specialist consultancy for the development and implementation of the specifications for the vehicles themselves. The use of consultants will be undertaken in a manner that is best suited to the entire process to minimize handover and learning issues and will be based on the existing relationships with consultants that are known to be able to deliver the capabilities required.

The attached spreadsheet provides budget information on all Section 305 activities proposed for this grant application including work of the Technical Subcommittee.

FINANCE SUBCOMMITTEE

Work Plan as revised to reflect 4-1-2011 through 3-31-2012

The purpose of the Finance Subcommittee is to (1) identify options for the funding of new equipment, (2) evaluate the options for ownership structures that may be utilized for new equipment, (3) propose possible structures for transactions between potential owners and/or operators of equipment, (4) explore the feasibility of establishing a corporation for the funding, procurement, remanufacture, ownership, and management of corridor equipment, as provided in Section 305(c) of PRIIA; and (5) other tasks and duties that may be assigned by the Section 305 Executive Board.

Subjects to be addressed by the Finance Subcommittee may include but are not limited to:

- Funding from government grants
- Funding from government supported loan programs
- Availability of funding from the commercial debt markets
- Options, strengths and weaknesses of various commercial lending structures
- Potential ownership structures including but not limited to:
 - Amtrak,
 - a not-for-profit entity,
 - an infrastructure bank and
 - third parties as yet to be identified
- Transactional structures between Amtrak and/or the states and the ownership entity
- The usage of governmental support funding in the transactional structures under consideration
- The resourcing requirements of the potential organizational structures
- The overlap between proposed structures and existing entities and proposed ways of managing such overlap

The Finance Subcommittee will arrange for periodic independent audits of the financial records of the Section 305 Next Generation Equipment Pool Committee as appropriate.

The Finance Subcommittee will provide input and recommendations to the Executive Board that will complement and enhance the work product of the Technical Subcommittee to allow for the ability to meet the objectives and goals of the Section 305 Next Generation Equipment Pool Committee

Scope of Work

1. Identify options for funding new equipment.

Tasks include:

- Identify and evaluate potential sources of government grants
- Identify and evaluate potential government supported loan programs
- Determine availability of funding from commercial debt markets
- Evaluate options, strengths and weaknesses of various commercial lending structures
- Obtain legal advice concerning the feasibility/advisability of making a joint application for a RRIF loan, presumably with Amtrak in the lead for procurement with options to be exercised by states. Provide legal follow through if such action is decided upon by the Committee.
- Draft proposed legislation that would allow states and/or entities access to the RRIF program
- Research joint financing of procurements
- Make funding recommendations to the Executive Board

2. Evaluate fiscal elements of ownership options for ownership structures that may be used for new equipment (to be coordinated with work of Administrative Task Force)

Tasks include:

- Review potential ownership structures, including Amtrak, a non-for-profit entity, an infrastructure bank, or other third party
- Obtain information from the states on their own states' legal limitations as far as contracting for and owning equipment is concerned, participating in joint procurements, providing indemnification, insurance, etc. Counsel would need to coordinate activity related to states' differing legal constraints.
- Evaluate the financial aspects of various procurement structures
- Evaluate the resourcing requirements of potential organizational and ownership structures
- Provide recommendations to the Executive Board on the feasibility/advisability of conducting joint procurements and or ownership structures for equipment purchases.
- Review and determine options for state participation for those who be prohibited from owning equipment. Evaluate leasing options.
- Research the possibility that states who cannot legally participate in a joint procurement but who want to acquire and own equipment can conduct a parallel procurement coordinated with Amtrak's procurement.
- Develop an education tool or course that would provide background information on rolling stock to interested parties, through webinars or similar training avenues (perhaps in concert with the Admin task force?)

3. Ensure that the commercial consideration components of any and all procurements utilized by the Section 305 Committee have been addressed, reviewed and approved. These financial components, coupled with the specifications provided by the Technical Subcommittee, will provide a framework for upcoming equipment procurement processes, requests for proposals, etc.

4. The Finance subcommittee shall meet via telephone on a regular basis as prescribed by the membership or as directed by the Executive Board to fulfill its duties. In an attempt to reduce expenses, face to face meetings will be held in conjunction with other 305 related activities as appropriate. Travel related expenses for state members are provided in the AASHTO Support budget.

5. The subcommittee will provide for periodic independent audit of financial records of the Section 305 Next Generation Equipment Committee and its subcommittees as appropriate.

The work plan above reflects actions that will be undertaken during the April 2011 – March 2012 time period. Many of the actions above will be implemented in the April 2012 –December 2012 timeframe.

ADMINISTRATIVE TASK FORCE

Work Plan as revised to reflect 4-1-2011 through 3-31-2012

The mission and purpose of the Administrative Task Force, as established by the Section 305 Executive Board, is to:

- (1) Oversee budget issues;
- (2) Manage the operation of the S305 Committee;
- (3) Determine protocols for various issues that may come up such as; site tours, definition of what the committee can present to Congress – ensuring that the Board is not engaging in lobbying activities, but is getting information out and maintaining visibility and, in general, establish administrative policy for the committee;
- (4) Serve as the keeper of the bylaws;
- (5) Serve as the policy development arm of the Executive Board;
- (6) Serve as the keeper of open records and recommend relevant policies, as appropriate;
- (7) Perform other tasks and duties as defined by the Administrative Task Force or that may be assigned by the Section 305 Executive Board or be requested by the Finance and/or Technical Subcommittees.

Note: Since the Task Force was established by the Executive Board, much has taken place and the NGEN, as a whole, has moved forward. While some of the areas of responsibility initially cited by the Board remain relevant, there are others that have evolved over time. It is important, now, that the Administrative Task Force assess the current state of the operation of the Committee, and proceed from that point in developing its work plan and budget and in carrying out its responsibilities.

Subjects to be addressed by the Administrative Task Force may include but are not limited to:

- Overall management and review of budget issues of the Section 305 Committee;
- Recommending policy and/or administrative changes to the Executive Board;
- Overseeing and implementing an open records policy;
- Pointing out various options, strengths and weaknesses of potential corporation structures and/or procurements;
- Assisting in resolving overlap/possible conflicts between the two subcommittees and suggesting or mediating remedies.

The Administrative Task Force will provide input and recommendations to the Executive Board that will complement and enhance the work of the Technical and Finance Subcommittees to allow for their ability to meet the overall objectives and goals of the Section 305 Next Generation Equipment Pool Committee

Scope of Work:

1. Conduct periodic reviews of PRIIA requirements, keep Executive Board apprised of the two subcommittees adherence to PRIIA guidelines; and be the overall budget caretaker and keeper of the by-laws.
2. Evaluate and ask for guidance from the Executive Board and the two subcommittees in regards to direction needed and/or additional tasks to be fulfilled by the Task Force; and serve as the “detail” implementer for the various tasks of the overall S305 Committee.

3. Explore the feasibility of establishing a corporation for the funding, procurement, remanufacture, ownership, and management of corridor equipment; and, if the determination is to form a corporation, attend to and oversee the administrative and technical issues that will invariably arise as the corporation is being established.
4. The Committee will meet by conference call as needed. In person meetings will be arranged in conjunction with other events of the Section 305 Next Generation Equipment Committee Executive Board and subcommittees, in order to keep expenses to a minimum.
5. The Administrative Task Force budget includes travel for Amtrak support of overall activities of the S305 Committee.
6. The Administrative Task Force will perform other duties as assigned by the Executive Board of the Section 305 Next Generation Equipment Pool Committee.
7. The Administrative Task Force, in coordination with the Finance Subcommittee will develop an education tool or course that would provide background information on rolling stock to interested parties, through webinars or similar training avenues.

S305 NGECEC BY-LAW “technical” CHANGES – formally adopted by the Executive Board– 2-15-11

The Proposed By-law changes were submitted to the Board as follows:

1. In 4.6, Voting, change “may vote in person, by telephone or by proxy” to “may vote in person, by telephone or e-mail, or by proxy.” to allow the members of the Executive Board to vote by e-mail if they wish **(Approved)** *
2. In 5.3, Term of office, change “FRA Administrator” to “FRA Representative” to be consistent with the rest of the bylaws. **(Approved)**
3. In 5.5, Unanimous Consent, rewrite sentence so the unanimous consent is not in future tense by rewriting: “shall be signed by all” to “is signed by all”. **(Approved)**
4. In 6.1, Standing Subcommittees, to reflect what the preference of the Executive Committee is that both of the subcommittees be chaired by Amtrak, change: “serve as an officer” to “serve as the Chair”. **(Withdrawn)**
5. In 7.4, to reflect that the administrative task force actually does have a budget of its own and that is permissible, not just suggested, change” or any Subcommittee” to “any Subcommittee or task force”. **(Approved)**
6. In Part B.1.c, finish the following sentence which currently just ends. “Concerning equipment types based upon the.....” to “concerning equipment types based upon the Board’s sound discretion.” **(Approved)**

***A note in regards to the policy on electronic voting:** At the August 31, 2010 Board meeting, on a motion by Al Ware, and a second by Kevin Kesler; the Board unanimously approved the policy as proposed with a minor revision that provides for a uniform way to notify the Board members that the vote is to take place. The revision will call for a phone call and email notification of each member. (Note: If a member responds by email – there will be no need for a call as well – only if no reply is received to the original email notification) This notification will be made by the Support Services Manager.

Liability Statement – approved by the Executive Board – 2-15-11

The Committee will not indemnify any Officer, Executive Board member or any other person participating in the Committee for any act or failure to act in the course of any member's service on behalf of the Committee or in conjunction with duties performed in the Committee. Each Executive Board member will be responsible for his or her own actions and the consequences of those actions; and shall not be responsible for the actions of any other Executive Board member and consequences of those actions.

By-Law Amendment approved by the Executive Board -2-15-11

8.1 Submission and Consideration of Amendments

Amendments to these Bylaws may be proposed by any Committee member and must be submitted in writing to the Chair for consideration.

~~Upon an affirmative vote of the Executive Board, t~~ The proposed amendments may be voted upon at the next Annual Meeting Executive Board meeting of the Committee that occurs at least 30 days after the submission of the proposed amendment. The Chair shall distribute copies of any proposed amendments at least 30 days prior to the Annual Meeting meeting at which such proposed amendment is voted on.

Disclaimer of Warranties and Limitation of Liability

Approved by the Executive Board on March 16, 2011

- (A) User assumes all risk and liability for all loss, damage or injury to persons or property resulting from the use of the Specifications, including in manufacturing processes or in combination with other specifications or otherwise.
 - (B) The Section 305 Next Generation Corridor Equipment Pool Committee (NGEC) makes no warranties of any kind, expressed or implied, in relation to this Specification, including but not limited to, any implied warranties of merchantability and fitness for any particular purpose.
 - (C) In no event will the NGEC or any members thereof be liable for any damages, lost savings, or other actual, direct, incidental, or consequential damages, including, but not limited to, damages arising from the use, loss of use, or performance of any equipment constructed pursuant thereto, even if the NGEC or any members thereof have been advised of the possibility of such damages, or any claim against any other party arising hereunder.
-

By-law change approved by the Executive Board – September 27, 2011

5.2 State Representation on Executive Board

The States shall determine their representation on the Executive Board based on such factors as geographic diversity, technical expertise, procurement and operational experience, including experience with different types of equipment. States will endeavor to obtain a balance of representation on the Executive Board. Each representative [will] may have an alternate person designated to participate in and vote in meetings in the absence of the designated representative.

It is recommended that state representatives be familiar with the day to day and longer term financial challenges of developing and/or operating a corridor route.

Surveys/Polls conducted by the NGEC:

Questionnaire on Legal Issues of Incorporation for states:



Questionnaire

State: _____

Date: _____

Corridor Name(s): _____

Name: _____

Title: _____

E-mail: _____

Phone: _____

Optional: Please provide attorney contact information for follow up questions:

The Executive Board of the Section 305 Next Generation Equipment Pool Committee (NGEC) is looking into the ability of states to participate in a legally cognizable entity in the context of Section 305 (c) of the Passenger Rail Investment and Improvement Act (PRIIA) which states the following:

“(c) COOPERATIVE AGREEMENTS – Amtrak and the States participating in the Committee may enter into agreements for the funding, procurement, remanufacture, ownership, and management of corridor equipment, including equipment currently owned or leased by Amtrak and next-generation corridor equipment acquired as a result of the Committee’s actions, and may establish a corporation, which may be owned or jointly-owned by Amtrak, participating States, or other entities, to perform these functions.”

Such an entity would be designed to do whatever the Section 305 Committee participants want; including offering different opportunities and services for a state or group of states, depending upon the scope and nature of the state’s ability to participate and “use” the entity and its services.

In order to fully explore and understand its options as it begins to look at the possibility of forming a corporation or other entity; the Board has asked that AASHTO circulate the following questionnaire to its member states on behalf of the S305 NGEC Executive Board. Please respond to the following questions and provide your answers to **Steve Hewitt, Manager of S305 NGEC Support Services @ shewitt109@aol.com by COB September 24, 2010**. Please expand on your answers.

1. Can your State enter into cooperative agreements with other states? _____ with Amtrak? _____

2. What kinds of cooperative arrangements are allowed? For example, can your state participate in:

A corporation? _____ A limited liability company? _____ A joint venture entity? _____
A partnership? _____ Other? _____

Elaborate:

3. What legal and other constraints would there be? How would the entity/relationship need to be structured in order for our state to participate? Please elaborate. _____

4. Would your state be in favor of establishing a corporation or other legally cognizable entity to perform the functions of the Section 305 Committee? (Why or why not, please elaborate) _____
5. What would you expect/prefer Amtrak's role to be vis-a vis your state? Please elaborate. _____

6. Can your state own rail equipment? _____
7. Can your state lease rail equipment? _____
8. Can your state enter into joint procurements? ____ With other states? ____ With Amtrak? ____
- 8a. Can your state contract with or otherwise allow another entity to procure rail equipment for it?

9. What types of procurements are required/allowed/preferred? (sealed bid, negotiated, option? Etc) _____

10. Can your state indemnify by contract? Describe any constraints

11. Can your state purchase insurance? Describe any constraints

12. Can your state participate financially in the activities of the Committee? If so? how?

13. In what other ways can your state contribute to the operation of the Committee? _____

States Needs/Objectives for the NGEC – Poll:



Polling the States in regards to their Needs/Objectives for the S305 NGEC:

(11 of 11 NGEC Member states have responded)

(Please provide your answers to David Ewing at: ewing9@verizon.net; Rod Massman at: Rodney.massman@modot.mo.gov; and Steve Hewitt at: shewitt109@aol.com)

1. Do you plan to own equipment for service in your state for the full life of the equipment or do you perceive the need to have equipment for shorter periods than its full service life?

2. Do you foresee the need for additional funding beyond grant money from the federal government and state appropriations in order to fund your vehicle acquisitions?

3. Do you need to combine your planned purchases with other states/Amtrak in order to gain economies of scale?