国务院国有资产监督管理委员会令第10号　中央企业发展战略和规划管理办法（试行）

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国务院国有资产监督管理委员会令

第10号

《中央企业发展战略和规划管理办法（试行）》已经国务院国有资产监督管理委员会第21次主任办公会议审议通过，现予公布，自2005年1月1日起施行。

国务院国有资产监督管理委员会主任 李荣融

二〇〇四年十一月二十六日

中央企业发展战略和规划管理办法（试行）

第一条 为规范中央企业发展战略和规划的编制与管理工作，提高企业发展战略和规划的科学性和民主性，依法履行出资人职责，根据《中华人民共和国公司法》、《企业国有资产监督管理暂行条例》等法律法规，制定本办法。

第二条 本办法所称中央企业，是指国务院国有资产监督管理委员会（以下简称国资委）履行出资人职责的企业（以下简称企业）。

第三条 本办法所称企业发展战略和规划，是指企业根据国家发展规划和产业政策，在分析外部环境和内部条件现状及其变化趋势的基础上，为企业的长期生存与发展所作出的未来一定时期内的方向性、整体性、全局性的定位、发展目标和相应的实施方案。

第四条 企业发展战略和规划的管理，是指国资委根据出资人职责依法对企业发展战略和规划的制订程序、内容进行审核，并对其实施情况进行监督。

第五条 国资委对企业发展战略和规划进行管理应当坚持以下原则：

（一）依法履行出资人职责；

（二）尊重企业的合法权益；

（三）推动国有经济布局和结构的战略性调整,指导企业进行结构调整；

（四）客观、公正、科学、统筹；

（五）提高工作效率，遵守职业道德，严守国家机密和商业秘密。

第六条 企业要明确负责发展战略和规划编制的工作机构，建立相应的工作制度并报国资委备案。

第七条 企业应当按照本办法规定，制订本企业的发展战略和规划。有条件的企业可以设立发展战略和规划决策委员会。

第八条 企业发展战略和规划包括3-5年中期发展规划和10年远景目标。编制重点为3-5年发展规划，并根据企业外部环境和内部情况的变化和发展适时滚动调整。

第九条 企业发展战略和规划应当包括下列主要内容：

（一）现状与发展环境。包括企业基本情况、发展环境分析和竞争力分析等；

（二）发展战略与指导思想；

（三）发展目标；

（四）三年发展、调整重点与实施计划；

（五）规划实施的保障措施；

（六）需要包括的其他内容。

第十条 企业在制订发展战略和规划时，可参照国资委编制的《中央企业发展战略与规划编制大纲》，并可根据实际情况进行适当调整，但应当涵盖其提出的内容。

第十一条 企业应当按照国资委要求在规定时间内报送发展战略和规划草案。报送内容包括企业发展战略和规划草案文本及编制说明。

第十二条 国资委组织对企业的发展战略和规划草案进行审核，在规定时间内将审核意见反馈企业。

第十三条 国资委对企业报送的企业发展战略和规划内容的审核主要包括：

（一）是否符合国家发展规划和产业政策；

（二）是否符合国有经济布局和结构的战略性调整方向；

（三）是否突出主业，提升企业核心竞争力；

（四）是否坚持效益优先和可持续发展原则。

第十四条 国有独资企业、国有独资公司应当根据国资委的审核意见，对企业发展战略和规划进行修订。

第十五条 国有控股、国有参股企业中国资委派出的股东代表、董事，应当在企业股东会或董事会上充分表述国资委对企业发展战略和规划的审核意见。

第十六条 企业按照内部决策程序对发展战略和规划修订后，应当将企业发展战略和规划正式文本报国资委备案。

第十七条 企业在实施发展战略和规划过程中应当制定年度计划，对实施情况与发展目标进行对比评价，及时调整。

第十八条 国资委将企业发展战略和规划的目标和实施，纳入对中央企业负责人经营业绩考核的内容。

第十九条 本办法自2005年1月1日起施行。

关于《中央企业发展战略和规划管理办法（试行）》的编制说明

由我委编制的《中央企业发展战略和规划管理办法（试行）》（以下简称《规划管理办法》）按照立法程序已通过审查并公布。该办法根据《中华人民共和国公司法》、《企业国有资产监督管理暂行条例》等相关法律法规，结合中央企业实际情况研究制定。

一、《规划管理办法》的编制背景

（一）企业发展战略和规划的管理工作是出资人监督管理工作的重要组成部分。

企业发展战略和规划关系到企业的长远发展和国有资产的保值增值，属于企业的重大决策。国有资产监督管理机构作为出资人，对其所出资企业发展战略和规划依法履行出资人职责，进行监督和管理，维护所有者权益，是保证出资人职责到位，实现管资产与管人、管事相结合，权利、责任、义务相统一的基本要求。

（二）企业发展战略和规划的管理是一项基础性工作。

企业发展战略和规划是企业面对激烈变化、严峻挑战的经营环境，为求得长期生存和持续发展进行的总体性谋划，是企业发展战略思想的集中体现，也是企业制定各种计划和国资委对企业领导人进行任期考核的基础。加强企业发展战略和规划的管理，既是企业的一项基础性工作，也是国资委依法监督管理企业的基础性工作。为提高依法办事的能力和水平，减少工作中的随意性和盲目性，避免干预企业的经营决策自主权，企业发展战略和规划的管理要强化基础性工作，要建立健全规章制度，进行规范管理。

（三）企业发展战略和规划的管理工作与国有经济布局和结构的战略性调整工作是一个有机的整体。

国资委根据国有经济布局和结构的战略性调整要求，研究提出中央企业布局和结构调整的方向、原则、重点和工作思路，并以此作为编制企业发展战略和规划的工作指南；企业应根据中央企业布局和结构调整的总体思路和自身情况研究提出企业的发展定位和发展战略。二者是相辅相承的一个有机的整体。

（四）中央企业发展战略和规划管理办法的实施，有利于加强企业的市场主体地位。

国资委依法对企业重大投资活动进行管理，是出资人的重要职责。企业面对的市场竞争日趋激烈，为使企业能够抓住机遇、加快发展，同时有效规避投资风险，必须加强战略研究和管理，正确把握企业发展方向。今后国资委对企业重大投资活动的监管，主要依据企业发展战略和规划，凡是规划内的、主业投资，符合企业发展方向的，由企业自主决定，国资委实施备案管理；规划外的、非主业投资，则要进行严格监管。为企业创造更加宽松的环境，有利于加强企业市场主体地位。

（五）办法制定的原则。

在《规划管理办法》编制工作当中，我们主要坚持以下原则：

1．尊重企业合法权益、促进企业发展；

2．依法行使管理职权和建立合法、高效的管理程序。

（六）《规划管理办法》的编制过程。

办法的编制工作经历了一年零五个月时间。在编制的过程中，采用了集体讨论、广泛征求意见的工作方法。办法的文本进行了10多次大的修改和完善。

二、《规划管理办法》明确的几个问题

（一）企业是编制和实施发展战略和规划的主体。

《规划管理办法》体现了企业是编制与实施发展战略和规划的主体。企业负责其发展战略和规划的编制，国资委对其进行审核。主要是对制订的程序和内容进行审核，并对企业发展战略和规划的实施进行监督。

（二）企业发展战略和规划管理工作应坚持的原则。

《规划管理办法》规定，在企业发展战略和规划的管理工作中，始终要坚持以下原则：首先，企业编制的发展战略和规划，要符合国家发展规划和产业政策，有利于国有经济布局和结构的战略性调整，突出主业、可持续发展。通过对企业发展战略和规划的审核，明确企业主业和整合优化业务的调整方向及目标，促进企业稳定发展、做强做大；其次，国资委在审核企业发展战略和规划和对企业实施进行监督管理中，也要坚持上述原则。

（三）《规划管理办法》明确了国资委对企业发展战略和规划管理的工作程序：

1．企业按要求制订本企业的发展战略和规划，并向国资委报送发展战略和规划草案；

2．国资委对企业发展战略和规划进行审核，并将审核意见反馈企业；

3．企业对发展战略和规划修订后，将正式文本报国资委备案；

4．企业对发展战略和规划进行实施，国资委将企业发展战略和规划的目标和实施纳入企业负责人经营业绩考核的内容。

三、《规划管理办法》的结构与主要内容

（一）按照国资委立法工作规则的要求，该办法的内容包括了立法目的、适用范围、具体规定和实施日期等。

（二）按照《规章制定程序条例》的规定，该办法不设章和节，文章结构是按照总则、组织机构、企业发展战略和规划的编制、审核、实施、附则六个部分的框架进行构思。主要内容包括：

1．办法制定的法律依据和办法的适用范围；

2．企业发展战略和规划和企业发展战略和规划的管理的定义；

3．国资委规划管理工作应当坚持的原则和要遵守的内容；

4．企业应尽的义务与责任，包括建立工作机构和建立相应的工作制度等；

5．企业发展战略和规划应包括的主要内容。在办法中规定了一般情况下企业发展战略和规划应包括的主要内容，并与之相配套，制定了《中央企业发展战略与规划编制大纲》（已先期下发中央企业）；

6．企业发展战略和规划的管理程序，即报送、审核、企业对审核意见的处理、备案（报正式文本）、实施与调整等。

四、关于《规划管理办法》的施行

该办法自2005年1月1日起施行，其规范的中央企业发展战略与规划的管理工作具有探索性，因此有待于在今后的管理工作当中不断总结经验，并根据情况的变化逐步加以完善和及时修订。

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State-owned Assets Supervision and Administration Commission of the State Council Order No. 10 Central Enterprise Development Strategy and Planning Management Measures (Trial)

Article source: State-owned Assets Supervision and Administration Commission Planning and Development Bureau Release time: 2004-12-15

Order of the State-owned Assets Supervision and Administration Commission of the State Council

No. 10

The "Measures for the Administration of Development Strategies and Planning of Central Enterprises (Trial Implementation)", which was deliberated and adopted at the 21st director's executive meeting of the State-owned Assets Supervision and Administration Commission of the State Council, is hereby promulgated and shall come into force on January 1, 2005.

Li Rongrong, Director of the State-owned Assets Supervision and Administration Commission of the State Council,

November 26, 2004

Administrative Measures for the Development Strategy and Planning of Central Enterprises (for Trial Implementation)

Article 1 In order to standardize the formulation and management of central enterprises' development strategies and plans, improve the scientificity and democracy of enterprise development strategies and plans, and perform the duties of investors according to law, according to the "Company Law of the People's Republic of China" and "Enterprise State-owned Assets Supervision Management Provisional Regulations and other laws and regulations, formulate these measures.

Article 2 The central enterprises referred to in these Measures refer to enterprises (hereinafter referred to as enterprises) that the State-owned Assets Supervision and Administration Commission of the State Council (hereinafter referred to as SASAC) performs the functions of investors.

Article 3 The term "enterprise development strategy and plan" in these Measures refers to the long-term survival and development of the enterprise based on the analysis of the external environment and internal conditions and their changing trends in accordance with the national development plan and industrial policies. Direction, integrity, overall positioning, development goals and corresponding implementation plans within a certain period of time in the future.

Article 4 The management of enterprise development strategies and plans means that the State-owned Assets Supervision and Administration Commission (SASAC) shall review the formulation procedures and contents of enterprise development strategies and plans according to the investor's responsibilities and supervise their implementation.

Article 5 The SASAC shall adhere to the following principles in managing enterprise development strategies and plans:

(1) Perform the investor's duties in accordance with the law;

(2) Respecting the legitimate rights and interests of enterprises;

(3) Promote the strategic adjustment of the layout and structure of the state-owned economy, and guide enterprises to make structural adjustments;

(4) Objective, fair, scientific, and overall planning;

(5) Improve work efficiency, abide by professional ethics, and strictly guard state secrets and commercial secrets.

Article 6 The enterprise shall specify the working institution responsible for the formulation of development strategies and plans, establish a corresponding working system and report to the SASAC for filing.

Article 7 Enterprises shall formulate their own development strategies and plans in accordance with the provisions of these Measures. Qualified enterprises can set up development strategy and planning decision-making committees.

Article 8 Enterprise development strategies and plans include 3-5 year mid-term development plans and 10-year long-term goals. The focus of the preparation is the 3-5 year development plan, and timely rolling adjustments will be made according to the changes and development of the external environment and internal conditions of the enterprise.

Article 9 Enterprise development strategies and plans shall include the following main contents:

(1) Current situation and development environment. Including the basic situation of the enterprise, development environment analysis and competitiveness analysis, etc.;

(2) Development strategy and guiding ideology;

(3) Development goals;

(4) Three-year development, adjustment focus and implementation plan;

(5) Guarantee measures for planning and implementation;

(6) Other content that needs to be included.

Article 10 When formulating development strategies and plans, enterprises may refer to the "Outline for the Development Strategy and Planning of Central Enterprises" compiled by the SASAC, and may make appropriate adjustments according to the actual situation, but shall cover the contents proposed.

Article 11 The enterprise shall submit the draft development strategy and plan within the specified time in accordance with the requirements of the State-owned Assets Supervision and Administration Commission. The content of the submission includes the draft text of the enterprise development strategy and plan and the preparation instructions.

Article 12 The State-owned Assets Supervision and Administration Commission shall organize the review of the enterprise's development strategy and planning draft, and feedback the review opinions to the enterprise within the specified time.

Article 13 The SASAC's review of the content of the enterprise development strategy and plan submitted by the enterprise mainly includes:

(1) Whether it conforms to the national development plan and industrial policy;

(2) Whether it conforms to the strategic adjustment direction of the layout and structure of the state-owned economy;

(3) Whether it highlights the main business and enhances the core competitiveness of the enterprise;

(4) Whether to adhere to the principles of benefit priority and sustainable development.

Article 14 Wholly state-owned enterprises and wholly state-owned companies shall revise their development strategies and plans based on the review opinions of the SASAC.

Article 15 The shareholder representatives and directors dispatched by the SASAC of state-controlled or state-owned joint-stock enterprises shall fully express the SASAC's review opinions on the enterprise's development strategy and planning at the shareholders' meeting or board of directors of the enterprise.

Article 16 After an enterprise revises its development strategy and plan in accordance with the internal decision-making procedures, it shall submit the official text of the enterprise's development strategy and plan to the SASAC for recordation.

Article 17 During the process of implementing development strategies and planning, enterprises should formulate annual plans, compare and evaluate the implementation status and development goals, and make timely adjustments.

Article 18 The State-owned Assets Supervision and Administration Commission incorporates the goals and implementation of enterprise development strategies and plans into the content of the performance assessment of the responsible persons of central enterprises.

Article 19 These Measures shall come into force on January 1, 2005.

Instructions on the preparation of the "Administrative Measures for the Development Strategy and Planning of Central Enterprises (Trial)"

The "Central Enterprise Development Strategy and Planning Management Measures (Trial)" (hereinafter referred to as "Planning Management Measures") compiled by our committee has passed the review and promulgated according to the legislative procedures. The Measures are formulated in accordance with relevant laws and regulations such as the Company Law of the People's Republic of China, the Interim Regulations on the Supervision and Administration of State-owned Assets of Enterprises, and the actual situation of central enterprises.

1. The background of the preparation of the "Planning Management Measures"

(1) The management of enterprise development strategy and planning is an important part of the investor's supervision and management work.

Enterprise development strategy and planning are related to the long-term development of the enterprise and the maintenance and appreciation of state-owned assets, which are major decisions of the enterprise. As an investor, the state-owned assets supervision and management institution performs the investor's duties according to law, supervises and manages the development strategy and planning of the invested enterprise, and protects the rights and interests of the owner. Combination, the basic requirement of the unity of rights, responsibilities and obligations.

(2) The management of enterprise development strategy and planning is a basic work.

Enterprise development strategy and planning is the overall plan for enterprises to face the fierce changes and severe challenges in the business environment, in order to achieve long-term survival and sustainable development. The basis for the tenure assessment of business leaders. Strengthening the management of enterprise development strategies and plans is not only a basic work for enterprises, but also a basic work for SASAC to supervise and manage enterprises according to law. In order to improve the ability and level of handling affairs according to the law, reduce randomness and blindness in the work, and avoid interfering with the autonomy of the company's business decision-making, the management of the company's development strategy and planning must strengthen basic work, establish and improve rules and regulations, and conduct standardized management .

(3) The management of enterprise development strategy and planning and the strategic adjustment of the layout and structure of the state-owned economy are an organic whole.

According to the strategic adjustment requirements of the layout and structure of the state-owned economy, the State-owned Assets Supervision and Administration Commission (SASAC) studies and proposes the direction, principles, key points and working ideas of the layout and structure adjustment of central enterprises, and uses them as a work guide for formulating enterprise development strategies and plans; The general idea of enterprise layout and structural adjustment and the study of its own situation propose the development orientation and development strategy of the enterprise. The two are an organic whole that complement each other.

(4) The implementation of the central enterprise development strategy and planning management measures is conducive to strengthening the market subject position of enterprises.

It is an important responsibility of investors for the State-owned Assets Supervision and Administration Commission to manage major investment activities of enterprises in accordance with the law. Enterprises are facing increasingly fierce market competition. In order to enable enterprises to seize opportunities, accelerate development, and effectively avoid investment risks, they must strengthen strategic research and management, and correctly grasp the direction of enterprise development. In the future, the State-owned Assets Supervision and Administration Commission will

supervise the major investment activities of enterprises mainly based on the development strategy and planning of the enterprise. Any investment in the main business within the plan and in line with the development direction of the enterprise shall be independently decided by the enterprise, and the State-owned Assets Supervision and Administration Commission shall implement filing management; Investment in the main business must be strictly regulated. Creating a more relaxed environment for enterprises is conducive to strengthening the dominant position of enterprises in the market.

(5) Principles for formulating the measures.

In the preparation of the "Planning Management Measures", we mainly adhere to the following principles:

1. Respect the legitimate rights and interests of enterprises and promote the development of enterprises;

2. Exercising management powers according to law and establishing legal and efficient management procedures.

(6) The preparation process of the "Planning Management Measures".

The preparation of the method took one year and five months. In the process of preparation, the working method of collective discussion and extensive solicitation of opinions was adopted. The text of the Measures has undergone more than 10 major revisions and improvements.

2. Several issues identified in the "Planning Management Measures"

(1) Enterprises are the main body in formulating and implementing development strategies and plans.

The "Planning Management Measures" embodies that enterprises are the main body in formulating and implementing development strategies and plans. Enterprises are responsible for the preparation of their development strategies and plans, which are reviewed by the State-owned Assets Supervision and Administration Commission. It is mainly to review the formulated procedures and contents, and supervise the implementation of the enterprise development strategy and plan.

(2) Principles that should be adhered to in enterprise development strategy and planning management.

The "Planning Management Measures" stipulates that in the management of enterprise development strategies and plans, the following principles must always be adhered to: First, the development strategies and plans formulated by enterprises must conform to national development plans and industrial policies, and are conducive to the layout and structure of the state-owned economy The strategic adjustment, highlighting the main business, sustainable development. Through the review of the enterprise's development strategy and planning, the adjustment direction and goals of the main business and the integration and optimization of the enterprise's main business are clarified, so as to promote the stable development of the enterprise and make it stronger and bigger; In supervision and management, the above principles should also be adhered to.

(3) The "Planning Management Measures" clarified the SASAC's working procedures for enterprise development strategy and planning management:

1. The enterprise formulates its own development strategy and plan as required, and submits the draft development strategy and plan to the SASAC;

2. The State-owned Assets Supervision and Administration Commission will review the company's development strategy and planning, and feed back the review opinions to the company;

3. After the enterprise revises the development strategy and plan, it will submit the official text to the SASAC for record;

4. Enterprises implement development strategies and plans, and the State-owned Assets Supervision and Administration Commission incorporates the objectives and implementation of enterprise development strategies and plans into the content of the business performance assessment of the person in charge of the enterprise.

3. The structure and main content of the "Planning Management Measures"

(1) According to the requirements of the SASAC's legislative work rules, the content of the measures includes the legislative purpose, scope of application, specific provisions and implementation date, etc.

(2) In accordance with the provisions of the Regulations on Procedures for Formulation of Rules, the method does not have chapters and sections, and the structure of the article is conceived in accordance with the framework of the six parts of general principles, organizational structure, preparation of enterprise development strategies and plans, review, implementation, and supplementary rules . The main contents include:

1. The legal basis for the formulation of the measures and the scope of application of the measures;

2. Definition of enterprise development strategy and planning and management of enterprise development strategy and planning;

3. The principles and contents to be followed in the planning and management work of the SASAC;

4. The obligations and responsibilities of the enterprise, including the establishment of a working organization and the establishment of a corresponding working system, etc.;

5. The main contents that should be included in the enterprise development strategy and planning. In the method, the main content that should be included in the development strategy and planning of enterprises under normal circumstances is stipulated, and in accordance with it, the "Outline for the Development Strategy and Planning of Central Enterprises" has been formulated (which has been issued to central enterprises in advance);

6. Management procedures of enterprise development strategy and planning, namely submission, audit, enterprise’ s handling of audit opinions, filing (official report), implementation and adjustment, etc.

4. Implementation of the "Planning Management Measures"

This method has been implemented since January 1, 2005. Its standardized central enterprise development strategy and planning management work is exploratory. Therefore, it is necessary to continuously summarize experience in future management work and gradually improve it according to changes in the situation. timely revision.

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