



Procurement Standard

L1-CPO-STD-002

FOR USE BY:

- EMPLOYEES WHEN COMMITTING EXPENDITURE
- SUPPLIERS AND CONTRACTORS WHEN DOING BUSINESS WITH METRO

Version: 6



PROCUREMENT STANDARD

L1-CPO-STD-002

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Effective from: 29th January 2021

Approval

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26/10/2015	3	Taken out phone number for the Fraud Hotline
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1. Introduction

Metro Trains Melbourne Pty Ltd (Metro) is the operator of the Melbourne metropolitan rail network under a franchise agreement with Public Transport Victoria. The franchise agreement came into operation on 30 November 2009 for an initial period of eight years, and has been renewed for further seven years in 2017 with option to further extend up to three years. A copy of the franchise agreement is available at <https://www.tenders.vic.gov.au/contract/view?id=63987>

Metro views its suppliers as partners and cares about the way they do business. This document, the Metro Procurement Standard, details our business conduct requirements by describing how we work with suppliers and what we expect in return. It describes our minimum standards in the areas of health and safety, sustainability, and business integrity.

All suppliers are expected to meet these standards in all of their dealings with or on behalf of Metro.

Suppliers are to stay up-to-date on Metro's standards via <http://www.metrotrains.com.au/doing-business-with-metro>.

2. Purpose and Scope

The Metro Procurement Standard is our statement of business conduct as it relates to the Procurement function. This document outlines:

- the role of the Procurement function within Metro and the way we operate;
- the expectations and commitments between Procurement and its Business Units;
- the expectations between Procurement and suppliers; and
- Metro's expectations of Metro employees and contractors.

The Metro Procurement Standard is owned by the Procurement function of Metro.

The Purpose of the Procurement Standard is to ensure that all procurement related activity is conducted with transparency and is understood by all key stakeholders in accordance with this document and the Procurement Policy (L0-CEO-POL-047).

2.1 Application of Metro Procurement Standard

This document applies to all employees as well as suppliers and contractors of Metro.

Any individual, group or company who engages in procurement related business with, or on behalf of Metro, is expected to comply with the Metro Procurement Standard in all aspects of their engagement. This includes employees who are not engaged in the Procurement function but who are required to carry out procurement and contract management activities.

Our expectations of compliance with the Metro Procurement Standard is universal. We expect every effort to be made to ensure that the standards outlined in this document are respected in all business engagements, including dealings with alliances, in which Metro participates.

Breaches of the Metro Procurement Standard by employees may result in disciplinary action including termination of employment, and in the case of a consultant, agent, contractor or supplier, may see their contract terminated or not renewed.

3. Metro's Responsibilities When Procuring

3.1 Metro Procurement responsibilities

Procurement is an internal function within Metro and our focus is to increase value for money by exercising our procurement expertise and leveraging economies of scale.

We:

- must ensure the supply chain aligns with Metro's corporate and sustainability values, policies and procedures;
- provide procurement services that deliver value for money to Metro through strategic sourcing and buying of goods and services for Metro operations;
- ensure the implementation of the Procurement Policy (L0-CEO-POL-047);
- enable, monitor and manage the sourcing process through SAP Ariba system;
- we measure and report compliance to this Metro Procurement Standard;
- collaborate with Business Units and other functions within Metro to align strategies, operational plans and continuous improvement initiatives;
- aim to deliver value for money solutions for our Business Units;
- proactively manage and develop a capable and commercially secure and sustainable supply base;
- obtain local and international sources of supply;
- obtain quotations covering price and availability from suppliers where required;
- enter contracts for goods or services;
- own the purchasing process including placement of purchase orders, which is managed through SAP Ariba and MINCOM Ellipse;
- operate the procurement process using specifications provided by our Business Units. A joint evaluation panel, which includes the Business Unit and Procurement, makes the award recommendation through consideration of jointly developed evaluation criteria. The authorisation for the expenditure is authorised through Metro's delegated financial authority;
- are engaged in the development of procurement strategies for high value and strategic goods and services.
- maintain a database of contracts.

All commitments of Metro funds must be authorised, performed and recorded in a manner consistent with appropriate commercial practice and all Metro policies, including delegated financial authority requirements.

3.2 Governance

- We procure all goods and services in accordance with this Metro Procurement Standard, the Metro Procurement Policy and all other Metro policies, procedures and standards.

- All current and potential suppliers to Metro must engage with Metro through Metro's supplier onboarding process (L0-CPO-PRO-002).
- A supplier must only commence work after receiving a valid purchase order.
- We report procurement performance to all Business Units on a regular basis. We take action to correct and improve performance where required.
- We competitively tender to ensure that Metro obtains the best value for money available considering all relevant factors including safety, quality, social, economy and environmental sustainability, delivery, specification, and cost impacts.
- We work with relevant Metro Business Units to develop and deploy appropriate strategies to manage risk with respect to, but not limited to price, quality, quantity, security of supply and contractual terms.

3.3 Sourcing

The Metro Procurement Sourcing Procedure (L2-CPO-PRO-002) establishes the minimum requirements for sourcing of goods and services.

Procurement's responsibilities are to:

- provide guidelines in adopting appropriate sourcing/procurement systems and processes;
- consult with Business Units to understand their needs and desired outcomes, to develop sourcing strategies appropriate to the goods or services being procured;
- engage with suppliers after consulting with Business Units to develop an appropriate sourcing strategy which we take to market;
- based on supplier responses, initiate and negotiate supply contracts on behalf of Metro Business Units and / or functions;
- provide standard terms of contract where applicable;

3.4 Inventory items

Metro will have most inventory items under contract or in Forward Purchasing Agreements. The replenishment of these orders will be automatically generated (where appropriate) by MINCOM Ellipse. Where no automatic generation applies, Metro stores personnel are required to raise a recommended order request in MINCOM Ellipse for these items to be replenished.

3.5 Services and non-inventory items

Services and non-inventory items require the Business Unit to initiate a SAP Ariba purchase requisition in line with the Procurement Policy. SAP Ariba platform will facilitate the approval and conversion into purchase order for transacting over the Ariba Network.

3.6 Our Business Units' responsibilities

In this document, "**Business Unit**" means any Metro employee or business district committing external expenditures on behalf of Metro.

The Business Unit is responsible for:

- defining requirements,
- adopting and supporting the appropriate sourcing process; and
- overseeing the execution of services and delivery of goods.

All stakeholders are required to keep confidential all proprietary information provided by Metro and suppliers and must abide by Metro's probity procedure and framework (L0-CCO-PRO-001) at all times.

3.7 Contract management

During the life of a contract, Metro's Business Units will manage the contract in accordance to Contract Management Framework (L0-CPO-PRO-012) and contractual terms where suppliers may be requested to meet on a periodic basis with representatives from the relevant Metro Business Units. The purposes of such meetings may include reviewing the performance of the contract and key performance indicators, examining future improvement opportunities and/or following up on any outstanding contract issues.

4. Relationship with suppliers

Metro values suppliers who match our commitment to safety, integrity, sustainability and value for money.

In the interests of a fair and competitive marketplace, we apply the same evaluation and selection process to all prospective suppliers.

Metro expects that all suppliers:

- align with our business objectives including:
 - aiming to achieve zero harm in the workplace;
 - enhancing value for money;
 - increasing operating efficiency;
 - reducing and/or eliminating waste; and
 - reducing total cost of ownership;
- are financially secure;
- are the direct manufacturer of goods, or an authorised agent/distributor;
- have competent personnel to support the goods and/or services supplied including rail safety workers must be registered with Rail Industry Worker (RIW) competency management system;
- to seek Metro's approval for any subcontracting arrangements that are required to deliver Metro's requirements and to manage them with the same terms and conditions agreed with Metro;
- maintain appropriate health, safety, environmental and quality assurance systems and processes such as the ISO9001:2015 Quality Management System must be maintained by safety critical suppliers;
- agree to supply on the basis of Metro's terms and conditions; and

- maintain policies that support fair competition and integrity, require adherence to applicable laws, standards and regulations and prohibit giving or receiving bribes, with a process for ensuring compliance.
- are proactive in managing and improving contract performance and value creation throughout the life of the contract.

4.1 Supplier qualification

Qualification of Metro's suppliers is critical to ensuring the health and safety of people, minimise negative impact to the rail network and environment, and the quality of goods and services delivered to our Business Units.

Supplier qualification involves registration and achieving a Green-flag status in The Rail Industry Contractor and Supplier Qualification Program (RICSQP). Metro has engaged Avetta to manage our contractor and suppliers and ensure that they meet and maintain all requirements and conditions of our business relationship including, but not limited to, general business, safety, quality, technical, local content, workforce, environmental, insurance, financial, sustainability, operational and rail specific.

4.2 Responding to tenders

Metro's Procurement team strategically decides, in consultation with our Business Units, whether to hold a selective or open tender.

When prospective suppliers are invited to respond to a tender, they are required to register at <http://supplier.ariba.com> if not already have a SAP Ariba supplier account. This registration process enables access to:

- the form of contract or other terms and conditions on which their bids will be based;
- the applicable business requirements and specifications and standards for the relevant goods or services; and
- instructions on the tendering process.

We are committed to protecting the confidentiality of supplier information and ensuring that a fair and consistent process is applied to all suppliers.

4.3 Supplier Panel

Supplier Panel is for obtaining competitive quotations from a panel of pre-selected suppliers. Occasionally suppliers will be invited to participate in Panel selection for certain categories of work and will be required to sign a contract with Metro. Metro personnel are required to use Supplier Panel to obtain quotations for a range of categories.

4.4 Awarding of contracts

Metro's Procurement team, in consultation with the relevant Business Unit, will consider a variety of factors in deciding which bid, if any, will be accepted, or whether all bids will be rejected.

Awards will only be made to suppliers who are able to:

- comply with all bidding requirements;

- meet Metro's health, safety, sustainable and quality requirements;
- meet the Business Unit's stated needs and required standards; and
- make the best value-for-money in reference to the relevant selection criteria.

4.5 Purchase orders

Goods or services must only be supplied when a valid purchase order number has been issued by Metro to the supplier.

Metro will refuse payment to suppliers unless a valid and complete invoice is provided that includes correct reference to the applicable purchase order.

For suppliers to transact with Metro, they are required to have at least a standard supplier account with SAP Ariba which can be registered at <http://supplier.ariba.com>. SAP Ariba supplier account will enable Metro to:

- invite supplier to accept trading relationship to enable transacting with Metro over the SAP Ariba Network (AN);
- issue electronic Purchase Orders via AN directly into supplier's SAP Ariba account;
- have supplier submit their invoices and proof of delivery directly to Metro via AN;

We are committed to a streamlined, transparent, easy and faster payment way of transacting with suppliers by the use of SAP Ariba as Metro's preferred procure-to-pay platform. SAP Ariba is the platform for all transactions except for Inventory Items.

4.6 Service expectations

Suppliers are expected to ensure that goods and services are supplied in full and on time according to specifications. All material order lines are expected to be delivered complete by the due date.

Without limiting their contractual obligations, suppliers must advise Procurement as soon as is practical if there will be any variance to committed delivery times, quantities, or locations.

4.7 Marking of Parts and Components

Goods supplied to Metro are required to be marked, identified and barcoded in accordance with the GS1 Implementation Guidelines (<https://www.gs1au.org/for-your-industry/rail>) to support Metro's and ARA's (Australian Rail Association) quality, inventory and assets management. Goods such as technical consumables, equipment and components, the barcode is required to be direct marking of durable quality that it is capable of withstanding frequent exposure to weather and reasonable wear and tear.

4.8 Non-conformance or defects

Suppliers are expected to notify Metro of any non-conformance found as soon as practicable. Suppliers are to respond to any non-conformance/defects whether raised by Metro or identified by suppliers on the timely basis with proposed solution, process and timing for Metro to assess and agree on the rectification measure in accordance to contractual terms of awarded contract or Metro's general conditions of purchase as appropriate.

4.9 Contract management

Suppliers are expected to have an appropriate level of representation attend contract management meetings.

4.10 Variations

Metro prefers fixed price contracts.

Any variation to a contract or a purchase order will be strictly reviewed and only approved in accordance with the terms of the contract or purchase order.

4.11 Use of our name, logo and trademarks by suppliers

Except as required by any applicable law, or otherwise permitted by a contract, suppliers or potential suppliers are not permitted to use the name, logo or trademarks of Metro. Similarly, suppliers or potential suppliers are not permitted to make any public announcements or disclosures in relation to the subject matter of their contract, or their dealings with any member of Metro without Metro's prior written consent.

5. Working on Metro premises

5.1 Safety

Metro is committed to a Zero Harm workplace.

Full and consistent implementation of Metro's safety standards, systems, and procedures is required wherever we operate. Everyone's behaviour contributes to an incident and injury free workplace.

We expect an equal commitment to health and safety from the businesses we work with. As a minimum, we require our suppliers to comply with all Metro safety requirements. Suppliers must comply with Metro's Safety and Environmental Requirements for Contractors and Third Parties (A2020/L0-SQE-PRO-014), a copy of which is available at <http://www.metrotrains.com.au/doing-business-with-metro>. This procedure covers site specific requirements, individual competency requirements, permits and other system requirements depending on the type of work being completed.

We value suppliers who:

- manage and communicate product health and safety risks;
- maintain an organisational commitment to health and safety management and the elimination of workplace injuries and illnesses; and
- have a process for assuring compliance with safety policies, both internally and externally, including regular audits, reviews, and safety reports.

5.2 Drugs and alcohol impairment

Metro requires all personnel (Rail and non-Rail Safety workers); including visitors entering and/or carrying out work at Metro premises to have a zero blood alcohol level and be free from the influence of drugs.

No one must possess or consume illegal drugs, or be impaired by alcohol or other drugs while working on Metro premises.

Suppliers and contractors will be required to comply with Metro's Drug & Alcohol Testing Procedure (A1029/L0-SQE-PRO-055) while working on Metro premises.

Random alcohol and drug testing is conducted at Metro sites. No prior notice will be given of random testing.

Failing to comply with Metro's zero tolerance will result in the individual being escorted from site and banned from work for Metro.

5.3 Health

We are committed to the health and wellbeing of our employees and the people who work with us.

We require suppliers to maintain compliance with all Metro health and safety requirements. We also expect suppliers to demonstrate commitment to responsible health management programmes.

5.4 Employment

We respect the rights and dignity of employees throughout our own operations and those we do business with.

We require safe and effective working relationships at all levels throughout Metro.

Employees or contractors who have evidence of wrongdoing should report this to their line manager or, if that is not practicable, to email fraud@metrotrains.com.au taking care not to send sensitive information via emails or attachments to emails. If you have information that requires secure transmission, please leave your contact details. Metro will call you to make appropriate arrangements. Alternatively if you do not want to make a report via the post addressed to the Head of Internal Audit & Enterprise Risk, Metro Trains Melbourne Pty Ltd, GPO Box 1880, Melbourne VIC 3001, Australia.

We require our suppliers to adhere to all applicable laws, standards and regulations. We value suppliers who adopt policies similar to Metro's, and who are free of material violation.

6. Sustainability

Sustainable procurement involves the assessment of economic, social and environmental costs and benefits across the entire life cycle of goods and services. This includes consideration of broader social and environmental risks that extend to suppliers throughout the supply chain.

We are committed to a sustainable supply chain and we expect our employees and suppliers to make informed choices in sourcing, buying and logistics.

6.1 Environment

MTM has an ISO 14001:2015 certified Environmental Management System and is committed to environmental protection and sustainable development. We expect our suppliers to comply with all Metro environmental requirements and value suppliers who are committed to, and can demonstrate:

- Risk based environmental management that applies best practice controls to manage risks and protect environmental values
- Identification and management of opportunities for beneficial impacts
- Waste minimisation
- Energy and water efficiency
- Green House Gas (GHG) emissions reduction/ minimisation
- Product stewardship that minimises impacts across the entire lifecycle
- Maximising recyclable and recovered content and packaging
- Biodiversity protection and habitat destruction minimisation
- Certification or alignment with energy and environmental standards e.g. ISO 14001, ISO 50001
- Ecolabel certification and environmental product declarations, e.g. Energy Star, Water Rating, Forest Stewardship Council (FSC), Good Environmental Choice Australia (GECA), Ecospecifier, GreenTag, EPD Australasia

6.2 Social

We recognise the success of Metro is greatly dependant on our local community and workers in our supply chain. We have multiple initiatives and commitments in place to support the employment of under-represented workforces, engagement of Aboriginal and Torres Strait Islander's business and social enterprises alongside with anti-modern slavery and ethical sourcing.

We look to our supplier base in co-labouring with us to uphold human and labour rights by contributing to our initiatives and commitments whether directly or indirectly.

6.3 Economy

We recognise that economic benefits can be achieved through sourcing products and services locally.

In line with Metro's Local Industry Development Plan (LIDP), we are committed to supporting local suppliers and maximising local steel content via purchases sourced from Australia and New Zealand. Each project and alliances that Metro participates in may have more specific targets for respective spend categories concerning local content and local jobs creation with skill guarantee.

The Local Jobs First policy can be found at <https://localjobsfirst.vic.gov.au/> and franchise commitments can be found at <https://www.tenders.vic.gov.au/contract/view?id=63987>.

7. Business integrity

We are committed to the principles of business integrity.

Employees who breach Metro's Code of Conduct (L0-CEO-POL-002) or any of its policies may face disciplinary action. Serious or persistent breaches could result in termination of employment. Where circumstances warrant, Metro may seek civil or criminal prosecution of the employee(s) involved. Contractors who breach Metro's Code of Conduct may have their contract with Metro immediately terminated.

Suppliers must comply with the "Procurement – Supplier Code of Conduct" (SCoC) published by the State of Victoria, as amended from time to time. The SCoC is available at <https://www.buyingfor.vic.gov.au/ensuring-ethical-procurement-through-supplier-code-conduct-suppliers>. Metro's suppliers must allow Metro (or any persons appointed or approved by Metro) to have access to and to obtain information from the Supplier's records and employees, officers, contractors or agents for the purposes of auditing the supplier's compliance with the SCoC.

7.1 Trade practices compliance and anti-fraud

We are committed to the principles of free and fair competition.

We require our suppliers and their personnel to comply with all applicable laws, regulations, rules, and orders relating to anti-fraud and unfair competition and trade practices.

We require all suppliers and tenderers not to engage in any collusion with other potential suppliers or tenderers.

Suppliers or tenderers who want to raise an issue, complaint or concern about the procurement activity or contract management should write a detailed email to supplier.complaints@metrotrains.com.au. Alternatively, if you do not want to make a report via email, you may send your report to the Procurement & Supply Chain, Metro Trains Melbourne Pty Ltd, GPO Box 1880, Melbourne VIC 3001, Australia.

7.2 Anti-corruption

Metro prohibits bribery and corruption in all forms, including 'facilitation payments' whether directly or indirectly, in order to obtain, retain or direct business or secure any other improper advantage in the conduct of business.

7.3 Supplier Whistle Blowers Hotline

Suppliers who want to raise an issue, complaint or concern about misconduct by any Metro Supplier should call the Avetta Whistle-blowers hotline on 0412 024 718.

Misconduct meaning; but not limited to

- Dishonesty;
- Corruption (including soliciting, accepting or offering a bribe, facilitation payments or other such benefits);
- Fraud, a deliberate deception to secure unfair or unlawful gain;
- Illegal (including theft, drug sale or use, violence or threatened violence and property damage);

- A breach of any law, regulation, internal policy or code (such as our Code of Conduct (L0-CEO-POL-002));
- Impeding internal or external audit processes;

7.4 Acceptance and declaration of benefits, gifts or hospitality

Gifts, entertainment, travel and per diem reimbursements must not be given or received as a reward or encouragement for preferential treatment.

Metro employees and contractors must:

- declare and decline all offers of benefits, gifts and hospitality, (other than infrequent benefits, gifts or hospitality that are of a nominal value);
- for offers of a legitimate business purpose declare and seek approval by complete and forward hospitality declaration and approval form to management for authorisation (as required in accordance within the procedure);
- not request gifts or benefits during the course of their Metro duties;
- deal with all offers of gifts or hospitality in a timely, ethical, accountable and transparent manner;
- identify and escalate potential or real bribes to management immediately;
- not accept a gift or hospitality where their acceptance of the gift or hospitality may cause them to act in a partial or biased manner during the course of their Metro duties (or be perceived to have so acted);

Metro employees involved in tender processes including Metro's Procurement function must comply with Metro's Probity Framework and Procedure (L0-CCO-PRO-001).

7.5 Confidentiality

We protect Metro's confidential information as well as the confidential information entrusted to us by others, including Business Units and suppliers.

All supplier information, including pricing, drawings and know how, is treated in the strictest confidence and only used for the purpose for which it was provided.

All Metro suppliers must respect and protect the intellectual property rights of Metro in the course of conducting business. Any Metro intellectual property that is provided to a supplier directly or indirectly in the course of conducting business may be used only for the purpose for which it is provided.

In addition, suppliers must ensure they store and maintain any Metro intellectual property securely, safely and confidentially and that they do not make it available to any third parties, including subcontractors, without Metro's express written authorisation.

Where a supplier intends to disclose information to Metro that is confidential information of that supplier, the supplier is expected to inform Metro prior to disclosure.

7.6 Conflicts of interest

We all must ensure that our personal activities and interests do not conflict with our responsibilities to Metro. Even the appearance of a conflict of interest should be avoided. Conflicts of interest may involve, among other things:

- an outside business relationship with, or interest in, a supplier, Business Unit or competitor;
- a business relationship on behalf of Metro with any person who is a relative or a personal friend, or with any company controlled by such a person;
- a position where you have influence or control over the job evaluation or compensation of any person who is a relative or romantic partner; and
- an actual or potential supplier, directly or indirectly, providing personal benefits other than corporate merchandising of a nominal value (less than \$50) or hospitality less than \$100 (unless declared), to a Metro employee or consultant.

We expect our suppliers not to pursue business opportunities where there is a conflict of interest with their responsibilities to Metro.

In order to ensure fair and competitive tendering and procurement processes, Metro has procedures in place to manage actual or potential conflicts of interest and probity issues involving its related parties; i.e. Tender process Conflict of Interest Declaration, Annual People and Performance Conflict of Interest and Avetta Annual Update Supplier Conflict of Interest Declaration.

7.7 Compliance

Suppliers are expected to comply with all applicable laws, requirements, regulations, standards, specifications, rules and controls in the supply of goods and services to Metro.

This Metro Procurement Standard is subject to audit and non-compliance by Metro personnel may result in disciplinary action including termination of employment. In addition, any consultant, agent, contractor or supplier who does not meet the requirements of this Metro Procurement Standard may see their contract terminated or not renewed.

8. Interpretation

All Metro personnel are governed by the terms and conditions of employment as agreed with Metro. Nothing in this document detracts from those terms and conditions.

Metro reserves the right to interpret and vary its policies and procedures (including the Metro Procurement Standard) when it determines appropriate. Metro may at its sole discretion change, make exceptions to, or discontinue any of the principles in this document at any time, and without advance notice.

Metro actively supports suppliers in the establishment of better practices in order to meet and exceed the standards outlined in this Procurement Standard and how it is operating in practice. The latest version of the Procurement Standard is available on our website at <http://www.metrotrains.com.au/doing-business-with-metro>.

9. References and Related Documents

9.1 For Suppliers

- The following Metro documents are available at: <http://www.metrotrains.com.au/doing-business-with-metro>
 - Metro Procurement Standard (L1-CPO-STD-002)
 - Drug & Alcohol Testing Procedure (A1029/L0-SQE-PRO-055)
 - Safety and Environmental Requirements for Contractors and Third Parties (A2020/L0-SQE-PRO-014)
- Train Franchise Agreement: <https://www.tenders.vic.gov.au/contract/view?id=63987>
 - Metro's Local Industry Development Plan (LIDP)
- Victoria State Procurement – Supplier Code of Conduct” (SCoC): <https://www.buyingfor.vic.gov.au/ensuring-ethical-procurement-through-supplier-code-conduct-suppliers>
- Local Jobs First policy: <https://localjobsfirst.vic.gov.au/>
- Rail Industry Worker (RIW): <https://www.riw.net.au/>
- GS1 Implementation Guidelines: <https://www.gs1au.org/for-your-industry/rail>
- Avetta: <https://www.avetta.com/>
- SAP Ariba Supplier Portal: <http://supplier.ariba.com>

9.2 For Metro Business Units

L0-CEO-POL-002 Code of Conduct

L0-CEO-POL-047 Procurement Policy

L0-CCO-PRO-001 Probity Procedure and Framework

L0-CPO-PRO-002 Supplier Onboarding Procedure

L0-CPO-PRO-012 Contract Management Framework

L2-COM-PRO-002 Procurement Sourcing Procedure