

1. Purpose of the policy

Transport's purpose is to connect customers and communities with a safe, reliable, sustainable and integrated transport system.

Transport is committed to meeting its compliance obligations as an integral part of delivering on our purpose and strategy, leadership commitment and core values. Compliance obligations include laws and regulations, government directives and mandatory policies, and industry standards and codes.

This policy outlines the principles and requirements that enable Transport to achieve compliance and applies in conjunction with Transport's Enterprise Compliance Framework and Enterprise Obligations Register.

2. Who does it apply to?

This policy applies to permanent, temporary, and casual staff, staff seconded from another organisation, and contingent workers including labour hire, professional services contractors and consultants performing work for any of the following agencies:

Department of Transport* except for staff working in DoT who follow Department of Planning and Environment policies	YES
Transport for NSW	YES
NSW Trains	YES
Sydney Trains	YES
Sydney Metro	YES
Sydney Ferries	NO
State Transit	NO
The Point to Point Transport Commissioner	YES

3. Principles and requirements

3.1 Principles

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

Policy number: CP21011.1	Effective date: 15/11/23
Policy owner: ED, Enterprise Governance & Assurance	Review date: 15/11/25
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- A culture of ownership and clear accountabilities for good compliance
- Prioritising action on high-risk compliance issues and continuously improving our compliance effectiveness.

3.2 Requirements

To achieve these commitments, Transport must:

- 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, embed controls to meet obligations 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.

4. Compliance with this policy

You are required to comply with this policy. If you do not do so, this may result in disciplinary action up to and including termination of your employment or contract. Non-compliance with Transport's obligations may also give rise to criminal or civil legislative penalties.

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Appendix A:

5. Accountabilities

Ownership for compliance lies with all of us and Transport expects its staff to behave lawfully and maintain the highest standards of integrity and diligence in all areas of public accountability. 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.

Accountabilities of different roles in Transport for enabling compliance outcomes and managing compliance obligations are detailed in the Enterprise Compliance Framework.

6. Related/supporting material

1. [Enterprise Compliance Framework](#)
2. [Transport Code of Conduct](#)

7. Document control

7.1 Superseded documents

This policy replaces the following document:

- CP21011 Compliance Policy

7.2 Document history

Date & Policy No	Document owner	Approved by	Amendment notes
15 November 2023 CP21011.1	Executive Director Enterprise Governance & Assurance	Deputy Secretary Corporate Services	Reflect current enterprise compliance approach
2 November 2021 CP21011	Executive Director Enterprise Governance & Assurance	Secretary	Superseded CP20008. Reflects current Transport-wide compliance approach

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7.3 Feedback and help

For advice on interpreting or applying this document, please contact the **Enterprise Compliance Team**.

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