

交通运输部 上海市人民政府关于落实《中国（上海）自由贸易试验区总体方案》加快推进上海国际航运中心建设的实施意见

Implementation Opinions of the Ministry of Transport and Shanghai Municipal People's Government on Implementing the "Framework Plan for the China (Shanghai) Pilot Free Trade Zone" and Accelerating the Construction of the Shanghai International Transport Center

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各有关单位：

To relevant units:

为深入贯彻落实国务院发布的《中国（上海）自由贸易试验区总体方案》，进一步加快推进上海国际航运中心建设，交通运输部和上海市人民政府联合制定本实施意见。

For the purposes of implementing the "Framework Plan for the China (Shanghai) Pilot Free Trade Zone" promulgated by the State Council, and further accelerating the construction of the Shanghai International transport center, the Ministry of Transport and Shanghai Municipal People's Government jointly formulate the implementation opinions as below.

一、总体要求

1. General requirements

推进中国（上海）自由贸易试验区和上海国际航运中心建设是我国战略需要和任务。要以中国（上海）自由贸易试验区建设为契机，加快推进上海国际航运中心建设，进一步深化改革，扩大开放，坚持先行先试，丰富拓展国际航运发展综合试验区内涵，经过 2-3 年的改革试验，探索创新具有国际竞争力的航运发展制度和模式，形成可复制、可推广的经验，更好地发挥创新驱动、示范带动作用，有力地推动上海国际航运中心升级发展。

Promoting the construction of the China (Shanghai) Pilot Free Trade Zone and Shanghai international transport center, which meets the China's strategic needs, is an important task in China. We shall take the construction of the China (Shanghai) Pilot Free Trade Zone as an opportunity, to accelerate the construction of the Shanghai international transport center, further deepen the reform, expand the opening up, lead the way and explore new paths, enrich and expand the functions of the comprehensive pilot zone for the development of international transport. After two or three year pilot reform under which the transport development system and mode with strong global competitive advantage are explored, experiences can be gained and an innovation-driven "role model" can be set to strongly promote the upgrading and development of the Shanghai international transport center.

二、重点任务

2. Key tasks

(一) 扩大开放水平。

(1) Expand the opening up

1. 放宽外商投资国际船舶运输的股比限制。允许外商在中国（上海）自由贸易试验区以超过 49% 的投资比例设立中外合资经营企业或者中外合作经营企业经营国际船舶运输业务。允许船舶登记主体的外商出资比例突破 50% 的限制，按照有关法律法规以及其它有关规定办理船舶登记业务。港澳台商比照执行。相关管理试行办法另行制定。

- a. Relax the limitations on foreign participation in international shipping business: Foreign investors are allowed to set up Sino-foreign equity joint ventures and Sino-foreign cooperative joint ventures to operate international shipping business with more than 49% participation. The foreign investment in entities which may have their ships registered in China will not be limited to 50% and the ship registration will proceed in accordance with relevant laws and regulations and other relevant rules. Investors from Hong Kong, Macao and Taiwan shall be governed with reference to the above provisions. The relevant trial administration measures will be separately promulgated.

2. 允许外商设立独资企业从事国际船舶管理业务。外商可在中国（上海）自由贸易试验区投资设立独资企业经营国际船舶管理业务。港澳台商比照执行。相关管理试行办法另行制定。

- b. Allow wholly foreign-owned enterprises to engage in international ship management: Foreign investors will be allowed to set up wholly foreign-owned enterprises in the China (Shanghai) Pilot Free Trade Zone to engage in international ship management business. Investors from Hong Kong, Macao and Taiwan shall be governed with reference to the above provisions. The relevant trial administration measures will be separately promulgated.

3. 与金融、贸易等领域扩大开放做好融合。充分利用好中国（上海）自由贸易试验区在金融、贸易领域的开放政策与创新做法，做到相关产业融合发展、创新发展，着力发展航运金融、保险、交易、咨询、海事仲裁、港口物流等现代航运服务业。

- c. Integrate with the opening up in finance, trade and other sectors: The opening up policies and innovative approaches on finance and trade in the China (Shanghai) Pilot Free Trade Zone should be fully employed to achieve the integrated and innovative development of related industries, with special emphasis on the development of modern shipping services such as shipping finance, insurance, transaction, consulting, maritime arbitration, port logistics, etc.

4. 在中国（上海）自由贸易试验区范围内，探索建立航运领域外商投资准入负面清单管理模式，进一步扩大航运服务业对外开放。不断探索航运领域政策和制度创新措施，充分发挥上海国际航运中心“先行先试”作用，进一步提高上海国际航运中心综合竞争力。

- d. The "Negative List" approach will be explored in the China (Shanghai) Pilot Free Trade Zone as administrative measures on foreign investment access in transport sector aiming at the further opening up and policy innovation. It will continuously explore innovative measures on policies and systems in transport sector, utilize the pilot role of the Shanghai international transport center, and further improve the overall competitiveness of the Shanghai international transport center.

（二） 创新航运政策。

(2) Create innovative transport policies

5. 创新多港区联动机制。积极发挥外高桥港区、洋山深水港区、浦东机场国际枢纽港的联动作用，探索形成具有国际竞争力的航运发展制度和运作模式。

- e. Create a linkage mechanism among the ports: Proactively leverage on the Waigaoqiao Port, Yangshan Deep-Water Port and Pudong International Airport to form a development system and operation model that will have strong global competitive advantages.

6. 实施沿海捎带试点政策。推动中转集拼业务发展，允许中资航运公司利用自有或控股拥有的非五星旗国际航行船舶，先行先试外贸进出口集装箱在国内开放港口与上海港之间（以上海港为中转港）的捎带业务。

- f. Pilot the coastal shipping policy: Transition and LCL businesses will be further promoted. Foreign ships owned or indirectly owned by Chinese invested shipping companies are allowed to pilot the coastal shipping between domestic open ports and Shanghai port (with Shanghai port as transit port).

7. 创新国际船舶登记制度。充分发挥上海的区域优势，利用中资“方便旗”船税收优惠政策，促进符合条件的船舶在上海落户登记。在“中国洋山港”船舶登记政策的基础上，研究推动建立并实施便捷高效的国际船舶登记制度，简化国际船舶运输经营许可程序，适当放宽登记主体、船龄范围等登记条件，完善船员配备、登记种类、登记收费、船舶航行区域等登记内容，优化船舶营运、检验与登记业务的相关流程，促进符合条件的船舶在上海登记。

- g. Create a new international ship registration system: By utilizing the geographic advantages of Shanghai and the preferential taxation on Chinese "flag of convenience" ships, qualified ships will be encouraged to register in Shanghai. Based on the ship registration policy of "China Yangshan Port", relevant policies will be studied to promote the establishment and implementation of a convenient and efficient international ship registration system, simplify the application process on permitting international shipping, properly relax the registration conditions such as entities subject to registration, age range of vessel, etc., improve the registration items such as crew manning, type of registration, registration fee, navigation zone and so on, optimize the procedures in relation to ship operation, inspection and registration, so as to encourage qualified ships to register in Shanghai.

8. 支持扩大起运港退税政策试点范围。在现有试点港口和运输企业的基础上, 进一步增加积极性高、信誉好的港口和运输企业加入试点, 扩大政策效应, 充分发挥长江黄金水道作用, 增强上海港辐射服务能力。

- h. Expand the pilot scope for implementation of tax refund policies on the port-of-departure: In addition to the existing pilot ports and transportation enterprises, ports and transportation enterprises with good reputation may be further included in the pilot scope to expand the policy coverage, take full advantage of the Yangtze golden waterway, and spur the radiating effect of Shanghai port.

(三) 拓展中心功能。

(3) Develop central functions

9. 加快推进国际航运交易发展。加快发展航运运价指数衍生品交易业务。完善监管制度, 防范航运金融风险, 加强远期运价监管。支持上海开展中国进口干散货、原油等大宗散货运价指数的编制和发布工作。制定船舶交易信息的统计报送制度, 支持在上海建立船舶交易信息平台, 提供船舶交易信息服务。

- i. Accelerate the development of international shipping transactions: The development of freight index derivatives will be accelerated. The regulatory system will be improved to prevent financial risks for shipping and the supervision on forward freight will be enhanced. It is encouraged to prepare and issue the freight index for bulk goods like imported dry bulks and crude oil in Shanghai. The statistics and reporting system for ship trading information will be established, and a ship trading information platform will be encouraged to be built in Shanghai to provide information services for ship trading.

10. 完善航运发展基金。支持建立市场导向和政府推动相结合的航运发展股权基金, 允许发起人设立股权基金公司。支持航运发展股权基金与有关拆船资金、特许航运经营权等政策相结合使用, 重点用于运力结构调整、所有权与经营权分离、航运企业规模化与专业化发展等领域。

- j. Improve shipping development funds: The establishment of shipping development equity fund which combines market orientation and government promotion will be encouraged, and the initiator is permitted to set up equity fund companies. It is encouraged to use the shipping development equity fund in combination with the policies on ship recycling funding, franchising operation of shipping and so on. The fund will be mainly used in structural adjustment for shipping capacity, separation of ownership and operation rights, development of large-scale and specialized shipping enterprises, etc.

11. 加快航运人才、教育、科研发展。支持上海高级国际航运学院发展, 建设国际化、开放型、服务型的高端航运人才培养基地。支持上海国际航运研究中心、上海国际航运信息中心的建设和发展, 打造具有国际影响力的航运咨询机构。支持上海组合港管委会办公室、上海国际航运中心发展促进会开展有关研究。

- k. Accelerate the development of shipping talents, education and research: The development of Shanghai Advanced Institute of International Shipping will be supported to construct an internationalized, open and service-oriented training base for high level shipping talents. The establishment and development of Shanghai International Shipping Research Institute and Shanghai International Shipping Information Center will be supported to build shipping advisory bodies with international influence. SHZHG Administration Commission Office and Shanghai International Shipping Center Development & Promotion Organization are encouraged to carry out relevant researches.

(四) 提升服务水平。

(4) Improve service level

12. 加快建设现代航运服务功能平台。积极发展航运金融、国际船舶运输、国际船舶管理、国际航运经纪、国际船舶租赁、国际船员管理等产业, 研究相关促进政策, 探索建立长效推进机制。吸引船舶要素聚集, 带动航运信息、船舶融资、船舶保险、海事仲裁等航运服务业发展, 增强上海航运市场综合服务功能。

- l. Accelerate the construction of functional platform for modern shipping services: Shipping related services such as shipping finance, international ship transportation, international ship management, international ship brokerage, international ship chartering and international crew management, will be proactively encouraged. Relevant incentive policies will be studied and a long-term promotion system will be explored and established. Relevant elements will be attracted and gathered to drive the development of shipping service industry such as shipping information, financing, insurance and maritime arbitration, to enhance the comprehensive service function of Shanghai's shipping market.

13. 鼓励发展邮轮产业经济。支持筹建邮轮发展基金，促进我国邮轮船队发展，带动航运金融、保险业发展。支持中资方便旗邮轮经批准从事大陆沿海到港澳台的邮轮运输。允许包租外籍邮轮经批准后多航次经营两岸邮轮业务。鼓励中资方便旗邮轮从事以上海为母港的两岸四地邮轮运输业务。支持上海邮轮母港建设，鼓励在上海成立中外合资邮轮公司拓展邮轮业务。

- m. Encourage the development of cruise industry economy: The preparation and establishment of cruise development fund is supported to promote the development of cruise fleet in China, and to drive the development of shipping finance and insurance industries. Approved Chinese “flag of convenience” ships will be encouraged to engage in cruise shipping from mainland coast to Hong Kong, Macao and Taiwan. Subject to approvals from competent authorities, chartered foreign cruise will be permitted to carry out cruise business across the strait in multiple voyages. Approved Chinese “flag of convenience” ships will be encouraged to engage in cruise shipping among the four regions across the strait with Shanghai as home port. It is encouraged to construct the Shanghai Cruise Home Port and to set up Sino-foreign equity joint venture cruise enterprises in Shanghai to develop cruise businesses.

14. 做实“软实力”，提升国际影响力。探索体制机制创新，加强与相关政策的配合，做实抓手，着力提升上海国际航运中心在国际航运规则 and 标准制定、市场规则、信息咨询服务等领域的能力和水平，提高国际市场影响力。鼓励吸引国内外航运组织、相关协会、服务机构和平台落户上海。支持上海中国航海博物馆提升等级，开展文物征集及文化交流等工作。

- n. Realize the “Soft Power” and elevate international influence: Innovations in systems and mechanisms, enhancement of the alignment of relevant policies, and elevation of the capability and level of Shanghai international transport center with respect to the establishment of international shipping rules and standards, market rules, information consultancy services and other areas, will be encouraged so as to elevate the influence in the international market. It is encouraged to attract international and domestic shipping organizations, related associations, service institutions and platforms to locate in Shanghai. The China Maritime Museum in Shanghai is encouraged to upgrade and carry out cultural relic collection, cultural communication and other activities.

(五) 加强基础设施建设。

(5) Strengthen infrastructure construction

15. 积极有序推进港口基础设施建设。加快推进洋山深水港四期工程建设，满足洋山港日益增长的运量要求。加快铁路（包括沪通铁路、沪乍铁路等）、内河集装箱运输基础设施前期工作和建设。提高上海港海铁联运、水水中转等集疏运能力。有序推进干支泊位建设，缓解上海港干支泊位的结构矛盾，优化码头功能配置。加强长江口深水航道疏浚土综合利用，更好地服务上海国际航运中心发展。

- o. Proactively and orderly promote the construction of port infrastructure: The fourth stage construction project of Yangshan Deep-Water Port will be accelerated to meet the demand of the increasing shipping volume. Railways (including Hutong railway, Huzha railway, etc.), the preliminary preparation and construction of container transportation infrastructure for inland waterways will be accelerated. Shanghai port’s capacity of centralization and distribution transportation, such as maritime and railway combined transport, transit between waterways and so on, will be improved. The construction of berths on the mainstream and tributaries will be orderly promoted to mitigate the structural conflicts of berths on the mainstream and tributaries of Shanghai port and optimize the functions of the port. Soil from dredging the Yangtze estuary deep-water channel will be comprehensively utilized to better serve the development of Shanghai international transport center.

16. 引导港口集疏运结构和功能优化。发挥内河、长江水运优势，推进综合运输体系建设，加强外高桥、洋山两港区联动，提高水路运输规模和效率，提升港口水水中转比例，促进上海港可持续发展。支持研究江海直达运输船型标准、管理标准和收费标准，降低江海直达运输成本，鼓励江海直达船舶的推广应用。

- p. Guide the structural and functional optimization of centralization and distribution transportation: The advantages of inland and Yangtze river waterway transport will be fully taken to promote the construction of an integrated transportation system, enhance the interaction between Waigaoqiao Port and Yangshan Port, elevate the size and efficiency of water transport, increase the proportion of transit between waterways, and promote the sustainable development of Shanghai port. Researches on standards of ship type, management and fees for river-sea transportation will be supported to lower the costs of river-sea transportation and encourage a wide application of ships for river-sea transportation.

17. 加快推进安全绿色航运发展。构建平安海区，着力提高上海港区及周边海域海上人命、财产、环境救助能力和船舶污染防控能力。加强通航水域重要桥梁防碰撞设施建设，保障重要通道安全、畅通。认真组织实施“阳光引航”，逐步取消海进江内贸船舶强制引航。制定和完善相关技术规范 and 标准，共同促进内河 LNG 燃料动力船舶推广应用。

q. Accelerate the development of safe and green shipping: It is encouraged to construct a safe sea area and put in efforts to improve the capability for rescuing human lives, property, environment in and around the Shanghai port and the capability for preventing and controlling ship pollution. The construction of anti-collision facilities for key bridges in the navigable waters will be strengthened to guarantee important channels safe and unblocked. "Sunshine Piloting" will be earnestly organized and implemented to gradually eliminate the compulsory piloting for the domestic trade ships from sea to rivers. Relevant technical specifications and standards will be established and improved to promote the wide application of LNG fueled ships in inland waterways.

18. 加强和完善国际海运市场监管机制。授权上海航运交易所承担国际、境内和海峡两岸航运市场的集装箱班轮公司、无船承运人运价备案受理工作，并配合和协助相关部门对运价备案实施检查、监督。进一步发挥船东、港口等有关行业协会在行业自律方面的作用。

r. Enhance and improve the regulatory system of international maritime transportation market: The Shanghai Shipping Exchange will be authorized to administer the freight price filing for container liner companies and non-vessel operating carriers in international and domestic shipping markets and the shipping market across the strait. In addition, it will cooperate with and assist related authorities to inspect and supervise the freight price filing. The role of relevant industry associations for ship owners and ports will be further utilized for self-discipline within the industry.

三、组织保障

3. Cooperation between organizations

交通运输部和上海市人民政府各有关部门要按照各自职责，密切配合，相互支持，形成合力，切实做好中国（上海）自由贸易试验区总体方案在国际航运领域政策的落实。各相关部门要按照本实施意见确定的目标、任务，结合实际抓紧制订具体实施方案，确保完成各项任务目标。

The Ministry of Transport and the relevant departments in Shanghai Municipal People's Government shall, in accordance with their respective responsibilities, closely cooperate and support each other to make joint efforts to thoroughly implement the policies for transportation services in the "Framework Plan for the China (Shanghai) Pilot Free Trade Zone". The relevant departments shall formulate specific implementation measures based on actual conditions and in accordance with the objectives and tasks prescribed in the Implementation Opinions as soon as possible to make sure all tasks will be accomplished.

交通运输部水运局、上海市城乡建设和交通委员会具体负责牵头联系相关工作任务，跟踪研究政策实施过程中出现的新情况、新问题，做好联系与任务推进工作。

Water Transport Department of the Ministry of Transport and Shanghai Urban Construction and Communications Commission are responsible for taking the lead in contacts and carry-out of relevant tasks, for tracking and studying new situations and problems occurred during the implementation of policies, and for communication and tasks promotion.

交通运输部

上海市人民政府

Ministry of Transport

Shanghai Municipal People's Government

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