



Australian Government  
Australian Customs and  
Border Protection Service

PUBLIC  
FILE

FOLIO 262  
No: .....

**International Trade Remedies Branch**

**SUPPLEMENTARY GOVERNMENT  
QUESTIONNAIRE - CHINA**

**GOC RESPONSE TO SECTION D QUESTIONS**

**PRODUCT CONCERNED:** ALUMINIUM ROAD WHEELS FROM THE  
PEOPLE'S REPUBLIC OF CHINA

**INVESTIGATION PERIOD:** 1 JULY 2010 TO 30 JUNE 2011

**RESPONSE DUE BY:** 10 APRIL 2012

**ADDRESS FOR RESPONSE:** International Trade Remedies Branch  
Australian Customs and Border  
Protection Service  
5 Constitution Avenue  
Canberra ACT 2601  
Australia  
Attention: Director Operations 2

**CASE MANAGER:** Arthur VLAHONASIOS  
**TELEPHONE:** +61-2-6275-8130  
**FAX:** +61-2-6275-6990  
**EMAIL:** [tmops2@customs.gov.au](mailto:tmops2@customs.gov.au)

Please note that a non-confidential version of the reply to this  
questionnaire must also be provided.

**PUBLIC RECORD VERSION**

## PUBLIC RECORD VERSION

## TABLE OF CONTENTS

TABLE OF CONTENTS.....	2
ABBREVIATIONS .....	3
SECTION A: BACKGROUND AND GENERAL INSTRUCTIONS.....	4
SECTION D: ADDITIONAL SUBSIDY PROGRAMS.....	9
PROGRAM 41: TECHNOLOGY ASSIST.....	14
PROGRAM 42: EXPORT SUBSIDY .....	15
PROGRAM 43: SMES ASSIST.....	22
PROGRAM 44 ENVIRONMENT SUBSIDIES .....	29
PROGRAM 45 TECHNOLOGY ASSIST – NEW PRODUCTS.....	36
PROGRAM 46: GOVERNMENT INCENTIVES FOR THE TOP TAXPAYER OF THE YEAR – QINHUANGDAO CITY.....	37
PROGRAM 47: FINANCIAL SUPPORT FROM CHINA POSTDOCTORAL SCIENCE FOUNDATION.....	43
PROGRAM 48: FOREIGN TRADE PUBLIC SERVICE PLATFORM DEVELOPMENT FUND.....	50
PROGRAM 49: SME INTERNATIONAL MARKETING PROJECT FUNDS.....	56
PROGRAM 50 PATENT APPLICATION FEE SUBSIDY .....	57
PROGRAM 51: ENTERPRISE DEVELOPMENT .....	64
PROGRAM 52: ECONOMIC DEVELOPMENT ZONE.....	65
PROGRAM 53: NEW PRODUCT TRIAL PRODUCTION .....	66
PROGRAM 54: PATENT SPECIAL FUNDS.....	72
PROGRAM 55: TECHNOLOGICAL INNOVATION PROJECTS FUNDED .....	79
PROGRAM 56: PATENT GRANTS .....	86
SECTION E: DECLARATION.....	87

# PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO 260  
No: .....

## ABBREVIATIONS

the Act	the <i>Customs Act 1901</i>
Aluminium	includes primary aluminium, electrolytic aluminium, secondary aluminium, scrap aluminium cast into an ingot or a billet, whether as an aluminium alloy, including aluminium alloy A356 and A356.2 or similar, or aluminium alone
Aluminium enterprises	Entities involved with the manufacture or processing of aluminium products
ARW	Aluminium Road Wheels
billet	means a bar of aluminium metal, including aluminium alloy A356 and A356.2 or similar
China	the People's Republic of China
Customs and Border Protection	Australian Customs and Border Protection Service
ESI	Enterprise with State Investment
EPZ	Export Processing Zones
FIE	foreign invested enterprise
GOC	Government of China
ingot	means an ingot of aluminium (including aluminium alloy A356 and A356.2 or similar) cast into a shape suitable for further processing
the goods	the goods the subject of the application (ARW)
the investigation period	1 July 2010 to 30 June 2011
SASAC	the State-owned Assets Supervision and Administration Commission of the State Council
SEZ	special economic zone
SOE	state-owned enterprise

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

No:

259

### SECTION A: BACKGROUND AND GENERAL INSTRUCTIONS

#### 1. Background

The Australian Customs and Border Protection Service (Customs and Border Protection) has initiated:

- an investigation into allegations that certain Aluminium Road Wheels (ARWs) from the People's Republic of China (China) have been exported to Australia at dumped prices, and because of that dumping, material injury has been caused to an Australian industry producing like goods; and
- an investigation into allegations that countervailable subsidies have been received in respect of ARWs exported from China to Australia, and because of that subsidisation, material injury has been caused to an Australian industry producing like goods.

The abovementioned dumping investigation involves allegations that there is a situation within the domestic Chinese ARW market that renders sales within that market unsuitable for determining normal values under s.269TAC(1) of the *Customs Act 1901* (the Act) (i.e. that a 'particular market situation' exists in that market).

As part of its investigation, Customs and Border Protection provided the Government of China (GOC) a Government Questionnaire (GQ) that included questions and requested documents that it was considered would be useful in addressing the above-mentioned market situation and subsidy claims in relation to Chinese ARWs.

A confidential response to this GQ was received on 1 February 2012. A non-confidential response was received on 17 February 2012.

This Supplementary Government Questionnaire (SGQ) has been developed by the Australian Customs and Border Protection Service (Customs and Border Protection) after considering the GOC's response to the GQ to this investigation. It contains further questions and requests for information that Customs and Border Protection may be useful in assessing the allegations in relation to Chinese ARWs.

It should be noted that any reference below to an Attachment refers to the Attachments submitted by the GOC in response to the GQ.

#### 2. Product concerned

##### Description

The goods the subject of the application (the goods) are described as follows:

*aluminium road wheels ("ARWs") for motor vehicles of HTISC heading 8708.70.91/78, in diameters ranging from 13" to 22".*

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

<b>PUBLIC FILE</b>
<b>FOLIO</b>
<b>No:</b> 258

For clarification, the goods INCLUDE finished or semi-finished ARWs whether un-painted, painted, chrome plated or forged and EXCLUDE aluminium wheels for go-carts and All-Terrain Vehicles ("ATVs").

### **Tariff classification**

The application stated that the goods are classified to tariff subheading 8708.70.91 (statistical code 78) in Schedule 3 to the Customs Tariff Act 1995.

Tariff subheading 8708.70.91/78 covers "road wheels for passenger motor vehicles including wheels used for caravans and trailers, unfinished wheels and wheels with tyres." This sub-heading does not cover parts of wheels.

The applicable rate of Customs Duty is 5%.

There are no Tariff Concession Orders applicable to the relevant tariff subheadings.

### **3. Investigation period**

The existence and amount of any subsidy and/or dumping in relation to ARW exported to Australia from China will be determined on the basis of an investigation period from 1 July 2010 to 30 June 2011 (hereinafter referred to as 'the investigation period').

In order to permit the allocation of certain types of subsidy to the investigation period, information relating to earlier periods is also requested in certain sections of this questionnaire.

Customs and Border Protection will examine details of the Australian market from 1 July 2006 for injury analysis purposes.

### **4. Response to this questionnaire**

The GOC may elect not to respond to and complete the supplementary questionnaire.

However, if the GOC does not respond Customs and Border Protection may be required to rely on information supplied by other parties (possibly information supplied by the Australian industry – the applicant for anti-dumping and countervailing measures).

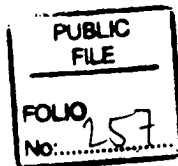
Therefore, it may be in the GOC's interests, and the interest of Chinese exporters of ARWs, to provide a complete response.

If the GOC elects to respond to this questionnaire, the response is due by **close-of-business 10 April 2012**.

### **5. If you decide to respond**

Should the GOC elect to provide a response to this questionnaire, please note the following.

## PUBLIC RECORD VERSION



### Confidential and non-confidential versions

If the GOC elects to respond to this questionnaire, you are required to lodge a confidential and a non-confidential version of your submission by the due date.

In submitting these versions, please ensure that each page of the information you provide is clearly marked either "IN-CONFIDENCE" or "NON-CONFIDENTIAL" in the header and footer.

All information provided to Customs and Border Protection in confidence will be treated accordingly. The non-confidential version of your submission will be placed on the Public Record, which all interested parties can access.

Your non-confidential submission must contain sufficient detail to allow a reasonable understanding of the substance of the confidential version. If, for some reason, you cannot produce a non-confidential summary, contact the investigation case officer (see contact details on Page 1 of this questionnaire).

### Declaration

You are required to make a declaration that the information contained in the GOC's response is complete and correct. You must return the signed declaration of an authorised GOC official at Section E of this questionnaire with the GOC's response.

### Coordination of responses

In completing the questionnaire, if a question requires information from other authorities (e.g. provincial or local governments, state owned entities, etc.) please forward the questions to the correct source.

However, it is the responsibility of the GOC to ensure that a full and complete response to all sections of the questionnaire is submitted, and that responses from all levels of government, agencies and/or other applicable entities are collated and coordinated in the one response.

### Consultants/parties acting on your behalf

If you intend to have another party acting on your behalf please advise Customs and Border Protection of the relevant details.

Customs and Border Protection will generally require a written authorisation from the GOC for any party acting on its behalf.

### Provision of documents

Numerous documents are requested from the GOC throughout this questionnaire. In many cases, the titles or description of these documents within the questionnaire may not correlate to the official title that the GOC has

## PUBLIC RECORD VERSION

<b>PUBLIC FILE</b>
<b>FOLIO</b>
<b>No:</b> 256

granted each document, but is rather a descriptor of the document to the best of Customs and Border Protection's knowledge.

If the listed title is unknown to the GOC but a document that appears to be similar to the requested document, relates to a similar topic area, or otherwise would be considered to contain useful information is identified by the GOC, please provide this document.

Further, when providing requested documents, please indicate whether the documents:

- are current/in force;
- were current/in force during the investigation period; or
- have been repealed, revised or superseded.

Where the documents have been repealed, revised or superseded, where applicable:

- indicate when this revision occurred;
- provide any notice of repeal;
- provide the revised version;
- provide the document that supersedes the requested document; and;
- indicate whether the revised version was in force during the investigation period.

### Lodgement

You may lodge your response by mailing it to the address for lodgement shown on the front cover of this questionnaire.

Alternatively you are welcome to lodge your response by email. The email address for lodgement is shown on the front cover of this questionnaire. If you lodge by email you are still required to provide a confidential and a non-confidential version of your submission by the due date.

In completing any lists of names and addresses requested throughout this questionnaire, electronic responses in a Microsoft Excel spreadsheet would be preferred. If lodging your response in hard copy, please include these lists in electronic format on the included CD-ROM.

### General matters

Responses to questions should:

- be as accurate and complete as possible, and attach all relevant supporting documents,<sup>1</sup> even where not specifically requested in this questionnaire;

---

<sup>1</sup> This includes, but is not limited to, any laws, decrees, regulations, statements of policy, or other administrative guidelines. In each case, include any legislative history as well as other descriptive

## PUBLIC RECORD VERSION

PUBLIC FILE
FOLIO 255
No:.....

- be in English (with fully translated versions of all requested and other applicable documents submitted);
- list your source(s) of information for each question;
- identify all units of measurement used in any tables, lists and calculations;
- show any amounts in the currency in which they were originally denominated.

Please note that references throughout this questionnaire to companies benefiting from a particular program should be read as including any parent and otherwise associated companies, and, if the company has been subject to merger or acquisition, any former associated companies or former parent companies.

Please note that answers such as: "Not Applicable" or an answer that only refers to an exhibit or an attachment may not be considered by Customs and Border Protection to be adequate. We therefore suggest that in answering the questions you outline the key elements of your response in the primary submission document, rather than merely pointing to supporting documents of varying degrees of relevance and reliability as your answer.

### 6. Clarification

If you have any difficulties in completing the questionnaire, or require clarification on any questions asked, contact the case manager as soon as possible (contact details are provided on Page 1 of this questionnaire).

---

materials and explanations of the criteria underlying the decisions relating to each of the programmes mentioned in this questionnaire. If applicable, a sample of each of the applications that a company must complete to participate in each of the programs should also be included.

**PUBLIC RECORD VERSION**



## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO 254  
No. ....

### SECTION D: ADDITIONAL SUBSIDY PROGRAMS

The following programs will be further investigated by Customs and Border Protection:

- **Program 41:** Technology assist
- **Program 42:** Export subsidies
- **Program 43:** SME assist
- **Program 44:** Environmental subsidies
- **Program 45:** New Products
- **Program 46:** Government Incentives for the Top Taxpayer of the Year-Qinhuangdao City
- **Program 47:** Financial Support from China Postdoctoral Science Foundation
- **Program 48:** Foreign Trade Public Service Platform Development Fund
- **Program 49:** SME International marketing project funds
- **Program 50:** Patent Application Fee Subsidy
- **Program 51:** Enterprise Development
- **Program 52:** Economic Development Zone
- **Program 53:** New Product Trial Production
- **Program 54:** Patent Special Funds
- **Program 55:** Technological innovation products funded
- **Program 56:** Patent grants

*Note: the above titles of programs are to the best of Customs and Border Protection's knowledge and in some cases may simply be descriptions of the program. Consequently, the above titles may not exactly reflect any official titles that the GOC has in place. A description of each program as provided by the visited companies is below to assist you in their recognition.*

*In responding to this questionnaire, if the GOC is unfamiliar with the title given to a program, but is aware of the existence of a similar program or one that it appears is being referred to, please identify this (including providing the official title of any such program) and respond to the questionnaire in relation to that program.*

#### **Subsidy/Grant Information obtained at Verification Visits**

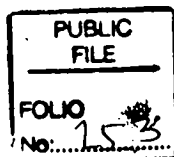
The following information regarding benefits received by ARW exporters was obtained at verification visits conducted by Customs and Border Protection visit teams. These grants/subsidies require further investigation. Some of the programs described below may fall into one of the 40 categories of subsidies previously listed, however each company advised that the payments described below were made in addition to the programs previously listed.

[Details of company specific subsidy/grant information confidential at this time]

For **each of the programs** identified above, answer the following questions.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



*Note: In responding to the questions in this part, you are required to provide information on each program, regardless of the year the benefit was granted by the GOC or the year that the benefit was received by the recipient company, where the program benefits impact on the production and sale of HSS and HRC during the investigation period.*

Provide a copy of the laws, regulations, circulars, notice or other documents identified in Appendix B to this questionnaire.

**D1** Provide details of the program including the following.

- (a) Policy objective and/or purpose of the program.
- (b) Legislation under which the subsidy is granted.
- (c) Nature or form of the subsidy.
- (d) When the program was established.
- (e) Duration of the program.
- (f) How the program is administered and explain how it operates.
- (g) To whom and how is the program provided.
- (h) The eligibility criteria in order to receive benefits under the program.

**D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

**D3** Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

**D4** Identify the GOC department or agency administering the program.

**D5** Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.

**D6** Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

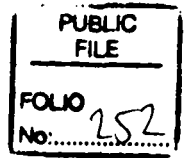
Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

**D7** Answer the following questions regarding the application process:

- (a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



(b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

(c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

(d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

**D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

**D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

(a) Describe the criteria governing the size of the benefit provided.

(b) Provide a copy of any law, regulation or other official document detailing these criteria.

(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

## PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



- D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.
- D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.
- D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?
- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.
- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC notes that this Supplemental Government Questionnaire ("SGQ") seeks detailed information on 16 new "programs" by a short deadline and without any advance notice to the GOC or any opportunity for consultations.

In this regard, the GOC submits that the *Subsidies and Countervailing Measures Agreement* ("SCM Agreement") and relevant Australian law contemplate consultations on alleged new "programs" before Australian Customs and Border Protection ("Australian Customs") issues an SGQ about them. The GOC is concerned about the failure of the Customs to consult with the GOC concerning these new "programs".

Notwithstanding these fundamental concerns, in this response to Section D of the SGQ the GOC chooses to provide information with regard to the new alleged "programs" relevant to the identified respondents in this investigation. It does so on a voluntary basis and in order to demonstrate its co-operation with Australian Customs.

In providing these responses, the GOC expressly asserts that it is not obliged to respond to Australian Customs' requests for information on new "programs" where the "programs" are being investigated without prior consultation. Without consultation on them beforehand, the GOC maintains that they cannot be relevant to this investigation.

## PUBLIC RECORD VERSION

**PUBLIC RECORD VERSION**

<b>PUBLIC FILE</b>	
<b>FOLIO</b>	250
<b>No.</b>	

**PUBLIC RECORD VERSION**

## PUBLIC RECORD VERSION



### PROGRAM 41: TECHNOLOGY ASSIST

To the best of the GOC's knowledge, [CONFIDENTIAL TEXT DELETED]

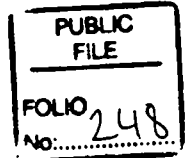
This program was established in July 2008 to:

- enhance the capability of independent innovation;
- accelerate the integration of informatization and industrialization;
- promote the transformation of development pattern and the optimization and upgrade of industrial structure;
- encourage the rapid and sound development of industrial economy.

The Economic Development Bureau and the Finance Bureau of Ninghai County are responsible for the administration of this program.

The GOC is unable to provide a full response to the set of standard questions because of time constraints.

## PUBLIC RECORD VERSION



### PROGRAM 42: EXPORT SUBSIDY

Australian Customs informs the GOC that [CONFIDENTIAL TEXT DELETED]

The GOC believes that the program description refers to export credit insurance assistance, and now responds to the standard set of questions in that context.

#### D1 Provide details of the program including the following.

##### (a) Policy objective and/or purpose of the program.

To encourage enterprises to expand into the international market, and to help them with any exposure to exchange fluctuations.

##### (b) Legislation under which the subsidy is granted.

*Interim Measures for Administration of Support Development Funds of Export Credit Insurance of Ningbo City*

##### (c) Nature or form of the subsidy.

Grant

##### (d) When the program was established.

January 2009

##### (e) Duration of the program.

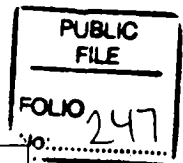
January 2009 to the present

##### (f) How the program is administered and explain how it operates.

The Foreign Economic and Trade Bureau and the Finance Bureau of Ningbo are jointly responsible for the administration and supervision of the funds of this program, in conjunction with the Finance Bureau and the Development and Reform Bureau of Haigang District.

The Foreign Economic and Trade Bureau is responsible for the business management of the funds. This includes determining the scope and direction of the

## PUBLIC RECORD VERSION



support, and the standard of support of the funds (with the Finance Bureau). It will organize special research into the use of the funds, and propose an annual plan for the use of the funds.

The Finance Bureau is responsible for the budget and the financial management of the funds. This includes review and approval of the annual budget with the Foreign Economic and Trade Bureau; the appropriation of the funds; and the examination, supervision and tracing of the use of the funds.

The Finance Bureau of Ningbo City approves the appropriation of funds to the local finance departments, and the local finance departments grant the funds to the enterprises. Within the two months after the end of the year, the local foreign economic and trade department and the finance department will report their implementation of the program to the Foreign Economic and Trade Bureau and the Financial Bureau of Ningbo city for the record.

An insured company can apply to the local foreign economic and trade department and the local finance department for the appropriation of funds of this program within the 15 day period after the end of each quarter.

The scope for use of the funds includes the partial reimbursement of:

- medium and long-term export credit insurance;
- short-term export credit insurance;
- overseas credit investigations by SINOSURE.

A qualified export enterprise can receive funds of this program in accordance with the following standards:

- An enterprise that has purchased short-term export credit insurance can be credited 50% of the value of the premium it actually paid for the insurance (according to the invoiced amount) to a maximum amount of RMB3 million per enterprise.
- For medium and small enterprises (export scale in an amount below USD15 million in the previous year) which are covered under an industry association or regional joint insurance policy, the Ningbo branch of SINOSURE will give a 5% extra reduction on top of the 30% reduction to the average premium of the previous year. Each enterprise will also be given a grant of 5%.
- An enterprise entrusting the Ningbo branch of SINOSURE to undertake overseas credit investigation can be credited 50% of the expense (according to the invoiced amount).
- An enterprise that purchased medium and long-term export credit insurance can be credited 50% of the premium amount, to a maximum amount of RMB1



## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO  
No. 246

million per enterprise.

(g) To whom and how is the program provided.

Please refer to the response to Program 43 question (f) above.

To be qualified to receive a benefit under this program, the applicant must also meet the following requirements:

- qualified as an independent enterprise legal person registered in Ningbo City, which engages in the business of export and import;
- covered by the export credit insurance from the domestic insurance agency, and paid the relevant premium;
- not having committed any unlawful act in foreign trade business, financial and taxation business, foreign exchange administration and customs supervision.

(h) The eligibility criteria in order to receive benefits under the program.

Please refer to the GOC's response to Program 42 questions D1(f) and (g) above.

- D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

*Interim Measures for Administration of Support Development Funds of Export Credit Insurance of Ningbo City - see Attachment 154.*

- D3** Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

Please refer to the GOC's response to Program 42 question D2 above.

- D4** Identify the GOC department or agency administering the program.

Name:	The Foreign Economic and Trade Bureau of Ningbo City
Address:	No. 190, Lingqiao Road, Ningbo City, Zhejiang Province
Name:	The Finance Bureau of Ningbo City
Address:	No. 19, Zhongshanxi Road, Ningbo City, Zhejiang Province

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



- D5** Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.

Payment records

- D6** Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

- D7** Answer the following questions regarding the application process:

- (a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 42 question D1(f). There is no application fee charged by the government agency or authority for the program.

- (b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

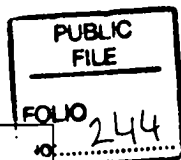
Please refer to the GOC's response to Program 42 question D1(f).

- (c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

Please refer to the GOC's response to Program 42 question D1(f).

- (d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

PUBLIC RECORD VERSION



Please refer to the GOC's response to Program 42 question D1(f). There are no specific disapproval documents.

**D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is contingent upon expenditure by the enterprise related to exports.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

This program is not contingent upon the use of domestic over imported goods.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

This program is limited to enterprises or industries located within designated regions of Ningbo city.

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

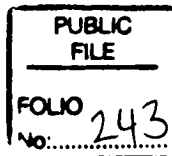
Other than as mentioned in the GOC's response to Program 42 question D8(c), this program is not limited to any enterprise or group of enterprises, or to any industry or group of industries.

**D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is determined by direct reference to the relevant regulations and rules. Please refer to the GOC's response to Program 42 question D1(f).

## PUBLIC RECORD VERSION



- (b) Provide a copy of any law, regulation or other official document detailing these criteria.

Please refer to the GOC's response to Program 42 question D2.

- (c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

An eligible enterprise that meets the established criteria found in the legal instruments provided and explained above can receive the benefit. No further discretion was exercised by the administering agency.

- (d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

The amount of the benefit provided was exclusively determined by established criteria found in the legal instruments explained above. No further official discretion was required.

- (e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

There were no contractual agreements between the GOC and companies benefiting from this program.

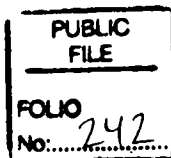
- D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

The GOC does not keep such data.

- D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

Please refer to the GOC's response to Program 42 question D10.

**PUBLIC RECORD VERSION**



- D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

This information is not available. Please see above response to Program 42 question D10 above.

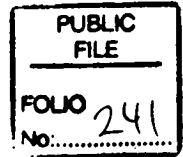
- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

Please refer to the GOC's response to Program 42 question D10.

- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC does not anticipate any changes to the program at this time.

## PUBLIC RECORD VERSION



### PROGRAM 43: SMEs ASSIST

#### [CONFIDENTIAL TEXT DELETED]

The GOC believes that the program description refers to *Local Characteristic Industry SME Development Funds*, and now responds to the standard set of questions in that context.

#### D1 Provide details of the program including the following.

##### (a) Policy objective and/or purpose of the program.

This program is to support technology advancement, energy conservation and emission reduction and coordination of small-and-medium-sized enterprises ("SMEs") located within the Characteristic Industrial Cluster Areas of Ningbo City, and to promote the structural adjustment and optimization of the industry.

##### (b) Legislation under which the subsidy is granted.

*Notice of Issuing "Measures for Local Characteristic Industry SME Development Funds of Ningbo City"* (YongCaiZhengGong [2010] No.938)

##### (c) Nature or form of the subsidy.

Grant

##### (d) When the program was established.

August 2010

##### (e) Duration of the program.

August 2010 to the present

##### (f) How the program is administered and explain how it operates.

The Finance Bureau of Ningbo City is responsible for the administration of this program. It is implemented by the finance departments at the county level within Ningbo City.

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO 240  
No. ....

*Measures for Local Characteristic Industry SME Development Funds of Ningbo City*

identifies these areas to be supported by SME funds:

- technology innovation;
- energy conservation and emission reduction;
- industrial chain cooperation;
- technology transformation of newly emerging industry; and
- public service platform.

An enterprise meeting the application requirements may apply for these SME funds.

The applicant must submit:

- a funds application document;
- project feasibility report;
- statement about production and operation of the project;
- accounting statement audited by a CPA;
- a copy of its Legal Person Business Licence and articles of association of the entity undertaking the project; and
- other required documents.

Finance departments at the county level are responsible for collating the SME funds applications, providing a preliminary review within their own jurisdiction, and reporting the recommended projects to the Finance Bureau of Ningbo City.

After that, a project database is established by the Finance Bureau of Ningbo City for reported projects. The Bureau then organizes competent experts to evaluate the projects. If no objection is made against the evaluation results during a one-week publicity period, relevant funds documents for the projects will be issued. The entities undertaking the projects will then apply to the competent local finance departments for the payment of the funds.

(g) To whom and how is the program provided.

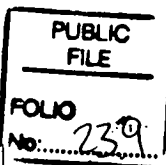
Please refer to the GOC's response to Program 43 question D1(f) above.

To be qualified to access this program, an applicant must meet the following requirements:

- an enterprise located within the recognized industry base of city level, or a key SME public service platform of city level;
- qualified as an SME according to the relevant regulations of the State which

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



are in effect:

- have an independent qualification as a legal person, sound finance management system, correct and complete accounting information, sound credit for tax payment and good bank credit;
- the reported project must meet the requirements of Ningbo City on the structural adjustment and optimization of the industry and must fall within the five areas to be supported as mentioned in the response to Program 43 question D1(d); and
- the reported project has not been supported by other policies of the State or Ningbo City for the same industry.

(h) The eligibility criteria in order to receive benefits under the program.

Please refer to the GOC's response to Program 43 questions D1(f) and (g).

- D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

*Notice of Issuing "Measures for Local Characteristic Industry SME Development Funds of Ningbo City" (YongCaiZhengGong [2010] No.938) – see Attachment 155.*

- D3** Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

Please refer to the GOC's response to Program 43 question D2.

- D4** Identify the GOC department or agency administering the program.

Name:	Finance Bureau of Ningbo City
Address:	No.19 Zhongshan West Road, Ningbo, Zhejiang Province
Name:	Finance Bureau of Ninghai County
Address:	No.128 Taoyuan Middle Road, Ninghai, Ningbo, Zhejiang Province

- D5** Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.



## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

No. ....

238

Payment records

- D6** Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

- D7** Answer the following questions regarding the application process:

- (a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 43 question D(f).

- (b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

Please refer to the GOC's response to Program 43 question D1(f).

- (c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

Please refer to the GOC's response to Program 43 question D1(f).

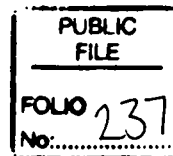
- (d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

Please refer to the GOC's response to Program 43 question D1(f). There are no specific disapproval documents.

- D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

## PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is not contingent upon export performance.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

This program is not contingent upon the use of domestic over imported goods.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

To be qualified to this program, the applicant shall be an enterprise located within the recognized industry base of Ningbo city, or a key SME public service platform of Ningbo city.

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

This program is not limited to any enterprise or group of enterprises, or to any industry or group of industries.

**D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is determined by direct reference to the relevant regulations and rules.

(b) Provide a copy of any law, regulation or other official document detailing these criteria.

Please refer to the GOC's response to Program 43 question D2.

(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a

## PUBLIC RECORD VERSION



benefit or is final approval contingent upon the government agency or authority that administers the program?

An enterprise meeting the established criteria found in the legal instruments which are explained above, can receive the benefit. No further discretion was exercised by the administering agency.

(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

The amount of the benefit provided was exclusively determined by established criteria found in the legal instruments which are explained above. No further official discretion was required.

(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

There were no contractual agreements between the GOC and companies benefiting from this program.

**D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

The GOC does not keep such data.

**D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

This information is not available. Please refer to the GOC's response to Program 43 question D10.

**D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

This information is not available. Please refer to the GOC's response to Program 43

**PUBLIC RECORD VERSION**



question D10.

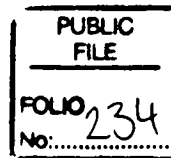
- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

This information is not available. Please refer to the GOC's response to Program 43 question D10.

- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC does not anticipate any changes to the program at this time.

## PUBLIC RECORD VERSION



### PROGRAM 44 ENVIRONMENT SUBSIDIES

#### [CONFIDENTIAL TEXT DELETED]

]The GOC believes that the program description refers to "Assistance for Closing Down Small Thermal Power Units in Zhejiang Province", and now responds to the standard set of questions in that context.

#### D1 Provide details of the program including the following.

##### (a) Policy objective and/or purpose of the program.

This program was established to encourage the closing-down of small thermal power units in Zhejiang Province during the "11th five-year" period, in order to eliminate backward production capacity and to promote adjustment and optimization of the structure of the power industry.

##### (b) Legislation under which the subsidy is granted.

*Measures on Managing Collection of Capacity Fee for Closing Down Small Thermal Power Units in Zhejiang Province* (ZhengCaiQi [2008] No.78)

##### (c) Nature or form of the subsidy.

Grant

##### (d) When the program was established.

May 2008

##### (e) Duration of the program.

May 2008 to the present

##### (f) How the program is administered and explain how it operates.

The Finance Department and Economic and Trade Commission of Zhejiang Province are responsible for administration of this program. It is implemented by the finance departments and economic and trade commissions at the municipality and county

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

No.

233

levels within Zhejiang Province.

An applicant for this program needs to lodge its application accompanied with the following evidence:

- business license;
- audited financial statement;
- confirmation of closing down small thermal power units;
- agreement of closing down small thermal power units;
- resettlement plan for employees of closing down units;
- approval document for dismantling coal-fired power plant and generator units;
- information regarding status before and after closing down;
- video of process of closing down; and
- other necessary materials.

The relevant departments of economy, finance and trade, and the electricity company of the region in which the applicant is located, then examine the application and conducts verification. If the application meets the criteria, they will report to the municipal Economy and Trade Commission and Department of Finance accordingly. These agencies will, in turn, report the application to the provincial Economy and Trade Commission and Department of Finance.

The provincial Economy and Trade Commission and Department of Finance, and the relevant electricity company, will jointly review reported application to decide successful applicants and the amount of assistance. Provincial economy and trade commission and department of finance will jointly issue an assistance fund to the relevant local bureau of finance. The local bureau will then grant the fund to the approved applicant.

Enterprises closing down coal-fired power plant, generator units and grid diesel generator and other similar units, as scheduled in accordance with the responsibility commitment document concerning closing down small thermal power units of Zhejiang Province during "11th five-year" period, were granted RMB1 million for each 10,000 kW of closed down capacity. Enterprises were granted RMB0.5 million for verified dismantling of each 10,000 kW capacity of off-the-grid diesel generation.

For the capacity of small thermal power units which have been closed down and sold by enterprises of Ningbo city or by central enterprises located in Ningbo, utilization fees of the newly established projects will be fully refunded after collection.

(g) To whom and how is the program provided.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



Please refer to the GOC's response to Program 44 question D1(f) above.

An enterprise which applies for assistance must meet following conditions:

- the enterprise must be registered in accordance with law;
- the small thermal power units to be closed down must be coal-fired power plants, generator units or fuel power plant listed in the "11th five-year" closing down responsibility commitment agreement pursuant to which the enterprise promises to undertake the close-down;
- the small thermal power units must have been originally constructed with authorisation from the relevant authority;
- the small thermal power units that are closed down must have been stopped and dismantled on-site within the time allowed, and must not have been rebuilt in a different place;
- the capacity of the units closed down must be confirmed by relevant authority and used for purpose of "Shang Da Ya Xiao" (developing large while shutdown small ones) power project construction; and
- the closing down requirements of the relevant provincial authorities must also be met.

(h) The eligibility criteria in order to receive benefits under the program.

Please refer to the GOC's response to Program 44 questions D1(f) and (g).

- D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

*Measures on Managing Collection of Capacity Fee for Closing Down Small Thermal Power Units in Zhejiang Province (ZhengCaiQi [2008] No.78) – see Attachment 156.*

- D3** Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

Please refer to the GOC's response to Program 44 question D2.

- D4** Identify the GOC department or agency administering the program.

## PUBLIC RECORD VERSION

PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO 231  
No: .....

Name: Finance Department of Zhejiang Province  
Address: No.37, Huancheng Xi Road, Hangzhou City, Zhejiang Province  
Name: Economic and Trade Commission of Zhejiang Province  
Address: No.479 Stadium Rd, Xihu District, Hangzhou City, Zhejiang Province

- D5** Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.

Payment records

- D6** Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

- D7** Answer the following questions regarding the application process:

(a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 44 question D1(f).

(b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

Please refer to the GOC's response to Program 44 question D1(f).

(c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

PUBLIC RECORD VERSION



## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO  
NO. 230

Please refer to the GOC's response to Program 44 question D1(f).

(d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

Please refer to the GOC's response to Program 44 question D1(f). There are no specific disapproval documents.

**D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is not contingent upon export performance.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

This program is not contingent upon the use of domestic over imported goods.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

This program is limited to enterprises or industries located within designated regions of Zhejiang province.

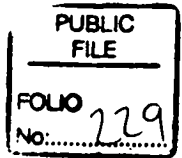
(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

This program is not limited to any enterprise or group of enterprises, or to any industry or group of industries. Any enterprise that closed down a small thermal power unit and otherwise meets the requirements as stated in the response to question (g) was eligible to apply for assistance under this program.

**D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is determined by direct reference to the relevant regulations and rules.

(b) Provide a copy of any law, regulation or other official document detailing these criteria.

Please refer to the GOC's response to Program 44 question D2.

(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

If the enterprise met the established criteria found in the legal instruments as explained above, it could receive the benefit. No further discretion was exercised by the administering agency.

(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

The amount of the benefit provided was exclusively determined by established criteria found in the legal instruments explained above. No further official discretion was required.

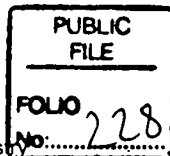
(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

There were no contractual agreements between the GOC and companies benefiting from this program.

**D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

The GOC does not keep such data.

## PUBLIC RECORD VERSION



- D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

This information is not available. Please see the GOC's response to Program 44 question D10 above.

- D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

This information is not available. Please see the GOC's response to Program 44 question D10 above.

- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

This information is not available. Please see the GOC's response to Program 44 question D10 above.

- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC does not anticipate any changes to the program at this time.

## PUBLIC RECORD VERSION

PUBLIC FILE
FOLIO
No:.....227

### PROGRAM 45 TECHNOLOGY ASSIST – NEW PRODUCTS.

To the best of the GOC's knowledge, [CONFIDENTIAL TEXT DELETED]

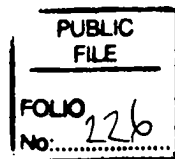
This program was established in October 2010 to assist with implementation of a policy to "make industry strengthen the county". The objectives were to:

- accelerate the adjustment of industrial structure and the transformation of development pattern;
- optimize the development environment of industrial economy;
- continually improve a comprehensive, competitive and sustainable development capability; and
- promote the rapid and sound development of industrial economy.

The Economic Development Bureau and the Finance Bureau of Ninghai County are responsible for the administration of this program.

The GOC is unable to provide a full response to the set of standard questions because of time constraints.

## PUBLIC RECORD VERSION



### PROGRAM 46: GOVERNMENT INCENTIVES FOR THE TOP TAXPAYER OF THE YEAR – QINHUANGDAO CITY

D1 Provide details of the program including the following.

(a) Policy objective and/or purpose of the program.

The purposes of the program are:

- to encourage and strengthen the development of enterprises;
- to foster a number of top taxpayers;
- to further expand the source of financial revenue; and
- to promote the rapid and sound development of Haigang District in Qinhuangdao city.

(b) Legislation under which the subsidy is granted.

*Trial Measures on Incentives for the Top Taxpayer Enterprises in Haigang District*

(c) Nature or form of the subsidy.

Grant

(d) When the program was established.

June 2008

(e) Duration of the program.

June 2008 to the present

(f) How the program is administered and explain how it operates.

The Finance Bureau and the Development and Reform Bureau of Haigang District are responsible for administration of this program. The source of funds for this program is the annual financial budget of Haigang District. The program is open to all the industrial, commercial, and construction and real estate development enterprises (excluding State-invested enterprises), with the incentives being given to the top ten

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

No. 225

taxpayers in each year.

The total annual revenue of the enterprise is based on the total treasury revenue of State taxation and local taxation of the enterprise in the end of the year (the data is provided by the tax department).

The top three enterprises in industry, commerce and construction and real estate, of which the total annual revenue exceed RMB30 million are eligible for an "reward" of RMB100,000.

The Development and Reform Bureau, Finance Bureau, State Taxation Bureau, local Taxation Bureau and other relevant administrations of Haigang District will review and approve the reward once a year. A Top Taxpayer Enterprise cannot participate in other incentives activities.

(g) To whom and how is the program provided.

Please refer to the GOC's response to Program 46 question D1(f).

To be qualified to access this reward program, an applicant must also meet the following requirements:

- great contribution on tax revenue, with strong competitiveness in the market;
- paid taxes in accordance with laws and regulations, with no tax-related non-compliance behaviour in the year;
- did not have any work safety deadly accident/s in the year; and
- protect the lawful rights and interests of the employees, with no deductions of wages of the employees, and complying with basic pension and medical care insurance.

(h) The eligibility criteria in order to receive benefits under the program.

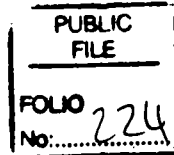
Please refer to the GOC's responses to Program 46 questions D1(f) and (g).

**D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

*Trial Measures on Incentives for the Top Taxpayer Enterprises in Haigang District.*  
Please refer to **Attachment 157**.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



- D3 Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

Please refer to the GOC's response to Program 46 question D2.

- D4 Identify the GOC department or agency administering the program.

Name:	Development and Reform Bureau of Haigang District
Address:	No. 159, Hongqi Rd, Haigang District, Qinhuangdao City, Hebei
Name:	Finance Bureau of Haigang District
Address:	No.68, Yingbin Rd, Haigang District, Qinhuangdao City, Hebei

- D5 Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.

Payment records

- D6 Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

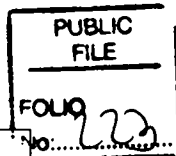
- D7 Answer the following questions regarding the application process:

- (a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 46 question D1(f).

There is no application fee charged by the government agency or authority for the program.

## PUBLIC RECORD VERSION



Please refer to **Attachment 157** for a blank copy of the application form.

(b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

Please refer to the GOC's response to Program 46 question D1(f).

(c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

Please refer to the GOC's response to Program 46 question D1(f).

(d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

Please refer to the GOC's response to Program 46 question D1(f). There are no specific disapproval documents.

**D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is not contingent upon export performance.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

This program is not contingent upon the use of domestic over imported goods.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

Eligibility for the subsidy is limited to enterprises or industries located within Haigang District.



## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

No.

222

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

This program is limited to enterprises in the field of industry, commerce and construction and real estate (excluding State-owned enterprises).

**D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is determined by direct reference to the relevant regulations and rules.

(b) Provide a copy of any law, regulation or other official document detailing these criteria.

Please refer to the GOC's response to Program 46 question D2.

(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

If the enterprise met the established criteria found in the legal instruments explained above, it could access the benefit. No further discretion was exercised by the administering agency.

(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

The amount of the benefit provided was exclusively determined by established criteria found in the legal instruments explained above. No further official discretion was required.

(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO  
No: 221

There were no contractual agreements between the GOC and companies benefiting from this program.

- D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

The GOC does not keep such data.

- D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

Please see the GOC's response to Program 46 D1(f) and D10.

- D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

This information is not available. Please see the GOC's response to Program 46 question D10.

- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

Please see the GOC's response to Program 46 questions D1(f) and D10.

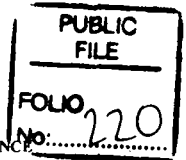
- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC notes that this program is being trialed, however the GOC does not anticipate any changes to the program at this time.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PROGRAM 47: FINANCIAL SUPPORT FROM CHINA POSTDOCTORAL SCIENCE  
FOUNDATION



D1 Provide details of the program including the following.

(a) Policy objective and/or purpose of the program.

The purpose of the program is:

- to fund excellent post-doctoral studies that have innovation capability and development potentiality;
- to promote the completion of innovative research in scientific work; and
- to make them rapidly grow up as versatile, strategic and innovative talents which meet the needs of modernization drive.

(b) Legislation under which the subsidy is granted.

*Circular on Printing and Distributing the Funding Regulation of China Postdoctoral Science Foundation*

(c) Nature or form of the subsidy.

Grant

(d) When the program was established.

January 2008

(e) Duration of the program.

January 2008 to the present

(f) How the program is administered and explain how it operates.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO 219  
No. ....

Under the leadership of the Ministry of Human Resources and Social Security, the Foundation is responsible for reviewing and approving applications made to the Postdoctoral Science Foundation; tracing the use of funds, and regular management of the funds. The source of funds is from State-level consolidate revenue. The Foundation also accepts donations and contributions from various entities, agencies and individuals at home and abroad.

There are two different forms of this program: general funding and special funding. General funding covers initial research funds or supplemental research funds for postdoctoral researchers who are engaged in independent innovative research. The general funding is divided into two grades, RMB50,000 (AUD7,686) and RMB30,000 (AUD4,612).

Special funding is provided to postdoctoral researchers who have major research results and who have outstanding research capacities during his stay in the postdoctoral workstation. The special funding is a one-time grant of RMB100,000.

Applicants for general or special funding apply in their own individual capacity. First the application must achieve a recommendation by an expert, and then the approval of the workplace. The application is then submitted to the Foundation.

The Foundation implements an expert peer review process, with the experts grouped in accordance with their different disciplines. General funding applications are reviewed by the experts in writing. Special funding applications are reviewed by the experts in on-site meetings.

The review experts analyse and judge the research basis, research method, and budget and innovation capability of the applicant. The Foundation then selects the post-doctoral researcher, and provides support in the form of funds to that person for the continuation of the studies concerned.

(g) To whom and how is the program provided.

The program is to assist post-doctors in the workplace.

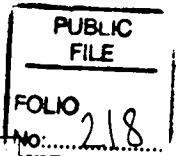
To be qualified to this program, the applicant shall also have good morals, high academic performance and strong research capabilities. Projects for which funds are sought by applicants must be basic, original and forward-looking, with great theoretical significance and application value.

Please also refer to the GOC's response to Program 47 question D1(f).

(h) The eligibility criteria in order to receive benefits under the program.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



Please refer to the GOC's response to Program 47 questions D1(f) and (g).

- D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

*Circular on Printing and Distributing the Funding Regulation of China Postdoctoral Science Foundation. Please refer to **Attachment 158**.*

- D3** Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

Please refer to the GOC's response to Program 47 question D2.

- D4** Identify the GOC department or agency administering the program.

Name: China Postdoctoral Science Foundation  
Address: Apartment, No.30 Xueyuan Road, Haidian District, Beijing

- D5** Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.

Payment records

- D6** Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

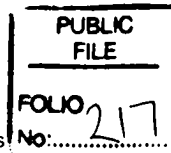
Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

- D7** Answer the following questions regarding the application process:

## PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



(a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 47 question D1(f). There is no application fee charged by the government agency or authority for the program.

(b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

Please refer to the GOC's response to Program 47 question D1(f).

(c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

Please refer to the GOC's response to Program 47 question D1(f).  
The approval document is ZhongBoJiZi [2011] No.8.

(d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

Please refer to the GOC's response to Program 47 question D1(f). There are no specific disapproval documents.

**D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

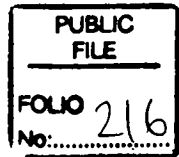
(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is not contingent upon export performance.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

This program is not contingent upon the use of domestic over imported goods.

## PUBLIC RECORD VERSION



(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

Eligibility is not limited to any enterprises or industries located within any specially designated regions in China.

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

To be qualified for this program, the applicant must be a post-doctor in the workplace. It is not limited to any enterprise or group of enterprises, or to any industry or group of industries.

**D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is determined by direct reference to the relevant regulations and rules.

(b) Provide a copy of any law, regulation or other official document detailing these criteria.

Please refer to the GOC's response to Program 47 question D2.

(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

If the enterprise met the established criteria found in the legal instruments as explained above, it could receive the benefit. No further discretion was exercised by the administering agency.

(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

215

The amount of the benefit provided was exclusively determined by established criteria found in the legal instruments explained above. No further official discretion was required.

(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

There were no contractual agreements between the GOC and companies benefiting from this program.

- D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

The GOC does not keep such data.

- D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

Please see the GOC's response to Program 47 question D10 above.

- D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

This information is not available. Please see the GOC's response to Program 47 question D10 above.

- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

Please see the GOC's response to Program 47 questions D1(f) and D10 above.

- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim

PUBLIC RECORD VERSION



**PUBLIC RECORD VERSION**

benefits under the program. When is the last date that a company could receive benefits under the program?

PUBLIC FILE
FOLIO
No: 214

The GOC does not anticipate any changes to the program at this time.

## PUBLIC RECORD VERSION



### PROGRAM 48: FOREIGN TRADE PUBLIC SERVICE PLATFORM DEVELOPMENT FUND

D1 Provide details of the program including the following.

(a) Policy objective and/or purpose of the program.

The purpose of the program is to:

- accelerate the transformation of the development pattern and the restructure of foreign trade; and
- promote the development quality and level of foreign trade,

in Hebei Province.

(b) Legislation under which the subsidy is granted.

The document under which the subsidy is granted is not available for submission.

(c) Nature or form of the subsidy.

Grant

(d) When the program was established.

October 2010

(e) Duration of the program.

October 2010 to the present

(f) How the program is administered and explain how it operates.

The Finance Bureau and Commerce Bureau of Hebei Province are responsible for the administration of this program. It is then implemented by the finance departments and commerce departments of Hebei Province. The support funds are granted to construction projects of public service platform which provide the service to the enterprises in the comprehensive bases and specialized bases.

The support funds must not exceed 50% of the total actual investment of the project. The total amount of the funds shall not in principle exceed RMB3 million for any one

## PUBLIC RECORD VERSION



applicant.

The implementation body (ie the applicant) implementing the Public Service Platform Development Project must submit a written application and provide relevant documents to the local commerce department and finance department. The documents of the project are preliminarily reviewed at the local level. The documents and the opinion of the preliminary review are then submitted to the Commerce Bureau and Finance Bureau of Hebei Province. Those Bureaux organize industry and financial experts to review the Project proposal and to conduct an on-site inspection.

After acceptance of the project, the support funds are granted.

(g) To whom and how is the program provided.

The supporting funds are given to the applicant undertaking the Public Service Platform Development Project which provides the service to the enterprises in the general bases and specialized bases. Please refer to the GOC's response to Program 48 question D1(f).

To qualify for this program, the applicant must demonstrate that it has the capital, the workplace, the equipment and the personnel required to undertake the service under the Project. The applicant must have the capabilities to provide the relevant service to the enterprises in the bases. The applicant is required also to enter into a service agreement with the commerce department where the base is located.

The implementation period for such development projects was from 1 January 2009 to 1 October 2010.

(h) The eligibility criteria in order to receive benefits under the program.

Please refer to the GOC's response to Program 48 questions D1(f) and (g).

- D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

Please refer to the GOC's response to Program 48 question D1(b) above.

- D3** Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

## PUBLIC RECORD VERSION



Please refer to the GOC's response to Program 48 question D2.

- D4** Identify the GOC department or agency administering the program.

Name:	Finance Bureau of Hebei Province
Address:	No.48, Zhonghuanan Avenue, Shijiazhuang City, Hebei Province
Name:	Commerce Bureau of Hebei Province
Address:	No 334, Hepingxi Road, Shijiazhuang City, Hebei Province.

- D5** Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.

Payment records

- D6** Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

- D7** Answer the following questions regarding the application process:

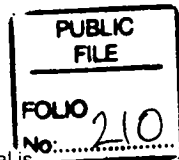
(a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 48 question D1(f). There is no application fee charged by the government agency or authority for the program.

(b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

Please refer to the GOC's response to Program 48 question D1(f).

## PUBLIC RECORD VERSION



(c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

Please refer to the GOC's response to Program 48 question D1(f).

(d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

Please refer to the GOC's response to Program 48 question D1(f). There are no specific disapproval documents.

**D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is not contingent upon export performance.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

This program is not contingent upon the use of domestic over imported goods.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

The support fund is limited to construction projects of public service platform which provide the service to the enterprises in the comprehensive bases and specialized bases.

Please refer to the GOC's response to Program 48 question D1(f).

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

Please refer to the GOC's response to Program 48 questions D1(f) and D8(c).

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO  
No: 209

- D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is to be less than 50% of the actual expense incurred by the project implementing entity, and in no case should it exceed RMB3 million in total amount of assistance. The actual amount for any specific project will be determined by the evaluation of an expert appointed by the authority.

(b) Provide a copy of any law, regulation or other official document detailing these criteria.

Please refer to the GOC's response to Program 48 question D1(b) above.

(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

If the enterprise met the established criteria explained above, it will have received the benefit. No further discretion was exercised by the administering agency.

(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

Please refer to the GOC's response to Program 48 question D9(a) above.

(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

The contractual agreements between the GOC and companies benefiting from this program are not available.

- D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

No.

208

The GOC does not keep such data.

- D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

Please see the GOC's response to Program 48 question D10 above.

- D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

This information is not available. Please see the GOC's response to Program 48 question D10.

- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

Please see the GOC's response to Program 48 question D10.

- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC does not anticipate any changes to the program at this time.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PUBLIC FILE
FOLIO No: 207

### PROGRAM 49: SME INTERNATIONAL MARKETING PROJECT FUNDS

For the details of this program, please refer to the GOC's response to Program 35  
*"Matching Funds for International Market Development for SMEs"* in the GQ and in  
this SGQ.

[CONFIDENTIAL TEXT DELETED]



## PUBLIC RECORD VERSION



### PROGRAM 50 PATENT APPLICATION FEE SUBSIDY

D1 Provide details of the program including the following.

(a) Policy objective and/or purpose of the program.

This program was established:

- to strongly implement the strategy of intellectual property right;
- to encourage invention and creation;
- to promote independent innovation;
- to promote development of patent technology and products; and
- to accelerate commercialization of patent.

(b) Legislation under which the subsidy is granted.

*Interim Measures of Jinhua City for Management of Patent Special Funds*  
(JinZhengFa [2008] #43)

(c) Nature or form of the subsidy.

Grant

(d) When the program was established.

May 2008

(e) Duration of the program.

May 2008 to the present

(f) How the program is administered and explain how it operates.

The Finance Bureau, the Science and Technology Bureau and Intellectual Property Office of Jinhua City are responsible for administration of this program.

Any entity located within Jinhua City or any individual whose residence is in Jinhua City, who is engaged in patent application, implementation and management, may apply for assistance and/or award under this program. For one patent, in principle, the

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



assistance can only be enjoyed once.

An applicant is required to submit the following materials:

- Application Form for Patent Application and Implementation Awards of Jinhua City;
- supporting documents that prove the applicant is qualified for this program;
- Patent Certificate granted by State Intellectual Property Office (Patent Office) and its copy; and
- for the applicant who applies for patent implementation awards, specific auditing report and financial statements must also be provided.

After receipt of the application form and related accompanying documents, the Intellectual Property Office of Jinhua City conducts a preliminary review. It then reports its review opinion to the Finance Bureau and the Science and Technology Bureau of Jinhua City for further review.

The Science and Technology Bureau of Jinhua City then organizes experts to evaluate the application and to provide opinions on assistance and awards of patent, together with the Finance Bureau of Jinhua City.

After the opinion is approved by the government of Jinhua City, the Finance Bureau and the Science and Technology Bureau of Jinhua City jointly issue an approval document.

The applicant who is to obtain the assistance or award, after receipt of the notice, goes to the Finance Bureau of Jinhua City to complete fund allocation formalities. The patent application assistance, after the patent is authorized, can be applied all the year around with the payments being made two times a year.

(g) To whom and how is the program provided.

Please refer to the GOC's response to Program 50 question D1(f).

According to the type of patent, an award can be given as follows:

- RMB15,000 for each invention patent;
- RMB2,000 for each utility model patent;
- RMB1,000 for each appearance design patent.

If a patent is authorized abroad, the amount of assistance will double. For a patent authorized in more than two different foreign countries (regions), the assistance for each patent shall be limited to that granted for a patent authorized in two countries (regions).

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO  
No. 204

However, for an invention patent, the assistance can also be granted for a patent intended to be authorized in a third and a fourth county.

(h)The eligibility criteria in order to receive benefits under the program.

Please refer to the GOC's response to Program 50 questions D1(f) and (g).

- D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

*Interim Measures of Jinhua City for Management of Patent Special Funds*  
(JinZhengFa [2008] #43) – see **Attachment 159**

- D3** Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

Please refer to the GOC's response to Program 50 question D2.

- D4** Identify the GOC department or agency administering the program.

Name:	The Finance Bureau of Jinhua City
Address:	No.1 Building of Dongfu Building, Shifudayuan, No. 801 Shuanglong South Street, Jinhua City, Zhejiang Province
Name:	The Science and Technology Bureau of Jinhua City
Address:	No. 828 Shuanglong South Street, Jinhua City, Zhejiang Province
Name:	Intellectual Property Office of Jinhua City
Address:	No. 828 Shuanglong South Street, Jinhua City, Zhejiang Province

- D5** Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.

Payment records

- D6** Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

**D7** Answer the following questions regarding the application process:

(a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 50 question D1(f).

(b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

Please refer to the GOC's response to Program 50 question D1(f).

(c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

Please refer to the GOC's response to Program 50 question D1(f).

(d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

Please refer to the GOC's response to Program 50 question D1(f). There are no specific disapproval documents.

**D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is not contingent upon export performance.

**PUBLIC RECORD VERSION**



(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

This program is not contingent upon the use of domestic over imported goods.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

The eligibility for this program is limited to enterprises or industries located within Jinhua city,

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

This program is not limited to any enterprise or group of enterprises, or to any industry or group of industries.

**D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is determined by direct reference to the relevant regulations and rules.

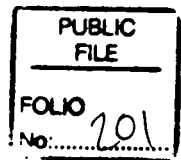
(b) Provide a copy of any law, regulation or other official document detailing these criteria.

Please refer to the GOC's response to Program 50 question D2.

(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

If the enterprise meets the established criteria found in the legal instruments explained above, it could receive the benefit. No further discretion was exercised by the administering agency.

## PUBLIC RECORD VERSION



(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

The amount of the benefit provided was exclusively determined by established criteria found in the legal instruments provided and explained above. No further official discretion was required.

(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

There were no contractual agreements between the GOC and companies benefiting from this program.

- D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

The GOC does not keep such data.

- D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

This information is not available. Please see the GOC's response to Program 50 question D10 above.

- D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

This information is not available. Please see the GOC's response to Program 50 question D10 above.

- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July

## PUBLIC RECORD VERSION



2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

This information is not available. Please see the GOC's response to Program 50 question D10 above.

- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC does not anticipate any changes to the program at this time.

## PUBLIC RECORD VERSION



### PROGRAM 51: ENTERPRISE DEVELOPMENT

The GOC would advise that a more precise description of this program is "*Foreign Economic and Trade Development Assistance Funds of Jinhua City*".

**[CONFIDENTIAL TEXT DELETED]**

This program was established on 1 January 2009 to respond to the new situation of open economy development, to accelerate the transformation of foreign economic and trade development approach and to create new advantages in global competition.

The Commerce Bureau and Finance Bureau of Jinhua City are responsible for administrating this program.

Regarding the assistance for district enterprises, part of the assistance is provided by finance departments at the district level (eg. Finance Bureau of Administrative Commission of Zhejiang Jinhua Economic Development Zone).

The GOC is unable to provide a full response to the set of standard questions because of time constraints.



## PUBLIC RECORD VERSION

PUBLIC FILE
FOLIO 198
No:.....

### PROGRAM 52: ECONOMIC DEVELOPMENT ZONE

This program and Program 51 are the same in nature. Please refer to the GOC's response to Program 51.

## PUBLIC RECORD VERSION



### PROGRAM 53: NEW PRODUCT TRIAL PRODUCTION

D1 Provide details of the program including the following.

(a) Policy objective and/or purpose of the program.

This program was established:

- to accelerate technology innovation project;
- to increase independent innovation capacity;
- to raise the level of industry competition; and
- to promote the fast and good development of the economy of Jinhua City.

(b) Legislation under which the subsidy is granted.

*Measures of Jinhua City for Management of Technology Innovation Funds*  
(JinZhengFa [2008] #113)

(c) Nature or form of the subsidy.

Grant

(d) When the program was established.

December 2008

(e) Duration of the program.

December 2008 to the present

(f) How the program is administered and explain how it operates.

The Finance Bureau and the Science and Technology Bureau of Jinhua City are responsible for administration of this program.

An enterprise proposing to undertake a national or provincial technology project may make application to the Finance Bureau, the Science and Technology Bureau of Jinhua City. After reviewing the project and the application, the District Science and Technology Bureau and District Finance Bureau report to their higher level bureaux.

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO 196  
No:.....

For jointly-undertaken projects, cooperation agreement, corresponding payment records and other documents shall also be provided.

The Finance Bureau and the Science and Technology Bureau of Jinhua city then jointly review the scientific and technology projects, and notify the reviewing result to the public. Project assistance or award arrangement plans will be prepared for internal review. After the arrangement plans are approved by the government of Jinhua city, a notice will be issued by the Finance Bureau and the Science and Technology Bureau of Jinhua City jointly for the funding to proceed.

(g) To whom and how is the program provided.

Please refer to the GOC's response to Program 53 question D1(f).

For provincial new product trial production projects, after acceptance evaluation a one-off assistance of RMB30,000 (AUD4,613.17) will be granted for each project.

(h) The eligibility criteria in order to receive benefits under the program.

Please refer to the GOC's response to Program 53 questions D1(f) and (g).

- D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

*Measures of Jinhua City for Management of Technology Innovation Funds*  
(JinZhengFa [2008] #113) – see **Attachment 160**

- D3** Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

Please refer to the GOC's response to Program 53 question D2.

- D4** Identify the GOC department or agency administering the program.

Name:	The Finance Bureau of Jinhua City
Address:	No.1 Building of Dongfu Building, Shifudayuan, No. 801 Shuanglong South Street, Jinhua City, Zhejiang Province
Name:	Science and Technology Bureau of Jinhua City

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

NO:.....

195

Address: No. 828 Shuanglong South Street, Jinhua City, Zhejiang Province

- D5** Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.

Payment records.

- D6** Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

- D7** Answer the following questions regarding the application process:

(a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 53 question D1(f).

(b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

Please refer to the GOC's response to Program 53 question D1(f).

(c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

Please refer to the GOC's response to Program 53 question D1(f).

(d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO 194  
No. ....

Please refer to the GOC's response to Program 53 question D1(f). There are no specific disapproval documents.

**D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is not contingent upon export performance.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

This program is not contingent upon the use of domestic over imported goods.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

The eligibility for this program is limited to enterprises or industries located within Jinhua city

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

Only enterprises undertaking provincial new product trial production projects can benefit from this program.

**D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is determined by direct reference to the relevant regulations and rules. Actual amount paid to specific projects may be determined by expert evaluation on a case by case basis.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



(b) Provide a copy of any law, regulation or other official document detailing these criteria.

Please refer to the GOC's response to Program 53 question D2.

(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

If the enterprise met the established criteria found in the legal instruments provided and explained above, it could receive the benefit. No further discretion was exercised by the administering agency.

(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

The amount of the benefit provided was exclusively determined by established criteria found in the legal instruments provided and explained above. No further official discretion was required.

(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

There were no contractual agreements between the GOC and companies benefiting from this program.

- D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

The GOC does not keep such data.

- D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

This information is not available. Please see the GOC's response to Program 53

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO 192  
No: .....

question D10 above.

- D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

This information is not available. Please see the GOC's response to Program 53 question D10 above.

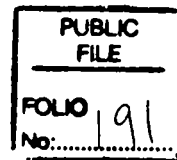
- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

This information is not available. Please see the GOC's response to Program 53 question D10 above.

- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC does not anticipate any changes to the program at this time.

## PUBLIC RECORD VERSION



### PROGRAM 54: PATENT SPECIAL FUNDS

D1 Provide details of the program including the following.

(a) Policy objective and/or purpose of the program.

This program was established:

- to strongly implement the strategy of intellectual property right;
- to encourage invention and creation;
- to promote independent innovation;
- to promote development of patent technology and products; and
- to accelerate commercialization of patent.

(b) Legislation under which the subsidy is granted.

*Interim Measures of Jinhua City for Management of Patent Special Funds*  
(JinZhengFa [2008] #43)

(c) Nature or form of the subsidy.

Grant

(d) When the program was established.

May 2008

(e) Duration of the program.

May 2008 to the present

(f) How the program is administered and explain how it operates.

The Finance Bureau, the Science and Technology Bureau and Intellectual Property Office of Jinhua City are responsible for administration of this program.

Any entity located within Jinhua City or any individual whose residence is in Jinhua City, who is engaged in patent application, implementation and management, may apply for assistance and/or award under this program. For one patent, in principle, the



## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

190

No. ....

assistance can only be enjoyed once.

An applicant is required to submit the following materials:

- Application Form for Patent Application and Implementation Awards of Jinhua City;
- supporting documents that prove the applicant is qualified for this program;
- Patent Certificate granted by State Intellectual Property Office (Patent Office) and its copy; and
- for the applicant who applies for patent implementation awards, specific auditing report and financial statements must also be provided.

After receipt of the application form and related accompanying documents, the Intellectual Property Office of Jinhua City conducts a preliminary review. It then reports its review opinion to the Finance Bureau and the Science and Technology Bureau of Jinhua City for further review.

The Science and Technology Bureau of Jinhua City then organizes experts to evaluate the application and to provide opinions on assistance and awards of patent, together with the Finance Bureau of Jinhua City.

After the opinion is approved by the government of Jinhua City, the Finance Bureau and the Science and Technology Bureau of Jinhua City jointly issue an approval document.

The applicant who is to obtain the assistance or award, after receipt of the notice, goes to the Finance Bureau of Jinhua City to complete fund allocation formalities. The patent application assistance, after the patent is authorized, can be applied all the year around with the payments being made two times a year.

(g) To whom and how is the program provided.

Please refer to the GOC's response to Program 54 question D1(f) above.

In the case of Patent Model Enterprise Awards:

- for an enterprise recognized as National Intellectual Property Right (Patent) Model Enterprise, a one-off award of RMB300,000 will be granted;
- for an enterprise recognized as National Intellectual Property Right (Patent) Pilot Enterprise, a one-time award of RMB200,000 will be granted;
- for an enterprise recognized as Provincial Patent Model Enterprise, a one-time award of RMB100,000 will be granted;
- for an enterprise recognized as Municipal Patent Model Enterprise, a one-

PUBLIC RECORD VERSION

PUBLIC RECORD VERSION

PUBLIC  
FILE

time award of RMB500,00 will be granted.

FOUO  
No. 189

(h) The eligibility criteria in order to receive benefits under the program.

Please refer to the GOC's response to Program 54 question D1(f) and (g) above.

- D2 Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

*Interim Measures of Jinhua City for Management of Patent Special Funds*  
(JinZhengFa [2008] #43) – see **Attachment 159**.

- D3 Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

Please refer to the GOC's response to Program 54 question D2 above.

- D4 Identify the GOC department or agency administering the program.

Name:	The Finance Bureau of Jinhua City
Address:	No. 1 Building of Dongfu Building, Shifudayuan, No. 801 Shuanglong South Street, Jinhua City, Zhejiang Province
Name:	The Science and Technology Bureau of Jinhua City
Address:	No. 828 Shuanglong South Street, Jinhua City, Zhejiang Province
Name:	Intellectual Property Office of Jinhua City
Address:	No. 828 Shuanglong South Street, Jinhua City, Zhejiang Province

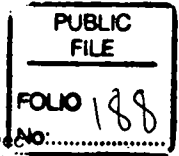
- D5 Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-specific files, databases, budget authorizations, etc.) regarding the program.

Payment records

- D6 Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

**D7** Answer the following questions regarding the application process:

(a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 54 question D1(f).

(b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

Please refer to the GOC's response to Program 54 question D1(f).

(c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

Please refer to the GOC's response to Program 54 question D1(f).

(d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

Please refer to the GOC's response to Program 54 question D1(f). There are no specific disapproval documents.

**D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

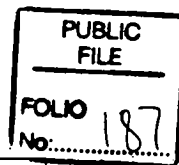
(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is not contingent upon export performance.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION



This program is not contingent upon the use of domestic over imported goods.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

The eligibility for this program is limited to enterprises or industries located in Jinhua city.

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

This program is limited to those enterprises recognized as patent model/pilot enterprises.

**D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is determined by direct reference to the relevant regulations and rules.

(b) Provide a copy of any law, regulation or other official document detailing these criteria.

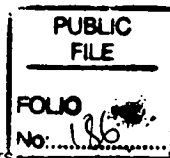
Please refer to the GOC's response to Program 54 question D2 above

(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

If the enterprise met the established criteria found in the legal instruments provided and explained above, it could receive the benefit. No further discretion was exercised by the administering agency.

(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official

## PUBLIC RECORD VERSION



document or does the government agency or authority that administers the program determine the benefit amount?

The amount of the benefit provided was exclusively determined by established criteria found in the legal instruments provided and explained above. No further official discretion was required.

(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

There were no contractual agreements between the GOC and companies benefiting from this program.

- D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

The GOC does not keep such data.

- D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

This information is not available. Please see the GOC's response to Program 54 question D10.

- D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

This information is not available. Please see the GOC's response to Program 54 question D10.

- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

This information is not available. Please see the GOC's response to Program 54 question D10.

**PUBLIC RECORD VERSION**

<b>PUBLIC FILE</b>
<b>FOLIO</b> No. 185

- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC does not anticipate any changes to the program at this time.

## PUBLIC RECORD VERSION



### PROGRAM 55: TECHNOLOGICAL INNOVATION PROJECTS FUNDED

D1 Provide details of the program including the following.

(a) Policy objective and/or purpose of the program.

This program was established:

- to accelerate technology innovation project;
- to increase independent innovation capacity;
- to raise the level of industry competition; and
- to promote the fast and good development of the economy of Jinhua City.

(b) Legislation under which the subsidy is granted.

*Measures of Jinhua City for Management of Technology Innovation Funds*  
(JinZhengFa [2008] #113)

(c) Nature or form of the subsidy.

Grant

(d) When the program was established.

December 2008

(e) Duration of the program

December 2008 to the present

(f) How the program is administered and explain how it operates.

The Finance Bureau and the Science and Technology Bureau of Jinhua City are responsible for administration of this program.

An enterprise proposing to undertake a national or provincial technology project may make application to the Finance Bureau, the Science and Technology Bureau of Jinhua City. After reviewing the project and the application, the District Science and Technology Bureau and District Finance Bureau report to their higher level bureaux.

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

No:

183

For jointly-undertaken projects, cooperation agreement, corresponding payment records and other documents shall also be provided.

The Finance Bureau and the Science and Technology Bureau of Jinhua city then jointly review the scientific and technology projects, and notify the reviewing result to the public. Project assistance or award arrangement plans will be prepared for internal review. After the arrangement plans are approved by the government of Jinhua city, a notice will be issued by the Finance Bureau and the Science and Technology Bureau of Jinhua City jointly for the funding to proceed.

(g) To whom and how is the program provided.

Please refer to the GOC's response to Program 55 question D1(f) above.

- For significant projects listed in the municipal technology innovation plan, the assistance will be provided in several stages. After evaluation, and reaching agreement, an assistance in an amount of between RMB150,000 and RMB300,000 can be provided for the early stage; after project completion and acceptance check, assistance in the amount of 15% of total actual R&D expenditure will be granted. The total assistance for each project must not exceed RMB800,000.
- For key projects listed in the municipal technology innovation plan, projects will be classified as ordinary supported projects or key supported projects based on the review, evaluation and consideration of innovation level, cost, difficulty of implementation, basic conditions, anticipated benefit and other project factors.
- Regarding industrial projects, assistance in an amount of between RMB100,000 and RMB200,000 will be granted for each ordinary supported project, and assistance of an amount between RMB200,000 and RMB400,000 will be granted for each key supported project.
- Regarding agricultural projects, an assistance of an amount between RMB50,000 and RMB100,000 will be granted for each ordinary supported project, and an assistance of an amount between RMB100,000 and RMB300,000 will be granted for each key supported project.
- Regarding social development projects, an assistance of an amount between RMB 50,000 and RMB80,000 will be granted for each ordinary supported project, and an assistance of an amount between RMB80,000 and RMB200,000 will be granted for each key supported project. The municipal advantageous enterprises may enjoy appropriate preferential treatment.
- For the key project the assistance for which is more than RMB 200,000, the

PUBLIC RECORD VERSION



## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

NO.

182

assistance will be provided by stages. After conclusion of agreement, assistance in an amount between RMB 100,000 and RMB 200,000 can be provided for the earlier stage; after project completion and acceptance check, the assistance will be 15% of total actual R&D expenditure. The total assistance for each project must not exceed RMB 400,000. For the project the assistance for which does not exceed RMB 200,000, after conclusion of agreement, the one-off assistance will be provided.

- For key municipal bidding technology projects, an assistance of an amount between RMB 200,000 and RMB 500,000; for the significant municipal bidding technology projects, the amount of assistance will be determined according to the actual situation.

(h) The eligibility criteria in order to receive benefits under the program.

Please refer to the GOC's response to Program 55 questions D1(f) and (g).

- D2** Provide translated copies in English of the decrees, laws and regulations relating to the program and any reports pertaining to the program published prior to, during or since the investigation period.

*Measures of Jinhua City for Management of Technology Innovation Funds*  
(JinZhengFa [2008] #113) – see **Attachment 160**

- D3** Provide copies together with translations in English of all legislative, regulatory, administrative and public documents relating to this program.

Please refer to the GOC's response to Program 55 question D2 above.

- D4** Identify the GOC department or agency administering the program.

Name:	The Finance Bureau of Jinhua City
Address:	No. 1 Building of Dongfu Building, Shifudayuan, No. 801 Shuanglong South Street, Jinhua City, Zhejiang Province
Name:	Science and Technology Bureau of Jinhua City
Address:	No. 828 Shuanglong South Street, Jinhua City, Zhejiang Province

- D5** Identify and explain the types of records maintained by the relevant government or governments (e.g., accounting records, company-

PUBLIC RECORD VERSION

## PUBLIC RECORD VERSION

PUBLIC FILE
FOLIO
No: 181

specific files, databases, budget authorizations, etc.) regarding the program.

Payment records.

- D6** Identify all Chinese ARW producers and/or exporters that have produced and/or exported ARW destined for Australia during the investigation period that accrued or received benefits under the program during the period 1 July 2001 – 30 June 2011.

Provide, on an annual basis by calendar year (separating July – Dec 2001 and January – June 2011) the amount(s) and/or nature of the benefit or concession granted (monetary and/or non-monetary) under the program.

[CONFIDENTIAL TEXT DELETED]

- D7** Answer the following questions regarding the application process:

(a) Describe the application process (including any application fees charged by the government agency or authority) for the program and provide a blank copy of the application form (translated, if necessary).

Please refer to the GOC's response to Program 55 question D1(f).

(b) After an application is submitted, describe the procedures by which an application is analysed and eventually approved or disapproved.

Please refer to the GOC's response to Program 55 question D1(f).

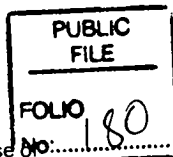
(c) If the application is approved, provide the approval documents together with any conditions or criteria subject to which the approval is made.

Please refer to the GOC's response to Program 55 question D1(f).

(d) If the application is not approved, provide the disapproval documents together with the reasons for disapproval.

Please refer to the GOC's response to Program 55 question D1(f). There are no specific disapproval documents.

**PUBLIC RECORD VERSION**



- D8** Answer the following questions regarding eligibility for and actual use of the benefits provided under this program.

(a) Is eligibility for, or actual use of this program contingent, whether solely or as one of several other conditions, upon export performance? If so, please describe.

This program is not contingent upon export performance.

(b) Is eligibility for this program contingent, whether solely or as one of several other conditions, upon the use of domestic over imported goods? If so, please describe.

This program is not contingent upon the use of domestic over imported goods.

(c) Is eligibility for the subsidy limited to enterprises or industries located within designated regions? If so, specify the enterprises or industries and the designated regions.

The eligibility for this program is not limited to enterprises or industries located within designated regions

(d) Is eligibility limited, by law, to any enterprise or group of enterprises, or to any industry or group of industries? If so, describe and specify the eligible enterprises or industries.

Only enterprises undertaking a municipal technology innovation project can benefit from this program.

- D9** Respond to the following questions regarding the criteria governing the eligibility for and receipt of any benefit under this program.

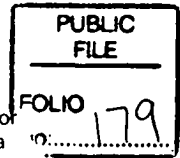
(a) Describe the criteria governing the size of the benefit provided.

The size of the benefit is determined by direct reference to the relevant regulations and rules.

(b) Provide a copy of any law, regulation or other official document detailing these criteria.

Please refer to the GOC's response to Program 55 question D2 above.

## PUBLIC RECORD VERSION



(c) If the eligibility criteria as listed in the applicable law, regulation or other official documents are met, will the applicant always receive a benefit or is final approval contingent upon the government agency or authority that administers the program?

If the enterprise met the established criteria found in the legal instruments as explained above, it could receive the benefit. No further discretion was exercised by the administering agency.

(d) Is the amount of the benefit provided exclusively determined by established criteria found in the law, regulation or other official document or does the government agency or authority that administers the program determine the benefit amount?

The amount of the benefit provided was exclusively determined by established criteria found in the legal instruments provided and explained above. No further official discretion was required.

(e) Provide any contractual agreements between the GOC and the companies that are receiving the benefits under the program (e.g., loan contracts, grant contracts, etc.).

There were no contractual agreements between the GOC and companies benefiting from this program available for submission.

**D10** Provide a list by industry and by region of the companies that have received benefits under this program in the year the provision of benefits was approved and in each of the years from 1 July 2007 to 30 June 2011.

The GOC does not keep such data.

**D11** Provide the total amounts of benefits received by each type of industry in each region in the year the provision of benefits was approved and each of the years from 1 July 2007 to 30 June 2011.

This information is not available. Please see the GOC's response to Program 55 question D10.

**D12** How many companies have applied for benefits under this program in the year the financial assistance or benefit was approved and in each of year from 1 July 2007 to 30 June 2011?

## PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO

178

This information is not available. Please see the GOC's response to Program 55 question D10.

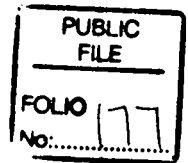
- D13** How many applicants have received financial assistance/benefit and how many applicants have been rejected in the year the financial assistance/benefit was approved and in each of the years from 1 July 2007 to 30 June 2011? Provide the main reasons why applicants have been rejected.

This information is not available. Please see the GOC's response to Program 55 question D10.

- D14** Describe any anticipated changes in the program. Provide documentation substantiating your answer. If the program has been terminated, state the last date that a company could apply for or claim benefits under the program. When is the last date that a company could receive benefits under the program?

The GOC does not anticipate any changes to the program at this time.

## PUBLIC RECORD VERSION



### PROGRAM 56: PATENT GRANTS

#### [CONFIDENTIAL TEXT DELETED]

The GOC believes that the program description refers to "Patent grants provided by Administrative Commission of Zhejiang Jinhua Economic Development Zone".

#### [CONFIDENTIAL TEXT DELETED]

This program was established on 1 January 2010 to encourage technology transformation and science and technology innovation, and to increase the core capacity of enterprises.

The Economic Development Bureau and Finance Bureau of Administrative Commission of Zhejiang Jinhua Economic Development Zone are responsible for administrating this program. A special fund of Jinhua Economic Development Zone for intellectual property rights has been established to provide assistance for patent application and to award patent model enterprises.

The GOC is unable to provide a full response to the set of standard questions because of time constraints.

PUBLIC RECORD VERSION

PUBLIC  
FILE

FOLIO 176  
No. ....

SECTION E: DECLARATION

DECLARATION

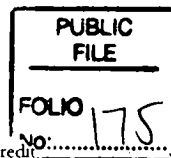
The undersigned certifies that all information supplied herein in response to the questionnaire (including any data supplied in an electronic format) is complete and correct to the best of his/her knowledge and belief.

April 10, 2012  
Date

Gu Yu  
Signature of authorised  
official

Gu Yu  
Name of authorised official

First Secretary  
Title of authorised official



Interim Measures for Administration of Development Support Funds of Export Credit Insurance of Ningbo City

Article1 These measures are formulated to encourage the export enterprise to expand the international market aggressively, help the export enterprise not overexposing to the risk of foreign exchange, make the export credit insurance play a important role to promote the export, strengthen and standardize the administration of "Development Support Funds of Export Credit Insurance" ( hereinafter referred to as "the Development Funds").

Article2 The "export enterprises" in these measures refer to various enterprises that are registered in Ningbo and have the right to operate the business of export and import.

Article3 "Development Funds of Export Credit Insurance" in these measures refer to special assistance funds allocated from annual financial budget to support enterprises to cover the export credit insurance and conduct credit investigation etc.

Article4 The sources of the Development Funds:

1. Central Foreign Trade Development Funds;
2. Budgetary funds of municipal finance bureau.

Article5 The utilization of Development Funds shall follow the principles of openness and transparency, directional use, professional administration and strengthened supervision.

Article6 The Foreign Economic and Trade Bureau and the Finance Bureau of Ningbo are jointly responsible for the use administration and supervision of the funds of this program.

The foreign economic and trade department is responsible for the business management of the funds, which include determining the support direction, the use range, the standard of support of the funds with the Finance Bureau; organize the special research of the use direction of the funds; and propose the annual plan of the funds.

The finance department is responsible for the budget and the financial management of the funds, including review and approve the annual budget of the funds with the foreign economic and trade department, appropriate the funds, organize the tracing, examination and supervision the use of the funds.

Article7 The scope for use of the funds includes:

- (1) Medium and long-term export credit insurance;
- (2) Short-term export credit insurance;
- (3) Overseas credit investigation of SINOSURIE



The detailed insurance coverings can be included in the range of the funds after it is submitted by the Ningbo branch of SINOSURE and approved by the finance bureau and foreign economic and trade bureau of Ningbo city.

Article8 To be qualified to this program, the applicant shall also meet the following requirements:

- (1) Be registered in Ningbo City, qualified as an independent enterprise legal-person and has the right to operate the business of export and import;
- (2) Has been covered by the export credit insurance from the domestic insurance agency and paid the premium;
- (3) Do not have any unlawful act in foreign trade business, financial and taxation business, foreign exchange administration and customs supervision.

Article9 The qualified export enterprise can receive the funds of this program in accordance with the following standards:

- (1) The enterprises purchasing the short-term export credit insurance will be given funds of 50 percent of the premium they actually paid (according to invoice amount) (the maximum amount is CNY 3 millions /per enterprise);
- (2) For the medium and small enterprises which are covered in the name of the industry association or regional joint insurance, the Ningbo branch of SINOSURE will give a 5 percent extra reduction on top of the 30 percent reduction to the average premium of last year. Each enterprise will also be given a reward of 5 percent. The export scale of the enterprises is an export amount below USD 15 millions in last year.
- (3) The enterprises entrusting the Ningbo branch of SINOSURE for overseas credit investigation will be given funds of 50 percent of the expense they actually paid (according to invoice amount);
- (4) The enterprises purchasing the medium and long-term export credit insurance will be given 50 percent assistance (the maximum amount is CNY 1 million /per enterprise).

Article10 The Ningbo branch of SINOSURE, within the 15 days after the end of every quarter, reports the foreign economic and trade department of Ningbo the summarized "table of development funds of export credit insurance of the whole city".....

Article11 The insured company can apply for the appropriation of funds of this program to the local foreign economic and trade department and the finance department within 15 days after the end of each quarter. The Finance Bureau of Ningbo City appropriates the funds to the local finance departments, after the approval, the local finance departments appropriate the funds to the enterprises. The municipal finance bureau and local finance bureau of the place where the enterprise is located afford 50% of the assistance funds respectively; for Fenghua, Ninghai, Xiangshan, local finance bureau affords 30%, and the municipal finance bureau affords 70%. Within the two months after the end of the year, the local foreign economic and trade department and the finance department will report the implementation to the Foreign Economic and



Trade Bureau and the Financial Bureau of Ningbo city for the record.

Article12 To accelerate the progress of funds allocation, in principle, the funds shall be allocated every quarter in all regions. The enterprise that does not file the application within 1 month after the end of the year or fails to file the application before the deadline cannot enjoy the funds assistance.

Article13 After the export enterprise receives the development funds, the funds shall be dealt with in accordance with the relevant regulations of the State.

Article14 The enterprise shall report truly in application for development funds.....

Article15 The Foreign Economic and Trade Bureau and the Finance Bureau of Ningbo are responsible for the interpretation of these measures.

Article16 These measures come into effect as of January1, 2009.



# 宁波市对外贸易经济合作局 文件 宁波市财政局

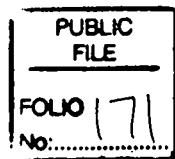
甬外经贸财〔2009〕63号

## 关于印发宁波市出口信用保险扶持 发展资金管理暂行办法的通知

各县（市）、区外经贸主管部门、财政局：

根据市政府《关于进一步加强拓市场促调整保增长工作的若干意见》（甬政发〔2009〕42号）要求，我们制定了《宁波市出口信用保险扶持发展资金管理暂行办法》，现印发给你们，请遵照执行。执行中有何问题请及时与市外经贸局（财务处）胡宏伟联系，联系电话：87178050。

二〇〇九年七月七日



## 宁波市出口信用保险扶持 发展资金管理暂行办法

第一条 为了鼓励出口企业积极开拓国际市场，帮助出口企业防范收汇风险，发挥出口信用保险对出口的促进作用，加强和规范“出口信用保险扶持发展资金”（以下简称扶持发展资金）的管理，特制定本办法。

第二条 本办法所称的“出口企业”是指在宁波注册的、有进出口经营权的各类企业。

第三条 本办法所称的“出口信用保险扶持发展资金”是指从年度财政预算中专项安排，对投保企业进行出口信用保险投保、资信调查等进行扶持的专项资助资金。

第四条 扶持发展资金来源：☐

（一）中央外贸发展基金：☐

（二）市财政预算内资金。☐

第五条 扶持发展资金的管理和使用遵循公开透明、定向使用、科学管理、加强监督的原则。

第六条 市外经贸局和市财政局为扶持发展资金的主管部门，共同负责扶持发展资金的使用管理和监督管理。

外经贸部门负责扶持发展资金的业务管理，包括会同财政部门确定扶持发展资金的支持方向、使用范围、资助标准和方式，组织对扶持发展资金使用方向的专题调研，提出年



度资金计划等工作。☐

财政部门负责扶持发展资金的预算和财务管理，包括会同外经贸部门审定年度资金预算，拨付扶持发展资金，组织对扶持发展资金使用情况的追踪问效和监督检查等工作。☐

第七条 扶持发展资金的使用范围包括：☐

(一) 中长期出口信用保险；

(二) 短期出口信用保险：☐

(三) 中信保公司海外资信调查：☐

上述范围内的具体险种，须由中信保公司宁波分公司报市外经贸局、市财政局同意，方可列入扶持发展资金的支持范围。☐

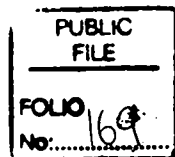
第八条 获得扶持发展资金的出口企业应符合以下条件：☐

(一) 在宁波市内注册，具有独立企业法人资格和进出口经营权：☐

(二) 已向境内保险机构投保出口信用保险并缴纳保费：☐ (三) 在外经贸业务、财税业务、外汇管理、海关监管等方面无违法行为。☐

第九条 凡符合本办法第八条规定条件的出口企业，按照以下标准予以资助。其中：☐

(一) 投保短期出口信用保险的按实际缴纳保费（按发票金额）的 50% 予以资助（最高限额 300 万元/户）。



(二)对中小企业以行业协会或区域联合投保方式投保的,中信保公司宁波分公司对其上年平均保险率下调 30%的基础上再下调 5%的前提下,给予每家企业追加 5%奖励,享受本政策的企业出口规模为上年出口额 1500 万美元以下。

(三)企业委托中信保公司宁波分公司进行境外资信调查,按企业实际付费额(发票金额)的 50%进行补助。

(四)对中长期出口信用险企业给予 50%补贴(最高限额 100 万元/户)。

第十条中信保公司宁波分公司于每季度终了后十五日内,将汇总的上季度《全市出口信用保险扶持发展资金情况表》及《分县市区企业投保明细表》报送市外经贸局,经市外经贸局审核后报送市财政局。

第十一条投保企业可以在每季度终了后十五日内,向所属县市区外经贸部门和财政局提出资金拨付申请。市财政局拨付资金给所属县市区财政局,经审核并由其配套后拨付给企业。扶持资金由市本级财政和企业所在地财政各按 50%比例承担(其中奉化、宁海、象山承担扶持资金 30%,市财政承担 70%)。各县市区外经贸部门和财政部门在年度终了 2 个月内将本地区执行情况报市外经贸局和财政局备案。

第十二条·为加快资金拨付进度,原则上各地应实行按季拨付一次。年度终了一个月内未经申报或过期申报的企业,一律不得享受资金扶持。

第十三条 出口企业收到扶持发展资金后,应按照国



家有关规定进行财务处理。·

第十四条 企业应据实申报扶持发展资金，对有下列行为之一的出口企业或承办单位，视情节轻重，市外经贸局和市财政局将取消其五年内享受外经贸扶持资金资格，并建议有关部门对相关责任人和直接责任人员给予行政处分；构成犯罪的，移交司法机关依法处理：·

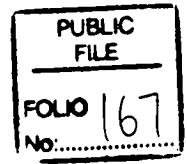
(一)采取各种不正当手段骗取扶持发展资金；·

(二)截留或挪用扶持发展资金；·

(三)拒绝有关部门监督、检查，或对有关部门监督、检查不予配合。·

第十五条 本办法由外经贸局和财政局负责解释。·

第十六条 本办法自 2009 年 1 月 1 日起执行。



**主题词：外贸 出口 资金 通知**

---

抄送：市政府办公厅，中信保宁波分公司。

---

宁波市外经贸局办公室

2009 年 7 月 7 日印发

---

共印 70 份





## **Documents of Finance Bureau of Ningbo City**

(YONG CAI ZHENG GONG [2010] No.938)

---

### **Notice of Issuing “Measures for Local Characteristic Industry SME Development Funds of Ningbo City”**

To the Finance Bureaus of county(city) and district levels:

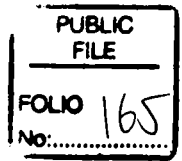
Hereby the *Measures for Local Characteristic Industry SME Development Funds of Ningbo City* is issued for implementation.

August 31, 2010

Attachment:

#### **Measures for Local Characteristic Industry SME Development Funds of Ningbo City**

The Measures are formulated in spirit of the *Interim Measures on the Funds Management of Local Characteristic Industry SME Development* (CAI QI [2010] No. 103) and the *Notice on the Found Budgets(appropriation) of Local Characteristic Industry SME Development by the Ministry of Finance* (CAI QI [2010] No. 123), and combining the requirements of the *Implementation Guideline on the Accelerated Promotion of the Base Construction of New Industries and Industries with Local Advantages (For Trial Implementation)* (YONG ZHENG FA [2008]No. 110) issued by our city.



### I. Sources of the Funds

The development funds for the local characteristic industries and small-and-medium-sized enterprises (SME) of Ningbo city are budgets layouts from the state revenue, and are appropriated to our city, in order to support the technology advancement, energy conservation and emission reduction and coordination of SME located within the characteristic industrial cluster areas of our city, and to promote the structural adjustment and optimization of industries.

### II. Applicants and Requirements

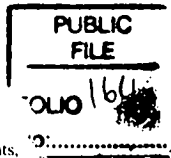
Applicants for the local characteristic industry funds shall meet all the following requirements:

- (1) according to the *Implementation Guideline on the Accelerated Promotion of the Base Construction of New Industries and Industries with Local Advantages (For Trial Implementation)* (YONG ZHENG FA [2008]No. 110) issued by Ningbo government, being an enterprise located within the recognized industry base of city level, or a key SME public service platform of city level;
- (2) being qualified as SME according to relevant regulations of the State in force;
- (3) possessing an independent legal personality, sound finance management system, accurate and complete accounting information, sound credit for tax payment and good bank credit standing;
- (4) its reported project meets the requirements of our city on the structural adjustment and optimization of the industry, and comply with the five aspects of Article 3 of the Measures. Each entity undertaking the projects can only choose one of the aspects to make applications; and
- (5) the reported project has not been supported by the similar industry policies formulated by the State or cities.

### III. Supporting Aspects and Forms

- (1) Technology Innovation.

To promote transformations of technology innovations and achievements, particularly to support



the technology innovations and transformations of scientific and technological achievements, which are made by the SME located within the industrial cluster areas with local characteristics, and which conform to technology policies of the state, have relatively high innovation levels, strong market competitiveness, expected economic and social benefits, and are not involved in controversial intellectual property rights.

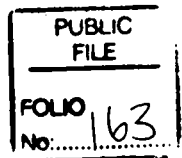
(2) Energy Conservation and Emission Reduction

To encourage SME to save energy and reduce emissions, particularly to support the technical renovation programs, which are designed to produce and apply energy-saving and emission-reducing products by the SME located within the industrial cluster areas with local characteristics, and to support the construction, renovation and expansion, and technical reform of comprehensive harnessing and recycling of waste water, waste gas, waste residue and so on in the cluster areas.

(3) Industrial Chain Cooperation

To strengthen the professional cooperation between SME and key enterprises, particularly to support the technology transformations and expansion projects of major products by the leading key SME which have relatively high cooperation relations and locate within the industrial cluster areas with local characteristics, and to support the technological transformations and expansion projects, which are designed to strengthen cooperations between the SME and the leading key enterprises or to improve the professional production levels.

(4) Technology Transformation of Newly Emerging Industry



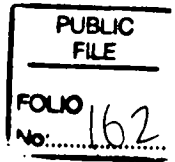
To encourage SME to make industrial upgrading and extending, particularly to support the technology transformations for industrial upgrading by the SME located within the industrial cluster areas with local characteristics, construction and technology transformations by SME in the eight strategic and new industries (new materials, new energy, new equipments, electronic information industries, marine high-tech, energy saving and environmental protection, life and health, creative design industries), and the technology transformation projects which aim to extend to the front and back end of industries with high added value by SME of dominated industries in the cluster areas.

#### (5) Public Service Platform

To improve the service environment of SME, particularly to support public service projects, such as the projects on providing research development and design, protection of intellectual property rights, management of engineering technology, exchange of commercial information etc., by the SME located within the industrial cluster areas with local characteristics.

The local characteristic industry funds are granted in the form of financial appropriation and discounted loans. For the technology innovation and the public service platform, the form of financial appropriation shall be taken, while for energy conservation and emission reduction, industrial chain cooperation, and technology transformation of newly emerging industry, the form of discounted loans shall be taken. The discounted amount shall be determined by the amount of the project loans and the benchmark rate over the same period published by the People's Bank. The annual discounted rate shall not exceed the benchmark rate over the same period, and the term for the discount rate shall not exceed two years for each program.

#### IV. Procedures of Application, Verification and Appropriation



1. Generally, materials for application for the local characteristic industry funds shall include the following:

- (1) a fund application document,
- (2) a project feasibility report,
- (3) a statement on the production or the operation of the applicants,
- (4) accounting statements audited by CPA,
- (5) a copy of the Legal Person Business License and articles of association of the entity undertaking the project, and
- (6) other required documents.

(2) The financial departments of the county (or city) and district level shall be responsible for organizing activities relating to the application for the local characteristic industry funds and the preliminary reviews thereof, and shall report the projects which are determined for recommendation to the Finance Bureau of the city.

(3) The Finance Bureau of the city shall, in accordance with the projects applied for the local characteristic industry funds and reported by the finance departments of the county (or city) and district levels, establish a project database; and shall organize relevant experts to evaluate those projects. Results of the evaluation shall be published for one week, and if no objection arises during the week, relevant funds document for the projects will be issued. The entities undertaking the projects then apply to the competent local finance departments for appropriation of the funds.

(4) The finance departments of the county (or city) and district levels shall, according to the Measures and local situations, prepare documents, for the next year, on the demands, focal points of the support, and support plans of the local characteristic industry funds, and on the operation of the local characteristic industry funds budget for the current year, and then submit these documents to the Finance Bureau of the city before the end of November every year. The Finance Bureau of the city shall, in accordance with the overall planning of economic development and the



planning of the local characteristic industries of our city, study and formulate documents on the overall demand, focal points of the support, and support plans of the local characteristic industry funds by the city for the next year, and schemes for organization and implementation thereof, and shall submit these documents to the Ministry of Finance before the end of December every year.

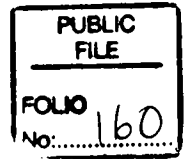
#### V. Supervision and Management

(1) The finance departments of the county (or city) and district levels shall be responsible for supervising and managing the local characteristic industry funds, shall establish systems for performance tracing of and evaluation on the use of local characteristic industry funds, and shall submit documents on the performance effects, exiting problems, and policies and suggestions relating to the local characteristic industry funds.

(2) The Finance Bureau of the city shall conduct spot-check on the management and use of the local characteristic industry funds.

(3) The local characteristic industry funds shall be used exclusively for their designated purposes. If the funds are used in violation of relevant provisions, or are obtained by cheating, upon verification to that effect, the concerned funds shall be recovered, and relevant provisions of the *Regulations on Punishments and Sanctions on Illegal Actions Relating to Public Finance* (No. 427 Ordinance of the State Council) shall be implemented.

VI. The right to interpret the Measures shall be vested in the Finance Bureau of the city. And the Measures shall come into force upon its promulgation.



# 宁波市财政局文件

甬财政工〔2010〕938号

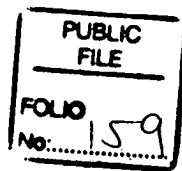
---

## 关于印发《宁波市地方特色产业中小企业发展 资金操作办法》的通知

各县（市）、区财政局：

现将《宁波市地方特色产业中小企业发展资金操作办法》印发给你们，请遵照执行。

二〇一〇年八月三十一日



附件：

## 宁波市地方特色产业中小企业发展 资金操作办法

根据《地方特色产业中小企业发展资金管理暂行办法》（财企[2010]103号）以及《财政部关于下达2010年地方特色产业中小企业发展资金预算（拨款）的通知》（财企[2010]123号）文件精神，结合我市《关于加快推进新兴产业和特色优势产业基地建设的实施意见（试行）》（甬政发[2008]110号）要求，制定本办法。

### 一、资金来源

宁波市地方特色产业中小企业发展资金（以下简称特色产业资金）为中央财政预算安排并下拨给我市，专门用于支持我市特色产业集群和特色产业聚集区内中小企业技术进步、节能减排、协作配套，促进产业结构调整和优化资金。

### 二、扶持对象及条件

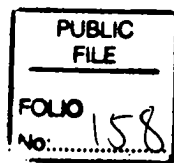
申请特色产业资金的企业或单位须同时具备下列条件：

1、根据宁波市人民政府《关于加快推进新兴产业和特色优势产业基地建设的实施意见（试行）》（甬政发[2008]110号）文件规定，经认定的市级产业基地区域内企业，及市级重点中小企业公共服务平台；

2、按照国家现行有关规定符合中小企业标准；

3、具有独立的法人资格，财务管理制度健全、会计信息准确完整、纳税信用和银行信用良好；





4、申报项目符合我市产业结构调整、优化升级要求，以及本办法第三条支持的五方面内容。同一年度，每个项目单位只能选择其中一项内容申请支持；

5、申报项目未获得国家及市级同类产业政策的扶持。

### 三、支持内容及方式

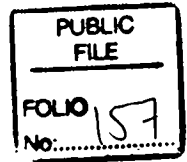
（一）科技创新。促进中小企业技术创新和成果转化，重点支持地方特色产业集群和特色产业聚集区内中小企业开展的符合国家产业政策、创新水平较高、市场竞争力较强、预期经济和社会效益较好、知识产权清晰的技术创新和科技成果转化项目。

（二）节能减排。鼓励中小企业节能减排，重点支持地方特色产业集群和特色产业聚集区内中小企业生产或应用节能减排产品的技术改造项目，集群和聚集区内废水、废气、废渣等废弃物综合治理利用项目的建设、改扩建和技术改造等。

（三）产业链协作。加强中小企业与骨干企业专业化协作。重点支持地方特色产业集群和特色产业聚集区内有较强协作配套关系的中小龙头骨干企业重点产品技术改造和改扩建项目，中小企业为建立和加强与龙头骨干企业协作配套关系、提高专业化生产水平而进行的技术改造和改扩建项目。

（四）新兴产业技改。支持中小企业产业升级和延伸。重点支持地方特色产业集群和特色产业聚集区内中小企业产业升级改造，新材料、新能源、新装备、电子信息新产业、海洋高技术、节能环保、生命健康、创意设计八大战略新兴产业中小企业项目建设和技术改造，集群和聚集区内主导性产业中小企业向附加值高的产业前端和后端延伸而进行的技术改造项目。

（五）公共服务平台。改善中小企业服务环境，重点支持地



方特色产业集群和特色产业聚集区内中小企业提供研究开发、设计、知识产权保护、工程技术管理、商务信息交流等公共服务项目。

特色产业资金采用无偿资助和贷款贴息方式。对科技创新、公共服务平台项目采用无偿资助方式；对节能减排、产业链协作、新兴产业技改项目采用贷款贴息方式，贴息额根据项目贷款额及人民银行公布的同期贷款基准利率确定，年贴息率不超过同期贷款基准利率，每个项目的贴息期限一般不超过 2 年。

#### 四、申报、审核和资金拨付程序

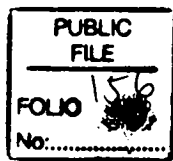
（一）特色产业资金的申报材料一般应包括：

- 1、资金申请文件；
- 2、项目可行性报告；
- 3、生产经营情况或业务开展情况；
- 4、经注册会计师审计的会计报表；
- 5、承担项目单位法人执照副本及章程（复印件）；
- 6、其他需提供的资料。

（二）各县（市）区财政部门负责组织本地区特色产业资金扶持项目的申报及初审工作，并将确定推荐的项目上报至市财政局。

（三）市财政局根据各县（市）区财政部门上报的特色产业资金项目建立项目库。并组织相关专家对项目进行评审，评审结果进行为期一周的公示，公示结果无异议，下达相关项目资金文件。项目承担单位向属地财政局申拨补助资金。

（四）各县（市）区财政部门根据本办法规定及各地实际，初步提出下年度特色产业资金需求、扶持重点和扶持计划，连同



本年度特色产业资金预算执行情况,在每年 11 月底前上报市财政局。市财政局根据我市经济发展总体规划和特色产业发展规划,研究制定下年度全市特色产业资金总体需求、扶持重点、扶持计划及组织实施方案,在每年 12 月底前上报财政部。

### 五、监督管理

(一)各县(市)区财政部门负责对本地特色产业资金的监督管理,建立特色产业资金使用跟踪问效和绩效评估机制。并将特色产业资金实施效果、存在问题及政策建议等,于每年 2 月底前上报市财政局。

(二)市财政局对特色产业资金管理和使用情况进行不定期抽查。

(三)特色产业资金必须专款专用,对违反规定使用、骗取资金的行为,一经查实,收回已安排的特色产业资金,并按照《财政违法行为处罚处分条例》(国务院令第 427 号)的相关规定进行处理。

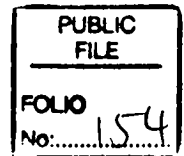
六、本办法由市财政局负责解释,自发布之日起实行。

PUBLIC FILE
FOLIO
No: 155

主题词：企业 资金 操作 办法

宁波市财政局办公室

2010 年 8 月 31 日印发



## **Measures on Managing Collection of Capacity Fee for Closing Down**

### **Small Thermal Power Units in Zhejiang Province**

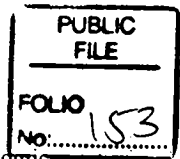
**ZhengCaiQi[2008]No.78**

In order to regulate management of collection and utilization of capacity fee for closing down small thermal power units, improve use performance of special fund, ensure implementation of closing down small thermal power units of our province during “11<sup>th</sup> five-year” period, eliminate backward production capacity as soon as possible and to promote adjustment and optimization of the structure of power industry, we formulate *Measures on Managing Collection of Capacity Fee for Closing Down Small Thermal Power Units in Zhejiang Province* after studying.

Article 1 The object, authority and collection standard of capacity fee

1. The state allocates and uses the control index for installed capacity of power construction projects in accordance to needs of national economic development.

2. The closing down unit capacity which is instead by new power construction projects in the way of “Shang Da Ya Xiao” are used with payment. The owner of new power construction projects in the way of “Shang Da Ya Xiao” shall pay use fee of certain amount, after the project was approved according to regulation.



3. The capacity fee is a kind of non-tax revenue, and provincial economic and trade commission collect it in accordance to relevant regulations, hand over full amount of collected fund to provincial financial account, which listed in national resource catalogue government non-tax revenue subject, and use and manage it in accordance with the regulations.

#### Article 2 Use and management rule of capacity fee

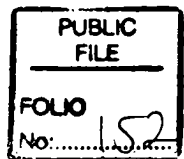
Implementing national relevant laws, regulation and finance regulations is in favor of accelerating adjustment and optimization of the structure of power industry in our province. Stick to scientific, standard, effective and fund for fixed purpose rules.

#### Article 3 Use scope of capacity fee

Implementing "decide payment according to collection" and "pay after collecting", and using for necessary assistance of closing down small thermal power units during "11<sup>th</sup> five-year" period and elimination of backward production capacity and appropriate assistance of standard construction of power industry, system construction for monitoring online or real time on heating coal consumption and necessary training and advertising and so on.

#### Article 4 Assistance standard for capacity fee

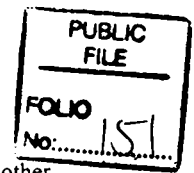
Coal-fired power plant, generator units and grid oil machine and other similar units, which are closed down as scheduled in accordance with



responsibility agreement concerning closing down small thermal power units of Zhejiang Province during “11th five-year” period, were granted 1 million each 10,000 kilowatts; oil machine without grid which was confirmed dismantling through verification were granted 0.5 million each 10,000 kilowatts; utilization fee will be fully refunded after collecting utilization fee for new projects of power plant.

Article 5 Enterprises which apply for assistance of capacity fee shall meet following conditions:

1. The enterprises are registered in accordance with law, and small thermal power units to be closed down are coal-fired power plant, generator units and fuel power plant listed in “11th five-year” closing down responsibility agreement which got approval of relevant authority before its original construction.
2. The small thermal power units which shall be closed down was stopped and dismantled on-site on time, without building in different place, and capacity of units closed down were confirmed by relevant authority and used for purpose of “Shang Da Ya Xiao” (developing large while shutdown small ones) power project construction.
3. After acceptance check jointly conducted by economy and trade

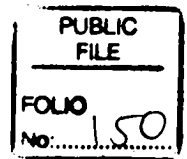


departments, finance departments, electricity departments and other relevant departments of the same level, relevant provincial authority concludes after review that small thermal power units reach the requirements of closing down.

Article 6 Procedure of applying, examining and issuing assistance fund

1. The enterprises meeting the conditions propose application to local department of economy and trade, finance, and provide copy of business license, audited financial statement, confirmation of closing down small thermal power units, agreement of closing down small thermal power units, resettlement plan for employee of closing down units, approval document for dismantling coal-fired power plant, and generator units, status before and after closing down, video of process of closing down, the application form(see attachment) and other necessary materials.
2. The relevant departments of economy and trade, finance and electric power company of an region which enterprises located in shall examine applications and verification, and report information regarding enterprises which meet requirements to provincial economy and trade commission and department of finance to higher authority after examination of local economy and trade commission, bureau of finance of city level.
3. Provincial economy and trade commission, department of finance and electric power company will jointly review reporting materials, organize



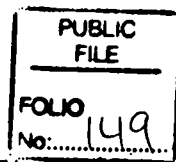


to select in examination and identify enterprises and amount of assistance.

Provincial economy and trade commission and department of finance will jointly issue assistance fund to local bureau of finance which enterprises located in, then local bureau of finance appropriate the fund to relevant enterprises.

Article 7 Supervision and management (omitted)

Attachment: Provincial assistance apply form of closing down small thermal power enterprises in Zhejiang Province (omitted)



## 关于印发浙江省关停小火电机组容量费 收缴使用管理办法的通知

【时 效 性】      有效      【颁布日期】  
【颁布单位】           【实施日期】  
【法规类别】      财政综合 【文      号】      浙财企字〔2008〕78 号

各市、县（市）财政局、经贸委（经委），省级有关单位：

为了顺利实施我省“十一五”期间小火电机组关停工作，尽快淘汰落后生产能力，推进电力行业结构调整优化，根据《国务院批转发展改革委、能源局关于加快关停小火电机组若干意见的通知》（国发〔2007〕2号）和《浙江省人民政府关于关停小火电机组的实施意见》（浙政发〔2007〕32号）等文件精神，经报省政府批准，我省将对“十一五”期间关停小火电机组的容量实行省级统筹安排、有偿使用的办法，收取的有偿使用费建立专项资金，专项用于对关停的小火电机组的补助和其他相关支出。为规范小火电容量费征收和使用的管理，我们研究制定了《浙江省关停小火电机组容量费收缴使用管理办法》，现印发给你们，请遵照执行。

浙江省财政厅

浙江省经济贸易委员会

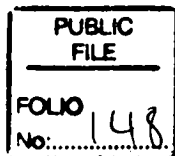
二〇〇八年五月十五日

### 浙江省关停小火电机组容量费收缴使用管理办法

为了规范关停小火电机组容量费的征收和使用管理，提高专项资金的使用绩效，确保我省“十一五”期间小火电机组关停工作顺利实施，尽快淘汰落后生产能力，推进电力行业结构调整优化，特研究制定《浙江省关停小火电机组容量费收缴使用管理办法》。

#### 第一条 容量费的征收对象、执收部门及征收标准

- （一）电源建设项目的装机容量是国家根据经济发展的需要，由国家统一调配使用的专控指标。
- （二）对“上大压小”方式新建电源项目替代的关停机组容量实行有偿使用，即由以“上大压小”方式新建电源项目的业主，在项目按规定批准后按一定数额缴纳使用费。容量费的收取标准为：燃煤机组和并网油机每万千瓦100万元，不并网油机每万千瓦70万元。
- （三）容量费属政府非税收入，由省经贸委根据有关规定按程序收取，使用省财政厅监制的非税收入票据，收缴的资金全额上缴省财政专户，实行“收支两条线”管理，列国家资源类政府非税收入科目，并按规定管理使用。收缴容量费过程发生购买票据等相关费用在收取的容量费中开支。



## 第二条 容量费的使用管理原则

严格执行国家有关法律、行政法规和财务规章制度,有利于加快推进我省电力行业结构调整优化,并坚持科学、规范、效率和专款专用的原则。

## 第三条 容量费的使用范围

容量费实行“以收定支”、“先收后支”,重点用于“十一五”期间小火电机组关停及今后淘汰落后产能的必要补助,对电力行业标准建设、在线监测和实时监控供热耗煤系统建设,以及必要的培训、宣传等给予适当补助。

## 第四条 容量费补助标准

对按照我省“十一五”关停小火电机组责任书如期关停的燃煤火电机组、热电机组和并网油机,以及其它主动关停的上述同类机组,按每万千瓦 100 万元的标准给予补助;对经核查确认拆除的不并网油机按每万千瓦 50 万元的标准给予补助;对宁波市和中央在浙企业出售的关停小火电机组的容量,特新建项目的有偿使用费收取后予以全额返还。

## 第五条 申请容量费补助的企业应具备的条件

(一) 企业依法注册,关停的小火电机组属于获得有关部门批准(核准)建设的燃煤火电机组、热电机组和列入“十一五”关停责任书的燃油小火电机组。

(二) 应关停的小火电机组已停止运行并就地按时拆除,未异地建设,其关停机组的容量经有关部门确认,并用于“上大压小”电源建设项目。

(三) 经同级经贸、财政、电力等相关部门联合验收通过,省级有关部门复核,达到关停要求。

## 第六条 补助资金申报、审核、下达程序

(一) 具备规定条件的企业向所在地经贸、财政部门提出补助资金申请报告,并附企业营业执照复印件、上一年度经审计的企业财务报表、小火电机组关停确认书、小火电机组关停协议书(不并网油机除外)、关停机组职工安置方案、所拆除燃煤火电机组和热电机组项目批准(核准)文件、机组关停前后状态和关停过程的影像资料,并如实填写申请表(见附件),以及其他必需提供的资料。

(二) 企业所在地经贸、财政、电力等相关部门对企业提出的申请要认真进行审核并现场核查,对于审核无误并验收合格的企业,由当地经贸委、财政局报送市级经贸委、财政局,市经贸委、财政局审核汇总后正式行文报送省经贸委、省财政厅。

(三) 省经贸委、省财政厅会同省电力公司等部门对上报的材料进行复核,必要时将组织抽查,并确定补助企业和补助金额,由省财政厅会同省经贸委正式行文将补助资金下达企业所在地财

政局，再由当地财政局拨付到相关企业。省属企业由省财政厅直接拨付专项补助资金。

第七条 监督管理

（一）建立健全专项资金使用绩效跟踪和考评制度，落实部门管理责任和科学决策程序，确保专项资金使用取得实效。加快推进电力行业结构调整。

（二）补助资金必须专款专用，任何单位不得以任何形式、任何理由骗取、截留或挪用专项资金。

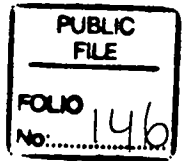
（三）严格执行《财政违法行为处罚处分条例》（国务院令 第 427 号），对违反规定或弄虚作假的，要追究有关单位和人员的责任。各级经贸和财政部门应切实加强补助资金的监督管理，发现的问题要及时纠正。

附：浙江省关停小火电企业省级补贴资金申请表

附：

浙江省关停小火电企业省级补贴资金申请表

企业名称			
企业地址			
联系人		电话	
批准（核准）文号			
关停小火电机组容量		关停时间	
申请补贴资金额度			
小火电关停			
验收情况			
所在地财政			
意见			
（盖章）			
所在地经贸部门意见（盖章）			



**Trial Measures on Incentives for the Top Taxpayer Enterprises in Haigang  
District**

This Measure is enacted for the purpose of encouraging and strengthening the development of enterprises, fostering a number of top taxpayers, further expanding the source of financial revenue, and promoting the rapid and sound development of the district.

**1. The Object of Incentives**

The program is provided to all the industrial, commercial, and construction and real estate development enterprises (excluding the state-owned enterprises).

**2. The Places of Incentives**

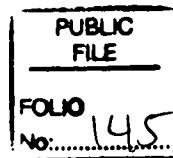
The incentives are given to the top ten taxpayers in each year.

**3. The Basis of Incentives**

The incentives shall in accordance with the total annual revenue of the enterprises, which is based on the total treasury revenue of state taxation and local taxation of the enterprise in the end of the year (the data is provided by the tax department), the tax rebates shall be excluded.

**4. The Terms and Conditions of Incentives**

- (1) Has made great contribution on tax revenue, and has a strong competitiveness in the market;
- (2) Has paid taxes in accordance with laws and regulations; do not have any tax-related incompliance behaviour in the year;
- (3) Do not have any work safety deadly accident in the year;



- (4) Protect the lawful rights and interests of the employees; do not deduct the wages of the employees, and do not defaulting on the basic pension and medical care insurance.

#### 5. The Measures of Incentives

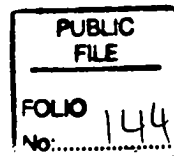
- (1) The top 3 enterprises in industry, commerce and Construction and real estate, of which the total annual revenue exceed CNY 30,000,000 will given a reward of CNY 100,000 (tax excluded).
- (2) The Development and Reform Bureau of the district will mainly responsible for the annual review and verification of the incentives. The finance bureau, the state taxation bureau, the local taxation bureau, the human resource and labour bureau, the work safety bureau, the industrial promotion bureau, the statistics bureau of the district also participate in the annual review and verification. The relevant data is verified by the finance bureau. The industrial promotion bureau, the industrial and commercial bureau, the human resource and labour bureau, and the work safety bureau shall verify the labour security and work safety of the enterprise, and verify whether the enterprise is operated in accordance with laws.
- (3) The district government holds the annual recognition of the work of the General Assembly. The enterprises are awarded as the "Top Taxpayer Enterprise of Haigang District", and were granted the metals and the rewards.
- (4) The Top Taxpayer Enterprises cannot participate in other incentives activities.

#### 6. The Source of Incentives

The incentives are arranged from the annual budget of the district finance.

#### 7. Others

- (1) The Development and Reform Bureau and the Finance Bureau of Haigang District are responsible for the explanation of these measures.
- (2) These measures shall be implementation from the date of issuance.



# Application Form of Top Taxpayer Enterprises in Haigang District

Applicant:

Unit: hundred thousand

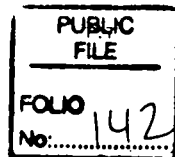
Enterprise Name				Legal Representative			
Domicile				Telephone			
Incorporation Date		Registered Capital		The numbers of Employees			
Time		The relevant targets of the enterprise					
		Main business revenue	Sales revenue	Profit	The total amount of tax	The total amount of export	
Last Year							
This Year							
The opinion of taxation department		The opinion of human resource and labour bureau of Ninghai District		The opinion of work safety bureau of Ninghai District			
(Sealed) Date		(Sealed) Date		(Sealed) Date			
The opinion of finance bureau of Ninghai District		The opinion of development and reform bureau of Ninghai District		The opinion of the government of Ninghai District			
(Sealed) Date		(Sealed) Date		(Sealed) Date			

Note: The enterprises which meet the terms and conditions shall fill in this application form in accordance with the relevant requirements. After the review and verification of the related authorities, the application shall be submitted to the Development and Reform Bureau of Haigang District. The Development and



Reform Bureau shall approve and submit the name list of Top 10 taxpayer to the district government for approval according to the feedback of the taxation and finance department and the terms and conditions for review and verification.





## 海港区纳税大户企业奖励试行办法

为鼓励企业不断发展壮大,着力培养一批纳税大户,进一步扩大财政税收来源,促进我区经济社会又好又快发展,特制定本办法。

### 一、奖励对象

在海港区纳税的所有工业、商贸流通、建筑及房地产企业(不含国有企业)。

### 二、奖励名额

每年表彰奖励纳税大户10名。

### 三、奖励依据

企业全年税收总额,以国税、地税年底企业总入库税收(税务部门提供)为计算依据,不含退税、应退税及增值税免抵调库部分。

### 四、奖励条件

- (一)企业税收贡献较大,有较强的市场竞争力。
- (二)依法纳税,企业当年没有欠税或偷、逃、抗税等税收违法行为。
- (三)企业当年没有发生安全生产死亡事故。
- (四)保护职工合法权益,企业无克扣职工工资、无拖欠职工基本养老和医疗保险行为。

### 五、奖励办法

(一)对当年纳税金额在3000万元以上,位列工业、商贸流通、建筑及房地产前3位的企业,以及当年纳税总额较高、税收增幅较大的企业1家,各奖励10万元(不含税)。

(二)考核奖励每年进行1次。由区发改局牵头,会同区财政局、国税局、地税局、人劳局、安监局、工促局、统计局进行考核,有关数据由区财政局分别与企业及税务部门进行核实,区工促局、海港工商局、人劳局、安监局对企业依法经营、劳动保障、安全生产情况进行核实。

(三)区政府召开年度表彰大会,对获奖企业由区政府授予“海港区纳税大户”荣誉称号,颁发奖牌和奖金。

(四)纳税大户企业不参与其它评选。

#### 六、资金来源

奖励资金由区财政在年度预算中予以安排。

#### 七、其他

(一)本办法由区发改局、财政局负责解释。

(二)本办法从印发之日起执行。

## 海港区纳税大户企业评选活动申报表

申报单位(盖章):

单位:万元

企业名称				法人代表	
经营地址				联系电话	
成立时间		注册资本		职工人数	
时 间	企业相关指标				
	主营业务收入	销售收入	利 润	税金总额	出口总额
上年度					
本年度					
所在税务部门意见		区人事劳动局意见		区安监局意见	
(盖 章) 年 月 日		(盖 章) 年 月 日		(盖 章) 年 月 日	
区财政局意见		区发展改革委意见		海港区人民政府意见	
(盖 章) 年 月 日		(盖 章) 年 月 日		(盖 章) 年 月 日	

注:符合条件的企业按要求填写此申报表,经相关部门核实同意后于次年2月20日前报海港区发改局。区发改局根据财税部门审核反馈情况及评选条件核定前10名纳税大户名单,上报区政府审定批准。



## Regulations on the Funding of China Postdoctoral Science Foundation

### Chapter I General Provisions

Article 1 In order to regulate the funding activities (hereinafter referred to as "the funding") of China Postdoctoral Science Foundation and to fully play the important role of the funding on the training of post-doctors' innovation and scientific research ability, hereby this Regulation is enacted according to the *Charter of the China Postdoctoral Science Foundation* and other relevant provisions.

Article 2 The State establishes the China Postdoctoral Science Foundation for the purpose of funding the excellence postdoctoral researchers with innovation capability and development potentiality, promoting them complete their innovative research on scientific work, and making them rapidly grow up as versatile, strategic and innovative talents who adapt to the needs of socialist modernization drive.

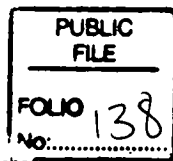
Article 3 Sources of the funding mainly come from the financial allocation by the central government, which are also included in the annual fiscal budget of the central government. Donations by various kinds of institutions, communities, units or individuals are also received. Regions, departments and workstations are also encouraged to support the funding.

Article 4 Recipients of the funding are selected through review by experts adhering to the principles of science, fairness, and competitive selection.

### Chapter II Forms of the Funding

Article 5 The China Postdoctoral Science Foundation is designed to support scientific researches of postdoctoral researchers. The forms of the funding can be divided into two categories: the general funding and the special funding. The general funding is provided as the initial research funds or supplemental research funds to the postdoctoral researchers who are engaged in independent innovative researches. The special funding is provided to postdoctoral researchers who have made major research achievements and who have outstanding research capacities during their stay in postdoctoral workstations.

Article 6 The China Postdoctoral Science Foundation (hereinafter referred to as "the foundation"), within the scope of the plan of the numbers of the post-doctors on workstations, the general funding shall be about one third of the number of post-doctors enrolling into workstations. And the amount of the funding shall be determined in proportion to the funding. The funding can be divided into two grades: 50,000 CNY and 30,000 CNY. The funding shall be appropriately directed to the postdoctoral researchers



who are engaged in basic researches, primordial innovative researches and researches for public welfare, and who do their researches in midwest and other inhospitable and remote areas.

Article 7 The special funding is a one-time grant of 100,000 CNY.

### Chapter III Organization and Leadership

Article 8 The foundation shall, under the leadership of the Ministry of Human Resources and Social Security, be responsible for the reviews relating to the funding of the postdoctoral science foundation, tracing and monitoring the efficiency of the use of such funding, the management of routine expenses and so on.

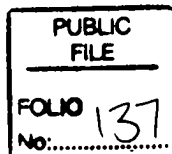
Article 9 The council of the China Post-doctoral Science Foundation shall review annual budgets and annual funding plans, hear reports on the implementation and completion of plans by the secretary-general, and put forward comments and suggestions on the funding activities.

Article 10 The secretary-general shall be responsible for organizing to formulate annual budgets and annual funding plans, to make reviews relating to the funding, to submit annual budgets, plans and reports to the council of the foundation, and to sign documents relating to the funding. Annual budgets shall be submitted to the Ministry of Finance through the Ministry of Human Resources and Social Security after approved by the council of foundation; and annual founding plans shall be submitted for approval by the Ministry of Human Resources and Social Security.

Article 11 The office of secretary-general shall be responsible for examining and verifying the results of reviews by experts on the general funding, and putting forward a list of recipients of such funding according to results of those reviews. The office of secretary-general shall be responsible for examining and verifying results of the reviews by experts on the special funding, and putting forward a list of recipients of such funding according to results of those reviews for examining and verifying by the council of the foundation. Results of reviews relating to the general funding and the special funding shall be applied for record-keeping by the Ministry of Human Resources and Social Security after publication, and shall be announced by the foundation.

### Chapter IV Application for Review

Article 12 Postdoctoral researchers applied for the funding shall have good moral awareness, relatively high academic standards and strong scientific research ability. Projects applied for review shall be basic, original and forward-looking, and shall have important scientific significance and application value.



Article 13 Applicants of the funding shall be postdoctoral researchers in workstations. And postdoctoral researchers can apply for general funding several times from the time of their enrollments in until half a year before their departures from the workstations. Each workstation can receive the special funding only once. Postdoctoral researchers can apply for the special funding after the expiration of eight months since they have stayed in workstations. Each workstation can receive the special funding only once. For postdoctoral researchers who have obtained the general funding, it is deemed that the grants of the special funding are needed for their projects which have already been funded. Particularly excellent applicants will get first priority with regard to the grants of the special funding. As for postdoctoral researchers who have obtained the special funding, their time of stay in workstations can be postponed according to the needs of their researches.

Article 14 The projects of postdoctoral researchers, which have been applied for the funding, shall be assumed by themselves. Content in the materials for application shall be authentic and not be faked.

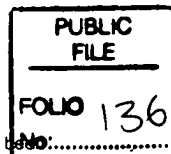
Article 15 Application for the general funding shall be first made by the postdoctoral researchers individually; then opinions shall be signed after the recommendation by experts and the examination and verification by the workstations to which the postdoctoral researchers belong; and finally those materials shall be submitted to the foundation. Applications for the special funding shall be first made by the postdoctoral researchers individually; and then after the recommendation by experts and the examination and verification by the workstations to which the postdoctoral researchers belong, candidates shall be recommended to the foundation.

Article 16 Grant of the funding shall be subject to reviews by peer experts. Peer experts shall be grouped by their disciplines. Reviews on grants of the general funding shall be in the form of letters written by experts, and review of the special funding shall combine the form of letters written by experts and the form of conferences attended by experts.

Article 17 The reviewing experts shall analyze and judge on the basis, methods, thoughts, budgets, innovation abilities, and other aspects of the applicants' researches, in order to find out the postdoctoral researchers who have potentials for developments and innovative abilities to receive the funding.

Article 18 Strict system for expert review shall be established; disciplines for the review shall be tightened; and the withdrawal system, confidentiality regime and the system of notification shall be implemented.

Article 19 Applicants who have committed piracy, deception and other actions that are in violation of the academic morality and provisions on the intellectual property rights, are



prohibited from obtaining the funding. The grants of the funding that have already been obtained shall be withdrawn; relevant grants appropriated shall be recovered; and relevant notifications shall be made.

#### Chapter V Use and Management

Article 20 Recipients of the funding shall use the grants of the funding appropriately in strict accordance with the approved purposes, scopes and expenditure range designated for the funding budgets.

Article 21 The expenditure range shall include necessary equipment fees, experimental material fees, fees for publications / bibliography / information dissemination / intellectual properties, conference fees, travel charges, professional fees, international cooperation and exchange fees, and service charges. Fees relating to the services provided by relevant persons (such as postgraduates) who participated in the researches and have no income from salaries and by the temporal employees, shall not exceed 30 percent of the total amount of the funding granted.

Article 22 Units that have established workstations shall set up separate accounts for the funding, manage the funding on behalf of the recipients, and examine, verify and supervise on the use of the funding granted.

Article 23 When postdoctoral researchers depart from workstations, the balance of the funding shall be retaken by the foundation and shall be implemented by the foundation according to relevant provisions on the balance of the funding that are formulated by the Ministry of Finance.

Article 24 If recipients of the funding withdraw from workstations for any kinds of reasons, the units established with the workstations shall adjust accounts and assets on time, prepare financial statements and lists of assets, and submit to the foundation according to relevant procedures. The balance of the funding shall be retaken by the foundation, and the assets bought by the funding shall be recovered by the units established with the workstations.

Article 25 The foundation shall supervise and examine the use and management of the funding, making assessments on the efficiency of such use, and trace and monitor of the development of the recipients. The postdoctoral researchers granted with the funding shall, upon their departures from the workstations, submit summary reports on the funding to the units established with the stations. Units established with workstations shall submit reports on the efficiency of the use of the funding to the foundation annually.

Article 26 Recipients of the grant shall have the words "China Postdoctoral Science Foundation funded project" indicated when they publicly announce their achievements funded by the funding.



Chapter VI    Supplementary Provisions

Article 27    This regulation shall be implemented as of the date of its promulgation. The right to interpret this regulation is vested in the China Postdoctoral Science Foundation.

Article 28    The current *Ordinance on the Founding of China Postdoctoral Science Foundation* shall be invalidated upon the implementation of this regulation.



关于印发《中国博士后科学基金资助规定》的通知

中博基字〔2008〕1号

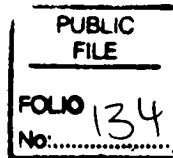
中国博士后科学基金资助规定

第一章 总 则

**第一条** 为规范中国博士后科学基金资助（以下简称基金资助）工作，充分发挥基金资助在培养博士后研究人员创新能力和科研能力方面的重要作用，按照《中国博士后科学基金会章程》和国家其他有关规定，制定本规定。

**第二条** 国家设立中国博士后科学基金，旨在资助具有创新能力和发展潜力的优秀博士后研究人员、促使他们在科研工作中完成创新研究，并迅速成长为适应社会主义现代化建设需要的各类复合型、战略型和创新型人才。

**第三条** 资助经费主要来源于中央财政拨款，列入中央财政年度预算。接受国内外各种机构、团体、单位或



个人的捐赠。鼓励各地区、各部门、各设站单位予以配套资助。

**第四条** 基金资助通过专家评审确定资助对象，坚持科学、公正、竞争、择优的评审原则。

## 第二章 资助形式

**第五条** 中国博士后科学基金资助在站博士后研究人员的科研工作。基金资助形式分为面上资助和特别资助。面上资助是对博士后研究人员从事自主创新研究的科研启动或补充经费；特别资助是对在站期间取得重大科研成果和研究能力突出的博士后研究人员的资助。

**第六条** 中国博士后科学基金会（以下简称“基金会”）在博士后进站人数的规划规模之内，面上资助比例为当年进站人数的三分之一左右，按照资助比例确定资助额度。资助强度划分为5万元和3万元两档。对从事基础研究、原始性创新研究和公益性研究，以及中西部等艰苦边远地区博士后研究人员的资助给予适当倾斜。

**第七条** 基金特别资助给予一次性10万元资助。

## 第三章 组织领导

**第八条** 基金会在人事部领导下，负责博士后科学基金资助的评审、追踪问效和经费日常管理工作。

**第九条** 中国博士后科学基金会理事会审核年度经费预算、年度资助计划，听取秘书长关于执行预算和完成计划情况的报告，对基金资助工作提出意见和建议。

**第十条** 秘书长负责组织制定基金的年度经费预算和年度资助计划，组织基金资助的评审工作，向基金会理事会提交年度预算、计划和报告，签署基金资助的有关文件。年度经费预算经基金会理事会审定后，经人事部报财政部，



年度资助计划报人事处批准。

**第十一条** 秘书长办公会负责审核面上资助的专家评审结果，并根据评审结果提出资助人员名单。秘书长办公会负责审核特别资助的专家评审结果，并根据评审结果提出资助人员名单，报基金会理事会审定。面上资助和特别资助的评审结果公示后报人事处备案，并由基金会公布。

#### 第四章 申报评审

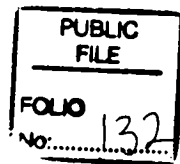
**第十二条** 申请资助的博士后研究人员必须具备良好的思想品德、较高的学术水平和较强的科研能力；申报评审的项目应具有基础性、原创性和前瞻性，具有重要科学意义和应用价值。

**第十三条** 申请基金资助的必须是在站博士后研究人员。博士后研究人员在进站后至出站前半年时间内，可以多次申请面上资助，每站只能获得一次面上资助；博士后研究人员进站满8个月可申请特别资助，每站只能获得一次特别资助。获得面上资助的博士后研究人员，也可视其已获资助的科研项目需要申请特别资助，特别优秀者可优先获得特别资助。获特别资助的博士后研究人员在站时间可根据研究工作的需要适当延长。

**第十四条** 博士后研究人员申请基金资助所报项目，应为本人承担。申报材料的内容应当真实可靠，不得弄虚作假。

**第十五条** 博士后研究人员申请面上资助，先由个人提出申请，经专家推荐和所在设站单位审核，签署意见后报基金会；博士后研究人员申请特别资助，先由个人提出申请，经专家推荐和所在设站单位审核后，向基金会推荐候选人。

**第十六条** 基金会资助实行同行专家评审，评审专家按学科分组。面上资助采用专家函评的形式评审，特别资助采用专家函评与会评相结合的形式评审。





**第十七条** 评审专家对申请者的研究基础、研究方法、研究思路、支出预算和创新能力等方面做出分析判断，评审出具有发展潜力和创新能力的博士后研究人员，予以资助。

**第十八条** 建立严格的专家评审制度，严格评审纪律，执行回避制度、保密制度和公示制度。

**第十九条** 申请人有剽窃、弄虚作假等违反学术道德和知识产权规定行为的，不得获得资助；已经获得资助的，撤销资助，追回已拨付的资助经费并给予通报。

## 第五章 基金管理

**第二十条** 资助金获得者应当严格按照批准的资助经费预算核定的用途、范围和开支标准合理使用资助金。

**第二十一条** 资助金的开支范围包括科研必需的仪器设备费、实验材料费、出版/文献/信息传播/知识产权事务费、会议费、差旅费、专家咨询费、国际合作与交流费和劳务费的开支。用于支付参与研究过程但没有工资性收入的相关人员（如在校研究生）和临时聘用人员的劳务费支出不得超过资助金总额的30%。

**第二十二条** 设站单位对资助金单独立帐，代为管理，对资助经费的使用情况进行审核和监督。

**第二十三条** 博士后研究人员出站时，资助金结余部分应当收回基金会，由基金会按照财政部关于结余资金管理的相关规定执行。

**第二十四条** 资助金获得者因各种原因中途退站的，设站单位应当及时清理帐目与资产，编制财务报告与资产清单，按程序报基金会。结余资助金收回基金会，用资助金所购资产，收归设站单位所有。

**第二十五条** 基金会对资助经费的使用管理情况进行监督检查，对基金使用效益进行评估，对获资助者的成长情况进行跟踪问效。获资助的博士后研究人员出站时须向设站单位提交资助总结报告。设站单位每年应当向

基金会提交资助金使用效益情况的报告。

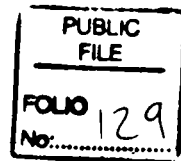
第二十六条 资助金获得者在公开发表资助成果时，应标注“中国博士后科学基金资助项目”（China Postdoctoral Science Foundation funded project）。

#### 第六章附 则

第二十七条 本规定自公布之日起实施，解释权归中国博士后科学基金会。

第二十八条 本规定实施后，现行的《中国博士后科学基金资助条例》即行废止。





Interim Measures of Jinhua City for Management of Patent Special Funds  
(JINZHENGFA[2008]#43)

Article 1 In order to implement intellectual property strategy, encourage innovation and creation, promote independent innovation, and advance patent technology and product development and accelerate transform of patent achievement, we establish patent special fund of Jinhua City and formulate this measures in accordance to *Regulations for Patent Protection of Zhejiang Province*.

Article 2 The finance of the city arrange patent fund 3 million CNY each year, fixed fund for fixed purpose.

Article 3 The patent fund is mainly used to:

1. Assistance for domestic and foreign patent apply
2. Reward for implementation of patent
3. Work fund for publicity, training and review of patent and environment construction of executing patent laws
4. Make patent experiment, establish sample unit and reward
5. Reward for advanced unit and person of patent work

Article 4 Any entity located within Jinhua City or individual whose residence is Jinhua City, who is engaged in application, implementation and management etc. of patent, may apply for assistance and/or award



under this program. For one patent, in principle, the assistance can only be enjoyed once.

The Finance Bureau, the Science and Technology Bureau and Intellectual Property Office of Jinhua City are responsible for administration of this program.

#### Article 5 Standard for assistance and reward

1. Regarding the applicants for patent application assistance, the one applies for invention, utility model and appearance design, after the patent is authorized, for each patent, 15,000CNY, 2,000CNY and 1,000CNY will be granted respectively. If patent is authorized abroad, the amount of assistance will double. For the patent authorized in several foreign counties (regions), the assistance for each patent shall be limited to that granted for patent authorized in two counties (regions). However, regarding invention patent, the assistance can also be granted for patent authorized in a third and a fourth county.

2. Reward for implementation patent. Reward enterprises which implement new patent technology producing significant economic benefit. Each year select two special award and reward 0.2 million CNY; select three first prize and reward 0.1 million CNY; select five second prize and



reward five thousand CNY, select eight third prize and reward 2 thousand CNY.

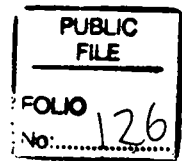
3. Regarding the applicants for patent model enterprise awards, for the enterprise recognized as National Intellectual Property Right(Patent) Model Enterprise, a one-time award of 300,000CNY will be granted; for the enterprise recognized as National Intellectual Property Right(Patent) Pilot Enterprise, a one-time award of 200,000CNY will be granted; for the enterprise Provincial Patent Model Enterprise, a one-time award of 100,000CNY will be granted; for the enterprise Municipal Patent Model Enterprise, a one-time award of 50,000CNY will be granted.

4. Reward standard of advanced unit and person of patent work is depended on facts.

Article 6 The applicant shall submit the following materials:

- (1) Application Form for Patent Application and Implementation Awards of Jinhua City;
- (2) The supporting documents that can prove the applicant is qualified for this program;
- (3) Patent Certificate granted by State Intellectual Property Office (Patent Office) and its copy;
- (4) For the applicant who applies for patent implementation awards, specific auditing report and financial statements shall also be provided.





Article 7 Examination and approval procedure of patent fund

1. Applicant fills in the application form and provide relevant material to intellectual property bureau.
2. After receipt of the application form and related accompanying documents, Intellectual Property Office of Jinhua City conducts the preliminary review and reports its review opinion to the Finance Bureau and the Science and Technology Bureau of Jinhua City for further review.
3. The Science and Technology Bureau of Jinhua City then organizes experts to evaluate the application and provides opinion on assistance and awards of patent together with the Finance Bureau of Jinhua City. After the opinion is approved by the government of Jinhua City, the Finance Bureau and the Science and Technology Bureau of Jinhua City jointly issue the approval document. The applicant who is to obtain the assistance or award, after receipt of notice, goes to the Finance Bureau of Jinhua City to go through funds allocation formalities.
4. The patent application assistance, after the patent is authorized, can be applied for all the year around; the assistance is provided in two times a year.

Article 8 The science and technology bureau and bureau of finance of the city supervise apply and use of the patent fund. Applicant and user of



patent fund shall provide relevant materials and certificate truthfully. If  
finding deceive the fund, the assistance shall be canceled after confirmed;  
and assistance fund shall be recovered fully.

Article 9 This measures will be implemented from the date of issuing....



### 金华市人民政府关于印发金华市专利专项资金管理暂行办法的通知

婺城区、金东区人民政府，市政府各部门：

现将《金华市专利专项资金管理暂行办法》印发给你们，请按照执行。

二〇〇八年五月十二日

#### 金华市专利专项资金管理暂行办法

**第一条** 为大力实施知识产权战略，鼓励发明创造，推动自主创新，促进专利技术和产品开发，加快专利成果转化，根据《浙江省专利保护条例》，设立金华市专利专项资金（以下简称市专利资金），并制定本办法。

**第二条** 市财政每年安排专利资金 300 万元，实行专款专用，滚动使用。

**第三条** 市专利资金主要用于：

- （一）国内外专利申请的补助；
- （二）专利实施的奖励；
- （三）专利宣传、培训、评审等工作经费及专利执法环境建设；
- （四）知识产权（专利）试点、示范单位创建及奖励；
- （五）专利工作先进单位和个人的奖励。

**第四条** 凡金华市区范围内的单位和户籍在市区的个人在本市从事专利申请、实施、管理等的，均可申请补助、奖励。一件专利原则上只能享受一次补助。

**第五条** 补助、奖励的标准：

（一）专利申请补助。申请发明专利、实用新型专利和外观设计专利的，获得授权后每件专利分别给予一次性补助 1.5 万元、2000 元和 1000 元；获得国外专利授权的，补助标准加倍，每件专利限补助两个国家（或地区）的专利，其中发明专利在省补助两个国家（或地区）之后再补助第三和第四个国家（或地区）的专利。

（二）专利实施奖励。对实施新专利技术（产品）产生显著经济效益的企业，予以奖励。每年评选特等奖 2 名，各奖励 20 万元；评选一等奖 3 名，各奖励 10 万元；评选二等奖 5 名，各奖励 5 万元；评选三等奖 8 名，各奖励 2 万元（评选办法另行制定）。

（三）专利示范企业奖励。被认定为国家知识产权（专利）示范企业的，一次性奖励 30 万元；被认定为国家知识产权（专利）试点企业的，一次性奖励 20 万元；被认定为省专利示范企业的，一次性奖励 10 万元；被认定为市专利示范企业的，一次性奖励 5 万元。

（四）专利工作先进单位和个人的奖励标准根据实际情况另行确定。

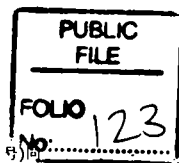
**第六条** 申请市专利资金需报送下列材料：

- （一）《金华市专利申请与实施奖励申请表》；
- （二）申请人主体资格证明材料；
- （三）国家知识产权局（专利局）授予的专利证书及复印件；
- （四）申请专利实施奖励的，还应提供专项审计报告及会计报表。

**第七条** 市专利资金的审批程序：

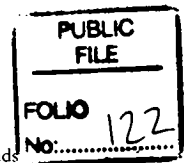
- （一）由申请人填写申请表并附相关材料到市知识产权局办理申请手续。
- （二）市知识产权局负责对申请材料进行初步审查，提出审查意见后报市科技局、财政局审核。
- （三）市科技局组织专家评审，并与市财政局共同提出专利资金补助、奖励意见，报经市政府同意后，由市科技局、财政局联合发文。获补助、奖励者接通知后，到市财政局办理拨付手续。
- （四）专利申请补助在专利获得授权后常年办理，一年分二次补助。

**第八条** 市科技局、财政局对市专利资金的申请、使用实施监督检查。专利资金申请人、使用人应如实提供有关材料和凭证。发现弄虚作假骗取补助、奖励的，一经查实，取消补助、奖励资格；已获补助、奖励的，资金全额追回，并依法追究相关责任。



第九条 本办法自发文之日起施行。原《金华市专利专项资金管理暂行办法》(金政发〔2004〕53号)同时废止。

主题词：科技 资金 管理 通知 发布机构： 发布时间： 二〇〇八年五月十二日



Measures of Jinhua City for Management of Technology Innovation Funds  
(JINZHENGFA [2008]#113)

In order to regulate management of scientific and technology financial funds, accelerate technology innovation project, to increase independent innovation capacity, raise the level of industry competition and promote the fast and good development of the economy of our city, Measures of Jinhua City for Management of Technology Innovation Funds is formulated.

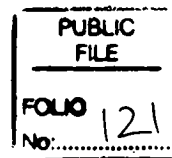
I. Sources of Funds

The Finance Bureau of Jinhua City allocates certain amount of innovation funds every year, which may increase year by year according to the financial situation of the Finance Bureau of Jinhua City.

II. Principles and Scope of Funds Utilization

The utilization of innovation funds shall comply with relevant laws, regulations and financial regulations of the State and follow the principles of honest application, professional evaluation, supporting the best, encouraging innovation, being objective and fair, stressing on actual results, allocating the funds for the specified purpose only and advance balance. The funds mainly support the following areas:

1. Implementation of national and provincial scientific and technology projects. The funds are mainly allocated to technology innovation funds for national scientific and technology small-and-medium enterprises, scientific and technology breakthrough plan, scientific and technology support plan.....
2. Implementation of municipal technology innovation projects. The funds are mainly to support significant projects or key projects of municipal technology innovation plan and municipal bidding technology projects etc.
3. Fostering innovation bodies. The funds are mainly to support innovation-oriented enterprises, high-and-new tech enterprises, industrial designing innovation model enterprises and other innovation bodies.
4. Construction of R&D institutions of scientific and technology innovation. The funds are mainly support the construction of high-and-new tech centers, key laboratories etc.
5. Assistance for construction and operation of service system of technology innovation, including assistance for construction and operation of public technology innovation service centers, regional innovation service center.....
6. Working expense for implementation of technology innovation projects. That is



mainly used as various working expense occurring during the technology innovation.

### III. Assistance and Awards Criteria

1. For the projects listed as national and provincial scientific and technology projects:

(1) Regarding scientific and technology breakthrough plan, scientific and technology support plan, technology innovation funds ("ijjin") for scientific and technology small-and-medium enterprises, provincial significant technology special and superior theme plan, technology innovation funds ("zijin") for scientific and technology small-and-medium enterprises, science and technology bidding projects etc., matching assistance will be provided according to the requirements of the higher level. For each project, the amount of matching assistance shall not exceed 500000CNY.

(2) For national torch plan and key new product plan, a one-time assistance of 30000 CNY will be granted for each project. For provincial new product trial production projects, after acceptance check or review (evaluation), a one-time assistance of 30000 CNY will be granted for each project.

2. Regarding the assistance for the municipal technology innovation projects:

(1) For the significant projects listed in municipal technology innovation plan, the assistance will be provided by stages. After evaluation and conclusion of agreement, an assistance of an amount between 150,000 CNY and 300,000CNY can be provided for the earlier stage; after project completion and acceptance check, the assistance will be 15% of total actual R&D expenditure. The total assistance for each project shall not exceed 800,000CNY.

(2) For the key projects listed in municipal technology innovation plan, the projects will be classified as ordinary supported projects and key supported projects based on the review, evaluation and consideration of innovation level, cost, difficulty of implementation, basic conditions, anticipated benefit and other factors of projects. Regarding industrial projects, an assistance of an amount between 100,000CNY and 200,000CNY will be granted for each ordinary supported project, and an assistance of an amount between 200,000CNY and 400,000CNY will be granted for each key supported project. Regarding agricultural projects, an assistance of an amount between 50,000CNY and 100,000CNY will be granted for each ordinary supported project, and an assistance of an amount between 100,000CNY and 300,000CNY will be granted for each key supported project. Regarding social development projects, an assistance of an amount between 50,000CNY and 80,000CNY will be granted for each ordinary supported project, and an assistance of an amount between 80,000CNY and 200,000CNY will be granted for each key supported project. The municipal advantageous enterprises may enjoy appropriate preferential treatment. For the key project the assistance for which is more than 200,000CNY, the assistance will be provided by stages. After conclusion of agreement, an assistance of an amount between 100,000 CNY and 200,000CNY can be



provided for the earlier stage; after project completion and acceptance check, the assistance will be 15% of total actual R&D expenditure. The total assistance for each project shall not exceed 400,000CNY. For the project the assistance for which does not exceed 200,000CNY, after conclusion of agreement, the one-off assistance will be provided.

(3) For the key municipal bidding technology projects, an assistance of an amount between 200,000CNY and 500,000CNY; for the significant municipal bidding technology projects, the amount of assistance will be determined according to the actual situations.

3. For national newly recognized new-and-high tech R&D centre and key laboratory, an construction assistance of 200,000 CNY will be provided; for provincial newly recognized new-and-high tech R&D centre and key laboratory, an construction assistance of 120,000 CNY will be provided; for municipal newly recognized new-and-high tech R&D centre and key laboratory, an construction assistance of 80,000 CNY will be provided.

4. For national newly recognized innovation-oriented enterprise, the one-off assistance of 200,000CNY will be provided; for provincial newly recognized innovation-oriented enterprise, the one-off assistance of 100,000CNY will be provided; for newly recognized industrial designing innovation model enterprise, the one-off assistance of 60,000CNY will be provided.

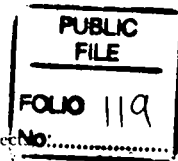
5. Working expense for implementation of technology innovation projects and assistance for construction and operation of service system of technology innovation will be arranged according to the actual necessity.

6. If a project which is to enjoy one type of assistance is also eligible for another type of assistance, for the other type of assistance, only the difference will be made up. For district enterprises of Wucheng District, Jindong District and Jinhua Development Zone, the matching funds for national and provincial projects will be provided by municipal finance department and district departments together. Municipal finance department and district department will afford 50% respectively.

#### IV. Application and Evaluation

1. For the significant projects and key projects listed in municipal technology innovation plan, innovation funds will be allocated after evaluation and acceptance check.

2. If the matching requirements are met, the enterprises undertaking national and provincial technology projects shall make application to the Finance Bureau, the Science and Technology Bureau of Jinhua City. The projects of district enterprises shall be reported to the higher level after opinions are provided by district science and technology bureau (high-and-new tech bureau) and district finance bureau. Relevant proving



documents shall be submitted in the application. For jointly-undertaken projects, cooperation agreement, corresponding payment records and other documents shall also be provided.

3. The Finance Bureau, the Science and Technology Bureau of Jinhua City jointly review the scientific and technology projects, notify the result to the public and provide project assistance or award arrangement plans. After the arrangement plans are approved by the government of Jinhua City, the notice will be issued by the Finance Bureau, the Science and Technology Bureau of Jinhua City jointly. After project contract is concluded by entity undertaking the projects and the Science and Technology Bureau of Jinhua City, the entity goes to the Finance Bureau of Jinhua City to go through funds allocation procedures. Other entities that are to be assisted or awarded go to the Finance Bureau of Jinhua City with relevant documents to go through funds allocation procedure.

#### V. Supervision and Management of Funds

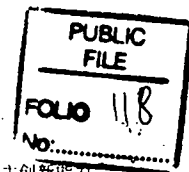
1. The expenditure of R&D activities of entity undertaking the project is subject to independent accounting. The funds shall be used for its specified purpose only.....

2. The innovation funds project that cannot be implemented according to the contract shall be reported to the Finance Bureau, the Science and Technology Bureau of Jinhua City promptly.....

3. The Finance Bureau, the Science and Technology Bureau of Jinhua City shall strengthen the supervision of the utilization of special funds....

.....





### 金华市市区技术创新资金管理办法

为规范科技财政资金管理,提高资金使用效益,加快实施技术创新工程,增强自主创新能力,提高产业竞争水平,促进我市经济又好又快发展,制定金华市市区技术创新资金(以下简称创新资金)管理办法。

#### 一、资金来源

市财政每年安排一定额度的创新资金,并视市财力状况做到逐年有所增加。

#### 二、资金使用原则及范围

创新资金的使用必须遵守国家有关法律、法规和财务制度,坚持诚实申请、科学评估、择优支持、激励创新、客观公正、讲求实效、专款专用、预支平衡的原则。主要支持范围:

(一)实施国家和省科技项目。重点用于国家科技型中小企业技术创新基金、科技攻关计划、科技支撑计划、火炬计划、重点新产品计划以及省科技型中小企业技术创新资金、重大科技专项和优先主题计划、新产品试制计划、科技招标等项目的配套或资助。

(二)实施市技术创新工程项目。重点支持市科技计划重大、重点项目和科技招标项目等。

(三)培育技术创新主体。重点培育创新型企业、高新技术企业、工业设计创新示范企业等创新主体。

(四)建设科技创新研发机构。重点支持高新技术研发中心、重点实验室等建设。

(五)技术创新服务体系建设及运行经费补助,包括公共科技创新服务中心、区域创新服务中心(生产力促进中心)、科技孵化器、网上技术市场、科技信息网络、科技信箱等的建设及运行经费补助。

(六)技术创新工程实施工作经费,主要用于科技创新工作中所发生的各类工作费用。

#### 三、资金资助和奖励标准

(一)列入国家和省级科技项目的配套或资助:

1. 国家科技攻关计划、科技支撑计划、科技型中小企业技术创新基金、省级重大科技专项和优先主题计划、科技型中小企业技术创新资金、科技招标等项目,按上级要求比例予以配套,单个项目配套金额最高不超过 50 万元。

2. 国家火炬计划、重点新产品计划项目,每项给予 10 万元的一次性资助;省新产品试制计划项目通过验收或评审(鉴定)后,每项给予 3 万元的一次性资助。

(二)列入市技术创新工程项目的资助:

1. 列入市科技计划的重大项目,采取分期资助方式,通过评审并签订合同后,前期给予 15—30 万元的资助,项目完成并通过验收后,按该项目实际发生研发总经费的 15% 计算资助额度,每项资助总额最高不超过 80 万元。

2. 列入市科技计划的重点项目,结合项目的创新水平、投入大小、实施难度、基础条件、预期效益等情况,在评审的基础上,区分一般支持和重点支持。工业类项目属于一般支持的每项资助 10—20 万元,重点支持的每项资助 20—40 万元;农业类项目属于一般支持的每项资助 5—10 万元,重点支持的每项资助 10—30 万元;社会发展类项目属于一般支持的每项资助 5—8 万元,重点支持的每项资助 8—20 万元。属市重点优势企业的适当给予倾斜。资助额度超过 20 万元的重点项目,采取分期资助方式,合同签订后,前期给予 10—20 万元的资助,项目完成并通过验收后,按该项目实际发生研发经费总额的 15% 计算资助额度,每项资助总额最高不超过 40 万元。资助额度小于 20 万元(含 20 万元)的项目,签订合同后,采取一次性资助方式。

3. 市重点科技招标项目,每项资助 20—50 万元;市重大科技招标项目,资助额度根据实际情况另行确定。

(三)新认定的高新技术研发中心、重点实验室,分别给予国家级 20 万元、省级 12



万元、市级 8 万元的组建经费资助。

(四) 新认定的国家级、省级创新型企业, 分别一次性奖励 20 万元、10 万元; 新认定的市工业设计创新示范企业, 一次性奖励 6 万元。

(五) 技术创新工程实施工作经费、技术创新服务体系建设及运行经费补助视实际需要予以安排。

(六) 同一项目不重复享受配套或资助, 只补足其差额部分。对于婺城区、金东区和金华开发区属企业列入国家和省项目的配套经费由市、区财政各承担 50%。

#### 四、资金申请及审批

(一) 列入市级科技计划重大、重点项目的, 通过评审及项目完成验收后安排创新资金资助。

(二) 企业承担国家和省级科技项目, 符合配套要求的, 应向市科技局、财政局提出申请, 其中区属企业的项目须经区科技局(高新局)、财政局签署意见后上报; 申请时应提交相关证明材料, 合作承担的项目还应提供合作协议、相应拨款凭证等材料。

(三) 市科技局会同市财政局对科技项目进行审核, 并进行公示, 提出项目资助或奖励的安排方案, 报市政府同意后, 由市科技局、财政局联合发文。项目承担单位与市科技局签订项目合同后, 到市财政局办理经费拨付手续; 其他受资助或奖励单位凭相关文件到市财政局办理拨款手续。

#### 五、资金监督与管理

(一) 项目承担单位研究开发活动的支出, 实行单独核算, 专款专用, 自觉接受市科技局、财政局的监督检查, 定期报送项目执行情况调查表。项目完成后, 及时提出验收申请。

(二) 创新资金项目因客观原因不能按合同计划组织实施的, 应及时报告市科技局、财政局, 视情决定延期或中止。按合同计划完成的项目, 由市科技局、财政局组织验收。验收不合格的, 后期资助经费不再拨付; 该项目承担单位两年内不再安排创新资金的资助。

(三) 市财政局、科技局应加强对专项资金使用情况的监管, 发现弄虚作假或挪作他用的, 一经查实就应撤销立项追回财政科技资金, 并追究有关人员的责任。

六、由婺城区、金东区政府和金华开发区管委会自行制定区属市级创新型企业 and 市级高新技术企业奖励政策。

七、中科院金华科技园专项资金和金华市浙江大学科技合作专项资金对于项目的资助和配套标准, 参照本办法执行。

八、本办法自下发之日起执行, 原《金华市技术创新资金管理办法》(金政发〔2000〕66 号) 同时废止。