

## **Transport is committed to managing our compliance obligations as an integral part of delivering on our public mandate and strategy, leadership commitment and core values.**

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Transport expects its staff to behave lawfully and maintain the highest standards of integrity and diligence in all areas of public accountability to meet the expectations of our people, stakeholders and community in a socially acceptable way.

Transport's public mandate of delivering a safe, integrated and efficient transport network for the people of NSW comes with the responsibility that we comply with obligations that govern us. These include laws and regulations; government directives and mandatory policies; industry standards and codes; commitments in agreements, contracts and licence conditions; and core Transport policies.

Ownership for compliance lies with all of us. This Policy, our Code of Conduct, cultural aspirations and Five Ways of Leading guide how we make decisions on managing obligations and respond to non-compliance.

Transport is committed to:

- A consistent, systematic and risk-based approach to compliance in order to manage our legal, financial and reputational risks, and achieve governance and assurance outcomes
- A culture of ownership and clear accountabilities for good compliance
- Prioritising action on high risk compliance issues and continuously improving our compliance effectiveness.

This Policy should be read and applied in conjunction with Transport's Enterprise Compliance Framework and Enterprise Obligations Register.

Non-compliance with this Policy and Transport's compliance obligations may result in disciplinary action, including termination of employment or contract. Non-compliance with Transport's obligations may also give rise to criminal or civil legislative penalties.

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### **To achieve these commitments, Transport will:**

- Meet NSW Treasury and other best practice expectations for compliance management by adopting standards in the Enterprise Compliance Framework
- Expect accountable leaders to benchmark current practices against enterprise standards and uplift maturity using Good Practice Guides in the Enterprise Compliance Framework
- Provide confidence and visibility to the Transport Executive by reporting on compliance performance
- Equip our people with resources, tools and training to understand and meet compliance obligations relevant to their role
- Provide appropriate independence, authority and resourcing for compliance to achieve the intended outcomes of the Enterprise Compliance Framework
- Expect our leaders to promote a safe environment where staff have the courage to speak up and feel protected when reporting non-compliance.

# Transport Compliance Policy

CP21011



## This Policy applies to staff performing work for the following:

- Transport for NSW
- Department of Transport
- Sydney Trains
- NSW Trains
- State Transit
- Sydney Metro
- The Point to Point Transport Commissioner.

'Staff' includes all permanent, temporary and casual staff, staff seconded from another organisation and contingent workers including labour hire, professional services contractors and consultants.

This Policy supersedes CP20008 TfNSW Compliance Policy.

A handwritten signature in black ink, appearing to read 'Rob Sharp'.

**Rob Sharp**  
**Secretary**

02 November 2021