NCP Annual Reporting Questionnaire 2022

A. CONTACT INFORMATION

Please provide the contact information of the person filling in the questionnaire.

B. INSTITUTIONAL ARRANGEMENTS	
(a) Structure, location and composition of the NCP	
1. What is the structure of the NCP?	Single-agency
Did the structure of the NCP change in 2022? If yes, please provide details in the comment box at the end of this section.	No
	The AusNCP structure is managed by a Senior Official and supported by a secretariat in the Australian Treasury. The Senior Official is responsible for all decision-making, except for complaints (specific instances).
2. Who are the members of the NCP? Please describe the functions of the members of the NCP and the ministry/agency or stakeholder organisation they represent. No names are required.	In 2022, decision-making and management of complaints was contracted to three individual Independent Examiners (remunerated, part time). The Independent Examiner position established in 2019, also undertakes promotion activities and is supported by the AusNCP secretariat.
	The AusNCP structure also includes a multistakeholder Governance and Advisory Board with members from the Australian Government, civil society, business and trade unions, with oversight, advisory and promotional responsibilities.
3. If the NCP is not a <u>single-agency NCP</u> , does it have a <u>secretariat</u> ?	Yes
If yes, in which ministry or agency?	Treasury Ministry with an economic focus (trade, finance, etc.)
If yes, in which department of the ministry or agency?	Market Conduct Division
If yes, did the location of the secretariat change in 2022?	No
4. Has the NCP been established through a legislative, regulatory or administrative instrument (e.g. a statute, a decree, a ministerial resolution)?	No
If yes, please provide the name and date of this instrument, and a link if available	n/a

Additional comments on Structure, location and composition of the NCP Click here to enter text.				
(b) Advisory body				
5. Does the NCP have one or several advisory bodies? One	Yes			
If the NCP has several advisory bodies, please specify. If yes, please describe the advisory body(ies)' functions (e.g. advising on promotion, on specific instance handling in general, on individual cases, providing <u>oversight</u> , etc.)	n/a Please refer to <u>Advisory Board</u> details.			
If yes, please list the names of organisations that are represented on the advisory body(ies) and the type of organisation. (e.g. government, business, business organisation, NGO, trade union, academia, consumer organisation, etc.)	Please refer to <u>Advisory Board</u> list of members represent.	Terms	of Refer	ence for a full
If yes, were business stakeholders represented?	Yes			
If yes, were trade union stakeholders represented?	Yes			
If yes, were NGO stakeholders represented?	Yes			
If yes, please indicate how often the advisory body(ies) meets	Twice a year			
6. If an advisory body provides oversight, please describe the oversight procedure	Yes, the body provides oversight on the promotion of responsible business conduct for multinationals and the management of complaints, including consultation on draft statements and procedural reviews, if required. Please refer to the AusNCP <u>Governance and</u> <u>Advisory Board Terms of Reference</u> for further details.			
<i>Additional comments on Advisory body:</i> Click here to enter text.				
(c) Human and financial resources				
7. Does the NCP have dedicated full-time staff? If yes, please indicate the number.	Yes		4	
Does the NCP have dedicated part-time staff? yes, please indicate in the second box the number of part- ne staff members and in the third box the percentage of ne spent on NCP matters for each part-time staff ember .		2		Senior Executive Officer: 10% Secretariat Director: 0.67, 100% of that time spent on NCP

9. Have any full-time or part-time staff members joined the secretariat during the year? If yes, please indicate how many.	Yes, full-time staff member(s)	2	
10. Have any full-time or part-time staff members left the NCP during the year? <i>If yes, please indicate how many.</i>	No	Click here to enter text.	
11. Did the NCP have a <u>dedicated budget</u> this year?	Yes	1	
If no, were financial resources for promotional activities	Choose an item.		
allocated on an ad hoc basis when requested by the NCP? If no, were financial resources for specific instances allocated on an ad hoc basis when requested by the NCP?	Choose an item.		
12. During the year, did the human and financial resources available to the NCP allow it to:			
Handle specific instances in an efficient and timely manner	Yes		
Organise promotional events	Yes		
Attend NCP meetings at the OECD	No		
Attend events organised by other NCPs	N/A: The NCP was not attend such events	invited to/chose not to	
Attend events organised by stakeholders	Yes		
Cover professional mediator fees or in-house mediator fees	Yes		
Conduct fact-finding research into specific instances	Yes		
If you answered no to any of the above, please specify	Treasury provides hum resources to enable Au meetings virtually outsid	SNCP to attend NCP	
 Additional comments on Human and financial resources: Please see comments on structure at A.2. At the end of 2022, Ministry* staff comprised of: X1 Senior Executive official (part-time) X1 Secretariat Director (part time) X2 Secretariat Assistant Directors (full time) X2 Secretariat officers 			
*Excludes the Independent Examiners (counted as 'Yes' in professional/in-house mediator fees).			
(d) Reporting			
13. Does the NCP report to the executive on its activities?	Yes		
If yes, how often?	On an ongoing basis		
14. Does the NCP report to the legislative body on its activities?	Yes		
If yes, how often?	Three times a year		
15. Please indicate any other relevant transparency requirement (e.g. access to information or disclosure laws) applicable to the NCP in your country	Freedom of Information	1	
<i>Additional comments on Reporting:</i> Information about the AusNCP is also provided in the Treasury's Annual Report and Annual Budget Statement.			

C. INFORMATION AND PROMOTION		
(a) NCP website ¹		
16. Does the NCP have a website? If yes, please provide the link in the second box.	Yes	https://ausncp.gov.au/
If yes, was the website created/renovated this year?	Yes	
17. Are the following items available on the NCP website?		
Information about the Guidelines and the role of the NCF	•	
The text of the Guidelines	Yes	
A description of the Guidelines	Yes	
The OECD Due Diligence Guidance Documents	Yes	
Explanatory text about due diligence	Yes	
Information on the NCP and its mandate	Yes	
The NCP Annual Report submitted to the OECD	Yes	
The NCP's Report to the executive and/or legislative (if applicable)	Yes	
The NCP's peer review report (if applicable)	Yes	
Information about specific instances		
Information on how to submit a specific instance	Yes	
An online form to submit a specific instance	Yes	
The NCP's rules of procedure	Yes	
All final statements since 2011	Yes	
Information on promotional activities		
The NCP's promotional plan	No	
Information on upcoming events promoting the Guidelines	Yes	
Information on past events promoting the Guidelines	Yes	
Contact information		
Information on how to make an enquiry to the NCP	Yes	
A phone number to reach the NCP directly	Yes	
An email address to reach the NCP directly	Yes	

Additional comments on NCP website:

Click here to enter text.

(b) Promotional activities²

1

This includes dedicated NCP webpages as part of the Ministry's website.

² Attendance of NCP meetings held at the OECD and other OECD events such as the Global Forum on Responsible Business Conduct are not considered to be promotional activities.

18. Does the NCP have a promotional plan for the coming year(s)?	Yes
19. Did the NCP organise or co-organise events to promote the Guidelines and/or the NCP during the year? <i>If yes, please provide details in table 1 in Annex 1.</i>	Yes
20. Did the NCP make a presentation to promote the Guidelines and/or the NCP in events organised by others? <i>If yes, please provide details in table 2 in Annex 1.</i>	Yes
21. Did the NCP make use of social media to communicate on NCP promotional activities during the year?	Yes
22. Did the NCP hold a <u>stakeholder meeting</u> during the year?	Yes
23. Did the NCP promote the Guidelines among the business community during the year?	Yes
24. Did the NCP carry out any training on the Guidelines aimed at businesses during the year?	Yes
25. Did the NCP promote the Guidelines among NGOs during the year?	Yes
26. Did the NCP promote the Guidelines among trade unions during the year?	Yes
27. Did the NCP promote the Guidelines among government agencies during the year?	Yes
28. Did the NCP promote the Guidelines among embassies abroad during the year?	Yes
29. Did the NCP promote the Guidelines to investment promotion agencies during the year?	Yes
30. Did the NCP focus on any of the following during promotional activities during the year:	
OECD Due Diligence Guidance for Responsible Business Conduct	Yes
OECD Due Diligence Guidance for Responsible Supply Chains in the Garment and Footwear Sector	Yes
Due Diligence for Responsible Corporate Lending and Securities Underwriting and/or Responsible Business Conduct for Institutional Investors	No
OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas	No
OECD Due Diligence Guidance for Meaningful Stakeholder Engagement in the Extractive Sector	No
OECD-FAO Guidance for Responsible Agricultural Supply Chains	No
Additional comments on the section Promotional activities : Click here to enter text.	

D. SPECIFIC INSTANCES]	
(a) NCP rules of procedure for handling specific instances		
31. Does the NCP have rules of procedure describing the handling of specific instances?	Yes	
32. Are the rules of procedure available online? If yes, please provide a link in the second box. If no, please upload a copy of the rules of procedure in the Additional Materials section at the end of the online guestionnaire	Yes	https://ausncp.gov.au/complaints/ausncp- procedures
33. Were the NCP's rules of procedure modified this year?	Yes	
Additional comments on the section Rules of procedure : Click here to enter text.		
(b) Specific instance practicalities		
34. Does the NCP confirm receipt of a specific instance submission?	Yes	
35. Does the NCP request feedback from the parties on the procedure following the conclusion of a specific instance?	Yes	
36. Has the NCP staff undergone training in dispute resolution or problem solving (e.g. mediation)?	Yes	
37. Did the NCP engage professional mediators during the year?	Yes	
38. Did the NCP staff or members conduct mediation this year?	Yes	
If yes, or no: was mediation conducted by an external mediator?		ed by an Independent Examiner, who is rediator who is also a decision maker on
Additional comments on the section Specific instance practicalities : Click here to enter text.		
(c) Reporting specific instances		
39. Did the NCP receive new specific instance submissions during the year? If yes, please also provide details in Annex 2 of the NCP Annual Reporting Annex document to be uploaded at the end of the online questionnaire	Yes	

40. Did the NCP close specific instances during the year? If yes, please also provide details in Annex 2 of the NCP Annual Reporting Annex document to be uploaded at the end of the online questionnaire	Νο
41. Of the specific instances that were already in progress at the start of the year, are there any that are still ongoing at the end of the year? If yes, please also provide details in Annex 2 of the NCP Annual Reporting Annex document to be uploaded at the end of the online questionnaire	Yes
42. Did the NCP follow up on a case during the year? If yes, please also provide details in Annex 2 of the NCP Annual Reporting Annex document to be uploaded at the end of the online questionnaire	Yes
43. Is the OECD <u>case database</u> accurate and up to date with regard to cases handled by the NCP? If not, please provide details (missing cases, out of date entries, broken links, etc.) in the additional comments section below.	Yes
Additional comments on the section	

E. PEER LEARNING AND PEER REVIEWS	
44. Did the NCP take part in the following activities with other NCPs during the year:	
Host a peer learning activity	No
Participate in peer learning activities hosted by other NCPs	Yes
Co-operate with other NCPs in handling specific instances	Yes
Provide mentoring/capacity building to another NCP	No
45. Is the NCP interested in hosting an NCP learning/experience-sharing event in 2022?	No
46. Which topic would the NCP consider to be a priority to cover in a peer learning event?	Promotional plans
47. Is the NCP interested in participating in developing tools for use by NCPs?	Yes
48. Is the NCP interested in acting as a peer reviewer in the future?	Yes
If yes, please specify the semester and the year	2023

Additional comments on the section **Peer-learning and peer reviews**: AusNCP participated as peer reviewer of the New Zealand

NCP in December 2022

F. POLICY COHERENCE ³			
49. Have the Guidelines been referred to in national legislation/regulations/policies adopted during the year? (e.g. on responsible business conduct; non-financial reporting, export credits regulation, public procurement)	No		
If yes, please provide a short summary and a link to the legislation. If a link is not available, please upload a copy of the legislation in the Additional Materials section at the end of the online questionnaire	Click here to enter text.		
50. Did your country adopt a National Action Plan (NAP) this year? If yes, please indicate which type of NAP.	No	N/A	
If yes, please provide a link.	Click here to enter text.		
If yes, was the NCP involved in the development of the NAP?	Choose an item.		
If yes, does the NAP make reference to the Guidelines?	Choose an item.		
If yes, does the NAP make reference to the NCP/give a role to the NCP in its implementation?	Choose an item.		
51. Was a NAP in development this year? <i>If yes, please indicate which NAP.</i>	No	N/A	
If yes, did the NCP participate in the development of the National Action Plan? Please add details in the comments box at the end of the section.	Choose an item.		
52. Did the NCP inform officials responsible for trade missions of its relevant statements and reports?	Yes		
52. Did the NCP inform officials responsible for foreign trade and investment incentives of its relevant statements and reports?	Yes		
52. Did the NCP inform officials responsible for public procurement of its relevant statements and reports?	Yes		
53. Does your national legislation or policy on public procurement refer to the Guidelines and/or OECD due diligence instruments and/or to the NCP process?	No		
If yes, please provide a link to the legislation If a link is not available, please upload a copy of the legislation in the Additional Materials section at the end of the online questionnaire	Click to enter text.		

³ Paragraph 37 of the Commentary on the Implementation Procedures of the OECD Guidelines for Multinational Enterprises: "Statements and reports on the results of the proceedings made publicly available by the NCPs could be relevant to the administration of government programmes and policies. In order to foster policy coherence, NCPs are encouraged to inform these government agencies of their statements and reports when they are known by the NCP to be relevant to a specifics agency's policies and programmes [...]."

54. To what extent has the NCP engaged or exchanged with public procurement officials/practitioners?	Policy dialogue between relevant agencies
55. Please identify any specific initiatives/good practices involving public procurement and RBC in your country.	Commonwealth Procurement Rules July 2022
56. Please include any other examples of policy coherence activities.	The AusNCP routinely provides input to various RBC-related policy initiatives and dialogues across Government, including via members of the AusNCP Governance and Advisory Board.
Additional comments on Policy Coherence: Click here to enter text.	

G. CHALLENGES	
57. Has the NCP faced any particular challenge(s) it would like to highlight this year?	Click here to enter text.
<i>Additional comments on Challenges:</i> Click here to enter text.	

Annex

PART 1: NCP PROMOTIONAL ACTIVITIES

TABLE 1

NCP-organised and co-organised events to promote the Guidelines and/or the NCP

Title	Date (dd/mm/yyyy)	Location	Type of event	Size of audience	Organised or co-organised?	Targeted audience Select all that apply.	Theme e.g. the OECD Guidelines, the NCP activities on sector due diligence guidance documents, etc.
ESG Issues for Business: Implications of the OECD Guidelines for Multinational Enterprises	23-Mar-2022	Virtual	Webinar	>100	Co-organised	⊠Business representatives □NGOs □Trade Unions □Academia □Government □Other, please specify	OECD Guidelines and Responsible Business Conduct
Business and human rights in practice: Webinar for legal practitioners on Australia's unique complaints mechanism	10-Nov- 2022	Virtual	Webinar	50-100	Co-organised	□Business representatives □NGOs □Trade Unions □Academia □Government ⊠Other, please specify Legal Professionals	AusNCP procedures and complaint handling

Additional comments:	

Total number of events: 2

TABLE 2

Presentations by the NCP to promote the Guidelines and/or the NCP in events organised by others

Title	Date (dd/mm/yyyy)	Location	Type of event	Size of audience	Targeted audience Select all that apply.	Organiser(s)	Theme of the intervention
DFAT Diplomatic Academy Business Literacy and Engagement Training	10-Mar-2022	Virtual	Other Training	10-50	□Business representatives □NGOs □Trade Unions □Academia ⊠Government □Other, please specify	Australia's Department of Foreign Affairs and Trade	OECD Guidelines and Responsible Business Conduct
DFAT Diplomatic Academy Business Literacy and Engagement Training	15-Jun-2022	Virtual	Other Training	10-50	□Business representatives □NGOs □Trade Unions □Academia ⊠Government □Other, please specify	Australia's Department of Foreign Affairs and Trade	OECD Guidelines and Responsible Business Conduct
Fundamentals of Governance for Mining Industry Regulators Short Course	29-Jul-2022	In-person	Other	10-50	□Business representatives ⊠NGOs □Trade Unions □Academia ⊠Cambodian Government representatives □Other, please specify	Australia's Department of Foreign Affairs and Trade	OECD Guidelines, NCP and Responsible Business Conduct
Global Compact Network Australia's Dialogue on Business & Human Rights	13-Oct-2022	In-person	Conference	50-100	⊠Business representatives ⊠NGOs ⊠Trade Unions ⊠Academia ⊡Government ⊡Other, please specify	Allens & Global Compact Network Australia	NCP and OECD Guidelines and Responsible Business Conduct
Australian Energy & Resources Law Association 2022 Annual Conference	21-Oct-2022	In-person	Conference	10-50	⊠Business representatives □NGOs □Trade Unions □Academia □Government □Other, please specify	Energy & Resources Law Association	AusNCP complaints and ESG for business
2022 State Conference of National Environmental Law Association (WA)	03-Nov- 2022	In-person	Conference	10-50	□Business representatives □NGOs □Trade Unions □Academia □Government □Other, please specify	National Environmental Law Association (WA)	NCP and OECD Guidelines and Responsible Business Conduct
The OECD Guidelines and Environmentally Responsible Business Conduct	17-Nov- 2022	In-person	Other Workshop	10-50	⊠Business representatives □NGOs □Trade Unions ⊠Academia	National Environmental law Association (WA) and Curtin Law School	OECD Guidelines and Responsible Business Conduct

		Llovernment	
		□Other, please specify	

Additional comments:	
Total number of events:	7

PART 2: SPECIFIC INSTANCES

For all specific instances that are currently IN PROGRESS:

Names of parties	Date received (dd/mm/yyyy)	Submitter type (NGO, trade union,, etc—see list in <u>reporting</u> <u>form</u>)	Industry sector (Construction, manufacturing, etc—see list in reporting form)	Host Country	Themes (MNE Guidelines chapters)	Is the initial assessment publicly available?	Link to OECD database if available	Did the NCP co-operate with other NCPs ing the handling of this specific instance? If yes, please describe.
Human Rights Law Centre on behalf of affected individuals against Rio Tinto	28-Sep- 2020	NGO Click here to enter text.	Mining and quarrying Click here to enter text.	Papua New Guinea	General policies, Human rights, Environment	No	http://mneguidelines.oe cd.org/database/instanc es/au0017.htm	Click here to enter text.
Global Legal Action Network against Anglo American Plc, BHP Group Ltd and Glencore International AG	19-Jan- 2021	NGO Click here to enter text.	Mining and quarrying Click here to enter text.	Switzerland	General policies, Human rights, Environment	Yes	http://mneguidelines.oe cd.org/database/instanc es/au0025.htm	Yes, Switzerland NCP as host country and United Kingdom as a supporting NCP
Parella Law on behalf of an affected individual against an Australian- based enterprise (property and infrastructure sector)	20-Aug- 2021	Multiple types, please specify below Individuals and business	Construction Click here to enter text.	United States	Human rights, Employment and industrial relations	Yes	http://mneguidelines.oe cd.org/database/instanc es/au0020.htm	Yes, United States as a supporting NCP
Justicia y Reparación on behalf of affected individuals against an Australian- based enterprise (mining sector)	03-Sep- 2021	Business Click here to enter text.	Mining and quarrying Click here to enter text.	Chile	Environment, Human rights	Yes	http://mneguidelines.oe cd.org/database/instanc es/au0021.htm	Yes, Chile as a supporting NCP
Publish What You Pay	14-Sep- 2021	NGO	Mining and quarrying	Myanmar	General policies,	Yes		Click here to enter text.

Australia on behalf of Myanmar- based civil society organisations against Mallee Resources Ltd (formerly Myanmar Metals Ltd)	Click here enter text	. enter te	ext.		Disclo: Human	,		http://mneguide cd.org/database es/au0022.	e/instanc		
Andrew and Robert Starkey against Saab Australia and Saab Group Sweden	Individual(Click here enter text	primary indica additio sectors b to Publi	and ate onal below ic ration ence,	stralia	Gene policies, righ	Human	Yes	http://mneguide cd.org/database es/au0023.	e/instanc	Yes, Sweden as	a supporting NCP
Project Sepik and Jubilee Australia Research Centre on behalf of affected Sepik River communities and PanAust Limited	09-Dec-2021	NGO, Multi- stakeholder, Other interested parties	Mining and quarrying	Guinea		Enviror	sure, Human rights, nment	Yes		neguidelines.oecd.org/databas ces/au0024.htm	Click here to enter text.
Marque Lawyers on behalf of affected individuals against Qatar Airways		Individuals, Other interested parties	Transportation and storage	Qatar		Humar	n rights	Yes		neguidelines.oecd.org/databas ces/au0026.htm	Click here to enter text.
Evangelical Lutheran Church of Papua New Guinea, Centre for Environmental Law and Community Rights Inc and Jubilee Australia Research Centre on behalf of affected Morobe Province communities against Newcrest Mining Ltd and Harmony Gold (Australia) Pty Ltd	09-Nov-2022	Multi- stakeholder	Mining and quarrying	Papua Guinea		Genera Disclos Enviror	sure, Human rights,	No	http://mi e/instan	neguidelines.oecd.org/databas ces/au0027.htm	Click here to enter text.

Additional comments:

Total number of specified	9	
instances:		

For all specific instances that were CONCLUDED during the year: N/a

Names of parties	Date recei ved (dd/m m/yyyy)	Date concl uded (dd/mm/ yyyy)	Submitter type (NGO, trade union,, etc—see list in <u>reporting</u> <u>form</u>)	Industry sector (Construction, manufacturing, etc—see list in reporting form)	Host Country	Themes (MNE Guidelines chapters)	Link to OECD database if available	Outcomes achieved	Does the final statement plan for a follow up?	Did the NCP co- operate with other NCPs during the handling of this specific instance? If yes, please indicate which NCPs.	Were parallel proceedings involved while handling the specific instance? If yes, please select the type.
	Click		Choose an item.	Choose an item.	Click here to enter text.	Click here to enter text.					Choose an item.
Click here to enter	here to enter	Click here to enter a	Click here to enter text.	Click here to enter text.			Click here to enter text.	Click here to enter text.	Choose an item.	Click here to enter text.	Click here to enter text.
text.	a date.	date.	Click here to enter text.	Click here to enter text.							Click here to enter text.

Additional comments:		
Total number of specific		
Total number of specific instances:	0	

For all specific instances that were NOT ACCEPTED during the year:

Name s of partie s	Date recei ved (dd/mm/ yyyy)	Date conclu ded (dd/mm/y yyy)	Submitter type (NGO, trade union,, etc see list in reporting form)	Industry sector (Construction, manufacturing , etc—see list in <u>reporting</u> form)	Submitter type (NGO, trade union,, etc see list in reporting form)	Industry sector (Construction, manufacturing , etc—see list in <u>reporting</u> form)	Host Country	Themes (MNE Guidelines chapters)	Link to OECD database if available	Reasons for not accepting the specific instance:	Did the NCP co- operate with other NCPs during the handling of this specific instance If yes, please indicate which NCPs.	Were parallel proceedings involved while handling the specific instance? If yes, please select the type.
Click	Click	Click	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Click here to enter	Click here to enter text.				Choose an item.
here to	here to enter a	here to enter a	Click here to enter text.	Click here to enter text.			text.		Click here to enter text.	Choose an item.	Click here to enter text.	Click here to enter text.
enter text.	date.	date.	Click here to enter text.	Click here to enter text.								Click here to enter text.

|--|

Total number of specific instances:	
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For all specific instances for which FOLLOW UP was performed during the year:

Names of parties	Date received (dd/mm/yyyy)	Date concluded (dd/mm/yyyy)	Date of follow up (dd/mm/y yyy)	Submitter type (NGO, trade union,, etc—see list in reporting form)	Industry sector (Construction, manufacturing, etc— see list in <u>reporting</u> <u>form</u>)	Host Country	Themes (MNE Guidelines chapters)	Was a public follow up statement issued?	Link to the follow up statement, if applicable
Mr John Podgorelec on behalf of	Podgorelec on behalf of Messrs Andrew and 28-Oct-	09-Jun-2021	08-Nov- 2022	Other interested parties	Electricity, gas, steam and air conditioning supply	Australia	General policies, Human rights	Yes	https://ausncp.gov.au/sites/default/files/2022 -11/Complaint- 22_Follow_Up_Statement_0.pdf
Andrew and 28				Click here to enter text.	Click here to enter text.				
	2020			Click here to enter text.	Click here to enter text.				
ElectraNet Pty Ltd				Click here to enter text.	Click here to enter text.				

Additional comments:	
Total number of specific instances:	1