

APPENDIX A

LIST OF INTERVIEWEES

Date & Duration	Location	Institution & Position	Type	No. of Interviewees (n=66)
Oct. 21, 2019 1.5 hrs	Beijing	Business Association Secretary-General	On-site	1
Nov. 9, 2019 45 mins	Beijing	Think Tank Former Departmental Director	On-site	1
Nov. 11, 2019 3 hrs	Beijing	Think Tank Scholars	On-site	3
Nov. 14, 2019 2 hrs	Beijing	Think Tank Scholar	On-site	1
Nov. 18, 2019 1.5 hrs	Beijing	Think Tank Scholar	On-site	1
Nov. 19, 2019 2 hrs	Beijing	Private Company Manager of R&D Department <sup>1</sup>	On-site	1
Nov. 20, 2019 2.5 hrs	Beijing	Think Tank Scholar	On-site	1
Nov. 21, 2019 1 hr	Beijing	Think Tank Scholar	On-site	1
Dec. 18, 2019 2 hrs	Beijing	Think Tank Director	On-site	1
Jan. 8, 2020 30 mins	Guangdong	Municipal Committee of CPPCC Government Official	On-site	1
Jan. 8, 2020 1.5 hrs	Guangdong	Private Company Manager of GA Department	On-site	1
Jan. 8, 2020 1 hr	Guangdong	Private Company Vice President	On-site	1
Jan. 8, 2020 1 hr	Guangdong	Private Company Manager and Deputy Manager of GA Department	On-site	2
Jan. 9, 2020 1.5 hrs	Guangdong	Private Company Owner	On-site	1
Jan. 9, 2020 1.5 hrs	Guangdong	Private Company Owner	On-site	1
Jan. 10, 2020 1 hr	Guangxi	Private Company Owner Media (CEO and Director)	On-site	3
Jan. 18, 2020	Hubei	Private Company	On-site	2

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<sup>1</sup> While this interviewee now works in a Chinese private company, he was once a scholar in a Chinese think tank.

3 hrs		President and Vice President		
Jan. 20, 2020 2 hrs	Hubei	Private Company Owner	On-site	1
Sept. 10, 2020 2 hrs	Beijing	University (in Europe) Post-doc Fellow	Phone	1
Oct. 10, 2020 2 hrs	Beijing	Private Company Owner	On-site	1
Oct. 16, 2020 1.5 hrs	Beijing	Private Company Manager and Staff from GA and R&D Department	On-site	3
Oct. 23, 2020 1.5 hrs	Beijing	Private Company Owner	On-site	1
Oct. 23, 2020 2 hrs	Beijing	Private Company Manager of Marketing Department	On-site	1
Oct. 27, 2020 1 hr	Beijing	Private Company CEO	On-site	1
Oct. 28, 2020 2 hrs	Beijing	Private Company Owner	On-site	1
Nov. 3, 2020 1.5 hrs	Beijing	Business Association Secretary-General	On-site	1
Nov. 7, 2020 3 hrs	Shanxi	Business Association Chair of FIC & Deputy County Chief <sup>2</sup>	On-site	1
Nov. 7, 2020 2 hrs	Shanxi	Government Official	On-site	1
Nov. 8, 2020 3 hrs	Shanxi	Private Company Owner	On-site	2
Nov. 8, 2020 3.5 hrs	Shanxi	Business Association Chair and Secretary-General	On-site	2
Nov. 23, 2020 1.5 hrs	Shandong	Government Official at the County Level	On-site	1
Nov. 23, 2020 1 hr	Shandong	Private Company Owner	On-site	1
Nov. 24, 2020 1.5 hrs	Shandong	Private Company Vice President and Director	On-site	2
Nov. 26, 2020 2 hrs	Jiangsu	Private Companies Owners	On-site	3
Nov. 27, 2020 2 hrs	Jiangsu	Private Company Owner	On-site	1

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<sup>2</sup> This interviewee serves as the chair of FIC at the county level while he is also the Deputy County Chief of the county then. I classify him as an interviewee in the group of business association.

Nov. 27, 2020 1 hr	Jiangsu	Bank Manager of Client Service Department	On-site	1
Dec.10, 2020 1 hr	Beijing	Think Tank Scholar	On-site	1
Dec.11, 2020 1.5 hrs	Beijing	Business Association Secretary-General	On-site	1
Feb. 28, 2021 2 hrs	Beijing	Private Company Owner	On-site	1
Mar. 19, 2021 1 hr	Beijing	Business Association (Secretary- General) & Private Company Owner (in Guangdong) <sup>3</sup>	Phone	1
Apr. 26, 2021 1.5 hrs	Shandong	Private Company Owner	On-site	1
Apr. 27, 2021 1.5 hrs	Shandong	Private Company Owner and Manager of Marketing Department	On-site	2
Apr. 27, 2021 1 hr	Shandong	Business Association Chair of FIC	On-site	1
Apr. 28, 2021 1.5 hrs	Shandong	Private Company Owner and Manager of Marketing Department	On-site	2
Apr. 29, 2021 1 hr	Shandong	Private Company Owner & CEO	On-site	1
May. 19, 2021 2 hrs	Beijing	Business Association Head of the General Office	On-site	1
Jul. 13, 2021 2 hrs	Beijing	Private Company (in Shandong) Owner	Phone	1
Dec. 16, 2021 2.5 hrs	Beijing	Think Tank Scholar	On-site	1
Jun. 26, 2022 1 hr	Beijing	Think Tank Scholar	On-site	1
Jul. 25, 2022 2 hrs	Beijing	University Professor	On-site	1
Aug. 20, 2022 1 hr	Beijing	Think Tank (in Beijing) Scholar	Phone	1

*Note:* All interviews (n=50) were conducted in China between October 2019 and August 2022. Totally, 66 people were interviewed during my fieldwork. However, for some interviews, there involved more than one interviewee, as shown in the table.

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<sup>3</sup> This interviewee is an owner of a private company in Guangdong, and he also serves as the secretary-general of a local business association. I count him as an interviewee in the group of business association.

**APPENDIX B**

**ONLINE SURVEY**

**Section I: Basic Information of Private Entrepreneurs**

1. What is your post in the company?
  - (1) President or general manager;
  - (2) Deputy president or deputy general manager;
  - (3) Secretary of the Party Committee or Party branch;
  - (4) Department manager/director, please indicate which department: \_\_\_\_\_
  - (5) Non-management employee
2. Your main job description and responsibility:
  - (1) Top management and decision-making;
  - (2) Middle-level management and decision-making;
  - (3) Public relations and government affairs;
  - (4) Research and development;
  - (5) Sales and promotion;
  - (6) Finance or personnel;
  - (7) Logistics management;
  - (8) Others, please indicate: \_\_\_\_\_
3. What is your gender?
  - (1) Male;
  - (2) Female
4. What is your age?
  - (1) 25 and below;
  - (2) 26 - 35;
  - (3) 36 - 45;
  - (4) 46 – 55;
  - (5) 56 – 65;
  - (6) 66 and above
5. What is your educational level? (please write the highest degree)
  - (1) High school and below;
  - (2) College degree;
  - (3) Bachelor ;
  - (4) Master;
  - (5) Doctorate
6. What is your party affiliation?
  - (1) Chinese Community Party;
  - (2) Democratic parties;
  - (3) Independent;
  - (4) Prefer not to say

7. Are you or your company member of the Federation of Industry and Commerce (FIC)<sup>4</sup>, and in which rank?
  - (1) Yes, in the county level;
  - (2) Yes, in the municipal level;
  - (3) Yes, in the provincial level;
  - (4) Yes, in the national level;
  - (5) No;
  - (6) Don't know
8. Do you hold an position in the FIC? If yes, what is your post?
  - (1) Yes, chairman;
  - (2) Yes, deputy chairman;
  - (3) Yes, member of standing committee or executive committee;
  - (4) No
9. Are you or other top managers of the company the PC deputy or CPPCC<sup>5</sup> member? (If yes, please turn to Q11; if no, please turn to Q12)
  - (1) Yes, an incumbent PC deputy;
  - (2) Yes, an incumbent CPPCC member;
  - (3) Yes, a former PC deputy;
  - (4) Yes, a former CPPCC member;
  - (5) None of the above
10. Which administrative level of PC or CPPCC do you serve or have served in? (please fill the highest rank)
  - (1) County-level and below;
  - (2) Municipal-level;
  - (3) Provincial-level;
  - (4) National-level
11. In your opinion, what the main purpose of a private entrepreneur is as being a PC deputy or CPPCC member?
  - (1) Protecting the collective interests of the private sector through participation in policy-making process;
  - (2) Communicating the demands of specific industry sector with policy-makers and protecting the collective interests of that sector by broadening the channels of state-business interaction;
  - (3) Getting to know the up-to-date information and trend of government policies, placing the individual company in advantageous position competing for government preferential policies;
  - (4) Enhancing the status of individual company in business associations and among peer companies;
  - (5) Enhancing the reputation of the individual company, as well as broadening the personal network of individual private entrepreneur;
  - (6) Carrying out the company's social responsibility;
  - (7) Responding to the call and demand from the Party and government;
  - (8) Others, please indicate: \_\_\_\_\_
12. Which issue in the following that you have communicated with the government officials as the primary concern of your company?
  - (1) Overall business or economic environment where your company registers;
  - (2) General government policies involving the interests of the private economic sector as a whole;

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<sup>4</sup> The Federation of Industry and Commerce is referred to as FIC hereinafter.

<sup>5</sup> PC refers to People's Congress, and NPC refers to National People's Congress; CPPCC stands for Chinese People's Political Consultative Conference, and NCPPCC represents the National Committee of Chinese People's Political Consultative Conference National.

- (3) Government policies concern the interests of specific industrial sector;
- (4) Specific government policies relevant to the interests of individual enterprise, such as policy of tax and finance;
- (5) Influential international events;
- (6) Others, please indicate: \_\_\_\_\_
13. Do you agree with the following statement: Private entrepreneurs' participation in policy-making is necessary.
- (1) Strongly disagree;
- (2) Somewhat disagree;
- (3) Neither agree nor disagree;
- (4) Somewhat agree;
- (5) Strongly agree;
- (6) Don't know;
- (7) Prefer not to say
14. How do you rate the following ways in terms of the degree of their helpfulness in facilitating private entrepreneurs' participation in the policy-making process?

	Not at all helpful	Rarely helpful	Occasionally helpful	Often helpful	Very helpful
(1) Private entrepreneurs submit policy proposals to government agencies as PC deputies or CPPCC members					
(2) Communicating entrepreneurs' policy demands to policy-makers through business associations <sup>6</sup>					
(3) Interacting with government officials through direct contacts					
(4) Co-sponsoring research projects with influential think tanks or research institutions with government background, and transmitting private entrepreneurs' policy preferences/suggestions to policy-makers through the internal reference reports of think tanks					
(5) Transmitting companies' policy ideas to government officials through influential official media					

## Section II: Basic Information of the Company

15. Please provide the following information of your company:
- A. Your company was established in \_\_\_\_\_ (year);
- B. Your company was registered in \_\_\_\_\_ (province);
- C. Within the past five years (2015-2019), the average amount of tax that your company paid was \_\_\_\_\_ (ten-thousand-yuan) per year
16. Within the past five years (2015-2019), the average number of employees of your company:
- (1) 10 and below;
- (2) 11 – 49;
- (3) 50 – 99;
- (4) 100 – 499;

<sup>6</sup> In this survey, business associations usually indicate various types of industry organizations, including the Federation of Industry and Commerce (FIC) at all administrative levels, business or industry associations, Chamber of Commerce, and trade union, etc., unless otherwise specified.

- (5) 500 – 999;
  - (6) 1000 – 4999;
  - (7) 5000 and above;
  - (8) Don't know
17. Does your company establish the following departments?
- (1) Department of public relations or government affairs;
  - (2) Party branch or Party committee;
  - (3) Both of them;
  - (4) None of them;
  - (5) Don't know
18. Which type of product in the following does your company mainly produces?
- (1) General machinery manufacturing or specific machinery manufacturing;
  - (2) Auto or auto parts manufacturing;
  - (3) Equipment of railway, ship, aerospace, or other transportation equipment manufacturing
  - (4) Electrical machinery and equipment manufacturing ;
  - (5) Computer, communication, or other electronic equipment manufacturing;
  - (6) Instrument and meter manufacturing;
  - (7) Other products of the manufacturing industry, please indicate: \_\_\_\_\_
19. In your opinion, your company can be classified as:
- (1) Traditional labor-intensive manufacturing industry;
  - (2) Advanced or high-end technology-driven manufacturing industry;
  - (3) The manufacturing industry that is transforming from labor-intensive toward advanced or high-end manufacturing;
  - (4) Other, please indicate: \_\_\_\_\_
20. Which of the following is the main financial resource that supports the current operation of your company?
- (1) Bank loan;
  - (2) Government funding or special funds;
  - (3) The company's own capital;
  - (4) Venture capital or private capital;
  - (5) Others, please indicate: \_\_\_\_\_;
21. Which channel in the following does your company mainly rely on to acquire information of government policies?
- (1) Government website, policy-relevant press conference, or other official channels;
  - (2) Forums, internal meetings or other activities on policy interpretation organized by business associations;
  - (3) Research project reports or academic papers of scholars and think tanks with government background (such as Chinese Academy of Social Sciences and other research institutions as government subsidiaries);
  - (4) Research project reports or academic papers of no-government think tanks;
  - (5) Others, please indicate: \_\_\_\_\_;
  - (6) Don't know
22. Which one in the following is the primary avenue through which your company contact the government agencies or interact with officials of relevant competent departments?
- (1) Private entrepreneurs or the company contact the government agencies directly;
  - (2) Through business associations;
  - (3) Through NPC or NCPPCC;

- (4) Through the local-level PC or CPPCC;
- (5) Through think tanks and research institutions;
- (6) Through personal networks;
- (7) Others, please indicate: \_\_\_\_\_;
- (8) Don't know;
- (9) Prefer not to say
23. Which level of government does your company often interacts with? (select all that apply)
- (1) County-level and below (including autonomous county and county-level cities);
- (2) Municipal-level (including autonomous prefectures and prefecture-level cities);
- (3) Provincial-level (including autonomous region, or municipalities directly under the Central Government);
- (4) National-level;
- (5) Don't know;
- (6) Prefer not to say
24. How often does your company interact with government agencies or officials of relevant competent departments?
- (1) Never;
- (2) Barely;
- (3) Occasionally;
- (4) Often;
- (5) Very often;
- (6) Don't know;
- (7) Prefer not to say
25. When having meeting with policy-makers, which policy arena in the following that have often been discussed as your company's primary concern?
- (1) Financial and taxation;
- (2) Private property security;
- (3) Regulatory and law;
- (4) Quality standard;
- (5) Labour relations;
- (6) International investment and security;
- (7) Production safety and environment protection
- (8) Others, please indicate: \_\_\_\_\_
26. Please rate the following statements on the basis of your company's circumstance.

	Strongly disagree	Basically disagree	Somewhat agree	Basically agree	Strongly agree
(1) Our company has successfully persuaded government and its competent departments to amend or adjust relevant policy					
(2) Our company has participated in the preliminary investigation and research of government in its making of new policies					
(3) Our company has participated in the drafting or evaluation of specific enterprise-					



related policies as representatives of private enterprises					
(4) Some policy-related ideas of our company have been publicly cited, either orally or in written form, by government officials					
(5) Our company has participated in the discussion and formulation of industry standards or national standards toward specific products					
(6) Our company has always been given preferential treatment by local government					
(7) Our company has established good relationship with local government and relevant competent departments					
(8) Our company often contacts the local government and relevant competent departments directly					
(9) The local government often visits our company and conducts on-the-spot research					
(10) The local government often makes inquiries about the difficulties and challenges that our company faces and helps to solve them					
(11) Our company is the prestigious star enterprise or the pillar for local economic development					
(12) Our company falls into the industry cluster of emergent high-tech enterprise supported significantly by local government					
(13) Our company has established good relationship with local FIC, business associations, or chamber of commerce					

27. Please rate the local business environment in which your company has registered.

	Very dissatisfied	Dissatisfied	Neutral	Satisfied	Very satisfied
(1) The convenient degree of administrative procedures approval					
(2) The working attitude of local officials and administrative staffs					
(3) The labor market					
(4) The degree of convenience and easiness of getting access to bank loan					
(5) Degree of local government regulation on enterprises					
(6) Degree of local government's performance in safeguarding the legal interests of enterprises					

(7) Local government's preferential policy support on plant, equipment, and technology demanded by enterprises					
(8) Local government's performance on implementing varieties of enterprise-related policies					

**Section III: Business Associations and Development of Private Enterprises**

28. Which type of business association or chamber of commerce<sup>7</sup> in the following does your company participate in as a member or frequently interact with?
- (1) Government-initiated business association or chamber of commerce or those with government background;
  - (2) Entrepreneurial-led business association or chamber of commerce;
  - (3) None of above
29. What tier or class of membership is your company in business association?
- (1) As chairman company;
  - (2) As vice-chairman company;
  - (3) As ordinary member company;
  - (4) Don't know;
  - (5) Prefer not to say
30. As to the primary business association with which your company affiliates, are there any staffs who are retirees from the government agencies or former employees of state-owned companies?
- (1) Yes; (2) No; (3) Don't know; (4) Prefer not to say
31. Please rate based on your (company) experience, how often do business associations assist your company in terms of the following issues?

	Never	Barely	Occasionally	often	Very often
(1) Seeking for enterprises' opinions and advices in its preliminary investigation and research, which is authorized by the government and for the making of new policies					
(2) Recommending entrepreneurial representatives to participate in the drafting or evaluation on relevant government policies before they are publicly released					
(3) Transmitting business' opinions on existing policies or industry legislations to policy-makers					
(4) Successfully assisting enterprises in winning the open tendering projects or subsidizes of the government					
(5) Connecting entrepreneurs and officials of the State Council or Ministries through forums or other activities					
(6) Facilitating interactions between entrepreneurs and officials of local government through forums and other activities					

<sup>7</sup> As to this question, I differentiate FIC with business associations and chamber of commerce, as FIC at all levels are government-initiated. However, I use business associations and chamber of commerce as representatives of all other types of industry associations, trade unions, etc., except FIC.

(7) Submitting entrepreneurs' policy proposal to policy-makers through NPC or NCPPCC					
(8) Submitting entrepreneurs' policy proposal to policy-makers through the local committee of PC or CPPCC					
(9) Successfully persuading government and its competent departments to amend or adjust relevant policy					
(10) Successfully persuading government and policy-makers to take entrepreneurs' industrial ideas as policy reference					
(11) Successfully facilitating enterprises in participating in the making of industrial or national standards of specific products					

32. Which level of government does your company usually interact with by the help of business associations?

- (1) County-level and below (including autonomous county and county-level cities);
- (2) Municipal-level (including autonomous prefectures and prefecture-level cities);
- (3) Provincial-level (including autonomous region, or municipalities directly under the Central Government);
- (4) National-level;
- (5) Don't know;
- (6) Prefer not to say

33. Please rate the following statements on business associations, based on your interactions with them as part of your company.

	Strongly disagree	Basically disagree	Somewhat agree	Basically agree	Strongly agree
(1) Establishing good relationship with local government and officials					
(2) Being resourceful and well-funded in Party building					
(3) Local government relies on the resources and experience of business association in the making of industry standards					
(4) Local government and officials often ask for the suggestions of business association					
(5) Local government takes an active part in activities and events organized by business association					
(6) Business association has been supported by local government in terms of funds, technology, and personnel					
(7) Business association has often been authorized by the government to conduct policy research and drafting					
(8) Business association has carried out plenty of research projects authorized by the government					
(9) The suggestions or proposals of business association					

have often been adopted or taken as references by government and its competent departments					
(10) Business association arranges various events for state-business interactions periodically					
(11) Business association is professional and efficient in its management					
(12) The staff of business association are well-educated, skillful and professional					

34. In your opinion, what are the primary duties of business associations? (select four choices at most)
- (1) Representing the collective interests of business members and safeguarding their legitimate industrial interests ;
  - (2) Safeguarding the interests of the private sector as a whole and optimizing their business environment;
  - (3) Facilitating state-business engagement and entrepreneurs’ political participation;
  - (4) Transmitting the demands and suggestions of enterprises to policy-makers, and resolving problems of the company;
  - (5) Playing the political leading role in assisting the Party and government to unite private entrepreneurs;
  - (6) Regulating and supervising the conduct of enterprises as assistant of the government to maintain social stability and market order;
  - (7) Assisting the government to achieve various developmental goals of the state

35. Please rate the following services provided by business associations, based on your (company) interactions with them.

	<b>Strongly disagree</b>	<b>Basically disagree</b>	<b>Somewhat agree</b>	<b>Basically agree</b>	<b>Strongly agree</b>
(1) Often paying a visit to enterprises and reporting their demands and suggestions to government in a timely manner					
(2) Often helping enterprises to get policy or regulation information by contacting relevant governments					
(3) Interpreting government policies to business members in a timely manner					
(4) Taking active part in pushing government to implement various enterprise-related preferential policies					
(5) Often arranging varieties of events and creating opportunities for state-business interactions					
(6) Often recommending entrepreneurial representatives to take part in the policy research or in the drafting on specific government policies					
(7) Submitting business’ suggestions and proposals to relevant government agencies periodically or timely					

36. As to the primary business association with which your company affiliates, does the company have to periodically pay for services fees or other fees in addition to the membership fee?

- (1) Never;

- (2) Barely;
- (3) Occasionally;
- (4) Often;
- (5) Very often ;
- (6) Don't know

37. Please rate the following statements, based on your interactions with business associations as part of your company.

	Never	Barely	Occasionally	often	Very often
(1) Paying visit to enterprises with government officials and investigating difficulties that the companies face					
(2) Assisting government to solve difficulties and problems of enterprises through the form of ‘working on-the-spot’					
(3) Orally transmitting entrepreneurs’ opinions to policy-makers					
(4) Gathering entrepreneurs’ suggestions through surveys or official letters and submitting reports to government in written form					
(5) Hosting policy-related forums and workshops between government officials and entrepreneurs					
(6) Hosting banquets or receptions between government officials and entrepreneurs					
(7) Establishing internal discussion groups in WeChat between government officials and entrepreneurs					
(8) Hosting policy interpretation among entrepreneurs					
(9) Organizing events or meetings among scholars, officials, and entrepreneurs					
(10) Inviting scholars/experts and entrepreneurial representatives to work on the making or amendment of industry or national standards					
(11) Spreading enterprises’ ideas on industry policy and development and expanding the influence through media					
(12) Promoting cooperation between enterprises and think tanks in the form of research projects, and transmitting enterprises’ policy preference and demands to government through internal reference reports of think tanks					
(13) Inviting scholars and experts to support entrepreneurs’ policy idea through authoritative academic demonstration					
(14) Providing services for business members in issues of vocational training, legal advices, or foreign investment consultation, etc.					

**Section IV: Think Tanks and The Development of Private Enterprises**

38. As to the role of research institutions or think tanks in policy-making, please rate the statements in the following.

	Strongly	Disagree	Not sure	Agree	Strongly agree
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	<b>disagree</b>				
(1) Offering experts' suggestions and opinions in policy-making as the government's think tanks					
(2) Often participating in the policy-making process					
(3) Carrying out preliminary research projects for new policies assigned by the government					
(4) Offering opinions and suggestions for amendment to existing policies					
(5) Participating in the policy-making process of national major strategic issues					

39. Which type of research institutions or think tanks does your company usually work with?

- (1) Research institutions or think tanks with government background;
- (2) Non-government research institutions or think tanks;
- (3) Others, please indicate: \_\_\_\_\_;
- (4) Don't know

40. What issue does your company concern most when cooperating with research institutions or think tanks?

- (1) Issues that involve the interests of the private sector and other relevant issues;
- (2) Policies that concern the interests of specific industry or other relevant issues;
- (3) Specific policies or issues relevant to the company, such policies of taxation and environment protection;
- (4) Issues that help to improve the reputation and social status of individual entrepreneurs;
- (5) Others, please indicate: \_\_\_\_\_;
- (6) Don't know

41. How often does your company cooperate with research institutions or think tanks regarding to the following activities?

	<b>Never</b>	<b>Barely</b>	<b>Occasionally</b>	<b>often</b>	<b>Very often</b>
(1) Joint research projects conducted and funded by /think tanks and enterprises					
(2) Enterprises fund and authorize research institutions/think tanks to conduct research projects					
(3) Enterprises and research institutions/think tanks carry out research projects funded and assigned by the government					
(4) Enterprises and universities or research institutions cooperate and carry out training programmes toward personnel development and technology research, etc.					
(5) Enterprises invite scholars or experts to interpret the government policies					
(6) Enterprises interact or cooperate with scholars or experts through business associations					

(7) Scholars and experts are hired by the company as consultants					
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42. As to the following statements, please rate that to what extent could the company benefit by working with research institutions or think tanks?

	Not at all helpful	Rarely helpful	Occasionally helpful	Often helpful	Very helpful
(1) Providing theoretical analysis on feasibility of private entrepreneurs' policy suggestions or proposals to increase the likelihood of being adopted by policy-makers					
(2) Transmitting business' opinions on existing policies or industry legislations to policy-makers through the internal reference reports of think tanks					
(3) Providing theoretical endorsement on private entrepreneurs' ideas and guiding public opinion to attract the government's attention					
(4) Assisting the company participate in the making of industry standards and elevating its status in the sector					
(5) Assisting the company in issues of training, research and development in technology, etc.					

APPENDIX C

IRB/HUMAN SUBJECTS APPROVAL



Institutional Review Board  
210H Haskins Hall  
Newark, DE 19716  
Phone: 302-831-2137  
Fax: 302-831-2828

DATE: August 13, 2021

TO: Jing Li, PhD  
FROM: University of Delaware IRB

STUDY TITLE: [1398769-3] Private Entrepreneurs and Economic Decision-Making in China: Ways and Avenues.  
SUBMISSION TYPE: Amendment/Modification

ACTION: DETERMINATION OF EXEMPT STATUS  
EFFECTIVE DATE: August 13, 2021

REVIEW CATEGORY: Exemption category # (2)

Thank you for your Amendment/Modification submission to the University of Delaware Institutional Review Board (UD IRB). According to the pertinent regulations, the UD IRB has determined this project is EXEMPT from most federal policy requirements for the protection of human subjects. The privacy of subjects and the confidentiality of participants must be safeguarded as prescribed in the reviewed protocol form.

This exempt determination is valid for the research study as described by the documents in this submission. Proposed revisions to previously approved procedures and documents that may affect this exempt determination must be reviewed and approved by this office prior to initiation. The UD amendment form must be used to request the review of changes that may substantially change the study design or data collected.

Unanticipated problems and serious adverse events involving risk to participants must be reported to this office in a timely fashion according with the UD requirements for reportable events.

A copy of this correspondence will be kept on file by our office. If you have any questions, please contact the UD IRB Office at (302) 831-2137 or via email at [hsrb-research@udel.edu](mailto:hsrb-research@udel.edu). Please include the study title and reference number in all correspondence with this office.

INSTITUTIONAL REVIEW BOARD

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