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**12 March 2018**

**DIRECTORATE FOR FINANCIAL AND ENTERPRISE AFFAIRS  
INVESTMENT COMMITTEE**

**Meeting of the Network of National Contact Points for Responsible Business  
Conduct**

**NATIONAL CONTACT POINT 2017 REPORT TO THE OECD  
Austria Questionnaire**

This document is available in PDF format only.

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**JT03428085**



## NATIONAL CONTACT POINT REPORTING QUESTIONNAIRE (2017)

This questionnaire is designed to help National Contact Points fulfil their reporting obligations as described in the Procedural Guidance of the OECD Guidelines for Multinational Enterprises. The answers to the questions should reflect the nature and results of the activities of the NCP<sup>1</sup>.

### STRUCTURE

This questionnaire comprises 60 questions and 2 annexes under the following headings:

- A. Contact information
- B. Institutional arrangements
- C. Information and promotion
- D. Specific instances
- E. Peer learning
- F. Policy coherence
- G. Impact and future work

Annex 1: NCP PROMOTIONAL ACTIVITIES

Annex 2: SPECIFIC INSTANCES

### TYPES OF QUESTIONS

#### 1. Yes/No questions

Most questions are Yes/No questions. For each of these questions, please select “Yes” or “No” from the dropdown menu. If a question is not relevant to your NCP, please select N/A (not applicable).

**Example:**

|  |        |
|--|--------|
| <b>(b) Promotional activities</b>  |        |
| 23. Did the NCP organise or co-organise events to promote the Guidelines and/or the NCP during the year?<br><i>If yes, please provide details in table 1 in Annex 1.</i> | Yes/No |

#### 2. Open-ended questions

- a) Under certain Yes/No questions, there are open-ended questions to request more detail. For each open-ended question, an answer box is provided. Please keep responses precise and short.

**Example:**

|   |  |
|---|--|
| <b>(a) Location of the NCP</b>                |  |
| 1. Is the NCP located in a Ministry?          | Yes/No                                   |
| If yes, in which Ministry is the NCP located? | <a href="#">Click here to enter text</a> |
| If yes, in which department of the Ministry?  | <a href="#">Click here to enter text</a> |

<sup>1</sup> Page 74 of the Procedural Guidance of the OECD Guidelines for Multinational Enterprises: “Reports should contain information on the nature and results of the activities of the NCP, including implementation activities in specific instances”.

- b) “Additional comments” boxes are situated at the end of each section. Please feel free to enter any additional information you would like to share in these boxes.

**Example:**

|   |
|---|
| <p><i>Additional comments on <b>Location of the NCP:</b></i><br/>Click here to enter text</p> |
|---|

## TERMS USED IN THE QUESTIONNAIRE

A number of terms are used throughout the questionnaire. Definitions are provided below. Please note that these definitions are exclusively intended to assist in clarifying the terms used in this questionnaire.

- **Advisory body:** Some NCPs have an advisory body which can be consulted by the NCP on a range of activities and issues on which it provides advice. Advisory bodies can include representatives from trade unions, NGOs, business and/or academia, along with representatives of other government ministries or agencies. They do not normally form part of the NCP and do not have decision-making power on accepting or concluding specific instances.
- **Dedicated budget:** A budget that is allocated to the NCP on a regular basis (e.g. every year) to carry out its functions and activities.
- **Independent NCP:** An independent NCP is one whose members do not belong to a government administration, although generally an independent NCP will be supported by a secretariat based in a government administration.
- **Oversight body:** Some NCPs have an oversight body, which has a monitoring role, for example on whether the NCP has followed its own rules of procedures. They can include representatives from trade unions, NGOs, business and/or academia, along with representatives of other government ministries or agencies. They do not normally form part of the NCP and do not have decision-making power on accepting or concluding specific instances.
- **Stakeholder meeting:** A stakeholder meeting is a meeting organised by the NCP to meet with stakeholders, including trade unions, NGOs and the business community that are not part of the structure of the NCP (i.e. they are not members of the NCP, nor present on advisory or oversight bodies).

## REPORTING PERIOD

The reporting period for this questionnaire is from 1 January to 31 December 2017.

## SUBMISSION

The questionnaire should be completed by using this word document and sent by email to: [investment@oecd.org](mailto:investment@oecd.org) copying [barbara.bijelic@oecd.org](mailto:barbara.bijelic@oecd.org) and [kathryn.dovey@oecd.org](mailto:kathryn.dovey@oecd.org) by **15 January 2018**.

Should you have any questions on how to fill this questionnaire, please contact [barbara.bijelic@oecd.org](mailto:barbara.bijelic@oecd.org).

## NATIONAL CONTACT POINT REPORTING QUESTIONNAIRE (2017)

| A. CONTACT INFORMATION  |                              |
|---|------------------------------|
| <i>Please provide the contact information of the person filling in the questionnaire.</i> |                              |
| Name:   | Iris Hammerschmid            |
| Job title:  | Head of Austrian NCP         |
| Email:  | Iris.hammerschmid@bmdw.gv.at |
| Telephone number:   | +43 (0) 1 711 00 808817      |

| B. INSTITUTIONAL ARRANGEMENTS  |  |                           |
|--|--|---------------------------|
| <b>(a) Location of the NCP</b>   |  |                           |
| 1. Is the NCP located in a Ministry?   | Yes  |                           |
| If yes, in which Ministry is the NCP located?  | Federal Ministry of Science, Research and Economy (Federal Ministry for Digital, Business and Enterprise as of January 8, 2018)                  |                           |
| If yes, in which department of the Ministry?   | Directorate-General for External Trade Policy and European Integration, Department for EU-Coordination and NCP                                   |                           |
| 2. Is the NCP located in an investment promotion agency?   | No   |                           |
| 3. Is the NCP an independent NCP?  | No   |                           |
| 4. Has the NCP been established through a legal, regulatory or administrative instrument (e.g. a decree)?  | Yes  |                           |
| If yes, please provide the name and date of this instrument  | Administrative Decree (Amendment of the Ministry's Organisational Structure, March 2012)   |                           |
| <i>Additional comments on <b>Location of the NCP</b>:</i><br>Click here to enter text.   |  |                           |
| <b>(b) Composition of the NCP</b>  |  |                           |
| 5. Who are the members of the NCP?<br><i>Please describe the functions of the members of the NCP (e.g. President, Secretariat, Independent expert, etc.). No names are required.</i>   | Officials of the Federal Ministry of Science, Research and Economy (Federal Ministry for Digital, Business and Enterprise as of January 8, 2018) |                           |
| 6. Does the NCP have dedicated full-time staff?<br><i>"Dedicated full-time staff" means staff working full-time on NCP activities. If yes, please indicate the number.</i>             | Yes  | 1                         |
| 7. Does the NCP have dedicated part-time staff?<br><i>"Dedicated part-time staff" means staff dedicating part of their time to NCP activities. If yes, please indicate the number.</i> | No   | Click here to enter text. |
| 8. Have any full-time or part-time staff members joined the NCP during the year?<br><i>If yes, please indicate how many.</i>   | No   | Click here to enter text. |

|  |   |                           |
|--|---|---------------------------|
| <p>9. Have any full-time or part-time staff members left the NCP during the year?<br/><i>If yes, please indicate how many.</i></p>   | No  | Click here to enter text. |
| <p>10. Are other Ministries part of the institutional arrangements of the NCP?<br/><i>(e.g. represented on advisory or oversight bodies, participate in specific instances, etc.)</i></p>  | Yes   |                           |
| <p>If yes, please list the Ministries (e.g. Social Affairs, Labour, Trade, Environment, Foreign Affairs, Justice, Finance, etc.)</p>   | <p>-Federal Chancellery<br/>-Federal Ministry for Europe, Integration and Foreign Affairs<br/>-Federal Ministry of Labour, Social Affairs and Consumer Protection (Federal Ministry of Labour, Social Affairs, Health and Consumer Protection as of January 8, 2018)<br/>-Federal Ministry of Finance<br/>-Federal Ministry of Science, Research and Economy (Federal Ministry for Digital, Business and Enterprise as of January 8, 2018)</p>  |                           |
| <p>11. Are social partners and other stakeholders (trade unions, business community, civil society and other non-governmental organisations) part of the institutional arrangements of the NCP?<br/><i>(e.g. represented on advisory or oversight bodies, represented as members of the NCP, making NCP decisions on specific instances)</i></p> |   |                           |
| <p>NGOs</p>  | Yes   |                           |
| <p>Representatives of the business community</p>   | Yes   |                           |
| <p>Trade unions</p>  | Yes   |                           |
| <p>12. Does the NCP have an advisory body?</p>   | Yes   |                           |
| <p>If yes, please describe its functions</p>   | <p>The Steering Committee (“Lenkungsausschuss”) of the Austrian NCP meets at least twice a year for discussion with the NCP on related recent OECD developments, on-going specific instances and promotional activities.</p> <p>The responsibilities/functions of the Steering Committee include (also see Section 8 of the Steering Committee’s Terms of Reference, <a href="https://www.en.bmdw.gv.at/ExternalTrade/Documents/Terms_of_Reference_Steering_Committee_29112017.pdf">https://www.en.bmdw.gv.at/ExternalTrade/Documents/Terms_of_Reference_Steering_Committee_29112017.pdf</a>):</p> <ul style="list-style-type: none"> <li>a. Consulting of the Austrian NCP in all matters regarding the implementation of the Guidelines, including the handling of notifications in specific instances;</li> <li>b. The support and consulting of the Austrian NCP during the implementation of the pro-active agenda;</li> <li>c. Participation in the preparation of the annual report of the Austrian NCP to the OECD Investment Committee;</li> <li>d. The promotion of a broad dialogue on the Guidelines with stakeholders;</li> <li>e. Proposals for the further development of the Austrian NCP;</li> <li>f. The suggestion that a matter be referred to the OECD Investment Committee in case of doubts regarding the interpretation of the Guidelines.</li> </ul> |                           |

|  |   |
|--|---|
|  | For further functions of the Steering Committee see question 13 below.  |
| If yes, please list the names of organisations that are represented on the advisory body and the type of organisation, or provide a link to the list on the NCP website.<br><i>(e.g. government, NGO, trade union, business, business organisation, academic, consumer organisation, etc.)</i>         | One representative from each of the following organisations:<br>-Federal Ministry of Science, Research and Economy (Federal Ministry for Digital, Business and Enterprise as of January 8, 2018; government), Chair<br>-Federal Chancellery (government)<br>-Federal Ministry for Europe, Integration and Foreign Affairs (government)<br>-Federal Ministry of Labour, Social Affairs and Consumer Protection (Federal Ministry of Labour, Social Affairs, Health and Consumer Protection as of January 8, 2018; government)<br>-Federal Ministry of Finance (government)<br>-Austrian Federal Chamber of Labour (statutory representation of workers/employees)<br>-Austrian Chamber of Agriculture (representation of farmers and cooperatives)<br>-Austrian Trade Union Federation (trade union)<br>-Federation of Austrian Industries (business organisation)<br>-Austrian Federal Economic Chamber (statutory representation of companies/business)<br>-Südwind (representative of OECD Watch, NGO)<br>-University professor (legal expert in the field of extrajudicial dispute resolution) |
| If yes, please indicate how often the NCP meets with the advisory body   | Twice a year  |
| <b>13. Does the NCP have an oversight body?</b>  | Yes   |
| If yes, please describe its functions  | According to the Steering Committee's Terms of Reference (Section 8.g.), the Steering Committee is also responsible for the evaluation of the activities of the Austrian NCP, in particular with regard to the compliance with the Terms of Reference and the implementation of the key criteria pursuant to Item I of the Procedural Guidance of the OECD Guidelines for Multinational Enterprises as well as the compliance with the latter.  |
| If yes, please list the names of organisations that are represented on the oversight body and the type of organisation, or please provide a link to the list on the NCP website.<br><i>(e.g. government, NGO, trade union, business, business organisation, academic, consumer organisation, etc.)</i> | For a member list of the Steering Committee see question 12 above.  |
| If yes, please indicate how often the oversight body meets   | Twice a year  |
| <b>14. Does the NCP have a body for both advice and oversight?</b>   | Yes   |
| If yes, please describe its functions  | For a detailed description of the functions of the Steering Committee see questions 12 and 13 above.  |
| If yes, please list the names of organisations that are represented on the oversight body and the type of organisation, or provide a link to the list on the NCP website.<br><i>(e.g. government, NGO, trade union, business, business organisation, academic, consumer organisation, etc.)</i>        | For a member list of the Steering Committee see question 12 above.  |
| If yes, please indicate how often this body meets  | Twice a year  |

|   |                              |
|---|------------------------------|
| <p><i>Additional comments on <b>Composition of the NCP:</b><br/>Ad 12., 13. and 14.) The Steering Committee meets at least twice a year. In 2017 it met three times.</i></p>  |                              |
| <p><b>(c) Financial resources</b></p>   |                              |
| 15. Did the NCP have a dedicated budget this year?  | Yes                          |
| 16. Did the NCP have a dedicated budget to conduct its promotional activities during the year?  | Yes                          |
| If no, were financial resources for promotional activities allocated on an ad hoc basis when requested by the NCP?  | Choose an item.              |
| 17. Did the NCP have a dedicated budget to conduct its activities related to specific instances during the year?  | Yes                          |
| If no, were financial resources for specific instances allocated on an ad hoc basis when requested by the NCP?  | Choose an item.              |
| 18. During the year, was the NCP able to access funds for the following activities:   |                              |
| Organising promotional events   | Yes                          |
| Attending NCP meetings at the OECD  | Yes                          |
| Attending events organised by other NCPs  | Yes                          |
| Attending events organised by other stakeholders  | Yes                          |
| Professional mediator fees or in-house mediator fees  | Yes                          |
| Fact-finding research into specific instances   | No                           |
| <p><i>Additional comments on <b>Financial resources:</b><br/>Ad 17 and 18.) The Austrian NCP has a dedicated annual special budget for covering the costs of activities related to specific instances, which could e.g. be used for professional mediators. The Austrian NCP did not use professional mediators in the recently closed specific instance (ANDRITZ case).</i></p> <p><b>The Austrian NCP does not dispose of a dedicated budget for fact-finding research into specific instances. In case such funding becomes necessary, funds will be allocated on an ad hoc basis. In the ANDRITZ case, no funded fact-finding mission took place. However, the Austrian embassy Bangkok and the Austrian Export Credit Agency were consulted for fact-finding purposes.</b></p> |                              |
| <p><b>(d) Reporting</b></p>   |                              |
| 19. Does the NCP report to the government on its activities?  | Yes                          |
| If yes, how often?  | More than three times a year |
| 20. Does the NCP report to parliament on its activities?  | Yes                          |
| If yes, how often?  | Choose an item.              |



*Additional comments on Reporting:*  
**Ad 20.)** The activities of the Austrian NCP are, inter alia, subject of the annual economic report by the Federal Ministry of Science, Research and Economy and the annual report on external relations by the Federal Ministry of Europe, Integration and Foreign Affairs.

Members of Parliament have the right to make requests to the Austrian NCP via the competent Minister (right of interpellation). The last time the Federal Minister of Science, Research and Economy received a parliamentary request with regards to the activities of the Austrian NCP was in November 2015. The request was accordingly answered in January 2016.

| C. INFORMATION AND PROMOTION   |     |                           |
|--|-----|---------------------------|
| <b>(a) NCP website<sup>2</sup></b>   |     |                           |
| 21. Was a new NCP website created this year?<br>If yes, please provide the link.   | No  | Click here to enter text. |
| 22. Are the following items available on the NCP website:  |     |                           |
| <b>Information about the Guidelines and the role of the NCP</b>  |     |                           |
| The text of the Guidelines   | Yes |                           |
| A description of the Guidelines  | Yes |                           |
| Information on the NCP and its mandate   | Yes |                           |
| The 2015 NCP Annual Report submitted to the OECD   | Yes |                           |
| The NCP's own 2015 Annual Report   | Yes |                           |
| <b>Information about specific instances</b>  |     |                           |
| Instructions on how to submit a specific instance  | Yes |                           |
| The NCP's rules of procedures  | Yes |                           |
| All final statements since 2011  | Yes |                           |
| <b>Information on promotional activities</b>   |     |                           |
| Information on upcoming events promoting the Guidelines  | Yes |                           |
| Information on past events promoting the Guidelines  | Yes |                           |
| <b>Contact information</b>   |     |                           |
| 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 |                           |
| <i>Additional comments on NCP website:</i><br><b>Ad 21.)</b> Link to website: <a href="http://www.oecd-leitsaetze.at">www.oecd-leitsaetze.at</a>   |     |                           |
| <p>In order to further improve the visibility and accessibility of the Austrian NCP, the Austrian NCP placed a teaser on current NCP topics and activities (e.g. conclusion of specific instance proceeding; upcoming and past events; stakeholder survey) on the front page of the Ministry's website. The teaser leads directly to the relevant topic on the website of the Austrian NCP.</p> <p>The Austrian NCP also installed a direct quick link at the bottom of the front page of the Ministry's website that leads directly to the website of the Austrian NCP.</p> |     |                           |

<sup>2</sup> This includes dedicated NCP webpages as part of the Ministry's website.

| <b>(b) Promotional activities<sup>3</sup></b>   |     |
|---|-----|
| 23. Did the NCP organise or co-organise events to promote the Guidelines and/or the NCP during the year?<br><i>If yes, please provide details in table 1 in Annex 1.</i>  | Yes |
| 24. Did the NCP make a presentation to promote the Guidelines and/or the NCP in events organised by others?<br><i>If yes, please provide details in table 2 in Annex 1.</i>   | Yes |
| 25. Did the NCP make use of social media to communicate on NCP promotional activities during the year?  | No  |
| 26. Did the NCP hold a stakeholder meeting during the year?   | Yes |
| 27. Did the NCP promote the Guidelines among the business community during the year?  | Yes |
| 28. Did the NCP carry out any training on the Guidelines aimed at businesses during the year?   | Yes |
| 29. Did the NCP promote the Guidelines among NGOs during the year?  | Yes |
| 30. Did the NCP promote the Guidelines among trade unions during the year?  | Yes |
| 31. Did the NCP promote the Guidelines among government agencies during the year?   | Yes |
| 32. Did the NCP promote the Guidelines among embassies abroad during the year?  | Yes |
| 33. Did the NCP promote the Guidelines to investment promotion agencies during the year?  | Yes |
| 34. Did the NCP refer to the following sector guidance reports in promotional activities during the year:   |     |
| OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas  | Yes |
| OECD Due Diligence Guidance for Meaningful Stakeholder Engagement in the Extractive Sector  | No  |
| OECD-FAO Guidance for Responsible Agricultural Supply Chains  | No  |
| <p><b><i>Additional comments on the section <b>Promotional activities:</b></i></b><br/> <b><i>In addition to the organisation and participation in events mentioned in Annex 1, the Austrian NCP also engaged in the following activities:</i></b></p> <ul style="list-style-type: none"> <li><b><i>-conducting a survey among the business community regarding the awareness level of the OECD Guidelines and the Austrian NCP</i></b></li> <li><b><i>-publication of brochure “annual report 2016” in German and English</i></b></li> <li><b><i>-publication of brochure on the Austrian National Contact Point in German and English</i></b></li> <li><b><i>-distribution of brochures among Austrian embassies and offices of Advantag Austria</i></b></li> </ul> |     |

<sup>3</sup> 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.

| D. SPECIFIC INSTANCES  |   |
|--|---|
| <b>(a) NCP rules of procedure for handling specific instances</b>  |   |
| 35. Does the NCP have rules of procedure describing the handling of specific instances?  | Yes   |
| 36. Are the rules of procedure available online?<br><i>If yes, please provide link. If no, please attach a copy of the rules of procedure to this questionnaire</i>  | Yes <span style="float: right;">See link below</span> |
| 37. Were the NCP's rules of procedure modified this year?  | Yes   |
| <p><i>Additional comments on the section <b>Rules of procedure:</b></i><br/> <b>Ad. 36.)</b><br/> <a href="https://www.en.bmdw.gv.at/ExternalTrade/Documents/Terms_of_Reference_Austrian_NCP_29112017.pdf">https://www.en.bmdw.gv.at/ExternalTrade/Documents/Terms_of_Reference_Austrian_NCP_29112017.pdf</a></p> <p><b>New template for submission of specific instances in German, English and French on website of Austrian NCP.</b></p> <p><b>Ad. 37.) Amendment of ToR of Austrian NCP in 09/2017:</b></p> <ul style="list-style-type: none"> <li>-Section 3.8.: Information of parties on proceedings before the Austrian NCP and the further procedure</li> <li>-Section 3.9.: Extension of duration of initial assessment (three months); publication of results of initial assessment on website of Austrian NCP</li> <li>-Section 3.12.: Carry out mediation itself or appoint external intermediary or mediator</li> <li>-Section 3.15.: Collection of feedback after closing of a specific instance</li> <li>-Section 3.16.: Follow-up activities</li> <li>-Section 6.2.: Data and information forwarded by one party shall be forwarded to other involved parties, unless there is a compelling reason (protection of life and limb, trade and business secrets) against forwarding them</li> </ul> <p><b>Amendment of ToR of Steering Committee 09/2017:</b></p> <ul style="list-style-type: none"> <li>-Section 8a.: Including the handling of notifications in specific instances</li> </ul> |   |
| <b>(b) Specific instance practicalities</b>  |   |
| 38. Does the NCP confirm receipt of a specific instance submission?  | Yes   |
| 39. Who has the final sign-off on accepting a specific instance?<br><i>Please provide the function of the relevant staff within the NCP. No names are required.</i>  | Head of Austrian NCP                                  |
| 40. Who has the final sign-off on final statements?<br><i>Please provide the function of the relevant staff within the NCP. No names are required.</i>   | Head of Austrian NCP                                  |
| 41. Does the NCP request feedback from the parties on the procedure following the conclusion of a specific instance?   | Yes   |
| 42. Has the NCP staff undergone training in dispute resolution or problem-solving (e.g. mediation)?  | Yes   |
| 43. Did the NCP engage professional mediators during the year?   | No  |
| 44. Did the NCP staff or members conduct mediation this year?  | Yes   |

|   |           |
|---|-----------|
| <p><i>Additional comments on the section <b>Specific instance practicalities:</b></i><br/> <b>Ad. 41.) The Austrian NCP requested feedback from the parties in the ANDRITZ case.</b></p>                                      |           |
| <p><b>(c) Reporting specific instances</b></p>  |           |
| <p>45. Did the NCP receive new specific instance submissions during the year?<br/> <i>If yes, please also provide details in Annex 2</i></p>  | <p>No</p> |
| <p>46. 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 calendar year?<br/> <i>If yes, please also provide details in Annex 2</i></p> | <p>No</p> |
| <p><i>Additional comments on the section <b>Reporting specific instances:</b></i><br/> Click here to enter text.</p>  |           |

|  |           |
|--|-----------|
| <p><b>E. PEER LEARNING</b></p>   |           |
| <p>47. Did the NCP take part in the following activities with other NCPs during the year:</p>  |           |
| NCP-hosted peer learning activities  | Yes       |
| Co-operation with other NCPs in handling specific instances  | No        |
| Mentoring/capacity building of another NCP   | No        |
| 48. Is the NCP interested in hosting an NCP learning/experience-sharing event in 2017?   | No        |
| 49. Which topic would the NCP consider to be a priority to cover in a peer learning event?   | Mediation |
| 50. Is the NCP interested in participating in developing tools for use by NCPs?  | Yes       |
| <p><i>Additional comments on the section <b>Peer-learning activities:</b></i><br/> <b>Ad 47.) The Austrian NCP attended the mediation workshop of the U.S. NCP on September 25-26.</b></p> |           |

|   |
|---|
| <p><b>F. POLICY COHERENCE<sup>4</sup></b></p> |
|---|

<sup>4</sup> 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 specific agency's policies and programmes [...]."

|   |  |                 |
|---|--|-----------------|
| 51. Have the Guidelines been referred to in relevant national legislation adopted during the year?<br><i>(e.g. on responsible business conduct; non-financial reporting, export credits regulation, public procurement)</i> | No   |                 |
| If yes, please provide a link to the legislation.<br><i>If a link is not available, please attach a copy of the legislation to this questionnaire.</i>  | Click here to enter text.  |                 |
| 52. Did the NCP communicate public statements on specific instances to public procurement officials?  | No   |                 |
| 53. Did the NCP communicate public statements on specific instances to officials responsible for trade missions?  | Yes  |                 |
| 54. Did the NCP communicate public statements on specific instances to officials responsible for foreign trade and investment incentives?   | Yes  |                 |
| 55. Did your country adopt a National Action Plan (NAP) this year?<br><i>If yes, please indicate which type of NAP</i>  | No   | 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?   | Choose an item.  |                 |
| 56. Was a NAP in development this year?<br><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?   | Choose an item.  |                 |
| 57. Please indicate any other examples of policy coherence activities:  | Senior officials of the Federal Ministry of Science, Research and Economy (Federal Ministry for Digital, Business and Enterprise as of January 8, 2018) are regularly informed about NCP activities, including specific instances. Similarly, the Austrian NCP regularly informs officials responsible for trade missions, the Austrian Export Credit Agency and the Austrian Development Bank about NCP activities and specific instances. Moreover, as explained in questions 12 to 14 above, the Steering Committee, being inter alia composed by members of different Austrian ministries, is regularly informed about NCP activities. |                 |
| <i>Additional comments on <b>Policy Coherence</b>:</i><br>Click here to enter text.   |  |                 |

| G. IMPACT AND FUTURE WORK   |     |  |
|---|-----|--|
| 58. Does the NCP have a promotional plan for the coming year (2017)?                            | Yes |  |
| 59. Is the NCP interested in being a <u>reviewer</u> in a peer review planned in 2017 or 2018?  | Yes |  |
| 60. Is the NCP interested in being an <u>observer</u> of a peer review planned in 2017 or 2018? | No  |  |

|  |   |
|--|---|
| 61. Please enter the relevant fluent language capabilities of your team (French, English and/or Spanish)       | English   |
| 62. Has the NCP faced any particular challenge(s) it would like to highlight this year?                        | <p>One of the challenges the Austrian NCP faced was closing the ANDRITZ specific instance case. After mediation by the Austrian NCP, the parties agreed on a Joint Statement. The Joint Statement was signed by Finance &amp; Trade Watch Austria, EarthRights International, ANDRITZ HYDRO GmbH and the Austrian NCP and includes a follow-up.</p> <p>Six complainant organisations left the proceedings in March and April 2017. The organisations stated that it was no longer productive within the mediation process to discuss the responsibility for the Xayaburi hydropower project’s transboundary impacts.</p> <p>The second major challenge the Austrian NCP faced was organising and preparing the peer review of the Austrian NCP. The on-site visit took place on December 14-15, 2017.</p> |
| <p><i>Additional comments on the section <b>Impact and future work</b>:</i><br/> Click here to enter text.</p> |   |

## Annex 1: NCP PROMOTIONAL ACTIVITIES

**Please provide information on the events organised or co-organised by the NCP (Table 1), and events in which the NCP has participated to promote the Guidelines (Table 2).**  
 Please select the event type, size and type of audience as well as the theme from the dropdown menus for each event.  
 Please add additional lines if needed.

**Table 1**

| NCP-organised and co-organised events to promote the Guidelines and/or the NCP                   |                      |   |               |                  |                            |   |   |
|--|----------------------|---|---------------|------------------|----------------------------|---|---|
| Title  | Date<br>(dd/mm/yyyy) | Location  | Type of event | Size of audience | Organised or co-organised? | Targeted audience<br><i>e.g. Business representatives, NGOs, Trade unions, Academia, General public, Government representatives, etc.</i> | Theme<br><i>e.g. the OECD Guidelines, the NCP activities on sector due diligence guidance documents, etc.</i> |
| Managing Global Responsibility: Due Diligence in the OECD Guidelines                             | 24/04/2017           | Austrian Federal Economic Chamber                 | Conference    | 10-50            | Co-organised               | Business, NGOs, Trade Unions, Academia, Government  | Due diligence   |
| Dialogue with Strong Impact: The Complaint Procedure within the framework of the OECD Guidelines | 30/05/2017           | Federal Ministry of Science, Research and Economy | Conference    | 10-50            | Organised                  | Business, NGOs, Trade Unions, Academia, Government  | Handling of a specific instance procedure   |
| Dialogue with  | 30/05/2017           | Federal Ministry of                               | Conference    | 10-50            | Organised                  | Employee representatives on the supervisory board of stock-listed Austrian companies  | Presentation of the NCP mechanism and the OECD  |

|   |            |                                   |            |        |              |  |  |
|---|------------|-----------------------------------|------------|--------|--------------|--|--|
| Employee Representatives  |            | Science, Research and Economy     |            |        |              |  | Guidelines   |
| Responsibility in International Business. Responsible business management between theory and practice | 02/10/2017 | Federation of Austrian Industries | Conference | 50-100 | Co-organised | Business, NGOs, Trade Unions, Academia, Government | Integrating different RBC standards into one stringent sustainability strategy |

**Total number=** 4

**Table 2**

| Presentations by the NCP to promote the Guidelines and/or the NCP in events organised by others |                      |                              |               |                  |  |                                  |   |  |
|---|----------------------|------------------------------|---------------|------------------|--|----------------------------------|---|--|
| Title   | Date<br>(dd/mm/yyyy) | Location                     | Type of event | Size of audience | Targeted audience<br><i>e.g. Business representatives, NGOs, Trade unions, Academia, General public, Government representatives, etc</i> | Organiser(s)                     | Type of intervention                                      | Theme of the intervention  |
| Multilogue on Managing Global Responsibility  | 09/05/2017           | Voestalpine Linz             | Conference    | 10-50            | Business   | ICEP                             | Participation in a panel discussion                       | Presentation of the NCP mechanism and the OECD Guidelines                      |
| Globalised Economy, Globalised Responsibility   | 15/05/2017           | Federal Ministry of Justice  | Conference    | >100             | NGOs, Trade Unions, Academia,  | Network of Social Responsibility | Participation in a panel discussion                       | Implementation of human rights due diligence in Austria; Cases before the NCPs |
| Visit of a high-level delegation  | 06/07/2017           | Federal Ministry of Science, | Meeting       | 10-50            | Georgian Delegation including representatives from   | Embassy of Georgia in Vienna     | Presentation of the NCP mechanism and the OECD Guidelines | Presentation of the NCP mechanism and the OECD Guidelines                      |



|   |            |  |                   |                |  |  |  |  |
|---|------------|--|-------------------|----------------|--|--|--|--|
| from Georgia  |            | Research and Economy                             |                   |                | parliament and government                              |  |  |  |
| Degree programme Academic CSR-Manager   | 29/09/2017 | University of Applied Sciences of the BFI Vienna | <b>Meeting</b>    | <b>&lt;10</b>  | Students in the degree programme Academic CSR-Manager  | University of Applied Sciences of the BFI Vienna | Presentation of the NCP mechanism and the OECD Guidelines        | Presentation of the NCP mechanism and the OECD Guidelines  |
| UN Global Forum on Business and Human Rights: Lessons learned from the OECD NCP peer review process | 28/11/2017 | United Nations/Geneva                            | <b>Conference</b> | <b>&gt;100</b> | Business, NGOs, Trade Unions, Academia, General Public | OECD   | Participation in a panel discussion                              | Experiences as an observer in the German peer review and preparation for Austrian peer review  |
| Workshop on risk- and impact-analysis   | 4/12/2017  | PORR   | <b>Meeting</b>    | <b>10-50</b>   | Business, NGOs, Trade Unions                           | PORR and VieSto Consulting                       | Participation in a workshop and breakout session on human rights | Presentation of the NCP mechanism, the OECD Guidelines and discussion of the implementation and evaluation of risk- and impact-analysis-tools with regards to human rights, corruption, environment and social- and labour standards |

|                      |   |
|----------------------|---|
| <b>Total number=</b> | 6 |
|----------------------|---|

## Annex 2: SPECIFIC INSTANCES

Please provide details of the following in the table below:

1. Specific instances **in progress** during the year:
  - Before the initial assessment: specific received and initial assessment in development
  - After the initial assessment: specific instances received and found to merit further examination after the initial assessment, and under consideration by the NCP. Good offices were offered to the parties.
2. Specific instances **concluded** during the year (specific instances that the NCP found to merit further examination after the initial assessment and that have subsequently been closed). Please include any follow-up planned or executed regarding concluded specific instances. When NCPs engage in follow-up they review how the parties have implemented the agreement and recommendations.
3. Specific instances **not accepted** during the year (specific instances that the NCP found not to merit further examination).

Please add additional lines if needed.

We encourage all NCPs to inform the Secretariat on received specific instances and to provide a final statement as soon as it becomes available, in order to keep the OECD database updated at all times. For all specific instances that have not yet been reported to the Secretariat, please complete and send this [form](#) to [Sama.Altahercucci@oecd.org](mailto:Sama.Altahercucci@oecd.org) and [Kathryn.dovey@oecd.org](mailto:Kathryn.dovey@oecd.org)<sup>5</sup>.

**For all specific instances that are currently IN PROGRESS:**

**Before the initial assessment**

| Names of parties | Date received<br><i>(dd/mm/yyyy)</i> | Link to OECD database if available | Did the NCP co-operate with other NCPs during the handling of this specific instance? If yes, please describe. |
|------------------|--------------------------------------|------------------------------------|--|
| N/A              | N/A                                  | N/A                                | N/A  |

**After the initial assessment**

| Names of parties | Date received<br><i>(dd/mm/yyyy)</i> | Is the initial assessment publicly available? | Link to OECD database if available | Did the NCP co-operate with other NCPs during the handling of this specific instance? If yes, please describe. |
|------------------|--------------------------------------|---|------------------------------------|--|
|------------------|--------------------------------------|---|------------------------------------|--|

<sup>5</sup> According to paragraph 42 of the Commentary on the Implementation Procedures of the OECD Guidelines for Multinational Enterprises, “[...] NCPs will report to the Investment Committee in order to include in the Annual Report on the OECD Guidelines information on all specific instances that have been initiated by parties, including those that are in the process of an initial assessment, those for which offers of good offices have been extended and discussions are in progress, and those in which the NCP has decided not to extend an offer of good offices after an initial assessment”.

|     |     |                 |     |     |
|-----|-----|-----------------|-----|-----|
| N/A | N/A | Choose an item. | N/A | N/A |
|-----|-----|-----------------|-----|-----|

|                      |   |
|----------------------|---|
| <b>Total number=</b> | 0 |
|----------------------|---|

| For all specific instances that were CONCLUDED during the year:                 |                               |                                |   |  |                                  |  |
|---|-------------------------------|--------------------------------|---|--|----------------------------------|--|
| Title   | Date received<br>(dd/mm/yyyy) | Date concluded<br>(dd/mm/yyyy) | Link to OECD database if available  | Outcomes achieved  | Follow-up by the NCP             | Did the NCP co-operate with other NCPs during the handling of this specific instance? If yes, please describe. |
| Finance & Trade Watch Austria, EarthRights International vs. ANDRITZ HYDRO GmbH | 09/04/2014                    | 27/06/2017                     | <a href="http://mneguidelines.oecd.org/database/instances/at0005.htm">http://mneguidelines.oecd.org/database/instances/at0005.htm</a> | Agreement reached between the parties inside the NCP process | Follow-up planned for the future | No   |

|                      |   |
|----------------------|---|
| <b>Total number=</b> | 1 |
|----------------------|---|

| For all specific instances that were NOT ACCEPTED during the year: |                               |                                    |   |  |
|--|-------------------------------|------------------------------------|---|--|
| Title  | Date received<br>(dd/mm/yyyy) | 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 describe. |
| N/A  | N/A                           | N/A                                | Choose an item.                                 | N/A  |

|                      |   |
|----------------------|---|
| <b>Total number=</b> | 0 |
|----------------------|---|

**END OF QUESTIONNAIRE**