

Transport for NSW

Statement of Business Ethics

July 2023



OFFICIAL

Contents

- 01 Purpose
- 02 What we expect of you
- 03 What you can expect of us
- 04 Further guidance

Rewards and incentives:
gifts, benefits, hospitality, meals,
travel and accommodation

Conflicts of interest

Environmental sustainability

Sponsorship

Labour and modern slavery

Workplace health and safety

Lobbying

Confidentiality and intellectual
property rights

Ethical communication

Post-separation employment

Payment of invoice or claim

How do I report wrongdoing?

Speak up

Other internal reporting channels

01 Purpose

This Statement of Business Ethics provides guidance to existing and potential partners, and suppliers on the ethical standards and expected behaviours when doing business with Transport.

Transport is the cluster of government agencies that are responsible for the planning, building and supply of public transport and road services in NSW.

These agencies are:

- Transport for NSW (TfNSW)
- Department of Transport (DoT)
- NSW Trains/NSW TrainLink
- NSW Trains
- State Transit Authority (STA)
- Sydney Metro
- Sydney Ferries

Transport agencies are committed to ensuring work is undertaken with integrity, transparently and in an ethical manner at all times. When conducting business with Transport agencies, commercial partners and suppliers are expected to abide by the same standards of transparency and integrity.

Compliance with this Statement will allow commercial partners and suppliers and Transport agencies to jointly advance their business objectives in a fair and ethical manner.

Non-compliance with our ethical requirements when doing business with a Transport agency could lead to:

- termination of contracts
- loss of future work
- damage to reputation
- investigation for potential corruption, and/or
- matters being referred for criminal investigation/prosecution.

02 What we expect of you

We expect our commercial partners and suppliers in all dealings with Transport agencies to:

- comply with applicable laws, regulations, policies, procedures and good business practices, such as the [NSW Government Procurement Policy Framework](#)
- ensure that those providing services to a Transport agency as labour hire, professional services contractors and consultants and third parties are educated about, and comply with the [Transport Code of Conduct](#) and related agency policies and procedures
- act ethically, transparently and honestly
- provide accurate and reliable advice and information
- declare actual, potential or perceived conflicts of interest as soon as identified
- prevent the unauthorised disclosure of confidential Transport agency information
- be consistent with the [NSW Government Supplier Code of Conduct](#) by not offering or providing any financial or non-financial benefits to NSW Government employees or contractors. This includes offers of gifts, benefits, hospitality, rewards and/or incentives to Transport agency staff and people working on behalf of a Transport agency
- not discuss or represent a Transport agency's business or information in the media
- assist the Transport agency to prevent unethical and unlawful practices in business relationships by reporting wrongdoing
- respond to reasonable requests for information, including those associated with Transport agency audits and investigation activities, and
- manage their own business risks, including those associated with fraud, corruption and information security, to the satisfaction of the Transport agency.

These expectations extend to any sub-contractors utilised by commercial partners and suppliers to deliver work for a Transport agency.





03 What you can expect of us

When doing business, Transport agencies are expected to ensure there is accountability and in doing so staff and where relevant, people working on behalf of a Transport agency are expected to:

- comply with NSW Government and Transport agency policies and procedures including Transport's policies and procedures on conflict or interests, secondary employment, gifts and benefits and procurement
- behave honestly and with integrity
- be transparent and unbiased in their treatment of all proponents and suppliers
- protect and use Transport agency resources in a proper (i.e. efficient, effective, economical and ethical) manner
- achieve value for money (noting this does not always mean the lowest price)
- be accountable for their official decisions and actions and be open in business dealings, subject to commercial-in-confidence, security, and privacy considerations
- respond promptly to reasonable requests for advice and information and not disclose confidential or proprietary information
- provide accurate and reliable information to assist commercial suppliers and partners fulfil their obligations
- not call for tenders unless there is a firm intention to proceed to contract at the time of making the call
- avoid, declare and manage situations where private interests conflict, or could be perceived to conflict, with official duty
- not solicit, for themselves (or for any other person) any remuneration, gift, reward, incentive or benefit
- report unethical conduct to an appropriate authority.

People working on behalf of a Transport agency are expected to behave honestly and with integrity.

04 Further guidance

Rewards and incentives: gifts, benefits, hospitality, meals, travel and accommodation

Consistent with the NSW Government Supplier Code of Conduct, commercial partners and suppliers must not offer or provide any rewards or incentives in connection with any prospective or current business dealings. Staff and people working on behalf of a Transport agency, are not permitted to request such rewards or incentives and must decline any gifts, benefits, travel or hospitality offered, irrespective of whether those people are directly involved in the procurement or not.

Offers of gifts and benefits, including those declined, are required to be recorded in a Gifts and Benefits Register.

Transport agencies cover the costs of travel and accommodation for staff and people working on behalf of a Transport agency, as required in the course of business. Any further offers to pay for these

arrangements in association with demonstrating products or services to the Transport agency should be made to the relevant senior manager for consideration.

Conflicts of interest

Where it is identified that dealing with a Transport agency could lead to a conflict of interest, the commercial partner or supplier must report this to the Transport agency immediately. Arrangements may be made to separate activities to mitigate the risk of this conflict arising.

Conflicts of interest may arise where a person's private interests could be perceived to be favoured over their official or business duties.

The term 'private interests' includes not only an individual's own personal, professional or business interests, but also those of individuals or groups with whom they are closely associated. This can include relatives, friends or even rivals. Interests can be either pecuniary or not.

Managing risks associated with conflicts of interest is key to ensuring that integrity and public trust are maintained.

Environmental sustainability

We expect our suppliers to minimise the environmental impact of their operations and maintain environmentally responsible policies and practices.

Sponsorship

A Transport agency may consider a sponsorship by commercial partners and suppliers or provide sponsorship where it is deemed to be consistent with corporate values and goals and delivers public value.

Any sponsorship arrangement must be open and transparent and should not create any perception that it will improperly influence Transport agency decision-making.

Labour and Modern Slavery

Commercial partners and suppliers must provide a fair and ethical workplace free from workplace bullying, harassment, victimisation and abuse. Commercial partners and suppliers are also expected to make all reasonable efforts to ensure that modern slavery (as defined in the Modern Slavery Act 2018 (NSW)

- which includes slavery, servitude, forced labour, human trafficking, debt bondage, organ trafficking, forced marriage and the exploitation of children) is not occurring in their operations or supply chains or the operations or supply chains of any entity they own or control, and to provide any information requested to help a Transport agency comply with its reporting obligations under the Modern Slavery Act. For more information see nsw.gov.au/modern-slavery.

Workplace health and safety

Transport agencies are committed to maintaining a safe and healthy work environment for all people undertaking work for Transport. We expect our commercial partners and suppliers to provide a safe work environment and integrate sound health and safety management practices into their business, including ensuring all people providing services to a Transport agency are aware they must not consume alcohol or drugs while on duty, on a Transport agency's premises, or perform any duties for a Transport agency while under the influence of alcohol or drugs. Suppliers must comply with all applicable laws and regulations relating to workplace, health and safety.

Lobbying

A lobbyist is any person or organisation whose business includes being contracted or engaged to represent the interests of a third party to a Government representative. Where suppliers feel that their potential communication with a Transport agency may place them in this category they are advised to consult the [Lobbying of Government Officials Act 2011 \(NSW\)](#) and the [Electoral Commission NSW website](#) to ensure that they are registered prior to making contact with the Transport agency.

Confidentiality and intellectual property rights

All Transport agency information should be treated as confidential unless otherwise indicated or unless it is already lawfully in the public domain.

In business relationships with us, we will respect each other's confidential information and intellectual property rights and will formally negotiate any access, license or use of intellectual property.

Ethical Communication

All communication should be clear and direct to support accountability and minimise the risk of perception of inappropriate influence being brought to bear on the business relationship.

Post-separation employment

A commercial partner or supplier intending to employ or engage a current or former Transport member of staff in relation to any work with a Transport agency should first discuss this with the Transport agency representative.

Payment of an invoice or claim

Prior to payment of an invoice or claim, certification of the receipt of goods or performance of services must be recorded on the invoice. This process certifies receipt of the goods/service, rates of charge and computation, and authority for approval of expenditure. Once these certifications are complete, the invoice or claim should be paid on time, in accordance with the provisions of the contract for goods or services.



How do I report wrongdoing?

If you are concerned about a possible breach of this Statement, or about any conduct that is unethical or illegal, or could involve fraud, corrupt conduct, maladministration, or serious and substantial waste of public funds, report this via one of these internal channels:

Speak Up

The Speak Up reporting platform is available for all employees, contractors, suppliers and volunteers to use to report any actual or suspected issues, wrongdoing or illegal conduct that may be occurring in or impacting our place of work. When you contact Speak Up you will be assisted confidentially by an external professional experienced in dealing with complex and sensitive issues.

Making a Report

There are a number of ways you can make a report:

Complete an online form

[Click link](#) or scan the QR Code, below:



Call

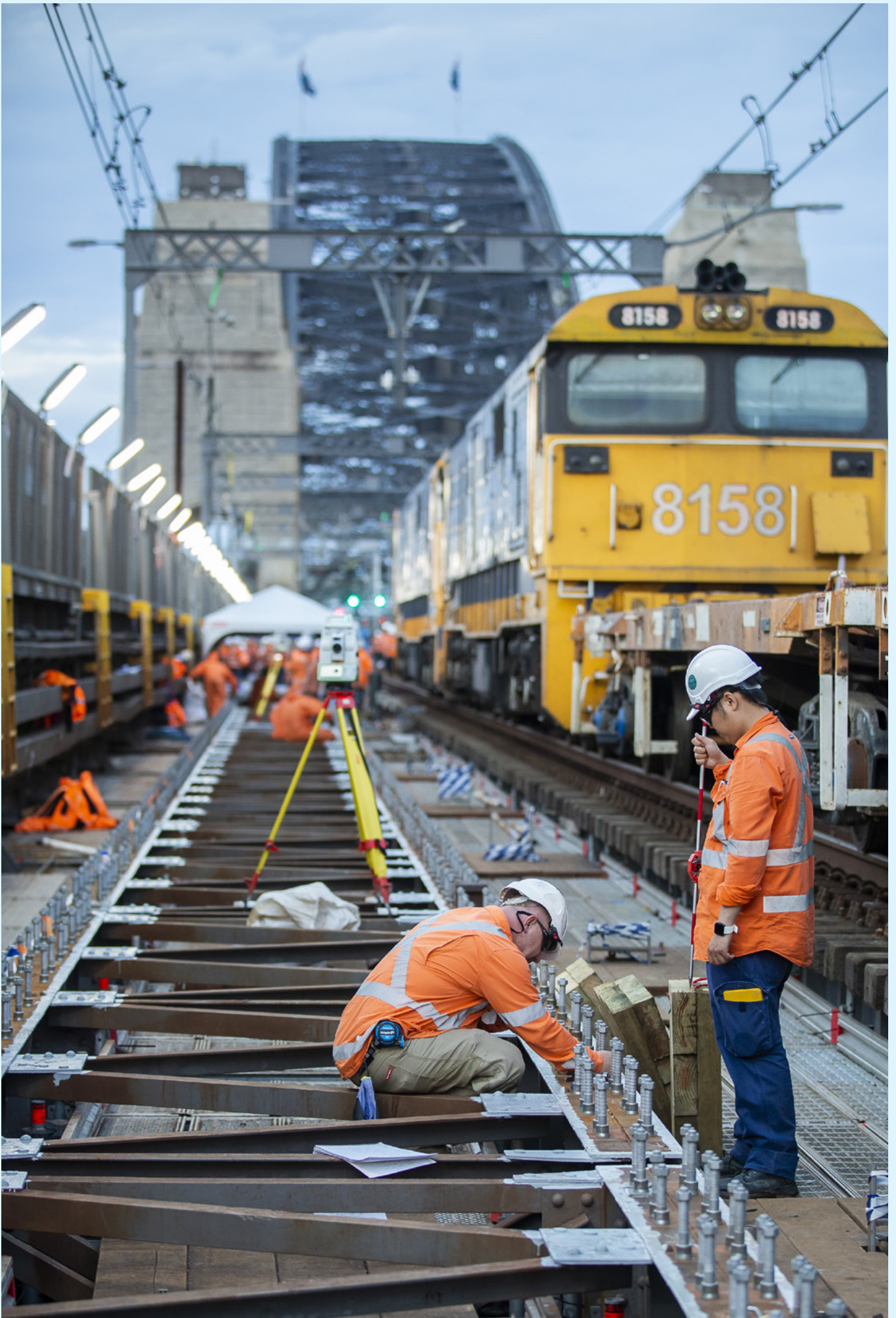
1800 814 813

Email

transportspeakup@coreintegrity.com.au

Post

PO Box 730, Milsons Point 1565



Transport supports all staff and contractors who report wrongdoing.

The Public Interest Disclosures Act 1994 applies to:

- Individuals engaged under a contract providing services to or on behalf of a Transport agency
- Individuals contracted to a Transport agency performing public official functions or acting in a public official capacity.

External channels

If you do not want to report your matter internally, you can report via the following external channels:

Type of disclosure	Reporting Channel
Corrupt conduct	<i>Independent Commission Against Corruption (ICAC)</i>
Serious and substantial waste	<i>Auditor-General of the NSW Audit Office</i>
Police misconduct	<i>Law Enforcement Conduct Commission</i>
Maladministration	<i>NSW Ombudsman</i>
Breaches of the GIPA Act	<i>Information Commissioner</i>



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