

EXHIBIT D

AMTRAK FORMS

CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Name of /Offeror/Contractor

Signature of Authorized Representative

Printed Name of Authorized Representative

Title of Authorized Representative

Date

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**CERTIFICATION REGARDING DEBARMENT, SUSPENSION,
INELIGIBILITY AND VOLUNTARY EXCLUSION**

1. The offeror/prospective contractor certifies, by submission of this offer or proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the offeror/prospective contractor is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this offer or proposal.

Name of /Offeror/Contractor

Signature of Authorized Representative

Printed Name of Authorized Representative

Title of Authorized Representative

Date

*Instructions for this Certification may be found at 49 CFR part 29, App. B.

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REPRESENTATIONS AND CERTIFICATIONS

As a part of its Offer, Offeror provides the following information:

1. Offeror Information

- A. Legal name of /Offeror: _____
- B. Employer Identification Number of /Offeror: _____
- C. Offeror operates as a (check as applicable): Individual _____, Partnership _____, Joint Venture _____, Corporation _____, or Limited Liability Company _____. If /Offeror operates as a Joint Venture, a copy of the executed Joint Venture Agreement must accompany this form.
- D. Offeror is organized under the laws of: _____.

2. Parent Company Information

- A. Offeror is ____ is not ____ owned or controlled by a parent company. For purposes herein, a parent company is one which (i) owns more than 50% of the voting rights in the Offeror, or (ii) is able to formulate, determine, or veto basic business policy decisions of /Offeror through the use of various means, including, minority voting rights, proxy voting, or contractual arrangements.
- B. Parent Company Name (if applicable):

- C. Employer Identification Number of Parent Company (if applicable): _____

3. Small Business; Socially and Economically Disadvantaged Individuals

- A. Offeror is ____ is not ____ a small business concern as defined by the United States Small Business Administration.
- B. Offeror is ____ is not ____ owned and controlled by "socially and economically disadvantaged individuals" as that term is defined in 49 C.F.R. Part 26.

4. Worker Safety Record

In the past three years, Offeror has ____ has not ____ admitted or been found to have committed, any willful or repeat violations of Federal or State worker safety laws, rules or regulations. Provide the specifics with respect to any such violations on an attached sheet of paper.

Offeror agrees that, if it provides false or incomplete information herein, Amtrak has the right to reject its Offer and/or to terminate any resulting contract without liability.

I hereby certify that the information provided herein is true and complete.

OFFEROR

By: _____ Date: _____

Title: _____ RFP NO. _____

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NRPC 1483 & Business Profile Form
Supplemental Language for
Solicitation Instructions
When the Requirement Includes a Subcontract Plan
(\$1 million or More)

In addition to the Subcontracting Plan for the Utilization of Disadvantaged Business Enterprises (DBE), enclosed find the Amtrak Disadvantaged Business Enterprise (DBE) Utilization Report for Vendors (NRPC 1483,) which may be used to complete periodic subcontract reporting by the awarded firm.

Amtrak maintains a directory of diverse firms. If the proposing firm is a Small Business, or Disadvantaged Business Enterprise, (as identified in the Representations and Certifications Form,) Minority Business Enterprise, Woman Business Enterprise, Veteran-owned Business, or Service Disabled Veteran-owned Business, complete the Amtrak Business Profile Form included herein as an attachment to this solicitation, and return it with your commercial response to the solicitation.

Otherwise, the proposing prime contractor shall provide the Amtrak Business Profile Form to the prospective DBE subcontractors it intends to utilize in support of this contract. The DBE shall complete the "Form" and return it to the prime contractor in time for inclusion with the proposal submission to Amtrak. The proposing prime contractor shall submit the completed "Form" with its commercial response to the solicitation. All Business Profile Forms submitted by prime contractors in response to this solicitation shall be provided to the Amtrak Office of Supplier Diversity for inclusion in the Amtrak Directory of Diverse Firms found at <http://procurement.amtrak.com> => *Diversity* tab.



Small Business and Disadvantaged Business Enterprise Profile Form

Legal Company Name (As recorded with the IRS);		Owner(s) (Name and Title)		Point of Contact (Name and Title)	
DBA, if applicable:		Owner(s) E-mail Address		E-mail Address	
Street Address		Trade Association Membership(s)		List All Manufacturer Certifications	
City	State	Zip Code	Telephone No. - Day	Webpage Address	
Other Office Locations			Fax No.	Federal Tax ID Number or EIN	
At which locations are you available to perform work?		Current Number of Employees:		DUNS number:	
		Number of Years in Business (check only one) <input type="checkbox"/> 0 – 2 Years <input type="checkbox"/> 3 – 5 Years <input type="checkbox"/> 6 – 10 Years <input type="checkbox"/> 11 + Years			

Type of Business* (Check all that are appropriate)

Business Size

- Small Business
 Large Business

Ownership Gender

- Female
 Male

Type of Ownership (check only one)

- Sole Proprietorship
 Partnership
 Corporation
 Cooperative
 Limited Liability Corporation
 Other: _____

Are you registered in the SBA's System of Award Management (SAM) database? Yes No
 (Formerly the CCR)

Product & Services: Provide Core Competency.

Provide Your Companies Bonding Capability

Certification

Please include latest copy of all applicable certification letters or certificates. For DBEs, a DBE certification from the relevant state through the state Uniform Certification Program (UCP) is required.

Representation

- DOT UCP Disadvantage Business Enterprise (DBE) – State(s) of _____
 Small Disadvantaged Business
 8A Program Participant
 HUB Zone Small Business
 Veteran Owned Small Business
 Service Disabled Veteran Owned Small Business
 Woman Owned Small Business
 Other _____ (NMSDC) (WBENC)

Ownership Minority Classification (check all that apply)

- Asian-Indian American
 Asian-Pacific
 Asian-Subcontinent (Asian-Indian)
 Native American (American Indians, Eskimos, Aleuts, or Native Hawaiians)
 Alaska Native Corporation
 Indian Tribe
 Hispanic
 Black
 Other _____

Primary NAICS codes – List Number(s) and Description(s) of Products & Services.

Provide a Detailed List of Products & Services Offered.

Provide Five (5) of your Firms Largest Projects Performed in Your Core Competency.

Describe Previous Railroad and/or Transportation Related Experience in the Past Five (5) Years. Include Client Information.

Does Your Firm Have a QA/QC and/or Safety Program with a Proven Record? If Yes, Describe.

List Any and All Unique Capabilities of Your Firm.

By submitting this form and its attachments I hereby agree that the statements made are true and accurate to the best of my knowledge and to provide Amtrak with requested supporting documentation regarding this Form. If there is any change to my status regarding the aforementioned certifications, I will promptly, in writing, notify the Director of the Supplier Diversity Program. In addition, by submitting this Form, I agree that I have the authority to bind the company that I represent. I also certify, that by submission of this form, that none of our principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in contracts or other transactions by any Federal department or agency.

I further agree that I will provide to Amtrak's Supplier Diversity Office, a reaffirmation of my firm's ownership status three (3) years from the dated signature below, or upon recertification of my firm by either, the U.S. Small Business Administration, any state DOT, the NMSDC, WBENC or the U.S. Department of Veteran Affairs.

Print Name / Title

Signature / Date

/ /

Submit completed Profile Form, to the Attn. of Contracting Agent

Small Business and Disadvantaged Business Enterprises Classification Definitions

Small Business

A concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on government contracts, and qualified as a small business under the criteria and size standards in 13 CFR part 121 (see 19.102). Such a concern is "not dominant in its field of operation" when it does not exercise a controlling or major influence on a national basis in a kind of business activity in which a number of business concerns are primarily engaged. In determining whether dominance exists, consideration shall be given to all appropriate factors, including volume of business, number of employees, financial resources, competitive status or position, ownership or control of materials, processes, patents, license agreements, facilities, sales territory, and nature of business activity.

Disadvantaged Business Enterprises

As defined in 49 CFR Part 26, DBEs are for-profit small business concerns where socially and economically disadvantaged individuals own at least a 51% interest and also control management and daily business operations. African Americans, Hispanics, Native Americans, Asian-Pacific and Subcontinent Asian Americans, and women are presumed to be socially and economically disadvantaged. Other individuals can also qualify as socially and economically disadvantaged on a case-by-case basis.

Under 49 CFR 26.107 any firm which does not meet the eligibility criteria for participating in the DBE program or uses or attempts to use another firm that does not meet the eligibility criteria for participating in the DBE program yet attempts to participate in the program on the basis of false, fraudulent, or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty may be subject to suspension or debarment, enforcement action under 49 CFR Part 31 Program Fraud and Civil Remedies, and/or prosecution by the Department of Justice under 18 U.S.C. 1001 or other application law of responsible persons.

Small Disadvantaged Business

An offeror that represents, as part of its offer, that it is a small business under the size standard applicable to this acquisition; and either— (1) It has received certification by the Small Business Administration as a small disadvantaged business concern consistent with 13 CFR Part 124, subpart B; and (i) No material change in disadvantaged ownership and control has occurred since its certification; (ii) Where the concern is owned by one or more disadvantaged individuals, the net worth of each individual upon whom the certification is based does not exceed \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and (iii) It is identified, on the date of its representation, as a certified small disadvantaged business concern in the database maintained by the Small Business Administration (PRO-Net). (2) It has submitted a completed application to the Small Business Administration or a Private Certifier to be certified as a small disadvantaged business concern in accordance with 13 CFR Part 124, subpart B, and a decision on that application is pending, and that no material change in disadvantaged ownership and control has occurred since its application was submitted. In this case, in order to receive the benefit of a price evaluation adjustment, an offeror must receive certification as a small disadvantaged business concern by the Small Business Administration prior to contract award; or (3) Is a joint venture as defined in 13 CFR 124.1002(f).

8(A) Program Participant

A member of the 8(a) Business Development program in accordance with 13 CFR 124 8(A) Business Development/Small Disadvantaged Business Status Determinations.

Women-Owned Small Business

A small business concern that is at least 51% owned by one or more women; or, in the case of any publicly owned business, at least 51% of the stock of which is owned by one or more women, and whose management and daily business operations are controlled by one or more women.

HUBZone Small Business

A small business concern that appears on the List of Qualified HUBZone Small Business Concerns maintained by the SBA.

Under 15 U.S.C. 645(d), any person who misrepresents a firm's status as a small, HUBZone small, small disadvantaged, veteran-owned small, service-disabled veteran-owned small, or women-owned small business concern in order to obtain a contract to be awarded under the preference programs established pursuant to section 8(a), 8(d), 9, or 15 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall (i) be punished by imposition of fine, imprisonment or both; (ii) be subject to administrative remedies, including suspension and debarment; and (iii) be ineligible for participation in programs conducted under the authority of the Act.

Veteran-Owned Small Business

A small business concern that is at least 51% owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans and whose management and daily business operations are controlled by one or more veterans.

Service-Disabled Veteran-Owned Small Business Concern

A small business concern that is at least 51 percent owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans and whose management and daily business operations are controlled by one or more service-disabled veterans or, in the case of a veteran with a permanent and severe disability, the spouse or permanent caregiver of such veteran. Service-disabled veteran is as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).

Under Public Law 109-461 Section 8127 (g) any business concern that is determined by the Secretary of Defense to have misrepresented the status of that concern as a small concern owned and controlled by veterans or as a small business concern owned and controlled by service-disabled veterans shall be debarred from contracting with the Department of Defense for a reasonable period of time, as determined by the Secretary.

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Disadvantaged Business Enterprise (DBE) Utilization Report for Vendors

Primary Vendor Name		Period Covered by Report		Date of Report
		From	To	/ /
Employee Submitting Report			Title	
Street Address.			Email Address	
City	State	Zip	Telephone	
Amtrak Contract No.	Amtrak Contract Description			

DBE Information

As defined in 49 CFR Part 26, DBEs are for-profit small business concerns where socially and economically disadvantaged individuals own at least a 51% interest and also control management and daily business operations. African Americans, Hispanics, Native Americans, Asian-Pacific and Subcontinent Asian Americans, and Women are presumed to be socially and economically disadvantaged. Other individuals can also qualify as socially and economically disadvantaged on a case-by-case basis.

- DBE Codes:**
- K** – White Female
 - L** – Black Male
 - M** – Black Female
 - N** – Hispanic Male
 - O** – Hispanic Female
 - P** – Asian-Pacific Male
 - Q** – Asian Female
 - R** – Native American Male (includes American Indians, Eskimos, Aleuts or Native Hawaiians)
 - S** – Native American Female (see above)
 - J** – Other socially and economically disadvantaged groups as defined in 49 CFR Part 26

Provide the following information for those DBE firms you utilized (or plan to utilize) as Subcontractors. Use additional pages, if needed.

Direct any reporting questions to diverss@amtrak.com

DBE Firm		Type of Business (e.g., construction, manufacturing, professional services)		
Contact Person	Telephone	Effective Date of Subcontract	Scope of Work (e.g., paving)	
Address				
Dollar Amount Paid	DBE Code select from list	If DBE Code J, specify group:		
DBE Firm		Type of Business (e.g., construction, manufacturing, professional services)		
Contact Person	Telephone	Effective Date of Subcontract	Scope of Work (e.g., paving)	
Address				
Dollar Amount Paid	DBE Code select from list	If DBE Code J, specify group:		

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**SUBCONTRACTING PLAN FOR THE UTILIZATION OF
SMALL BUSINESS CONCERNS AND
DISADVANTAGED BUSINESS ENTERPRISES**

To be completed by Amtrak

Amtrak has determined that the following Small Business (SB) and Disadvantaged Business Enterprise (DBE) goals (expressed as a percentage of the estimated total contract value) are appropriate for this Contract:

Disadvantaged Business Enterprise 5 percent (%), **and**
Small Business 10 percent (%)

For purposes of this form, a "Small Business" is as defined in 13 CFR Part 121.
A "Disadvantaged Business Enterprise" is as defined in 49 CFR Part 26.

To assist Bidder/Offeror in meeting its SB/DBE goal, the Amtrak Supplier Diversity Office is available to provide information regarding SB and DBE subcontractor sourcing. During the open solicitation period send all SB/DBE questions via e-mail to the Contracting Agent of Record being certain to copy the Director, Supplier Diversity, at livingw@amtrak.com.

To be completed by Bidder/Offeror

Contractor:

Address: _____

Name/Title of individual completing this Plan: _____

Requirement Description; (Describe briefly the Project's core requirement your firm will Provide)

I. GOALS (percentage and dollars)

Estimated Dollar Value of this Contract: \$ _____

Estimated Dollar Value of All planned subcontracting (i.e., to all types of business concerns) under this Contract:

\$ _____

Estimated number of subcontractors (of any type) under this Contract: _____

Estimated number of subcontractors (of any type) receiving subcontracts in excess of \$50,000 under this Contract: _____

Estimated percentage of total Contract value and estimated total dollar value to be subcontracted to large business concerns (all businesses classified as other than Small Business Concerns) for this Contract:

_____ % \$ _____

Estimated percentage of total Contract value and estimated total dollar value (i.e., Contractor's Goal) to be subcontracted to *Small Business concerns* for this Contract:

_____ % \$ _____

Estimated percentage of total Contract value and estimated total dollar value (i.e., Contractor's Goal) to be subcontracted to *DBEs* for this Contract:

_____ % \$ _____

II. PRODUCTS AND SERVICES TO BE SUBCONTRACTED

Describe the products and services to be subcontracted.

Describe how the products and services to be subcontracted to *Small Business Concerns* were established.

Describe how the products and services to be subcontracted to *DBEs* were established.

Submit the name of the *Small Business Concerns* to be utilized or solicited, note the type of Small Business Concern (i.e., HUBZone, Small Disadvantaged, Women-Owned, Veteran-Owned, Service-Disabled Veteran-Owned), a description of the products and/or services to be provided, and an estimated dollar amount each is to be paid. (Attach separate page, if needed.)

Name	Product / Service	Est Dollar / Percent
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Submit the name of *DBEs* to be utilized or solicited, a description of the products and/or services to be provided, and an estimated dollar amount each is to be paid. (Attach separate page, if needed.)

Name	Product / Service	Est Dollar / Percent
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III. PROGRAM ADMINISTRATOR

Provide the name of the Contractor employee who will administer the subcontracting program for this Contract:

Name: _____

Title: _____

Address: _____

Telephone No.: _____

E-mail address: _____

Duties: The Program Administrator has overall responsibility for the Contractor’s subcontracting program, i.e., developing, preparing, and executing individual subcontracting plans and monitoring performance relative to this particular plan. Duties may include, but are not limited to, the following activities:

- A. Developing and promoting company policy statements that demonstrate the company’s support for awarding contracts and subcontracts to Small Business Concerns and DBEs.
- B. Developing and maintaining bidders’ lists of Small Business Concerns and DBEs from all possible sources.
- C. Ensuring periodic rotation of potential subcontractors on bidders’ lists.
- D. Ensuring that Small Business Concerns and DBEs are included on the bidders’ list for every subcontract solicitation for products and services they are capable of providing.
- E. Ensuring that subcontract procurement “packages” are designed to permit the maximum practicable participation of Small Business Concerns, i.e., unbundling contracts. (This may include “unbundling” requirements where appropriate.)
- F. Ensuring that subcontract procurement “packages” are designed so that DBEs are encouraged to participate.
- G. Reviewing subcontract solicitations to remove statements, clauses, etc., which might tend to restrict or prohibit participation by Small Business Concerns and DBEs.
- H. Ensuring that the reasons for not selecting any low bids submitted by Small Business Concerns and DBEs are documented.
- I. Overseeing the establishment and maintenance of contract and subcontract award records.
- J. Attending or arranging for the attendance of company representatives at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.

- K. Directly or indirectly counseling Small Business Concerns and DBEs on subcontracting opportunities and how to prepare bids to the company.
- L. Providing notice to subcontractors concerning penalties for misrepresentations of business status as a DBE or a Small Business Concern for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the contractor's subcontracting plan.
- M. Developing and maintaining an incentive program for buyers which supports the subcontracting program.
- N. Monitoring the company's performance and making any adjustments necessary to achieve the subcontract plan goals.
- O. Preparing and submitting timely reports.

IV. MAXIMUM PRACTICABLE OPPORTUNITIES

Describe the efforts your company will take (e.g., unbundling of the requirement, advertisements, announcements, contact with organizations, attending small, minority, and women-owned business procurement conferences and trade fairs, research databases) to ensure that DBEs are encouraged to participate and that Small Business Concerns have the maximum practicable opportunity to compete for subcontracts. For purposes of this Plan, an example of good faith efforts would include diligently pursuing the activities described in III. A. through O. above.

V. RECORDKEEPING

Describe the types of records your company will maintain to demonstrate procedures which have been adopted to comply with the requirements and the goals set forth in this plan, including the establishment of source lists of Small Business Concerns and DBEs.

VI. TIMELY PAYMENTS TO SUBCONTRACTORS

Describe the procedures that your company will use to ensure the timely payment of amounts due pursuant to the terms of your subcontracts with Small Business Concerns and DBEs.

VII. DESCRIBE GOOD FAITH EFFORTS

Describe the efforts your company will take to encourage the identification and award of subcontracts to Small Business Concerns and DBEs.

CERTIFICATION:

I, the undersigned, understand that the submission of this subcontracting plan will be made a material part of the contract and do hereby certify that Contractor will use best efforts to meet or exceed Contractor's own Small Business and DBE subcontracting goals as set forth above. I further certify that Contractor will submit monthly reports (NRPC Form 1483 or as otherwise directed by Amtrak) to Amtrak disclosing information concerning Small Business and DBE utilization.

(Signature)

(Printed Name)

(Title)

(Date)

This subcontracting plan was accepted by:

(Signature)

Director, Supplier Diversity

(Title)

(Date)

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High Speed Trainset U.S. Employment Plan

Offerors shall provide, as part of their proposals, a High Speed Trainset U.S. Employment Plan (Plan), which addresses the U.S. employment that is expected to be created as part of this acquisition. The Plan shall include a discussion of the following:

U.S. Production Sites: The Plan shall identify the location in the U.S. of final assembly and/or manufacture of the Trainsets, including evidence of commitment to this location such as a letter of intent, lease, purchase agreement or existing ownership of the site. The Plan shall also identify any other sites in the U.S. owned or controlled by the manufacturer where it is anticipated that a significant increase in activities and employment would occur as a result of this procurement.

Description of Jobs Created and/or Retained: The Plan shall describe the number, category and range of employment opportunities in the U.S., and at specific sites within the U.S., for both skilled and unskilled workers expected to be created or retained as part of the acquisition. This description should also include the minimum requirements for such positions and the extent that this acquisition could result in long-term employment in skilled or trade labor for persons hired for these positions.

Compensation and Benefits: In reference to the description of jobs listed above, the Plan shall include a description of the total compensation related to jobs created or retained by the acquisition and compensation ranges for each of the employment types listed in response to above including the type and value of benefits such as medical and dental coverage, retirement, paid sick leave and paid vacation.

Workforce Training Plans: The Plan shall describe the percentage of jobs by each job category or type that the manufacturer expects will be filled at the journeyman, apprentice/trainee and untrained entry level new hire, the specialized skills or certifications for each job type, plans to develop skills of new hires necessary to meet the basic qualifications of the jobs, and the extent to which such skills would be transferrable to other manufacturing positions after the end of production of the high speed Trainsets. The Plan should also identify applicable, transferrable credentialing opportunities that will be provided to new hires and plans for coordinating with existing programs for workforce development, apprenticeship and training. The proposal should also include any plans to take advantage of any publicly funded workforce development programs or union apprenticeship programs for the relevant job types.

Outreach and Recruitment Plans for New Hires: The Plan shall describe strategies and plans for the recruitment of new hires including any special outreach to achieve the veteran hiring goal and identification of disadvantaged workers, in particular, for entry level positions that will include training in contemporary manufacturing skills.

Documentation: The plan shall include the systems or other approaches that the selected manufacturer uses to document the source of new hires, the success in

achieving the goal as it relates to veterans and how the overall workforce reflects the diversity of the U.S., and the extent to which disadvantaged persons are among the new hires.

Contractors and Suppliers

The Plan shall also discuss how the Plan will cascade to subcontractors and suppliers of components of the high speed Trainsets.

The proposals shall also include strategies and plans to identify for participation in the manufacture of the equipment, its components and subcomponents, service-disabled veteran owned small businesses, other veteran-owned small businesses, and disadvantaged business enterprises, the anticipated roles that such small businesses would play in the manufacture of the high speed Trainsets, and any goals, such as dollar value of subcontracts or percentage of work, that the manufacturer would seek to achieve in this element of subcontracting.

Experience

In discussing the Plan and strategies and plans for the use of small businesses identified above, the proposal shall discuss and reference to appropriate documentation the manufacturer's past experience in successfully implementing such requirements.

Evaluation

The direct employment and contractor and supplier portion of the proposals will be evaluated on the level of detail of the proposed plans, the likelihood of success in implementing such plans including involvement of entities experienced in outreach, recruitment and training and evidence of past experience in successfully implementing such plans, and the goals and commitments to achieving those goals contained in the proposal.

Enforcement

The selected manufacturer's commitment to outreach, recruitment and training for direct and indirect employment of new hires and the use of disabled-veteran owned and veteran-owned small businesses and disadvantaged business enterprises, will be incorporated into the contracts for the manufacturer of the equipment.

Plan Administrator

The Plan should include the name of an individual employed by the Offeror who shall administer the offeror's Plan, and a description of the duties of the individual. Please add the contact information for this person (telephone number, fax number and/or email address), in case of questions and provide an alternate point of contact if applicable.

Name: _____

Title/Position: _____

Address: _____

City/State/Zip Code: _____

Telephone number: _____

Fax Number: _____

Email Address: _____

Alternate POC with contact information: _____

Definitions:

Disadvantaged Business Enterprise is as defined in 49 CFR Part 26.

Service-disabled veteran-owned small business concern —

- (a) Means a small business concern that has received written verification from the U.S. Veteran's Administration and —
 - (i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and
 - (ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.
 - (iii) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16); or
- (b) Has received written certification from any state as a service-disabled veteran owned small business.

Small Business Enterprise is as defined 13 CFR Part 121.

Veteran means a person who served in the active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable. See 38 U.S.C. 101(2).

Veteran-owned small business concern means

(a) small business concern that

i. has received verification from the U.S. Veteran's Administration and

—
(1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than

51 percent of the stock of which is owned by one or more veterans; and

(2) The management and daily business operations of which are controlled by one or more veterans; or

(b) has received written certification from any state as a veteran owned small business.

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Veterans' Utilization Plan

(Plan documents to be included as part of an Amendment to the RFP)

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Reimbursable Travel Expense Schedule

Contractor will be reimbursed for reasonable and necessary expenses associated with business travel, as provided for herein. Contractor is required to exercise prudent judgment when making travel arrangements and/or incurring associated reimbursable expenses, to ensure that these expenses are incurred only when essential to performance under the contract and only after all other alternatives (i.e., teleconferencing, video conferencing) have been considered and deemed inefficient, impracticable, or impossible.

When travel is required of Contractor, Amtrak will reimburse Contractor for reasonable and necessary business expenses for transportation, hotels, and meals, subject to the following limitations:

- **Transportation** – Travel by rail is the preferred mode of transportation; however, the most cost effective mode should be selected, using the most expeditious and economical routing. Air travel between the following points is not permitted, except in the case of hardship and/or emergency, after receiving prior written approval from the Contracting Official:
 - i. Washington, DC and New York City and any points in between;
 - ii. New York City and Boston;
 - iii. Los Angeles and San Diego;
 - iv. San Francisco/Oakland and Sacramento; or
 - v. Portland and Seattle

Personal automobile mileage expenses include gasoline, insurance, repairs, and all associated operating costs and will be reimbursed at a rate of \$.56 ½ per mile; however, reimbursement is not authorized for a personal vehicle, where rail or public transportation options are available. Where personal vehicle use is necessary, only the owner/operator is eligible for reimbursement for use of the personal vehicle when several people are traveling together.

- **Hotel** – Contractor may secure reasonably priced lodging at a basic room rate, which should not exceed \$120 per night, excluding taxes. Exceptions to this policy include the following locations and corresponding maximum rates:
 - i. New York, NY (\$300)
 - ii. Boston, MA (\$200)
 - iii. Chicago, IL (\$190)
 - iv. Philadelphia, PA (\$160)
 - v. Washington, DC (\$205)
 - vi. Oakland, CA (\$140)
 - vii. Seattle, WA (\$140)

2/25/2013