

**Spring 2024**

**SOSC 4260 China's Economic Transformation [The Chinese Economy]**

**Tue/Thu 9:00-10:20am, CYTG009A**

Instructor: Carsten A. HOLZ, [socholz@ust.hk](mailto:socholz@ust.hk)

Office hour: Tuesday 10:30-11:30, Room 2368

Instructional assistant: Stephen Chi Ho CHOY, [choyho@ust.hk](mailto:choyho@ust.hk)

Office hour: Wed 3-4pm, Rm 2359

In all email correspondence, include 'SOSC 4260' in the subject line.

*Please read this syllabus before contacting the instructor or the instructional assistant.*

*If you want to contact more than one of us, please email one of us and cc to the other.*

We use Canvas. In class, we use PowerPoint/visualizer/whiteboard.

## **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 beneficial.

The objective of this course is two-fold:

- Know key facts about 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? What economic policies have been adopted and how have they affected economic development?
- 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 global trade to environmental issues.

## Requirements and grading

16% One 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. — Graded pass/fail. — Place the précis in ‘Discussions’ on CANVAS *at least 24 hours before the class meets*. — Starts Week 5. (Précis articles will be allocated in class, on 22 February.) — Team work of up to three students is welcome. — 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.

34% Midterm exam 1, in class, closed book, Thursday 14 March

34% Midterm exam 2, in class, closed book, Tuesday, 7 May [2 May if we have to move it]

Optional term paper: If you wish to write a term paper (see details at end of syllabus), then the term paper will count 34% towards the final grade, and all requirements above will be re-weighted (each multiplied by 0.66). Submission deadline: 17 May 2024, 12 noon.

If you miss one of the two midterm exams *and are excused* (see below), you may *substitute* a term paper for the missed midterm exam.

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

Missing a midterm exam, with valid excuse: 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, you have the option of writing a term paper instead. Or the instructor may give you an oral test or a written make-up exam.

Missing a midterm exam without valid excuse results in an 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 may diverge from 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 distributed in any other form.

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 in the library as eBooks on reserve for this course:

- 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]

A more focused book that we draw on (also available as eBook on reserve in the library) is:

- Hawes, Colin S. C. *The Chinese Corporate Ecosystem*. Cambridge, UK: Cambridge University Press, 2022.

## 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) can be 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

\*\* (Potentially) Required readings: For each class, one or more required reading will be identified prior to the class. Read before coming to class.

\* 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 on Canvas – Files. (Access “BN,” “AK,” and “Hawes” as eBooks in library reserve for this course.) If a reading cannot be accessed via Canvas and is difficult to find, please let the instructor know.

*Week 1b: Thursday, 1 February*

*Week 2a: Tuesday, 6 February*

### 0. Introduction

#### Syllabus

Film “How China Fooled the World,” BBC, 2015, 47min, <http://www.bbc.com/news/world-asia-34261550> (or a 58min version at <https://www.dailymotion.com/video/x2m6u7y>).

More films: (1) “How China Rules the World,” dailymotion, 2016, 46min,

<https://www.dailymotion.com/video/x5z39iv>;

(2) “What's going on with China's Economy?” BBC News, 28 January 2019, 3min,

<https://www.youtube.com/watch?v=WSfTKWscwDA>;

(3) “China: A New World Order Episode 1,” BBC. 16 January 2022, 51min,

<https://www.bbselect.com/watch/china-a-new-world-order/>.

### 1. Why Care About the Chinese Economy?

AK 1 “Why China Matters” -- recommended

AK 12 “The Emerging Consumer Economy”

BN 1 “Introduction: The Chinese Economy in Context”

BN 7 “Growth and Structural Change”

(\*\*) 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.

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

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.

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>

### 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: [https://www.wiwiss.fu-berlin.de/fachbereich/bwl/pruefungs-steuerlehre/loeffler/Lehre/bachelor/investition/Friedman\\_the\\_methology\\_of\\_positive\\_economics.pdf](https://www.wiwiss.fu-berlin.de/fachbereich/bwl/pruefungs-steuerlehre/loeffler/Lehre/bachelor/investition/Friedman_the_methology_of_positive_economics.pdf)

*Week 2b: Thursday, 8 February*

- - - *Start thinking about your précis topic, to be determined on Thursday, 15 February* - - -

### 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. Focus on pp. 775-93. If you have more time, read through p. 801. The content of the pages after p. 801 we will cover in some detail later in the course, using other sources (though feel free to obtain an overview here).
- \* 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)
- \* 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.

*Week 3a: Tuesday, 13 February, no class -- Chinese New Year*

*Week 3b: Thursday, 15 February – ‘blended learning:’ watch film on your own (class does not meet) and answer Assignment 2*

*[Add-Drop period runs through 16 February]*

*Week 4a and 4b: Tuesday and Thursday, 20 and 22 February*

#### 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.

#### 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>
- \* 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>
- 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.
- 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>
- LBTR 1 (Loren Brandt and Thomas G. Rawski, “China’s Great Economic Transformation,” pp. 1-26)

*Week 5a: Tuesday, 27 February*

#### 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)
- “China’s Population, Demographics, and Facts.” *South China Morning Post*. 14 May 2021. <https://multimedia.scmp.com/infographics/news/china/article/3133145/china-2020-census/>
- 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 5b: Thursday, 29 February

Week 6a: Tuesday, 5 March

## 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. Try to 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.

\*\* Lyons, Thomas P. "Planning and Interprovincial Co-ordination in Maoist China." *The China Quarterly* 121 (March 1990): 36-60.

\* Heilmann, Sebastian, and Oliver Melton. "The Reinvention of Development Planning in China, 1993-2012." *Modern China* 39, no. 6 (2013): 580-628.

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 6b: Thursday, 7 March

### 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 7a: Tuesday, 12 March*

## **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) [Link not accessible, at least not from Hong Kong; on the wayback machine: [https://web.archive.org/web/20090729194758/http://www.hrichina.org/public/PDFs/CRF.4.2005/CRF-2005-4\\_Quota.pdf](https://web.archive.org/web/20090729194758/http://www.hrichina.org/public/PDFs/CRF.4.2005/CRF-2005-4_Quota.pdf) ].

----- **Week 7b: In-class first midterm exam, Thursday, 14 March** -----

*Week 8a: Tuesday, 19 March*

### **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.
- \* YU Hong. “Regional Development in China Under the “Dual-Circulation” Strategy: The Case of Guangdong-Hong Kong –Macau Greater Bay Area.” *Journal of Contemporary China* 32, no. 144 (18 May 2023), 22pp.

- \* 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)

*Week 8b: Thursday, 21 March*

***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.
- \*\* 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.
- \* WEI Yifan, Yuen Yuen Ang, and Nan JIA. “The Promise and Pitfalls of Government Guidance Funds in China.” *The China Quarterly*, no. 256 (December 2023): 939-59.
- \* 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.
- \* Ding, Jeffrey. “Measuring China’s Technological Self-Reliance Drive.” *China Leadership Monitor*, no. 75 (Spring 2023, 1 March 2023), 10pp. At: <https://www.prclleader.org/post/measuring-china-s-technological-self-reliance-drive>
- \* 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)
- \* 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://merics.org/sites/default/files/2020-04/MPOC\\_8\\_MadeinChina\\_2025\\_final\\_3.pdf](https://merics.org/sites/default/files/2020-04/MPOC_8_MadeinChina_2025_final_3.pdf) Read executive summary, skim the rest.
- \* KAJITANI, Kai, CHEN Kuang-hui, and Kohei MITSUNAMI. “How Do Industrial Guidance Funds Affect the Performance of Chinese Enterprises?” RIETI [The Research

Institute of Economy, Trade and Industry] Discussion Paper Series 22-E-110 (December 2022). At: <https://ideas.repec.org/p/eti/dpaper/22110.html>

- \* Deuch, John. “Is Innovation China’s Next Great Leap Forward?” *Issues in Science and Technology* 34, no. 4 (Summer 2018): 37-47.
- \* DiPippo, Gerard, Ilaria 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>
- \* Brown, Alexander, Gregor Sebastian, Francois Chimits, Jeroen Groenewegen-Lau, Jacob Gunter. “Investigating State Support for China’s Medical Technology Companies.” MERICS Report, November 2023, 58pp. At: <https://merics.org/en/report/investigating-state-support-chinas-medical-technology-companies>

*Week 9a: Tuesday, 26 March: Film?*

*Week 9b: Thursday, 28 March: Midterm break*

*“Week 9+a, 9+b:” Tuesday and Thursday, 2 and 4 April: Midterm break*

*Week 10a: Tuesday, 9 April*

#### 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”
- \* CHENG, Hong, Ruixue JIA, Dandan LI, and Hongbin LI. “The Rise of Robots in China.” *Journal of Economic Perspectives* 33, no. 2 (Spring 2019): 71-88.
- \* Lee, John, and Jan-Peter Kleinhans. “Mapping China’s Semiconductor Ecosystem in Global Context: Strategic Dimensions and Conclusions.” Stiftung Neue Verantwortung, and MERICS, June 2021. At: <https://merics.org/en/report/mapping-chinas-semiconductor-ecosystem-global-context-strategic-dimensions-and-conclusions>
- \* 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.
- \* Brandt, Loren, and Eric Thun. “The Fight for the Middle: Upgrading, Competition, and Industrial Development in China.” *World Development* 38, no. 11 (November 2010): 1555-74.
- \* Goldstein, Andrea. “The Political Economy of Industrial Policy in China: the Case of Aircraft Manufacturing.” *Journal of Chinese Economic and Business Studies* 4, no. 3 (Nov. 2006): 259-73.

*Week 10b: Thursday, 11 April*

#### 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”
- \* HUANG Jikun, and Scot Rozelle. “China’s 40 Years of Agricultural Development and Reform.” Chapter 22 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. 487-506.

- \* Lingohr, Susanne. "Rural Households, Dragon Heads and Associations: a Case Study of Sweet Potato Processing in Sichuan Province." *The China Quarterly* 192 (Dec. 2007): 898-914.
  - \* 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.
  - \* Brandt, Loren, Susan H. Whiting, ZHANG Linxiu, and ZHANG Tonglong. "Changing Property-Rights Regimes: A Study of Rural Land Tenure in China." *The China Quarterly* 232 (December 2017): 1026-49.
- Crook, Frederick. "China's Current Household Contract System." *CPE Agriculture Report*, May-June 1989: 21-30, and July-August 1989: 27-33. Focus on pp. 26-30 in the May-June 1989 issue.
- NPR. "The Secret Document That Transformed China." 20 Jan. 2012. 7min.  
<http://www.npr.org/blogs/money/2012/01/20/145360447/the-secret-document-that-transformed-china>

*Week 11a: Tuesday, 16 April*

### 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.
  - \* ZHU Xiaodong. "The Varying Shadow of China's Banking System." *Journal of Comparative Economics* 46, no. 1 (March 2021): 135-46.
  - \* Peresa, Irena, and Edouard Vidon. "'Bad Banks' with Chinese Characteristics: an Ongoing Transformation." *Journal of Contemporary China* 31, no. 133 (2022): 136-52.
  - \* ZHENG Liansheng and WANG Hongying. "Authority and Autonomy without Independence: The Gradual Institutional Change of the Chinese Central Bank." *Journal of Contemporary China* 30, no. 129 (2021): 349-67.
- Shih, Victor. "Financial Instability in China: Possible Pathways and Their Likelihood." *MERICs China Monitor*, 20 Oct. 2017, 13pp. At <https://meric.org/sites/default/files/2020-05/Financial%20instability%20in%20China.pdf>
- Lardy, Nicholas R., and HUANG Tianlei. "China's Financial Opening Accelerates." *Peterson Institute for International Economics*, Policy Brief 20-17, December 2020, 12pp. At <https://www.piie.com/publications/policy-briefs/chinas-financial-opening-accelerates>
- Holz, Carsten A. "China's Monetary Reform: The Counterrevolution from the Countryside." *Journal of Contemporary China* 10, no. 27 (2001): 189-217.

*Week 11b: Tuesday, 18 April*

### 7.2.4 Economic development: fiscal system

- \*\* BN 20 "The Fiscal System"
- \*\* AK 8 "The Government Finance System"

- \*\* Borst, Nicholas. “China’s Balance Sheet Challenge.” *China Leadership Monitor*, no. 75 (Spring 2023, 1 March 2023), 21pp. At: <https://www.prclleader.org/post/china-s-balance-sheet-challenge>
  - \*\* Wright, Logan, and Allen Feng. “Local Debt: Pathways to Contagion.” Rhodium Group, China Markets Research, 14 August 2023.
  - \* 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.
  - \* Lam, W. Raphael, and Marialuz Moreno-Badia. “Fiscal Policy and the Government Balance Sheet in China.” *International Monetary Fund Working Paper WP/23/154*, August 2023. At <https://www.imf.org/en/Publications/WP/Issues/2023/08/02/Fiscal-Policy-and-the-Government-Balance-Sheet-in-China-536273>
  - \* Wong, Christine. “An Update on Fiscal Reform.” Chapter 15 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. 271-290.
  - \* Lam, Raphael, and WANG Jingsen. “China’s Local Government Bond Market.” IMF Working Paper WP/18/219, September 2018.
  - \* Feng, Allen, and Logan Wright. “Tracking Credit Events at LGFVs.” Rhodium Group. China Markets Research, 26 September 2022.
  - \* Feng, Allen, and Logan Wright. “Tapped Out” [Local Government Financing Vehicles]. *Rhodium Group*, 1 June 2023. At <https://rhg.com/research/tapped-out/>
  - \* Branstetter, Lee G., LI Guangwei, and REN Mengjia. “Picking Winners? Government Subsidies and Firm Productivity in China.” NBER working paper series 30699, December 2022.
  - \* 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>
  - \* LU, Sophie, and Chris ZOU. “China 30/60: Tracking the Financing of China’s Green Transition.” *Rhodium Group*, China, May 2023. At <https://rhg.com/research/china-30-60-tracking-the-financing-of-chinas-green-transition/>
- LBTR 12: Wong, Christine P.W., and Richard M. Bird. “China’s Fiscal System: A Work in Progress,” pp. 429-66.
- Goodstadt, Leo F. “The Local Government Crisis 2007-2014: When China’s Financial Management Faltered.” *Hong Kong Institute for Monetary Research (HKIMR) Working Paper No. 27/2014*, October 2014. At [https://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=2506507](https://papers.ssrn.com/sol3/papers.cfm?abstract_id=2506507)

### 7.2.5 Energy

- \* AK 10 “Energy and the Environment” (Also with 7.2.6)
- \* Brown, Alexander, and Nis Gruenberg. “China’s Nascent Green Hydrogen Sector: How Policy, Research and Business are Forging a New Industry.” *MERICs China Monitor*, 28 June 2022. At: <https://merics.org/en/report/chinas-nascent-green-hydrogen-sector-how-policy-research-and-business-are-forging-new>
- \* Brandt, Loren, and Thomas G. Rawski. *Policy, Regulation and Innovation in China’s Electricity and Telecom Industries.* Cambridge, UK: Cambridge University Press, 2019. (Choose any one chapter of your liking.)
- \* Koch-Weser, Iacob, and Ethan Meick. “China’s Wind and Solar Sectors: Trends in Deployment, Manufacturing, and Energy Policy.” U.S.-China Economic and Security Review Commission, Staff Research Report, 9 March 2015, 49pp. <https://www.uscc.gov/research/chinas-wind-and-solar-sectors-trends-deployment-manufacturing-and-energy-policy>, 1 Aug. 2016.

- SHENG, Chunhong. “Not Just the State: The Role of Entrepreneurs in China’s Energy Transition.” *Energy Research & Social Science* 70 (2020).
- CAI Yifan, and Yuko Aoyama. “Fragmented Authorities, Institutional Misalignments, and Challenges to Renewable Energy Transition: A Case Study of Wind Power Curtailment in China.” *Energy Research & Social Science* 41 (July 2018): 71-9.

### 7.2.6 Environment

BN 21 “Environmental Quality and the Sustainability of Growth”

- \* AK 10 “Energy and the Environment” (Also with 7.2.5)
  - \* Economy, Elizabeth. “China’s Climate Strategy.” *China Leadership Monitor* 68 (Summer 2021), 16pp. At: <https://www.prcleader.org/economy>
  - \* LU, Sophie, and Chis Zou. “China 30/60: Tracking the Financing of China’s Green Transition.” Rhodium Group, China, May 2023. At <https://rhg.com/research/china-30-60-tracking-the-financing-of-chinas-green-transition/>
  - \* Holzmann, Anna, and Nis Gruenberg. “‘Greening’ China: An Analysis of Beijing’s Sustainable Development Strategies.” *MERICCS China Monitor*, 7 January 2021, 15pp. At: <https://merics.org/en/report/greening-china-analysis-beijings-sustainable-development-strategies>
  - \* Ahlers, Anna L., and SHEN Yongdong. “Breathe Easy? Local Nuances of Authoritarian Environmentalism in China’s Battle against Air Pollution.” *The China Quarterly* 234 (June 2018): 299-319.
  - \* Alkon, Meir, and Audrye Wong. “Authoritarian Energy Transitions Undermined? Environmental Governance Cycles in China’s Power Sector.” *Energy Research & Social Science* 68 (October 2020), 13pp.
- Tilt, Bryan. “The Political Ecology of Pollution Enforcement in China: a Case from Sichuan’s Rural Industrial Sector.” *The China Quarterly* 192 (Dec. 2007): 915-32.

### 7.2.7 Digital economy

\* *All of the below are available for précis: Combine short ones or shorten long ones.*

- “China’s Online Nationalist Army: How Social Media Users Weaponized Patriotism.” *Nikkei Asia*, undated (probably late 2022, early 2023), by Kenji Asada, Aiko Munakata, Marrian Zhou, Cissy Zhou and Grace Li – Nikkei data journalists and staff writers. At <https://asia.nikkei.com/static/vdata/infographics/china-social-media/> (best viewed online)
- “‘An Invisible Cage’: How China Is Policing the Future.” *New York Times*, 25 June 2022. At: <https://www.nytimes.com/2022/06/25/technology/china-surveillance-police.html>
- And: “China’s Surveillance State Is Growing. These Documents Reveal How.” *New York Times*, 21 June 2022. At <https://www.nytimes.com/video/world/asia/100000008314175/china-government-surveillance-data.html>
- “How Beijing Influences the Influencers.” *New York Times*, 13 December 2021. At: <https://www.nytimes.com/interactive/2021/12/13/technology/china-propaganda-youtube-influencers.html>
- Hmaidí, Antonia. “‘Here to Stay’ – Chinese State-affiliated Hacking for Strategic Goals.” *MERICCS Report*, November 2023, 21pp. At: <https://merics.org/en/report/here-stay-chinese-state-affiliated-hacking-strategic-goals>
- Arcesati, Rebecca, Kai von Carnap, Jeroen Groenewegen-Lau, Antonia Hmaidí. “Fragmenting Cyberspace: The Future of the Internet in China.” *MERICCS Report*, November 2023, 66pp. At <https://merics.org/en/report/fragmenting-cyberspace-future-internet-china>

- Lee, John. "The Connection of Everything: China and the Internet of Things." *MERICS China Monitor*, 24 June 2021, 16pp. At: <https://merics.org/en/report/connection-everything-china-and-internet-things>
- Arcesati, Rebecca. "Lofty Principles, Conflicting Interests: AI Ethics and Governance in China." *MERICS China Monitor*, 24 June 2021, 20pp. At: <https://merics.org/en/report/lofty-principles-conflicting-incentives-ai-ethics-and-governance-china>
- Arcesati, Rebecca et al. "China's Digital Platform Economy: Assessing Developments Towards Industry 4.0: Challenges and Opportunities for German Actors." *MERICS Report*, June 2020, 62pp. At <https://merics.org/en/report/chinas-digital-platform-economy-assessing-developments-towards-industry-40>
- Fedasiuk, Ryan. "Buying Silence: The Price of Internet Censorship in China." *China Brief* 21, no. 1 (13 January 2020): 18-25. At <https://jamestown.org/program/buying-silence-the-price-of-internet-censorship-in-china/>
- Pan, Jennifer. "Controlling China's Digital Ecosystem: Observations on Chinese Social Media." *China Leadership Monitor*, no. 72 (Summer 2022, 1 June 2022). At: <https://www.prleader.org/pan>
- Brandt, Jessica, Bret Schafer, Elen Aghekyan, Valerie Wirtschafter, and Adya Danaditya. "Winning the Web: How Beijing Exploits Search Results to Shape Views of Xinjiang and COVID-19." *Foreign Policy at BROOKINGS* and alliance for securing democracy, May 2022. At: <https://www.brookings.edu/research/winning-the-web-how-beijing-exploits-search-results-to-shape-views-of-xinjiang-and-covid-19/>

### **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>
- \* ZHAO, Taotao. "Governance Challenge and Tiered State Assistance: The Fiscal Gap in the Chinese Ethnic Tibetan Autonomous Areas." *Journal of Contemporary China* 23, no. 144 (21 March 2023), 18pp.
- \* Naughton, Barry. "The Western Development Program." Chapter 8 in Barry J. Naughton and Dali L. Yang (eds.). *Holding China Together: Diversity and National Integration in the Post-Deng Era*. Cambridge, UK: Cambridge University Press, 2004, pp. 253-95.

*Week 12a: Tuesday, 23 April*

### **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>

- (\*\*) Gruenberg, Nis, and Katja Drinhausen. “The Party Leads on Everything: China’s Changing Governance in Xi Jinping’s New Era.” *MERICs China Monitor*, 24 September 2019, 14pp. At: <https://merics.org/en/report/party-leads-everything>
- (\*\*) Gruenberg, Nis. “The CCP’s Nerve Center: Xi Jinping and His Aides Hold Sway over Powerful Core Institutions.” *MERICs Short Analysis*, 30 October 2019. At: <https://merics.org/en/short-analysis/ccps-nerve-center-0>
- (\*\*) 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.
- \* Zenglein, Max J., and Jacob Gunter. “The Party Knows Best: Aligning Economic Actors with China’s Strategic Goals.” *MERICs Report*, October 2023, 102pp. At <https://merics.org/en/report/party-knows-best-aligning-economic-actors-chinas-strategic-goals>
- \* Blanchette, Jude. “From “China Inc.” to “CCP Inc.”: A New Paradigm for Chinese State Capitalism.” *China Leadership Monitor* 66 (Winter 2020), 1 December 2020, 13pp. At <https://www.prcleader.org/blanchette>
- \* Brady, Anne-Marie. “The Beijing Olympics as a Campaign of Mass Distraction.” *The China Quarterly* 197 (March 2009): 1-24.
- South China Morning Post. “Friends in High Places” / “Connections with China’s Most Powerful People” 11 August 2022, <https://multimedia.scmp.com/infographics/news/china/article/3185751/ccp-connections/index.html>; and “The Connections – SCMP Infographics,” 16 and 22 December 2023, <https://multimedia.scmp.com/infographics/news/china/article/3244195/20th-ccp-connections/index.html> and <https://multimedia.scmp.com/infographics/news/china/article/3245921/20th-ccp-connections-simplified/index.html>
- Batke, Jessica, and Mareike Ohlberg. “Message Control: How a New For-Profit Industry Helps China’s Leaders ‘Manage Public Opinion’.” *Chinafile*, 20 December 2020. At <https://www.chinafile.com/reporting-opinion/features/message-control-china>
- Brodsgaard, Kjeld Erik. “Politics and Business Group Formation in China: the Party in Control?” *The China Quarterly* 211 (Sept. 2012): 624-48.

*Week 12b: Thursday, 25 April*

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

- \*\* BN 14 “Industry: Ownership and Corporate Governance” (Also with Industry development \*\* above)
- \*\* AK 7 “The Enterprise System”
- \*\* Hawes, Colin S. C. *The Chinese Corporate Ecosystem*. Cambridge, UK: Cambridge University Press, 2022. Chapter 1, “Why Is Huawei So Strange? Chinese Private Firms and Stakeholder Committees,” pp. 17-48. [Library eBook, on reserve]
- \* Lin, Lauren Yu-Hsin, and Curtis J. Milhaupt. “China’s Corporate Social Credit System: The Dawn of Surveillance State Capitalism?” *The China Quarterly*, no. 256 (December 2023): 835-53.
- \* Trauth-Goik, Alexander, and LIU Chuncheng. “Black or Fifty Shades of Grey? The Power and Limits of the Social Credit Blacklist System in China.” *Journal of Contemporary China* 32, no. 144 (30 September 2022), 18pp.
- \* Drinhausen, Katja, and Vincent Brussee. “China’s Social Credit System in 2021: From Fragmentation towards Integration.” *MERICs China Monitor*, 3 March 2021, 24pp.

updated 9 May 2022, 25pp. 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.
- \* Brandt, Loren, DAI Ruochen, and ZHANG Xiaobo. “The Anatomy of SOE in China.” Mimeo, August 2023.
- \* 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.
- \* Ahlers, Anna L. “Introduction: Chinese Governance in the Era of ‘Top-Level Design.’” *Journal of Chinese Governance* 3, no. 3 (2018): 263-267.
- \* 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>
- Holz, Carsten A. “The Unfinished Business of State-owned Enterprise Reform in the People’s Republic of China.” Mimeo, 2 December 2018. At <https://carstenholz.people.ust.hk/CarstenHolz-PRC-SOEReforms-2Dec2018.pdf>
- SU Fubing. “The Political Economy of Industrial Restructuring in China’s Coal Industry, 1992-1999,” Chapter 7 in Barry J. Naughton and Dali L. Yang (eds.), *Holding China Together: Diversity and National Integration in the Post-Deng Era*, Cambridge, UK: Cambridge University Press, 2004.

*Week 13a and b: Tuesday and Thursday, 30 April and 2 May*

## **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?”
- (\*\*) ZENG Ming, and Peter J. Williamson. “The Hidden Dragons.” *Harvard Business Review* 81, no. 10 (October 2003): 92-99. Updated as “The Global Impact of China’s Emerging Multinationals,” Chapter 5 in Christopher A. McNally (ed.), *China’s Emergent Political Economy: Capitalism in the Dragon’s Lair*. New York: Routledge, 2008, pp. 83-101.
- \* Zenglein, Max J., and Gregor Sebastian. “The Sky Is the Limit: China’s Rise as a Transportation Superpower Challenges the EU.” MERICS, China Horizons, October 2023, 25pp. At: <https://merics.org/en/report/sky-limit-chinas-rise-transportation-superpower-challenges-eu>
- \* Fuller, Douglas B. “Tech War or Phony War? America’s Porous Controls on Semiconductor Fabrication Equipment and China’s Response.” *China Leadership Monitor*, no. 78 (Winter 2023, 1 December 2023), 14pp. At: <https://www.prcleader.org/post/tech-war-or-phony-war-america-s-porous-controls-on-semiconductor-equipment-and-china-s-response>
- \* 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>

- \* 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>
- \* Hanemann, Thilo, Daniel H. Rosen, Mark Witzke, Steve Bennion, and Emma Smith. “Two-Way Street: 2021 Update US-China Investment Trends.” (A Report by the US-China Investment Project) Rhodium Group, May 2021, 39pp. At: <https://rhg.com/research/twowaystreet-2021/>
- \* 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.
- \* Economy, Elizabeth. “Xi Jinping’s New World Order: Can China Remake the International System?” *Foreign Affairs* 101, no. 1 (January/February 2022). At: <https://omnilogos.com/xi-jinping-new-world-order-can-china-remake-international-system/>
- \* 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).
- Wang, Bijun, and Kailin Gao. “Outward Direct Investment: Restricted, Relaxed and Regulated Stages of Development.” Chapter 30 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. 619-636.
- Samuelson, Paul A. “Where Ricardo and Mill Rebut and Confirm Arguments of Mainstream Economists Supporting Globalization.” *Journal of Economic Perspectives* 18, no. 3 (Summer 2004): 135-46.

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

- \* Ghiretti, Francesca. “How China Imposes Sanctions: A Guide to the Evolution of Beijing’s New Policy Tool.” *MERICS Report*, June 2023, 11pp.

- \* Adachi, Aya, Alexander Brown, and Max J. Zenglein. “Fasten Your Seatbelts: How to Manage China’s Economic Coercion.” *MERICCS China Monitor*, 25 August 2022. At: <https://merics.org/en/report/fasten-your-seatbelts-how-manage-chinas-economic-coercion>
- \* Morcky, 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.
- \* Hessler, Peter. “A Teacher in China Learns the Limits of Free Expression.” *The New Yorker*, 9 May 2022. At: <https://www.newyorker.com/magazine/2022/05/16/a-teacher-in-china-learns-the-limits-of-free-expression>
- \* Lohse-Friedrich, Kerstin. “China’s Public Diplomacy: International Companies Face Increasing Reputational Risks.” *MERICCS 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> or <https://www.govinfo.gov/content/pkg/CPRT-116SPRT42356/pdf/CPRT-116SPRT42356.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>
- \* Drun, Jessica, and Bonnie Glaser. “The Distortion of UN Resolution 2758 to Limit Taiwan’s Access to the United Nations.” *The German Marshall Fund of the United States*, March 2022. At <https://www.gmfus.org/news/distortion-un-resolution-2758-and-limits-taiwans-access-united-nations>

## **10.2 System competition**

- \* XIA Cai. “The Party That Failed: An Insider Breaks with Beijing.” *Foreign Affairs*, January/February 2021.
  - \* Shi-Kupfer, Kristin, Mareike Ohlberg, Simon Lang, and Bertram Lang. “Ideas and Ideologies Competing for China’s Political Future: How Online Pluralism Challenges Official Orthodoxy.” *MERICCS Papers on China*, No. 5, October 2017, 94pp. At: <https://merics.org/en/report/ideas-and-ideologies-competing-chinas-political-future>
- Tatlow, Didi Kirsten. “China’s Cosmological Communism: A Challenge to Liberal Democracies. Imperial Philosophy Meets Marxist Orthodoxy in Beijing’s Global Ambitions. *MERICCS China Monitor*, 18 July 2018, 10pp. At: <https://merics.org/en/report/chinas-cosmological-communism-challenge-liberal-democracies>

----- *Week 14a In-class second midterm exam, Tuesday, 7 May* -----

*Week 14b: Thursday, 9 May*

## **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.
- CHEN Yiu Por (Vincent) and Anita Chan. “Regular and Agency Workers: Attitudes and Resistance in Chinese Auto Joint Ventures.” *The China Quarterly* 233 (March 2018): 85-110.
- China Labour Bulletin: <http://www.clb.org.hk/>
- China Labor Watch: <http://www.chinalaborwatch.org/>
- 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.
- \* Perry, Elizabeth J. “Educated Acquiescence: How Academia Sustains Authoritarianism in China.” *Theory and Society*, no. 49 (2000): 1-22.
- \* “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>

- \* 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=wAVs3olQdo0>
- \* Tenzin, Jinba. “The Ecology of Chinese Academia: A Third-Eye Perspective.” *The China Quarterly* 231 (September 2017): 775-96.
- 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.cny.cuny.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).

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

### **13. Corruption**

- AK 13: “The Social Compact” (also below, twice)
- \* Wedeman, Andrew. “Anticorruption Forever?” Chapter 3 in Thomas Fingar and Jean C. Oi (eds.), *Fateful Decisions: Choices That Will Shape China’s Future*. Stanford: Stanford University Press, 2020, pp. 82-106.
  - \* WANG Junyang. “The Political Limits of China’s Anti-Corruption Reform: An Institutional Analysis of the New Supervision Commission.” *Journal of Contemporary China* 32, no. 144 (29 November 2022), 23pp.
  - \* 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.prleader.org/greitens-1>
  - \* FANG Hanming. “Measurements, Determinants and Causes of Corruption: Lessons from China’s Anti-Corruption Campaign.” *NBER working paper series* 31276 (May2023).
  - \* Carothers, Christopher. “Xi’s Anti-Corruption Campaign: An All-Purpose Governing Tool.” *China Leadership Monitor* 67 (Spring 2021), 17pp. At: <https://www.prleader.org/carothers>
  - \* CHEN Ting, and James Kai-Sing Kung. “Busting the “Princelings”: The Campaign Against Corruption in China’s Primary Land Market.” *Quarterly Journal of Economics* 134, no. 1 (2019): 185-226.  
Critique: Wiebe, Michael. “Replicating the Literature on Meritocratic Promotion in China.” (4 February 2021) At: <https://michaelwiebe.com/blog/2021/02/replications>
  - 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)

- \* ZHAO Simon Xiao Bin, David Wai Ho Wong, SHAO Chen Han, and LIU Kai Ming. “Rising Income and Wealth Inequality in China: Empirical Assessments and Theoretical Reflections.” *Journal of Contemporary China* 32, no. 144 (26 January 2023), 17pp.
- \* 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>

#### **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

2022 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)

Michigan data center <http://chinadatabase.org/newcdc/>

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 somewhat specialized news and analysis:*

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

Individual European countries' relations with China (updated regularly):

<https://www.merics.org/en/profiling-relations-european-countries-china>

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/>

The Wire China <https://www.thewirechina.com/>

China Media Project <https://chinamediaproject.org/> (originally launched at the University of Hong Kong's Journalism and Media Studies Centre, now based in the U.S.)

China Digital Times <https://chinadigitaltimes.net/> (“independent, bilingual media organization that brings uncensored news and online voices from China to the world”)

China Unofficial Archives <https://minjian-dangangguan.org/> Site is dedicated to making accessible the key documents, movies, blogs, and publications of a movement of Chinese people seeking to reclaim their country's history

For fee:

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

Rhodium Group: <https://rhg.com/research-topic/china/> (mostly but not all for-fee); strong on FDI flows and on current economic topics; also has regular reports such as ‘Dashboard’ and ‘Pathfinder’

China Macro Group: <https://www.chinamacro.ch/>

Weekly updates typically focused on current political and political-economic matters:

About half a dozen weekly China news updates/links compiled by the Hoover Institution, Stanford University: <https://www.hoover.org/publications/china-global-sharp-power-weekly-alert>

Politico China Watcher “What’s next in U.S.-China relations” (weekly newsletter):

<https://www.politico.com/newsletters/politico-china-watcher>

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.europeanchamber.com.cn/en/european-chamber-publications>  
 AIDDATA (Research Lab at William & Mary). Includes “China’s Global Public Diplomacy Dashboard” and policy briefs/reports/books on aspects of the PRC’s worldwide influence <https://www.aiddata.org/>.

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>

World Bank on China <https://www.worldbank.org/en/country/china>

*OECD Economic Surveys: China*. The OECD typically conducts a survey every two years. The executive summary tends to be available online. At: [https://www.oecd-ilibrary.org/economics/oecd-economic-surveys-china\\_20725027](https://www.oecd-ilibrary.org/economics/oecd-economic-surveys-china_20725027)

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

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/>.

Human rights:

- Safeguard Defenders: <https://safeguarddefenders.com/en>
- Duihua Foundation: <https://duihua.org>
- Amnesty International: <https://www.amnesty.org/en/location/asia-and-the-pacific/east-asia/china/>
- Human Rights Watch: <https://www.hrw.org/asia/china-and-tibet>
- Freedom House China Dissent Monitor: <https://freedomhouse.org/report/china-dissent-monitor>
- Doublethink Lab: <https://doublethinklab.org/>

Labor issues:

- China Labour Bulletin: <http://www.clb.org.hk/>
- China Labor Watch: <http://www.chinalaborwatch.org/>
- China Labor News Translations: <http://www.clntranslations.org/>

Chinese terminology:

- Decoding China Dictionary* <https://decodingchina.eu/> Explanation of in the PRC commonly used economic/social/political terms. (By the China Media Project, Heidelberg University, and the Swedish Center for China Studies.)
- IPAC China Lexicon*. <https://ipac.global/ipac-china-lexicon/> Meaning of key PRC/CCP concepts and initiatives. (By the European Union’s Inter-Parliamentary Alliance on China.)

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.)

For an eight-part **podcast** series on Xi Jinping by *The Economist* see <https://www.economist.com/theprincepod>

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).

Five recent popular 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.

Hamilton, Clive, and Mareike Ohlberg. *Hidden Hand: How the Chinese Communist Party Is Reshaping the World*. Oneworld Publications, 2021.

Shum, Desmond. *Red Roulette: An Insider's Story of Wealth, Power, Corruption, and Vengeance in Today's China*. Scribner, 2021.

### **Films**

“Morning Sun.” Carma Hinton. – Documentary on the “Cultural Revolution.” 117min

“The Gate of Heavenly Peace.” Carma Hinton. – Documentary on the 1989 massacre. 189min

“China: A Century of Revolution: The Mao Years 1949-1976.” – Documentary produced at a time when the full extent of deaths/murders in the various phases during the period covered was not yet known. 114min. Available at

<https://www.youtube.com/watch?v=fsh2FHq0tUA>

## 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: Quality of data, idea, contribution. Quality of descriptive or causal argument. Plausibility.) 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): 4,000-6,000 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 stay close within 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?)
- \* English language: Fluency of the text, appropriateness of word choices, and correct grammar?

*Penalties for late submission:* To be determined.