

**School of Public and International Affairs, Princeton University**

**SPI 482 Fall 2022 including highlighted updates of September 6, 2022**  
**Special Topics in International Policy and Development: The Chinese Economy**  
**T/Th, 3:00 pm – 4:20 pm, Robertson 010**

**Instructor:** Carsten A. Holz

Office hour: JRR (Julis Romo Rabinowitz) A80, Tuesday 4:30-5:30pm

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### **Course description**

This course provides an introduction to the economy of the People's Republic of China. The approach is non-mathematical. Prior knowledge of economics is not required.

The objective of this course is two-fold:

- Gain an understanding of the factual cornerstones underpinning the Chinese economy.
- Use basic tools of economics to make sense of economic events and institutions in China.

By the end of the course, you should be able to:

- Enter an academic, policy or business discussion of the Chinese economy in an informed manner.
- Bring a quality of judgment to dispersed information on the Chinese economy, whether that is in evaluating the reliability of the information, its significance given a particular question, or its relevance in a larger context.
- Apply economic theories and economic analysis to the economy of China.
- Independently investigate topics related to the Chinese economy.

The course covers a number of aspects of the Chinese economy:

- Economic history: Given China's technological superiority over the West at times in the past, why did China fall behind and not industrialize earlier?
- Economic geography: How does geography shape China's economy?
- Economic transition: China has undergone (and is still undergoing) a process of economic transition from a semi-planned to a market-oriented economy. What was / is this process? What made the transition so successful in terms of economic growth? What are the variations of government involvement and their implications?
- Economic development: How did economic development unfold across individual economic sectors, and how does China's experience relate to traditional concepts of development economics?
- Politics and culture: China's political institutions differ from those of the West, and so do many cultural and political values. How do they affect the economy?
- Globalization: The economic rise of China has implications for economies (and people) around the world through channels ranging from foreign trade to environmental issues.

## Requirements and grading

- 16% Two 1-page (maximum 500 word) interpretative précis of a reading in the syllabus with a maximum 10-minute presentation to the class, followed by a brief open discussion in class (2 \* 8%). — Graded pass/fail. — Place the précis in ‘Discussions’ on CANVAS *no later than 24 hours before the class meets*. — Starts Week 2 or 3. (Précis articles will be allocated in class, likely early in Week 2.) — Also see details re précis towards the end of the syllabus.
- 16% Assignments, typically assigned weekly on Thursday and due the following Tuesday (8 \* 2%). — Expect a 30-90 minute effort. — Graded pass/fail. — We should have 10 assignments in total (maximally 8 assignments count). — We may also have “10-minute” mini assignments, typically assigned Tuesday, due Thursday, not submitted, not graded.
- 28% Midterm exam, in class, **closed book**, midterm exam week — or research paper option
- 40% Final exam, **closed book**, cumulative with emphasis on material covered after the midterm exam, **given as approximately 2 (to 3) hours take-home exam, likely on Canvas, available during the first three days of the final exam period (to be taken at the student’s choice of time), December 17-19, 2022** — or research paper option if midterm exam was taken

You are expected to, for each class, read the required readings and the 1-page precis that will be presented in class; please be prepared to ask questions about the précis or to offer thoughts.

### Missing exams, research paper option instead of midterm exam **or final exam**

In the case of a missed exam, university rules apply. To the extent that decision-making authority rests with the instructor: In case of illness, a medically documented incapability of taking the exam at the scheduled time is required in order to be excused; family emergencies require objective documentation.

If you are excused from taking the midterm exam, the weight of the midterm exam goes to your final exam.

Instead of taking the midterm exam—by choice, or because you missed it—you may write a research paper. If you take the midterm exam, you *\*cannot\** later choose to replace it by a research paper.

**If you have taken the midterm exam (or are excused from it), you may write a research paper instead of taking the final exam.** For details on writing a research paper see the instructions towards the end of the syllabus. The research paper would be due by the Dean’s date, December 16, 2022.

Missing the final exam without valid excuse results in a final exam score of zero.

### Course grade

The translation of an overall course percentage score into a letter grade is based on an absolute standard and the grading in similar courses in the past. The instructor may, in rare instances, make a one-third grade upward adjustment to a student’s course grade if a student’s performance in class is far superior to the performance in the requirements.

## Miscellanea

There are no extra-credit assignments.

The exams cover material presented/discussed in class and the required readings.

What we do in class does not necessarily have a one-to-one correspondence with the required readings.

If you cannot attend a class, please catch up on your own or make arrangements with a fellow student to share their notes with you.

Faculty own the copyright to their instructional materials. Instructional material made available to students may not be posted online or shared with anyone other than the students enrolled in this course.

The class may not be recorded in any form.

## **Textbook, readings**

The course draws on the following two textbooks, particularly the first one (Naughton), with both books available as eBooks in the Princeton University Library (and accessible via this course in Canvas – Reserves):

- Naughton, Barry. *The Chinese Economy: Adaptation and Growth*. Second edition. Cambridge, Mass.: The MIT Press, 2018 (not 2007). [Abbreviated below as BN]
- Kroeber, Arthur R. *China's Economy: What Everyone Needs to Know*. New York: Oxford University Press, 2020 (not 2016). [Abbreviated below as AK]

## General readings

The following volume provides a more research-oriented overview of the Chinese economy: Brandt, Loren, and Thomas G. Rawski (eds.). *China's Great Economic Transformation*. Cambridge University Press, 2008. [Abbreviated below as LBTR]

A wide variety of overview chapters (of varying quality) are found in:

- Garnaut, Ross, SONG Ligang, and CAI Fang. *China's 40 Years of Reform and Development 1978-2018*. Acton, ACT: Australian National University Press, 2018. Free online at <https://press.anu.edu.au/publications/series/china-update/china%E2%80%99s-40-years-reform-and-development-1978%E2%80%932018>

Two shorter, concise, research-focused and complementary overviews are:

- Brandt, Loren, Debin Ma, and Thomas G. Rawski. "From Divergence to Convergence: Reevaluating the History Behind China's Economic Boom." *Journal of Economic Literature* 52, no. 1 (March 2014): 45-123.
- XU Chenggang. "The Fundamental Institutions of China's Reforms and Development." *Journal of Economic Literature* 49, no. 4 (Dec. 2011): 1076-1151.

Background reading on Chinese (economic) history:

- Spence, Jonathan D. *The Search for Modern China*. Third edition, 2012. W.W. Norton & Company.
- Fairbank, John King, and Merle Goldman. *China: A New History*. Cambridge, Mass.: Harvard University Press, 2006. For this course, Part Three, and in particular Part Four, are of most interest (pp. 255-341, 343-470).
- Riskin, Carl. *China's Political Economy: The Quest for Development Since 1949*. Oxford: Oxford University Press, 1991. Covers 1949 through mid-1980s.

## Overview (Table of Contents)

0. Introduction
1. Why Care about the Chinese Economy?
2. The Problem of Causality in the Social Sciences
3. Economic History
  - 3.1 *The broad historical strokes*
  - 3.2 *Why did China not industrialize earlier?*
4. Reform Period Overview
5. Economic Geography
6. Central Planning and Economic Transition
  - 6.1 *The theory of centrally planned economies [6.2 The theory of market economies]*
  - 6.3 *The fatal conceit: the errors of socialism*
  - 6.4 *Planning in China*
  - 6.5 *Transition in China*
7. Economic Development
  - 7.1 *Pre-reform period economic development strategies*
  - 7.2 *Reform period economic development strategies*  
*incl. Specifically: Industrial Policy*
    - 7.2.1 Economic development: industry
    - 7.2.2 Economic development: agriculture
    - 7.2.3 Economic development: financial system
    - 7.2.4 Economic development: fiscal system
    - 7.2.5 Energy
    - 7.2.6 Environment
    - 7.2.7 Digital economy
  - 7.3 *Regional economic development: China's Western region*
8. Economic Decision Making
9. Governance and Ownership
10. China and the World
11. Labor, Demographics, and Education
12. Sociology of China Research
13. Corruption
14. Inequality and Poverty
15. Social Security System

## Class Schedule and Reading List

\*\* Required readings (read prior to class). Required readings are subject to minor adjustments in the course of the semester. Short items, such as a newspaper article, may be added at times.

\* Available for précis/presentation. You can also propose an article not included below.

Non-starred literature is typically not suitable for a précis, but may still be of interest.

Access the required and potential précis readings via Canvas – Reserves. If a reading cannot be accessed via Canvas and is difficult to find, please let the instructor know.

*Week 1: Tuesday, September 6, and Thursday, September 8*

*(No required readings for Tuesday, September 6)*

## 0. Introduction

### Syllabus

Films “How China Fooled the World,” BBC, 2015, 47min, <http://www.bbc.com/news/world-asia-34261550>; “How China Rules the World,” dailymotion, 2016, 46min, <https://www.dailymotion.com/video/x5z39iv>; “What's going on with China's Economy?” BBC News, 28 January 2019, 3min, <https://www.youtube.com/watch?v=WSfTKWscwdA>; “China: A New World Order Episode 1,” BBC. 16 January 2022, 51min, <https://www.bbcselect.com/watch/china-a-new-world-order/> .

## 1. Why Care About the Chinese Economy?

BN 1 “Introduction: The Chinese Economy in Context”

BN 7 “Growth and Structural Change”

\*\* AK 1 “Why China Matters

AK 12 “The Emerging Consumer Economy”

(\*\*) Holz, Carsten A. “China’s Economic Growth 1978-2025: What We Know Today about China’s Economic Growth Tomorrow.” *World Development* 36, no. 10 (Oct. 2008): 1665-1691.

\* Naughton, Barry. “Grand Steerage.” Chapter 2 in Thomas Fingar and Jean C. Oi (eds.), *Fateful Decisions: Choices That Will Shape China’s Future*. Stanford: Stanford University Press, 2020, pp. 51-81.

\* Walder, Andrew. “China’s National Trajectory.” Chapter 14 in Thomas Fingar and Jean C. Oi (eds.), *Fateful Decisions: Choices That Will Shape China’s Future*. Stanford: Stanford University Press, 2020, pp. 335-357.

\* MA Guonan. “China’s High and Rising Corporate Debt: Examining Drivers and Risks.” *MERICs China Monitor Perspectives*, 22 August 2019, 11pp. At <https://merics.org/en/report/chinas-high-and-rising-corporate-debt>

\* Lin, Justin Yifu. “China’s Growth Deceleration: Causes and Future Growth Prospect.” *Frontiers of Economics in China* 14, no. 1 (2019): 26-52.

Wright, Logan. “Rethinking China’s Economic Future.” *Rhodium Group*, 31 May 2022. At: <https://rhg.com/research/rethinking-chinas-economic-future/>

Holz, Carsten A. “China’s Investment Rate: Characteristics and Implications.” Mimeo, 22 April 2019. At <https://carstenholz.people.ust.hk/CarstenHolz-ChinaInvestmentRate-22Apr2019.pdf>

PEI Minxin. "China's Fateful Inward Turn: Beijing's New Economic Strategy as Spelled Out by the Resolution of the CCP Central Committee's 5<sup>th</sup> Plenum." *China Leadership Monitor* 66 (Winter 2020), 16 December 2020. At <https://www.prclleader.org/pei-3>

## 2. The Problem of Causality in the Social Sciences

\*\* King, Gary, Robert O. Keohane, and Sidney Verba. *Designing Social Inquiry: Scientific Inference in Qualitative Research*. Ewing, NJ: Princeton University Press, 1994, Chapter 3, "Causality and Causal Inference," pp. 75-113, in particular pp. 75-85 and 91-5. If you want, skip the (little) statistics. Chs. 1 and 2 recommended.

Friedman, Milton. "The Methodology of Positive Economics." In Milton Friedman. *Essays in Positive Economics*. Chicago: The University of Chicago Press, 1953, pp. 3-46. Also at: <http://members.shaw.ca/compilerpress1/Anno%20Friedman%20Positive.htm>

*Week 2: Tuesday, September 13, and Thursday, September 15*

## 3. The Pre-1978 Economy

### 3.1. The Broad Historical Strokes

\*\* BN 3 "The Chinese Economy Before 1949" [skim quickly]

\*\* BN 4 "The Socialist Era, 1949-1978: Big Push Industrialization and Policy Instability" [skim quickly]

\*\* Brandt, Loren, and Thomas G. Rawski. "China's Great Boom as a Historical Process." Chapter 21 in Debin Ma and Richard von Glahn (eds.), *The Cambridge Economic History of China*, Volume II, Cambridge, Mass: Cambridge University Press, 2022, pp. 775-828. (Earlier working paper: *IZA Institute of Labor Economics*, IZA DP no. 13940, December 2020. At <https://docs.iza.org/dp13940.pdf>)

\* Deng, Kent, and Jim H. Shen. "From State Resource Allocation to a 'Low Level Equilibrium Era': Re-evaluation of Economic Performance of Mao's China, 1949-78." *Economic History Working Papers 2019* (298), The London School of Economics and Political Science. At [http://eprints.lse.ac.uk/101127/1/Deng\\_from\\_state\\_resource\\_allocation\\_published.pdf](http://eprints.lse.ac.uk/101127/1/Deng_from_state_resource_allocation_published.pdf)

\* Hebllich, Stephan, Marlon Seror, Hao Xu, and Yanos Zylberberg. "Industrial Clusters in the Long Run: Evidence from Million-Rouble Plants in China." *CESifo Working Paper* No. 7682. 21 May 2019. At <https://www.cesifo.org/en/publikationen/2019/working-paper/industrial-clusters-long-run-evidence-million-rouble-plants-china>

\* Brandt, Loren, Debin Ma, and Thomas G. Rawski. "From Divergence to Convergence: Reevaluating the History Behind China's Economic Boom." *Journal of Economic Literature* 52, no. 1 (March 2014): 45-123, especially pp. 61-92.

Brandt, Loren. "Reflections on China's Late 19<sup>th</sup> and Early 20<sup>th</sup> Century Economy." *The China Quarterly* 150, (June 1997): 282-308.

Dernberger, Robert F. "The Role of the Foreigner in China's Economic Development, 1840-1949" in Dwight H. Perkins (ed.), *China's Modern Economy in Historical Perspective*, Stanford, CA: Stanford University Press, 1975, pp. 19-47, 305-8.

Pomeranz, Kenneth. *The Great Divergence: China, Europe, and the Making of the Modern World Economy*. Princeton and Oxford: Princeton University Press, 2000.

Stubbs, Richard. *Rethinking Asia's Economic Miracle*. New York: Palgrave Macmillan, 2005. Although this book is not about China, the ideas presented here, on political and military origins of the economic growth of East Asia, are also relevant, in some variation, to China.

### 3.2 Why Did China Not Industrialize Earlier?

- \*\* Elvin, Mark. *The Patterns of the Chinese Past*. Stanford, CA: Stanford University Press, 1973, Chapter 17, "Quantitative Growth, Qualitative Standstill," pp. 285-316.
- \*\* LIN, Justin Yifu. "The Needham Puzzle: Why the Industrial Revolution Did Not Originate in China." *Economic Development and Cultural Change* 43, no. 2 (Jan. 1995): 270-92. [skim quickly]
- \* Landes, David S. "Why Europe and the West? Why Not China?" *Journal of Economic Perspectives* 20, no. 2 (spring 2006): 3-22.

Week 3: Tuesday, September 20, and Thursday, September 22  
(Tuesday, September 20 is the Add/Drop deadline for Undergraduate courses)

### 4. Reform Period Overview

- \*\* QIAN Yingyi. "The Process of China's Market Transition (1978-1998): The Evolutionary, Historical, and Comparative Perspectives." *Journal of Institutional and Theoretical Economics* 156, no. 1 (March 2000): 151-71. (In particular, sections 1-3, pp. 151-64.) Pre-publication version at <http://elsa.berkeley.edu/~yqian/research.html>
- \*\* Hofman, Bert. "Reflections on 40 Years of China's Reforms." Chapter 3 in Ross Garnaut, Ligang Song, and Cai Fang (eds.), *China's 40 Years of Reform and Development 1978-2018*, Acton ACT, Australia: Australian National University Press, 2018, pp. 53-66.
- \* Heilmann, Sebastian. "Policy Experimentation in China's Economic Rise." *Studies in Comparative International Development* 43, no. 1 (March 2008): 1-26.
- \* Lin, Justin Yifu. "China's Growth Miracle in the Context of Asian Transformation." WIDER Working Paper 2018/92, August 2018. At <https://www.wider.unu.edu/publication/china%E2%80%99s-growth-miracle-context-asian-transformation>
- \* XU Xianchun. "The Slowdown of China's Economic Growth in Terms of Statistics." *Frontier of Economics in China* 14, no. 1 (2019): 72-9.
- PEI Minxin. "The Origins and Implications of Xi Jinping's "Common Prosperity" Agenda." *China Leadership Monitor*, no. 70 (Winter 2021), 1 December 2021. At: <https://www.prcleader.org/pei-4>
- Naughton, Barry. "China's Distinctive System: Can It Be a Model for Others?" *Journal of Contemporary China* 19, no. 65 (June 2010): 437-60.
- LBTR 1 (Loren Brandt and Thomas G. Rawski, "China's Great Economic Transformation," pp. 1-26)

### 5. Economic Geography

- \*\* BN 2 "The Geographic Setting"
- BN 6 "The Urban-Rural Divide and Chinese-style Urbanization"
- AK 2 "Population, Geography, and History"

- \* Lampton, David M. “All (High-Speed Rail) Roads Lead to China.” Chapter 12 in Thomas Fingar and Jean C. Oi (eds.), *Fateful Decisions: Choices That Will Shape China’s Future*. Stanford: Stanford University Press, 2020, pp. 287-311.
  - \* LBTR 19 (Kam Wing Chan, J. Vernon Henderson, and Kai Yuen Tsui, “Spatial Dimensions of Chinese Economic Development,” pp. 776-828)  
Donald, Stephanie Hemelryk and Robert Benewick. *The State of China Atlas: Mapping the World’s Fastest Growing Economy*. Berkeley, CA: University of California Press, 2005, pp. 24, 26f, 37, 40f., 42f, 50f, 72f, 74f, 77, 81, 89, 90f.
- For large-scale maps on China’s economy see: The National Economic Atlas of China. Hong Kong: Oxford University Press, 1994. Social Science Reference Ctr. (SSRC), Firestone Library G2306.G1 N3 1994e Oversize. Some pages of interest are pp. 2f., 8 top, 9 top, 11f., 15f., 19f., 21f., 32, 34, 36, 37, 43, 74f., 98, 195, 197, 199.

*Week 4: Tuesday, September 27, and Thursday, September 29*

## **6. Central Planning and Economic Transition**

### **6.1 The theory of centrally planned economies**

- \*\* Greenwald, Douglas (ed.). “Input-Output Analysis.” In *The McGraw-Hill Encyclopedia of Economics*. Second edition, New York: McGraw-Hill, 1994; pp. 547-51.
  - \* Kornai, Janos. “Resource-Constrained versus Demand-Constrained Systems.” *Econometrica* 47, no. 4 (July 1979): 801-19.
- Kohler, Heinz. *Comparative Economic Systems*. Glenview, Illinois: Scott, Foresman, and Company, 1989. Chapter 6, “Centralized Socialism: A Model” (pp. 86-116, but skip pp. 95-99, 102-4, and 110-12; answers to questions are on pp. 494-501 (questions 1-6, 8 recommended)). Take it easy on this reading. See if you can understand what we do in class.

### **6.2 The theory of market economies**

- Kohler, Heinz. *Comparative Economic Systems*. Glenview, Illinois: Scott, Foresman, and Company, 1989. Chapter 12, “Market Capitalism: A Model” (pp. 332-61, except pp. 351-54 on Pareto conditions; answers to questions are on pp. 520-27 (questions 1, 3, 4, 7, 10 recommended; questions 2 and 8 very optional)).

### **6.3 The fatal conceit: the errors of socialism**

- \*\* Hayek, Friedrich A. “The Use of Knowledge in Society.” *American Economic Review* 35, no. 4 (Sept. 1945): 519-30. (Also available in *The Essence of Hayek* [below])
- Hayek, Friedrich A. *The Fatal Conceit: The Errors of Socialism*. London: Routledge, 1988. The Collected works of F.A. Hayek, vol. 1. Chapter 4, “The Revolt of Instinct and Reason,” pp. 48-65, and Chapter 5, “The Fatal Conceit,” pp. 66-88.
- Marquet, David. “Inno-Versity Presents: Greatness by David Marquet”  
<https://www.youtube.com/watch?v=psAXMqxwol8>

### **6.4 Planning in China**

- \*\* GaveKal Dragonomics. “Understanding China’s Five Year Plan: Planned Economy or Coordinated Chaos.” *China Insight: Economics*, 9 Nov. 2010.
- \*\* Heilmann, Sebastian, and Oliver Melton. “The Reinvention of Development Planning in China, 1993-2012.” *Modern China* 39, no. 6 (2013): 580-628.



- \*\* Lyons, Thomas P. "Planning and Interprovincial Co-ordination in Maoist China." *The China Quarterly* 121 (March 1990): 36-60.
- \* Perkins, Dwight H. "Plans and Their Implementation in the People's Republic of China." *American Economic Review* 63, no. 2 (May 1973): 224-31.
- "The 13 WHAT – A Song About China's 13<sup>th</sup> 5-Year Plan," 2015, 3min. (Propaganda video)  
<https://www.youtube.com/watch?v=LhLrHCKMqyM>

*Week 5: Tuesday, October 4, and Thursday, October 6  
(this week includes some breathing space)*

### **6.5 Transition in China**

- \*\* BN 5 "Market Transition: Strategy and Process"
- \*\* QIAN Yingyi. "How Reform Worked in China," Chapter 11 in Dani Rodrik (ed.), *In Search of Prosperity: Analytic Narratives on Economic Growth*. Princeton: Princeton University Press, 2003, pp. 297-333.
- \* ZHANG Weiyang. "The China Model View Is Factually False." *Journal of Chinese Economic and Business Studies* 17, no. 3 (2019): 287-311.
- \* HUANG Yasheng. "How Did China Take Off?" *The Journal of Economic Perspectives* 26, no. 4 (Fall 2012): 147-70.

*Week 6: In-class midterm exam on Tuesday, October 11*

*Week 6: Thursday, October 13*

## **7. Economic Development**

- \* Sen, Amartya. *Development as Freedom*. New York: Anchor Books, 1999. "Introduction," pp. 3-11, and Chapter 2 "The Ends and the Means of Development," pp. 35-53.
- LBTR 2 (Alan Heston and Terry Sicular, "China and Development Economics," pp. 27-67)

### **7.1 Pre-reform period economic development strategies**

- \*\* MAO Zedong. "On the Ten Major Relationships." 25 April 1956. At:  
[http://www.marxists.org/reference/archive/mao/selected-works/volume-5/mswv5\\_51.htm](http://www.marxists.org/reference/archive/mao/selected-works/volume-5/mswv5_51.htm)
- \*\* Eckstein, Alexander. *China's Economic Revolution*. Cambridge, UK: Cambridge University Press, 1977. Chapter 2, "Development Strategies and Policies in Contemporary China," pp. 31-65.
- \* YANG Kuisong. "Reconsidering the Campaign to Suppress Counterrevolutionaries." *The China Quarterly*, no. 193 (March 2008): 102-21.
- LI Changyu. "Mao's "Killing Quotas." *China Rights Forum*, No. 4 (2005): 41-44. At  
[https://www.hrichina.org/sites/default/files/PDFs/CRF.4.2005/CRF-2005-4\\_Quota.pdf](https://www.hrichina.org/sites/default/files/PDFs/CRF.4.2005/CRF-2005-4_Quota.pdf)

*Fall Recess Saturday, October 15, 2022 – Sunday, October 23, 2022*

Week 7: Tuesday, October 25, and Thursday, October 27

### **7.2 Reform period economic development strategies**

BN 18 “Macroeconomic Policy: Instruments and Outcomes

AK 14 “Changing the Growth Model”

BN 6 “The Urban-Rural Divide and Chinese-style Urbanization” (Also with economic geography)

\*\* LIN, Justin Yifu. “Development Strategy, Viability, and Economic Convergence.” *Economic Development and Cultural Change* 51, no. 2 (Jan. 2003): 277-308, in particular pp. 277-94.

or LIN, Justin Yifu, CAI Fang, and LI Zhou. *The China Miracle: Development Strategy and Economic Reform*. Revised edition. Hong Kong: The Chinese University Press, 2003, Chapter 4, “The Comparative-advantage-following Strategy,” pp. 103-36.

\*\* WANG Jian. “The Correct Strategy for Long-Term Economic Development—Concept of the Development Strategy of Joining the ‘Great International Cycle’.” *Chinese Economic Studies* 25, no. 1 (Fall 1991): 7-15.

\* Wagner, Helmut. “On the (Non-)sustainability of China’s Development Strategies.” *The Chinese Economy* 52 (2019): 1-23.

Bishop, Bill (Sinocism). “China’s Political Discourse November 2021: A New Resolution on History.” *China Media Project*, 30 December 2021. At: <https://sinocism.com/p/chinas-political-discourse-november>

Hirschman, Albert O. *The Strategy of Economic Development*. New Haven : Yale University Press, 1961. Chapter 4 “Unbalanced Growth: An Espousal,” pp. 62-75, and Chapter 5 “Investment Choices and Strategies,” pp. 76-97. Skip section with interest rate calculations in Chapter 5.

Holz, Carsten A. “The Unbalanced Growth Hypothesis and the Role of the State: the Case of China’s State-owned Enterprises.” *Journal of Development Economics* 96, no. 2 (Nov. 2011): 220-38.

Sonobe, Tetsushi, HU Dinghuan, and Keijiro Otsuka. “From Inferior to Superior Products: an Inquiry into the Wenzhou Model of Industrial Development in China.” *Journal of Comparative Economics* 32, no. 3 (September 2004): 542-63.

LBTR 17 (Loren Brandt, Chang-tai Hsieh, and Xiaodong Zhu, “Growth and Structural Transformation in China,” pp. 683-728)

### **Specifically: Industrial Policy**

\*\* Holz, Carsten A. “PRC Industrial Policies Postdate Rather than Lead Economic Activity.” 22 June 2020. Chapter 8 in Erik Baark, Bert Hofman and Jiwei Qian (eds.), *Innovation and China’s Global Emergence*, Singapore: NUS Press, 2021.

\*\* Zenglein, Max J., and Anna Holzmann. “Evolving Made in China 2025: China’s Industrial Policy in the Quest for Global Tech Leadership.” *MERICs Papers on China*, no. 8 (July 2019), 80pp. At: [https://meric.org/sites/default/files/2020-04/MPOC\\_8\\_MadeinChina\\_2025\\_final\\_3.pdf](https://meric.org/sites/default/files/2020-04/MPOC_8_MadeinChina_2025_final_3.pdf) Read executive summary, skim the rest.

\* Segal, Adam. “China’s Move to Grater Self Reliance.” *China Leadership Monitor*, Winter 2021, Issue 70, 1 December 2021. At: <https://www.prclleader.org/segal>

\* DiPippo, Gerard, Iliaria Mazzocco, and Scott Kennedy. “Red Ink: Estimating Chinese Industrial Policy Spending in Comparative Perspective.” Center for Strategic International Studies,

May 2022. At: <https://www.csis.org/analysis/red-ink-estimating-chinese-industrial-policy-spending-comparative-perspective>

- \* European Union Chamber of Commerce in China and MERICS (Mercator Institute for China Studies). “China’s Innovation Ecosystem: Right for Many, but Not for All.” 2022. At: <https://merics.org/en/report/chinas-innovation-ecosystem-right-many-not-all>
- \* Wuebbeke, Jost, Mirjam Meissner, Max J. Zenglein, Jaqueline Ives, and Bjoern Conrad. “Made in China 2025: The Making of a High-Tech Superpower and Consequences for Industrial Counties.” *MERICIS Papers on China No. 2*, December 2016. [https://www.merics.org/sites/default/files/2017-09/MPOC\\_No.2\\_MadeinChina2025.pdf](https://www.merics.org/sites/default/files/2017-09/MPOC_No.2_MadeinChina2025.pdf)  
Focus on executive summary, skim interesting sections.
- \* Kratz, Agatha, and Janka Oertel. “Home Advantage: How China’s Protected Market Threatens Europe’s Economic Power.” European Council on Foreign Relations, Policy Brief. At: <https://ecfr.eu/publication/home-advantage-how-chinas-protected-market-threatens-europes-economic-power/>
- \* WANG Dan. “The Quest for Semiconductor Sovereignty.” *GavekalDragonomics Deep China*, 20 April 2021 (21pp.).
- \* Fuller, Douglas B. “China’s Counter-Strategy to American Export Controls in Integrated Circuits.” *China Leadership Monitor 67* (Spring 2021), 15pp. At: [https://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=3798291](https://papers.ssrn.com/sol3/papers.cfm?abstract_id=3798291)
- \* European Union Chamber of Commerce in China. “China Manufacturing 2025: Putting Industrial Policy Ahead of Market Forces.” 2017. 68pp. At <https://www.europeanchamber.com.cn/en/china-manufacturing-2025>
- \* Nolan, Peter. “Globalisation and Industrial Policy: The Case of China.” *The World Economy* 37, no. 6 (2014): 747-64.

Week 8: Tuesday, November 1, and Thursday, November 3

### 7.2.1 Economic development: industry

- \*\* BN 14 “Industry: Ownership and Corporate Governance” (Also with ‘Governance’ below)
- \*\* BN 15 “Technology and Industrial Policy” [skim]
- AK 5 “Industry, Export, and Technology”
- \*\* Thun, Eric. “Industrial Policy, Chinese-Style: FDI, Regulation, and Dreams of National Champions in the Auto Sector.” *Journal of East Asian Studies* 4 (2004): 453-89.
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### 7.2.2 Economic development: agriculture

- \*\* BN 11 “Rural Organization”
- \*\* BN 12 “Agriculture: Technology, Production, and Policy”
- \*\* BN 13 “Rural Industrialization: From Township and Village Enterprises to Taobao Enterprises” [skim]
- \*\* AK 4 “Agriculture, Land, and the Rural Economy”
- \* DU, Lijuan. XU Li, LI Yanping, LIU Changshun, LI Zhenhua, Jefferson S. Wong, and LEI Bo. “China’s Agricultural Irrigation and Water Conservancy Projects: A Policy Synthesis and Discussion of Emerging Issues.” *Sustainability* 11, no. 24 (2019): 1-20.
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*Week 9: Tuesday, November 8, and Thursday, November 10*

### 7.2.3 Economic development: financial system

- \*\* BN 19 “Financial System”
- \*\* AK 9 “The Financial System”
- \*\* Holz, Carsten A. “The Changing Role of Money in China and Its Implications.” *Comparative Economic Studies* 42, no. 3 (Fall 2000): 77-100. Skip Chart 1, go easy on Table 1, focus on concept of two circuits.
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#### 7.2.4 Economic development: fiscal system

- \*\* BN 20 "The Fiscal System"
- \*\* AK 8 "The Government Finance System"
- \* PAN Fenghua, ZHANG Fangzhu, and WU Fulong. "State-led Financialization in China: The Case of the Government-guided Investment Fund." *The China Quarterly*, no. 247 (September 2021): 749-72.
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#### 7.2.5 Energy

- \* AK 10 "Energy and the Environment" (Also with 7.2.6)
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### 7.2.6 Environment

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### 7.2.7 Digital economy

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*Week 10: Tuesday, November 15, and Thursday, November 17*

### **7.3 Regional economic development: China’s Western region**

- \*\* AK 6 “Urbanization and Infrastructure”
- \*\* Holz, Carsten A. “The Process of Economic Development in West Sichuan: the Case of Daocheng County.” Mimeo. At: <https://carstenholz.people.ust.hk/CarstenHolz-EconDevDaocheng-5Jul2022.pdf>
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### **8. Economic Decision Making**

- \*\* AK 3 “China’s Political Economy”
- \*\* Shue, Vivienne. “Global Imaginings, the State’s Quest for Hegemony, and the Pursuit of Phantom Freedom in China: from Heshang to Falung Gong.” Chapter 12 in Catarina Kinnvall and Kristina Joensson, *Globalization and Democratization in Asia*, London and New York: Routledge, 2002, pp. 210-29.
- \*\* Shih, Lea, and Kerstin Lohse-Friedrich. “Centralized Leadership – Heterogeneous Party Base: Changes in the Membership Structure of the Chinese Communist Party.” *MERICs China Monitor*, 16 Aug. 2017, 10pp. <https://merics.org/en/report/centralized-leadership-heterogeneous-party-base>
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- \*\* Holz, Carsten A. “Contractionary Investment Policies in China 1988/89: Accounting for the Implementation Difficulties and Successes.” *The China Quarterly* 160 (Dec. 1999): 881-918.
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- \* Brady, Anne-Marie. “The Beijing Olympics as a Campaign of Mass Distraction.” *The China Quarterly* 197 (March 2009): 1-24.
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- Brodsgaard, Kjeld Erik. “Politics and Business Group Formation in China: the Party in Control?” *The China Quarterly* 211 (Sept. 2012): 624-48.

*Week 11: No class*

*(No class on Tuesday, November 22, due to “Friday schedule;” no class on Thursday, November 24, due to Thanksgiving recess, November 23-27)*

*Week 12: Tuesday, November 29, and Thursday, December 1*

## **9. Governance and Ownership Issues**

- \*\* BN 14 “Industry: Ownership and Corporate Governance” (Also with Industry development \*\* above)
- \*\* AK 7 “The Enterprise System”
- \*\* Naughton, Barry. “Financialisation of the State Sector in China.” Chapter 9 in ZHENG Yongnian and Sarah Yueting Tong, *China’s Economic Modernisation and Structural Changes: Essays in Honour of John Wong*, Singapore: World Scientific Publishing Company, 2019, pp. 167-85.
- \* Drinhausen, Katja, and Vincent Brussee. “China’s Social Credit System in 2021: From Fragmentation towards Integration.” *MERICs China Monitor*, 3 March 2021, 24pp. At <https://merics.org/en/report/chinas-social-credit-system-2021-fragmentation-towards-integration>
- \* DING Xiaodong and Dale Yuhao Zhong. “Rethinking China’s Social Credit System: A Long Road to Establishing Trust in Chinese Society.” *Journal of Contemporary China* 30, no. 130 (2021): 630-44.
- \* YU Hong. “The Ascendancy of State-owned Enterprises in China: Development, Controversy, and Problems.” *Journal of Contemporary China* 23, no. 85 (2014): 161-82.
- \* Huang, Tanlei and Nicolas Véron. “The Private Sector Advances in China: The Evolving Ownership Structures of the Largest Companies in the Xi Jinping Era.” Working Paper 02/2022, Bruegel. At: <https://www.piie.com/publications/working-papers/private-sector-advances-china-evolving-ownership-structures-largest>
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## 10. China and the World

- \*\* BN 16 “International Trade”
- \*\* BN 17 “Foreign Investment and the Capital Account”
- \*\* AK 15 “China and the World: Is Conflict Inevitable?”
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- \* Kratz, Agatha, Max J. Zenglein, and Gregor Sebastian. “Chinese FDI in Europe 2020 Update: Investment Falls to 10-year Low in an Economically and Politically Challenging Year.” MERICS Report (Rhodium Group and MERICS), June 2021. At: <https://rhg.com/wp-content/uploads/2021/06/MERICSRhodium-GroupCOFDIUpdate2021.pdf>
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- \* HU Zhi-Hua, LIU Chan-Juan, and Paul Tae-Woo Lee. “China’s Global Investment and Maritime Flows in the Context of the Belt and Road Initiative.” *Journal of Contemporary China* 30, no. 129 (2021): 465-80.
- \* LIU Xin. “Chinese Multinational Enterprises Operating in Western Economies: Huawei in the US and the UK.” *Journal of Contemporary China* 30, no. 129 (2021): 368-85.
- \* Holslag, Jonathan. “Controlling the Mine? Assessing China’s Emergence as a Minerals Super Power.” *Journal of Contemporary China* 31, no. 137 (September 2021): 663-74.
- \* Bohman, Viking, and Hillevi Parup. “Purchasing with the Party: Chinese Consumer Boycotts of Foreign Companies, 2008-2021.” Swedish National China Centre, Report No. 2, 2022. At: <https://kinacentrum.se/en/publications/chinese-consumer-boycotts-of-foreign-companies/>
- \* Rabe, Wiebke, and Genia Kostka. “Leaping over the Dragon’s Gate: The “Air Silk Road” between Henan Province and Luxembourg.” *The China Quarterly*, no. 249 (March 2022): 160-82.
- \* Horn, Sebastian, Carmen M. Reinhart, and Christoph Trebesch. “Hidden Defaults.” Kiel Working Paper No. 2208 (2022). At: <https://openknowledge.worldbank.org/handle/10986/36965>
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- \* Brown, Alexander, Jacob Gunter, Max J. Zenglein. “Course Correction: China’s Shifting Approach to Economic Globalization.” *MERICS China Monitor*, 19 October 2021, 19pp. At: <https://merics.org/en/report/course-correction-chinas-shifting-approach-economic-globalization>
- \* Wong, Christine. “Bold Strategy or Irrational Exuberance?” Chapter 11 in Thomas Fingar and Jean C. Oi (eds.), *Fateful Decisions: Choices That Will Shape China’s Future*. Stanford: Stanford University Press, 2020, pp. 272-86.
- Yu, Yongding. “The Reform of China’s Exchange Rate Regime.” Chapter 17 in Ross Garnaut, Ligang Song, and Cai Fang (eds.), *China’s 40 Years of Reform and Development 1978-2018*, Acton ACT, Australia: Australian National University Press, 2018, pp. 313-28.
- Li, Kunwang, and Wei Jiang. “China’s Foreign Trade: Reform, Performance and Contribution to Economic Growth.” Chapter 28 in Ross Garnaut, Ligang Song, and Cai Fang (eds.), *China’s*

*40 Years of Reform and Development 1978-2018*, Acton ACT, Australia: Australian National University Press, 2018, pp. 575-93 (focus on pp. 575-587).

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### **10.1 The CCP's control/influence over governments, firms, and individuals in the West**

- \* Lohse-Friedrich, Kerstin. "China's Public Diplomacy: International Companies Face Increasing Reputational Risks." *MERICS China Monitor*, June 2019, 14pp. At: <https://merics.org/en/report/chinas-public-diplomacy>
- \* Committee on Foreign Relations, United States Senate. "The New Big Brother: China and Digital Authoritarianism." 21 July 2020. At: <https://www.foreign.senate.gov/imo/media/doc/2020%20SFRC%20Minority%20Staff%20Report%20-%20The%20New%20Big%20Brother%20-%20China%20and%20Digital%20Authoritarianism.pdf>
- \* Peterson, Rachele, Flora Yan, and Ian Oxnevad. "After Confucius Institutes: China's Enduring Influence on American Higher Education." A Report by the National Association of Scholars, June 2021. At: <https://www.nas.org/reports/after-confucius-institutes>
- \* Adachi, Aya, Alexander Brown, and Max J. Zenglein. "Fasten Your Seatbelts: How to Manage China's Economic Coercion." *MERICS China Monitor*, 25 August 2022. At: <https://merics.org/en/report/fasten-your-seatbelts-how-manage-chinas-economic-coercion>
- \* Morley, Sabine. "What Is Lost in Translation? Differences between Chinese Foreign Policy Statements and Their Official English Translations." *Foreign Policy Analysis* 18, no. 3 (July 2022): 2-18.
- \* Brady, Anne-Marie. "Magic Weapons: China's Political Influence Activities under Xi Jinping." Conference paper, 16-17 September 2017.
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- \* XIONG Tian. "Mergers and Acquisitions by Chinese Multinationals in Europe: The Effect on the Innovation Performance of Acquiring Firms." EIIW Discussion Paper 310, January 2022. At: <https://ideas.repec.org/p/bwu/eiwdp/disbei310.html>

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### **10.2 System competition**

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- Tatlow, Didi Kirsten. “China’s Cosmological Communism: A Challenge to Liberal Democracies. Imperial Philosophy Meets Marxist Orthodoxy in Beijing’s Global Ambitions. *MERICs China Monitor*, 18 July 2018, 10pp. At: <https://merics.org/en/report/chinas-cosmological-communism-challenge-liberal-democracies>

*Week 13: Tuesday, December 6, and Thursday, December 8*

### **11. Labor, Demographics, and Education**

- \*\* BN 8 “Population: Demographic Transition, the Demographic Dividend, and the One-Child Policy”
- \*\* BN 9 “Labor and Human Capital”
- \*\* AK 11 “Demographics and the Labor Market”
- \* LI Hongbin, James Liang, Scott Rozelle, and WU Binzhen. “Human Capital and China’s Future.” Chapter 8 in Thomas Fingar and Jean C. Oi (eds.), *Fateful Decisions: Choices That Will Shape China’s Future*. Stanford: Stanford University Press, 2020, pp. 200-21.
- \* Blecher, Marc J. “Hegemony and Workers’ Politics in China.” *The China Quarterly* 170 (June 2002): 283-303.
- \* LUO Siqi and YANG Tao. “Moderated Mobilization: A New Model of Enterprise-level Collective Bargaining in South China.” *The China Quarterly* 242 (June 2020): 418-39.
- \* Gregory, Bob, and Xin Meng. “Rural-to-urban Migration and Migrants’ Labour Market Performance, 2008-16.” Chapter 12 in Ross Garnaut, Ligang Song, and Cai Fang (eds.), *China’s 40 Years of Reform and Development 1978-2018*, Acton ACT, Australia: Australian National University Press, 2018, pp. 395-426.
- \* YAN Xiaojun and Mohammed Alsudairi. “Guarding Against the Threat of a Westernising Education: A Comparative Study of Chinese and Saudi Cultural Security Discourses and Practices Towards Overseas Study.” *Journal of Contemporary China* 30, no. 131 (2021): 803-19.
- \* DONG Xiaoyuan and AN Xinli. “Gender Patterns and Value of Unpaid Care Work: Findings from China’s First Large-Scale Time Use Survey.” *Review of Income and Wealth* 61, no. 3 (September 2015): 540-560.
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China Labour Bulletin: <http://www.clb.org.hk/>

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China Labor News Translations: <http://www.clntranslations.org/>

## 12. Sociology of China Research

\*\* Link, Perry. "The Anaconda in the Chandelier: Chinese Censorship Today." Mimeo, 2002, At <http://www.chinafile.com/library/nyrb-china-archive/china-anaconda-chandelier>. (Also published in short version, with different ending, as "The Anaconda in the Chandelier: Censorship in China Today," in Woodrow Wilson International Center for Scholars, Asia Program Special Report, April 2002, pp. 3-7.)

\*\* Holz, Carsten A. "Have China Scholars All Been Bought?" *Far Eastern Economic Review* 170, no. 3 (April 2007), 36-40. At: <http://ihome.ust.hk/%7Esocholz/HaveChinaScholarsAllBeenBought-FEER30April07.pdf>

\*\* Kornai, Janos. "Frankenstein's Moral Responsibility." *Acta Oeconomica* 69, no. 4 (2019): 485-94.

\* "Ethical Dilemmas of the China Scholar: A Conversation about Staying Engaged, Managing Risk, and Speaking the Truth." *USALI [U.S.-Asia Law Institute] Perspectives* 1, no. 19 (8 April 2021), 18pp. Available at: <https://usali.org/usali-perspectives-blog/ethical-dilemmas-of-the-china-scholar>

\* XU Zhangrun. "A Letter to My Editors and to China's Censors." *ChinaFile* 18 May 2021. At <https://www.chinafile.com/reporting-opinion/viewpoint/letter-my-editors-and-chinas-censors>

\* Perry, Elizabeth J. "Educated Acquiescence: How Academia Sustains Authoritarianism in China." *Theory and Society*, no. 49 (2000): 1-22.

\* Stoff, Jeffrey, and Glenn Tiffert. "Eyes Wide Open: Ethical Risks in Research Collaboration with China." Hoover Institution Report, December 2021.

\* Fish, Isaac Stone. "The Other Political Correctness: Why Are America's Elite Universities Censoring Themselves on China?" *The New Republic*, 4 September 2018. At: <https://newrepublic.com/article/150476/american-elite-universities-selfcensorship-china>

Humphrey, Peter. "My Time in a Chinese Prison." *Financial Times*, 16 February 2018. <https://www.ft.com/content/db8b9e36-1119-11e8-940e-08320fc2a277> Also 5-min video at: <https://www.youtube.com/watch?v=wAVs3oIQdo0>

Tenzin, Jinba. "The Ecology of Chinese Academia: A Third-Eye Perspective." *The China Quarterly* 231 (September 2017): 775-96.

Lloyd-Damnjanovic, Anastasya. "A Preliminary Study of PRC Political Influence and Interference Activities in American Higher Education." Wilson Center, 2018. At <https://www.wilsoncenter.org/publication/preliminary-study-prc-political-influence-and-interference-activities-american-higher>

Fitzgerald, John. "Academic Freedom and the Contemporary University: Lessons from China." *Humanities Australia* (The Journal of the Australian Academy of the Humanities), no. 8 (2017): 8-22.

- Fitzgerald, John. "Human Dignity and Its Enemies." Inside Story, 16 August 2017. At <https://insidestory.org.au/human-dignity-and-its-enemies/>
- Friedman, Edward. "Studying China Is Dangerous." Keynote address, American Association for Chinese Studies, 49th Annual Conference, Richmond, Virginia, 6 October 2007. At <https://aacs.ccnycuny.edu/2007conference/Edward-Friedman-Studying-China-is-Dangerous-KEYNOTE-SPEECH.doc>
- Wasserstrom, Jeffrey. "Why Aren't You Banned Yet?" 16 Dec. 2015. At <http://blog.lareviewofbooks.org/provocations/arent-banned-yet/>
- CHEN, Minglu, and David S.G. Goodman, "The China Model: One Country, Six Authors," *Journal of Contemporary China* 21, no. 73 (Jan. 2012): 169-185, in particular pp. 177-80 (Zhao Suisheng and Barry Naughton).

*Dean's Date: December 16, 2022.*

*Fall Final Examinations: Saturday, December 17 - Friday, December 23, 2022*

*More topics, for which we won't have time.*

### **13. Corruption**

- AK 13: "The Social Compact" (also below, twice)
- \* Wedeman, Andrew. "Anticorruption Forever?" Chapter e in Thomasingar and Jean C. Oi (eds.), *Fateful Decisions: Choices That Will Shape China's Future*. Stanford: Stanford University Press, 2020, pp. 82-106.
  - \* Greitens, Sheena Chestnut. "The *Saohei* Campaign, Protection Umbrellas, and China's Changing Political-Legal Apparatus." *China Leadership Monitor* 65 (Fall 2020), 1 September 2020. At: <https://www.prcleader.org/greitens-1>
  - \* Carothers, Christopher. "Xi's Anti-Corruption Campaign: An All-Purpose Governing Tool." *China Leadership Monitor* 67 (Spring 2021), 17pp. At: <https://www.prcleader.org/carothers>
- DING X.L. "The Illicit Asset Stripping of Chinese State Firms." *The China Journal*, no. 43 (Jan. 2000): 1-28.
- LU Xiaobo. *Cadres and Corruption: The Organizational Involvement of the Chinese Communist Party*. Palo Alto, CA: Stanford University Press, 2000.
- Interactive website on corruption in China:  
<http://www.chinafile.com/infographics/visualizing-chinas-anti-corruption-campaign>

### **14. Inequality and Poverty**

- BN 10 "Living Standards: Incomes, Inequality, and Poverty"
- AK 13: "The Social Compact" (also above and below)
- \* Bikales, Bill. "Reflections on Poverty Reduction in China." Mimeo. Embassy of Switzerland in China, June 2021. At: [https://www.eda.admin.ch/dam/countries/countries-content/china/en/20210608-Poverty-Reduction-China\\_EN.pdf](https://www.eda.admin.ch/dam/countries/countries-content/china/en/20210608-Poverty-Reduction-China_EN.pdf)

- \* LUO Chuliang, SHI Li, and Terry Sicular. “The Long-term Evolution of Income Inequality and Poverty in China.” WIDER Working Paper 2018/153, December 2018. At: <https://www.wider.unu.edu/publication/long-term-evolution-income-inequality-and-poverty-china>
  - \* Piketty, Thomas, YANG Li, and Gabriel Zucman. “Capital Accumulation, Private Property, and Rising Inequality in China, 1978-2015.” *American Economic Review* 109, no. 7 (2019): 2469-2496.
  - \* Peschel, Dominik. “Reducing Inequality in the People’s Republic of China through Tax and Fiscal Reforms.” ADB East Asia Working Paper Series, no. 46 (December 2021). At: <https://www.adb.org/publications/reducing-inequality-prc-tax-fiscal-reforms>
- HAN Jin, ZHAO Qingxia, ZHANG Mengnan. “China’s Income Inequality in the Global Context.” *Perspectives in Science* 7 (2016): 24-9.
- Sicular, Terry. “Will China Eliminate Poverty in 2020?” *China Leadership Monitor* 66 (Winter 2020), 1 December 2020. At: <https://www.prcleader.org/sicular>

### **15. Social Security System**

BN 10 “Living Standards: Incomes, Inequality, and Poverty”

AK 13: “The Social Compact”

- \* FANG Hanming, FENG Jin. “The Chinese Pension System.” NBER Working Paper Series, Working Paper 25088, September 2018. At: <https://www.nber.org/papers/w25088>
- \* YANG Li. “Towards Equity and Sustainability? China’s Pension System Reform Moves Center Stage.” HAL archives-ouvertes, 3 May 2021. At: [https://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=3879895](https://papers.ssrn.com/sol3/papers.cfm?abstract_id=3879895)
- \* Stepan, Matthias, and Jane Duckett. “Serve the People: Innovation and IT in China’s Social Development Agenda.” *MERICCS Papers on China*, No. 6 (October 2018).
- \* Choi, Eun Kyong. “‘Delegation and Then Intervention’: The 2009 Decision to Create the New Rural Pension.” *The China Quarterly* 233 (March 2018): 64-84.

## Data Sources and Additional Readings on China's Economy

### PRC data

2021 中国统计年鉴 (China Statistical Yearbook [bilingual edition]). 北京: 中国统计出版社 (HA4631.C47). Also available online at the National Bureau of Statistics website.

National Bureau of Statistics of China: <http://www.stats.gov.cn>

CEIC China Premium Database (at HKUST subsumed under CDMNext)

<http://chinadatacenter.org/newcdc/> --- Michigan data center

Data journals: China Monthly Statistics (National Bureau of Statistics), People's Bank of China Quarterly Statistical Bulletin

### News articles, laws and regulations, statistics, and more

China Infobank (online database, in Chinese): 中國資訊行

### Other, general sources of information on China

*An increasing number of websites report regularly on China. Apart from the usual news outlets (such as the BBC or the Financial Times), the following provide relevant news and analysis:*

MERICs (<http://merics.org>). A wide variety of publications, from biweekly news updates to in-depth reports.

China Leadership Monitor (analyses by typically academics, published three times a year, each issue with about four to five articles)

Since 2018: <https://www.prleader.org/>

Until 2018: <https://www.hoover.org/publications/china-leadership-monitor>

ChinaFile. <https://www.chinafile.com/>

Sinocism: <https://sinocism.com/> (for fee, near-daily summaries and commentary on daily events related to China)

European Union Chamber of Commerce in China. Numerous publications, including an annual summary publication, publications on special topics, and publications evaluating the business climate in the PRC for European firms:

<https://www.eurochamber.com.cn/en/european-chamber-publications>

International Monetary Fund. The International Monetary Fund publishes an annual report with its recommendations for the PRC government, including the government's response to the recommendations. The report typically covers the issues of the previous years and how they have been addressed, and current issues (forward looking).

Asian Development Bank --- has a chapter on China in its annual *Asian Development Outlook* and also has other, China-specific reports: <https://www.adb.org/countries/prc/main>

*OECD Economic Surveys: China*. The OECD typically conducts a survey every two years. The executive summary tends to be available online (for example, for the 2019 issue:

<https://www.oecd.org/economy/surveys/ES%20China%20brochure.pdf>)

The Economist Intelligence Unit (search "EIU Country Intelligence" as word/phrase in library catalog; explore, for example, the country report on China)

For more politically (political economy) oriented articles see the weekly China news updates compiled by the Hoover Institution, a public policy think tank at Stanford University:

<https://www.hoover.org/publications/china-global-sharp-power-weekly-alert>

Among various other institutions that provide relatively up-to-date information on the Chinese economy are <http://chinadashboard.asiasociety.org/> and

<https://macropolo.org/reformpedia/policy-library/>.

Orlik, Tom. *Understanding China's Economic Indicators: Translating the Data into Investment Opportunities*. Upper Saddle River, New Jersey: FT Press Science, 2012.

Fravel, M. Taylor. "Online and on China: Research Sources in the Information Age." *The China Quarterly* 163 (Sept. 2000): 821-42. (Journal article introducing and discussing websites.)

Lynn White's China bibliography: list of books on China, by topic (most recent one of Winter 2007-2008): <http://www.princeton.edu/~lynn/chinabib.pdf>

Consider the following books for non-academic bedtime reading.

*All four books are available in (cheap) paperback editions. You may learn more about China from one of these books than from a thousand pages of academic papers.*

Chang, Jung. *Wild Swans: Three Daughters of China*. New York: Anchor Books, 1992, or any other edition. China through the eyes of three generations of a family; covers just about all the main historical/political/economic events, from a personal, every-day life perspective. Also in Chinese: 鴻：三代中國女人的故事 / 張戎著；張樸譯. 香港：天地圖書有限公司, 2004.

Johnson, Ian. *Wild Grass: China's Revolution from Below*. London: Penguin, 2004, or any other edition. (Also as: *Wild Grass: Three Stories of Change in Modern China*. New York: Pantheon Books, 2004.) Three stories of what it's like to be (mainland) Chinese and live in China today, from the point of view of a foreign journalist.

Orwell, George. *Animal Farm*. San Diego: Harcourt Brace Jovanovich, [1990?] 1974. Candid depiction of Communist revolution and dictatorship. Short. Not China-specific.

Rand, Ayn. *Atlas Shrugged*. New York: Dutton, 1992, or any other edition. Fictional account of the U.S. turning Communist; market economics packaged as fiction. Do not start reading this book before an exam. (You may not be able to stop reading, and it's long.)

Also consider one of the books by Peter Hessler (staff writer at *The New Yorker*). For example, *River Town: Two Years on the Yangtze*. New York, NY: HarperCollins Publishers, 2001.

Two books that are predominantly positive about Mao Zedong's rule.

Hinton, William. *Fanshen: A Documentary of Revolution in a Chinese Village*. Berkeley: University of California Press, 1997 (and other years). Also at: <http://quod.lib.umich.edu/cgi/t/text/text-idx?c=acls;;idno=heb02390>.

Snow, Edgar. *Red Star over China*. New York: Random House, 1938 (and other publishers, other years).

Three recent books about the PRC economy and society

Walter, Carl E. *The Red Dream: The Chinese Communist Party and the Financial Deterioration of China*. Hoboken, NJ: Wiley, 2022.

ZHU, Tian. *Catching Up to America: The Misunderstood Economic Rise of China*. Cambridge: Cambridge University Press, 2021.

Strittmatter, Kai. *We Have Been Harmonized: Life in China's Surveillance State*. Harper Collins / Custom House, 2020.



## Interpretative précis and presentation to the class

Length: 1 page (maximum 500 words) or less is best.

If you really, really need more space, the absolute maximum is 2 pages.

Page formatting: 12 point font size (for Times New Roman), 1 inch margins; single line spacing, do not right-adjust

Obtain the text of your chosen (and approved) précis now. It's probably on Canvas. If not, and if you can't find it yourself, let the instructor know.

Submit your précis in 'Discussions' on Canvas (copy/paste, or pdf) 24+ hours before class. In the subject line, put "Précis PresentationDate ArticleAuthor BriefArticleTitle ByMyName".

Ideally, a précis does three things:

(0) Provide full bibliographic information of the text on which your précis is based.

Add your name, your student ID, the date when you present, and the course number/title.

(1) It presents the key arguments of the text.

May start with a 1-3 sentence statement of what the text is about, followed by a summary of the arguments.

If a causal argument is involved, pay special attention to how the causality is argued to hold ("identification strategy").

If an empirical argument is involved, pay special attention to the dataset used and to the empirical testing.

What's the finding?

Say why we should care about the paper. This can include the paper's contribution to the existing literature. (For example: New idea, better data, better identification strategy / causal test, contradictory findings, etc.)

(2) It provides a critique of these arguments. (For example: Data. Quality of descriptive or causal argument. Plausibility. Quality of idea, contribution.) It can suggest how to improve the argument, or it can suggest additional / new research starting from the text. (For example: more robustness checks, specific additional data, alternative identification strategies, additional/other variables. Suggestions must be realistic.) Also see the research paper evaluation criteria (below) to see what you can look out for in your critique.

(3) It (re-)states the (maximum three) points from this paper (or your critique) that your audience should definitely remember.

A précis is *\*not\** a summary of the text. Pick the most interesting part of the article and explain it to your grandparents. (Skip anything technical.) Write out this explanation (= your précis).

In your presentation to the class,

you can but need not use powerpoint;

speak freely (don't read verbatim from notes);

tell a good story and/or structure your presentation;

and make sure you get your major point(s) across.

If you use powerpoint slides, you can, for example, use one slide for each item (0) – (3) above.

Try to have only a few key words in writing and to speak freely. If the paper has charts/tables and you find them useful for the presentation, then those will take up extra slides.

A well written précis has the following characteristics: it's short, well structured, uses precise language in clear and easily understandable sentences, presents the key facts/arguments of the article and does not try to summarize everything, ends with a brief 'criticism' to the extent possible, has takeaways that are understandable on first reading, may include a couple of examples to illustrate some points, may relate the material to the current lectures in the course or to our current real-world experiences, and refrains from presenting the reviewer's personal view except as relevant in the critique.

## Research paper

Total length (excluding references, appendices, and footnotes/endnotes):

Research paper instead of midterm exam: max. 4,000 words.

Research paper instead of final exam: max. 6,000 words.

The research paper may, but need not adhere to the following structure:

### *Title*

#### *The Question / argument*

Precisely state the question / argument. Elaborate in a few additional sentences.

#### *Past Research Relevant to This Question*

Literature review.

#### *My Contribution and My Hypothesis(es)/ Theory*

State in how far what you want to do is different from the literature. If you are attempting a causal argument, clearly state your hypothesis(es)/ theory and/or the relationship between your hypothesis(es) and the established theory (or literature) in your field.

#### *Research Design/ Data Collection Method*

Describe and justify your choice of research design and data collection method (advantages/ disadvantages). “Data” can be numerical or non-numerical.

#### *Data Analysis*

- (i) Present the data (or mathematical model, if that’s what you do), numerical or non-numerical (information, facts).
- (ii) Analyze the data (qualitatively or quantitatively or both).
- (iii) State the findings (such as that a particular statistical test shows that something is significant or not).

#### *Interpretation of the Findings*

Relate the findings to your research question. What do they “mean” for your research question? (This section can be very short, or can be the last paragraph of your data analysis section.)

#### *Conclusions*

Restate your question and state your answer to the question.

Feel free to also address the following issues: What are the implications of your research findings for theory, policy, or future research? If you originally stated a hypothesis and then found it confirmed, what evidence would you take as a sign that your hypothesis is false? Are there alternative explanations of a phenomenon you are explaining; if so, can you rule them out with your findings? What are the limitations of your study? Any suggestions for further research?

#### *References (unless included in footnotes)*

Adopt the formatting of references used in an academic journal of your choice.

Nail it down. Don’t resort to big (and all too often vacuous) generalizations. If you are a famous researcher, the reader will think that your generalizations are based on your intimate knowledge of the details. Unsubstantiated “big statements” from a junior person may not be so credible.

Keep it simple. Don't try to do too much. Ask an interesting, straightforward question, and answer it.

If not obvious: All text that summarizes other literature must be properly referenced, and quotes must be explicit.

Make sure to include your name / student ID, the course code/title, and the date. Paginate (add page numbers in the footer). Double-spaced or 1.75 line spaced would be good, 1-inch margins, 12-point letter size, do not right-adjust. Submit electronically (only), via Canvas or email to the instructor.

If your research paper is an extensive literature review, it may well deviate from the above structure. You should try to give space to *your* contribution. This could be in many different forms, including a detailed discussion of problems of the literature and how these could be addressed, or your own thoughts and ideas about the topic as *not* covered in the literature, or your presentation of data (say, from the *China Statistical Yearbook*) to prove one or more arguments in the literature wrong.

Your research paper must be original work done for this course. It must not be on the same topic as any other past or concurrent work of yours in another course. It is OK to write several research papers in the same field (for different courses or publishing outlets), but there must be no major overlap between what you submit in this course and your other work. It is OK to build the research paper on your *précis*.

### *How your research paper is being evaluated*

Your research paper must not exceed the word limit.

Three core criteria in the evaluation of the paper are:

- \* Is the question clearly formulated?
- \* Is your question original/ interesting/ non-trivial (and has not yet been answered)?
- \* Is the question answered as unambiguously as possible/ is your argument compelling?

Further criteria in the evaluation of the paper, as relevant given your specific topic, are:

- \* Does the literature review show that you are aware of the main literature relevant to your topic, that you have understood it, and that you can relate your own research to the body of existing literature?
- \* Is the choice of data collection method justified, and is the method appropriate? (No 'overkill,' but appropriate.)
- \* Is the data analysis logically consistent?
- \* Is the conclusion clearly formulated? (Can an interested reader understand what you are doing just by reading the conclusion of your paper?)

*Penalties for late submission:* As mandated by the university.