

Amtrak® Supplier Code of Conduct

AMTRAK'S CORE VALUES

Our Amtrak® Values are an expression of our principles and beliefs: Do The Right Thing, Put Customers First, and Excel Together. These values ensure that Amtrak employees, suppliers, partners, and contractors follow the law and act with integrity while avoiding even the appearance of impropriety. They guide everything we do – and ultimately, they define us as a company. We are committed to these values, and we ask that our contractors do the same.

This Amtrak Supplier Code of Conduct (the “Code”) outlines the expectations and guidelines that Amtrak (also referred to herein as “we” or “our”) has for our contractors, suppliers and vendors, which, unless otherwise stated herein, includes their employees, agents, and representatives (referred to herein as “Contractor(s)” or “you”).



“At Amtrak, we are proud to be America’s Railroad®, and we endeavor to provide safe and efficient transportation services. We recognize that our supply base contributes to Amtrak’s efforts, and we expect our employees to treat our business partners with respect and integrity. We ask our partners to share our high ethical standards of business conduct, and together we serve the best interest of our traveling public.”

Kuvesh Ayer,
Vice President - Chief Procurement Officer

CONTRACTOR EXPECTATIONS AND REPORTING

Applicability. Amtrak expects its Contractors to act in accordance with this Code. Any known or suspected violations of this Code shall be reported by Contractors to Amtrak as soon as practically possible.

Anti-Retaliation. Amtrak will not tolerate retaliation against a Contractor that makes a good faith report of an alleged violation of this Code. Amtrak takes all claims of retaliation seriously. Amtrak will review such claims and take appropriate action.

Contact Amtrak. If a Contractor would like guidance, to discuss concerns or has questions regarding the Code, or to report Code violations, please refer to the last page for Amtrak contact information.

GOVERNANCE

Conflicts of Interest. Amtrak depends on the continued trust of our Contractors. Conflicts of interest, or the appearance of such conflicts, undermine such trust, and Amtrak's brand reputation. Throughout the procurement solicitation process and thereafter, Contractors shall not have any actual or perceived personal or organizational conflicts of interest that may result in i) the Contractor's inability to render impartial assistance or advice to Amtrak; ii) impairment of the Contractor's objectivity in performing work for Amtrak; iii) creating or attempts to create an unfair competitive advantage for the Contractor; or otherwise iv) calling into question the integrity of the contract with and/or work the Contractor performs for Amtrak.

Conduct Business Ethically and Fairly. Amtrak expects its Contractors to be honest, practice high ethical standards of conduct, and be committed to dealing fairly and honestly when performing work with Amtrak.

Gifts and Business Courtesies. Amtrak's Contractors shall not offer any Amtrak employee, agent or representative any cash, gift, entertainment, commission, or kickback. Nor shall Amtrak's Contractors solicit or accept any cash, gift, entertainment, commission, or kickback from a vendor or subcontractor or any other person or entity for the purpose of securing favorable treatment from that Contractor.

Compliance with Laws and Contractual Requirements. Amtrak's Contractors represent and warrant that they will comply with all laws, regulations, codes, ordinances, rules or orders of any government entity or public authority applicable to the performance of the Contractor's obligations to Amtrak. Furthermore, Contractors shall comply with all applicable contractual terms and conditions.

Anti-Boycott. Amtrak's Contractors must not participate in, cooperate with, or further the cause of any unsanctioned foreign economic boycott, in accordance with applicable U.S. anti-boycott acts, laws, legislation or regulations.

Anti-Corruption. Amtrak expects our Contractors to comply with the applicable anti-corruption laws, directives, and regulations that govern operations in the countries in which they do business, regardless of local customs, including where applicable, the U.S. Foreign Corrupt Practices Act. We expect our Contractors to conduct due diligence to prevent and detect bribery and corruption in all business arrangements with Amtrak.

Illegal or Improper Payments. Amtrak expects its Contractors to refrain from making any illegal or improper payments as set forth in the Copeland "Anti-Kickback" Act, and other related or similar kickback statutes and regulations. Similarly, we expect Contractors to prohibit their employees from receiving, paying, and/or promising sums of money or anything of value, directly or indirectly, intended to exert undue influence or improper advantage when performing work under a contract with Amtrak.

Fraud and Deception. Amtrak's Contractors must not engage in fraud, deception, or misleading conduct when performing for Amtrak, or allow others acting on their behalf to do so. We expect our Contractors to act with integrity and transparency in all dealings and interactions with Amtrak.

Competition and Antitrust. Amtrak expects our Contractors to conduct business in accordance with all applicable antitrust or competition laws and regulations.

Risk Management. Amtrak expects our Contractors to actively manage risk and refrain from passing down risk inappropriately to subcontractors or third parties working on Contractors' behalf. Contractors should share information on risk, including any issues that may arise regarding the Contractor's financial stability, with Amtrak to ensure risks are known and can be properly mitigated, if at all.

Timely Payment of Suppliers. Amtrak expects our Contractors to be fair and reasonable in their payment practices when dealing with third parties, and pay undisputed and valid invoices on time, in accordance with agreed and/or legally required contractual payment terms.

PEOPLE

Diversity, Equity and Inclusion. At Amtrak, having a diverse workforce is more than "the right thing to do"; it is a business imperative. Amtrak is proud of its diverse workforce and is committed to creating a work environment where diverse backgrounds, experiences and ideas are welcomed, heard and respected. Amtrak expects our Contractors to have diversity and inclusion policies and procedures, and follow such policies and procedures when performing work for Amtrak.

Health and Workplace Safety. Amtrak expects our Contractors to comply with applicable safety and health Laws. Contractors should provide for the health, safety, and welfare of their employees, agents, and representatives, and strive to eliminate fatalities, work-related injuries, and exposure of individuals to safety hazards.

Drug-Free and Alcohol-Free Workplace. Amtrak expects our Contractors to maintain a workplace free from illegal drugs and alcohol consumption.

Fair Employment Practices, Equal Employment Opportunity. In accordance with applicable Laws, Amtrak's Contractors must not discriminate against any employee or applicant for employment because of race, color, religion, sex, disability, veteran status or national origin.

Harassment. Amtrak expects our Contractors to ensure that their employees, agents, and representatives are afforded an employment environment that is free from intimidation; physical, psychological, sexual, and verbal harassment; or other abusive conduct.

Child Labor. Amtrak expects our Contractors to ensure that illegal child labor is not used in the performance of work. The term “child” refers to any person under the minimum legal age for employment where the work is performed, and/or the minimum working age defined by the International Labour Organization (ILO), whichever is higher.

Human Trafficking. Pursuant to 22 U.S.C. Chapter 78 and Executive Order 13627, Strengthening Protections Against Trafficking in Persons in Federal Contracts, Amtrak expects its Contractors to prevent any involvement in all forms of modern slavery, including human trafficking and forced, bonded, or indentured labor. Accordingly, Contractors must ensure compliance with all applicable human trafficking Laws.

OPERATIONS

Goods and Services. Amtrak requires that goods and services be delivered pursuant to the terms in the applicable contract and applicable Laws, meeting all workmanship, quality, and warranty and applicable industry standards. Contractors must ensure an approved purchase order or contract is issued by authorized Amtrak personnel before delivering any goods or services.

Disadvantaged Business Enterprise Participation. Amtrak takes pride in our Supplier Diversity Program to ensure non-discrimination and compliance with our grant obligations in the award and administration of contracts. Amtrak expects our Contractors to support our program goals and be in compliance with their small and diverse subcontracting obligations.

Confidentiality. Amtrak’s Contractors must ensure all confidential, sensitive, personal and/or proprietary information is protected as required by applicable Law and/or contract terms.

Cybersecurity. Amtrak expects Contractors to follow all applicable cybersecurity Laws, and all applicable Amtrak cybersecurity policies and contracted terms and conditions relating to cybersecurity, data governance, and the handling of personal information and Amtrak data.

Environmental and Sustainability Compliance. Amtrak takes pride in our environmental and sustainability commitment. We expect our Contractors to conduct their business in a manner that actively manages environmental risks across their operations, products, and supply chain, and comply with all applicable federal, state, and local laws, regulations, ordinances, and orders concerning the environment and/or waste disposal.

Intellectual Property. Amtrak’s Contractors must comply with all applicable laws and agreements governing intellectual property rights assertions, including protection against unauthorized disclosure.

Accurate Record Keeping. Amtrak’s Contractors must create and maintain accurate records. All records, regardless of format, made or received as evidence of a business transaction must fully and accurately represent the transaction or event being documented. Amtrak expects our Contractors to have in place appropriate controls to create, store, and maintain business records accurately and securely.

Amtrak appreciates your commitment to comply with the Code. To discuss concerns, seek guidance, or report Code violations, please contact the following:

Amtrak Ethics Officer: ethicsofficer@amtrak.com

Amtrak Procurement: procurement@amtrak.com

Office of Inspector General (OIG):
<https://amtrakoig.gov/report-allegation-fraud-waste-or-abuse>

For confidential reporting: **Call OIG Hotline 1-800-468-5469.**