

**ECONOMICS OF CHINA**  
**ECONOMICS 3311F**  
Department of Economics  
Western University

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**Office Hours:** M 2:30-3:30, W 1:30-2:30

**September, 2017**

**Class Times:** M 12:30-2:30; W 12:30-1:30

**Classroom:** SSC 3010

**Course website:** <https://owl.uwo.ca/portal>

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SSC 4075 or [econugrd@uwo.ca](mailto:econugrd@uwo.ca)

### **Registration**

You are responsible for ensuring you are registered in the correct courses. If you are not registered in this course, the Department will not release any of your marks until your registration is corrected. You may check your timetable by using the Login on the Student Services website at <https://student.uwo.ca>. If you notice a problem, please contact your home Faculty Academic Counsellor immediately.

### **Prerequisite Note**

The prerequisites for this course are **Economics 2220A/B and 2261A/B**.

You are responsible for ensuring that you have successfully completed all course prerequisites, and that you have not taken an antirequisite course. Lack of prerequisites may not be used as a basis for appeal. If you are found to be ineligible for a course, you may be removed from it at any time and you will receive no adjustment to your fees. This decision cannot be appealed.

If you find that you do not have the course prerequisites, it is in your best interest to drop the course well before the end of the add/drop period. Your prompt attention to this matter will not only help protect your academic record, but will ensure that spaces become available for students who require the course in question for graduation.

### **Course Description:**

This course is about the economy of the People's Republic of China, with emphasis on the recent reform period (1980s to the present). It will critically examine China's remarkable economic performance in historical and comparative context. The course investigates topics related to China's economic structure, institutions, public policy, and current events.

The course combines lectures with seminar-style class discussions. Active class attendance and participation is important, as is knowledge of the readings. If you are unlikely to attend class regularly and cannot complete the readings on time, then this is **not** the course for you.

## Learning Outcomes

- Students will learn the main features of China's economy and economic development
- Students will gain experience using economic models and methods through their application in the analysis of China's economy
- Students will gain skills in independent learning and research, specifically, how to find and interpret Chinese data and statistics; how to find, read and evaluate reports and research about China; and how to learn collaboratively with others in teams or groups
- Students will learn skills in writing and speaking for economics and more generally

## Textbook and Reading Assignments:

Reading assignments are an important part of the course and include chapters from a textbook, as well as other items (see **Reading List** below). The textbook is a draft version of a new edition of *The Chinese Economy* by Barry Naughton, which has been provided by the author for our use free of charge, on the condition that students use it only for personal study and do not circulate or share it. See the Reading List for a full list of required and recommended readings.

## Grading and Course Requirements:

Requirements for this course include (a) short assignments, (b) a midterm exam, (c) a group presentation, and (d) a research paper. There is no final exam.

Unless specified otherwise, the exam and all assignments are expected to be your own, individual work. Group assignments are expected to be the work of members of your group. **Plagiarism, whether intentional or unintentional, is unacceptable and will be treated as a scholastic offence.** Take care not to borrow the wording of others, and be sure to cite all sources and references. I recommend all students do the plagiarism quiz and tutorial at [http://lib.usm.edu/plagiarism\\_tutorial.html](http://lib.usm.edu/plagiarism_tutorial.html).

The course mark will be calculated as follows:

- 25% short assignments (*the lowest mark will be dropped*)
- 25% midterm exam
- 15% group panel presentation (all members of the group receive the same mark)
- 35% research paper
- Class participation: Up to 2 percentage points bonus will be added to the final course mark for good participation in class; up to 2 percentage points penalty will be deducted for lack of attendance or lack of participation in class.

Note: *This course will not provide assessment of work accounting for 15% of the final grade before the Nov 5<sup>th</sup> drop deadline. The Dean of the Faculty of Social Science has approved an exemption from this policy for this course.*

**Short assignments:** Probably 4-5 short assignments, roughly one every second or third week. You can turn in all the short assignments and the lowest mark will be dropped, or you can skip one and all the submitted assignments will count. Most are short writing assignments; some will be based on assigned readings and will be used for class discussions. One will be a *topic proposal* for your research essay (see below).

The **Midterm Exam** will be held in class on the date shown below (see **Important Dates**).

The last few weeks of the term will be devoted to seminar-style **group panel presentations** by on selected topics. Each group will submit a copy of their presentation slides (e.g., a PowerPoint file) in advance of the presentation. Students in the audience will be expected to complete a few relevant readings, ask questions, and participate in discussion. Attendance of all students at all presentations is **mandatory**. (If necessary, we may schedule extra classes to ensure time for all group presentations.)

**Research essay:** 15-20 pages, double spaced ( $\approx$ 4000 words). Students are encouraged to choose an essay topic related to their group presentation topics. Topics must be approved by the instructor. A *topic proposal* (one-page description of your proposed topic plus one-page preliminary bibliography) is due Nov. 1. The essay should be based on scholarly/academic sources and materials; examples of appropriate references on different topic areas can be found in the reading list. The essay is due at the start of the last class (see **Important Dates**).

**Late assignments and make ups:** Short assignments will not be accepted late. There will be no make up for the midterm (reweighting of marks will apply for legitimate, documented cases). Late research essays will be penalized by 10 points out of 100 for each day (24 hours) late.

#### **Important Dates**

Mon., Sept. 11	First class meeting
Oct. 9-13	Fall Reading Week
Wed., Nov. 1	Paper topic proposals due
Mon., Nov. 13	Midterm exam ( <i>tentative</i> )
Wed., Dec. 6	Last class, research papers due

#### **Course Outline** (*tentative*)

- I. Introduction (1 week)
- II. China's Economic Performance (2-3 weeks)
- III. Initial Conditions (1 week)
- IV. China's Development Strategy (2 weeks)
- V. Population and the Economy (1.5 weeks)
- VI. Income Distribution and Poverty (1 week)
- VII. Foreign Trade (1.5 weeks)
- VIII. Group Panel Presentations (2 weeks)

**Please read "Please Note: Department Policies" and "Guidelines for Essay Courses" at the end of the reading list.**

## READING LIST

### Notes:

1. This list contains readings for each topic on the course outline. For most topics I include some current events or opinion pieces to motivate the topic, as well as scholarly readings based on serious, in-depth research. In italics are my comments on the readings.

2. **Required vs. optional readings:** All readings **without asterisks** are **required** readings. A **single asterisk** indicates recommended, optional readings. A **double asterisk** indicates additional optional readings that may be useful if you are writing an essay on a related topic.

### 3. Where to find readings:

- “**Naughton**” refers to the draft textbook *The Chinese Economy* by Naughton. It is available on the course website. *DO NOT SHARE OR CIRCULATE.*
- **Most other required readings** are available online through the Western Libraries website or at public websites. You can access journal articles online through Western Libraries e-journals. The reading list shows links to public websites, where available.
- Copies of **required readings unavailable online will be posted on the course website** *for your personal and academic use only; they must not be shared or circulated.*

4. **Chinese names:** Chinese-language surnames appear first, followed by the given name, e.g., Mao Zedong refers to a person whose surname is “Mao” and given name “Zedong.”

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## I. Introduction

Yao, Aiden, “19<sup>th</sup> Party Congress Set to Usher in Changes as Politburo Reworked,” South China Morning Post, 4 January 2017. <http://www.scmp.com/business/china-business/article/2059305/19th-party-congress-set-usher-changes-politburo-reworked>. *In Oct/Nov this year China’s Communist Party will hold a high-level meeting (the 19<sup>th</sup> Party Congress) that will reveal China’s new leadership line up and set the stage for economic policies in the coming years. This article gives some background and speculates about the outcome of that meeting. We will keep an eye on news about the 19<sup>th</sup> Party Congress and discuss during the term.*

Buckley, Chris, “In Rare Move, Chinese Think Tank Criticizes Tepid Pace of Reform,” New York Times 27 March 2017. <https://www.nytimes.com/2017/03/27/business/chinese-economy-reform-critical-report.html>. *A recent news article discussing the lack of progress towards the major economic reform goals set out in China in 2013.*

IMF, “People’s Republic of China Staff Report for the 2017 Article IV Consultation,” IMF Country Report No. 17/247, July 13, 2017, pp. 1-32 **only**. <https://www.imf.org/en/Publications/CR/Issues/2017/08/15/People-s-Republic-of-China-2017-Article-IV-Consultation-Press-Release-Staff-Report-and-45170>. *The latest annual IMF analysis of China’s economy and growth prospects.*

Naughton, “Introduction: The Chinese Economy in Context.” (*00 Introduction 2016 Stripped.pdf*)

\*Lawrence, Susan, “China’s Political Institutions and Leaders in Charts,” Congressional Research Service report R43303, 2013. <https://fas.org/sgp/crs/row/R43303.pdf>. *A good introduction to China’s political system, the role of the Communist Party, and current leaders (to be changed at the upcoming 19<sup>th</sup> Party Congress).*

\*Morrison, Wayne M., “China’s Economic Rise: History, Trends, Challenges, and Implications for the United States,” U.S. Congressional Research Service report no. RL33534, 2017. <https://fas.org/sgp/crs/row/RL33534.pdf>. *A very up to date (August 2017) summary of China’s recent economic performance and current economic challenges.*

## II.A. China’s Economic Performance: Data and Measurement Issues

### 1. Purchasing Power Parity (PPP) Exchange Rates

Cohen-Setton, Jérémie, “Blogs Review: China’s GDP (PPP) Set to Surpass the United States?” *Breugel*, 12 May 2014. <http://bruegel.org/2014/05/blogs-review-chinas-gdp-ppp-to-surpass-the-united-states/>. *A summary of blog posts by economists about the latest PPP exchange rate estimates, how they compare to the previous estimates, and relevance to China.*

“The Big Mac Index: Global Exchange Rates To Go,” *The Economist*, 13 July 2016. <http://www.economist.com/content/big-mac-index/>. *A short explanation of the Big Mac Index and 2017 data for China and other countries. Note that although according to the Big Mac Index China’s currency is undervalued relative to the US\$, many other countries’ currencies are more undervalued.*

Frankel, Jeffrey, “China Is Not Yet #1,” Jeffrey Frankel’s Blog, May 8, 2004. <http://www.jeffrey-frankel.com/2014/05/08/china-is-not-yet-1/> or <http://voxeu.org/article/china-not-yet-number-one>. *Frankel’s thought-provoking blog about the use of PPP exchange rates to understand China’s economy. Not everyone will agree, but his view deserves consideration.*

Sumner, Andy, “The Donors’ Dilemma—Did Global Poverty Just Fall a Lot, Quite a Bit, or Not at All?” *Global Policy*, 16 June 2014. <http://www.globalpolicyjournal.com/blog/16/06/2014/donors%E2%80%99-dilemma-did-global-poverty-just-fall-lot-quite-bit-or-not-all>. *A blog discussing the relationship between PPP exchange rates and poverty measurement.*

2011 International Comparison Program. *Purchasing Power Parities and Real Expenditures of World Economies: Summary of Results and Findings of the 2011 International Comparison Program*. Washington, D.C.: The World Bank, 2014. Read chapters 3 and 5, look for China results in Chapter 6. Skim discussion of methodology in Chapter 4. <http://siteresources.worldbank.org/ICPINT/Resources/270056-1183395201801/Summary-of-Results-and-Findings-of-the-2011-International-Comparison-Program.pdf>. *Contains results from the latest round of PPP estimates. Explains the PPP price issue, how PPP GDP estimates are determined, and appropriate uses and limitations of PPP estimates. Peruse the major findings and tables in this report to see PPP GDP estimates for China and other countries.*

- \*Deaton, Angus, and Alan Heston, "Understanding PPPs and PPP-based National Accounts," *American Economic Journal: Macroeconomics*, 2(4): 1-35, 2010. *An excellent in-depth discussion of PPP issues in theory and practice, relevant to our discussions about China.*
- \*Subramanian, Arvind, "Is China Already No. 1? New GDP Estimates," Peterson Institute for International Economics Real Time Economic Issues Watch, Jan. 13, 2011. <http://www.piie.com/blogs/realtime/?p=1935>. *A critique of the usual PPP estimates for China, referring to the previous, not the 2011, ICP estimates.*
- \*\*International Comparison Program in Asia and the Pacific 2011, *Purchasing Power Parities and Real Expenditures*, Manila: The Asian Development Bank, 2014. <http://www.adb.org/sites/default/files/pub/2014/2011-icp-purchasing-power-parities.pdf>. *Contains details about the PPP data collection and estimation for Asia in the 2011 ICP exercise, including discussion of some challenges in constructing PPP estimates for China.*

## 2. Reliability of China's GDP Statistics

- Song, Shiqing, "What's behind China's Mass Fabrication of Official Figures?" Caixin Global, 19 January 2017. <http://www.caixinglobal.com/2017-01-19/101046909.html> or <https://songshiqing.wordpress.com/2017/01/20/whats-behind-chinas-mass-fabrication-of-official-figures/>. *A critical piece about data problems in China's statistics, with a focus on local data fabrication and efforts by the National Bureau of Statistics to counteract such fabrication.*
- "China Revises GDP Calculation Method to Add Healthcare, 'New Economy'," Reuters, 14 July 2017. <http://www.reuters.com/article/us-china-economy-growth-idUSKBN19Z0QZ?il=0>. *A news report about the National Bureau of Statistics' latest efforts to improve China's official GDP statistics.*
- Owyang, Michael T., and Hannah Shell, "China's GDP Data: An Accurate Reflection or Just Smoke and Mirrors?" *The Regional Economist* (St. Louis Federal Reserve Bank), Second Quarter, 2017. <https://www.stlouisfed.org/publications/regional-economist/second-quarter-2017/chinas-economic-data-an-accurate-reflection-or-just-smoke-and-mirrors>. *A balanced discussion of the reliability of China's GDP statistics that discusses alternative approaches to checking China's GDP growth rates.*
- Koch-Weser, Jacob N., "The Reliability of China's Economic Data: An Analysis of National Output," U.S.-China National Economic and Security Review Commission Staff Research Project, January 28, 2013. <http://origin.www.uscc.gov/sites/default/files/Research/TheReliabilityofChina%27sEconomicData.pdf>. *An excellent, thorough overview of the weaknesses in China's national product statistics. Some overlap with Holz, but good things are worth repeating.*
- Naughton, "6, Growth and Structural Change," pp. 1-6 only (06 Growth and Structural Change 2015.pdf)
- Rosen, Daniel H., and Bao, Beibei, "An Independent Look at China's Size," Project on Chinese Business and Political Economy No. 1, Center for Strategic and International Studies (CSIS), September 11, 2015. [http://csis.informz.net/CSIS/data/images/China/Rosen\\_ChineseEconomy\\_.pdf](http://csis.informz.net/CSIS/data/images/China/Rosen_ChineseEconomy_.pdf). *Summary findings from Rosen and Bao's *Broken Abacus* book, an ambitious attempt to come up with an alternative estimate of China's GDP that corrects major problems with the official estimates.*

- Holz, Carsten, "The Quality of China's GDP Statistics," *China Economic Review* 30 (2014): 309-338, read only pp. 309-329 and the conclusion (skip section 4 on Benford's Law). *This article gives an excellent review of past and present problems with China's official GDP statistics. He carries out some checks on the data and finds no evidence of deliberate falsification. (Note: This issue of the journal contains a special section on Chinese data issues, maybe relevant for some of your essays.)*
- \*Rosen, Daniel H., and Bao, Beibei, *Broken Abacus? A More Accurate Gauge of China's Economy*, New York: Rowman and Littlefield, 2015. [https://csis-prod.s3.amazonaws.com/s3fs-public/legacy\\_files/files/publication/150824\\_Rosen\\_BrokenAbacus\\_WEB.pdf](https://csis-prod.s3.amazonaws.com/s3fs-public/legacy_files/files/publication/150824_Rosen_BrokenAbacus_WEB.pdf). *This is the full book, quite long but with excellent discussion of key problems with China's GDP statistics in chapters 1, 2 and 4. If you are interested in the nitty gritty details of their estimation calculations, take a look at chapter 3.*
- \*National Bureau of Statistics of China, "Bulletin on the Revision of China's GDP for 2013," Dec. 19, 2014. [http://www.stats.gov.cn/english/PressRelease/201412/t20141219\\_656341.html](http://www.stats.gov.cn/english/PressRelease/201412/t20141219_656341.html). *A brief announcement of the revision of China's official GDP statistics for 2013 after incorporating information from the 2013 Economic Census. The NBS also made revisions in GDP statistics for earlier years, e.g., here [http://www.stats.gov.cn/tjsj/zxfb/201506/t20150603\\_1114905.html](http://www.stats.gov.cn/tjsj/zxfb/201506/t20150603_1114905.html) the NBS reports its revisions of expenditure-based GDP statistics going back to 1952 (sorry, in Chinese).*
- \*Wu, Harry X., "Re-estimating Chinese Growth: How Fast Has China's Economy Really Grown?" Conference Board China Special Briefing Paper China-SBP-6-3-14, June 2014. <https://www.conference-board.org/publications/publicationdetail.cfm?publicationid=2780>. *(Complimentary download but requires registration with the Conference Board). A more critical view than Holz of China's official GDP statistics. Discusses problems with and gives alternative estimates of China's GDP growth. Concludes that the official growth statistics are basically okay except in periods when China is hit by large external shocks.*
- \*Orlik, Tom, "Reform at China's National Bureau of Statistics under Ma Jiantang, 2008-2013," *China Economic Review* 30 (2014): 304-308.
- \*Holz, Carsten. "China's 2004 Economic Census and 2006 Benchmark Revision of GDP Statistics: More Questions than Answers?" *China Quarterly*, No. 193 (2008): 150-163. *An excellent, albeit technical, detailed and critical, discussion of China's GDP statistics and GDP revisions following the 2005 economic census.*
- \*Balding, Christopher, "How Badly Flawed is Chinese Economic Data? The Opening Bid is \$1 Trillion," unpublished ms., August 14, 2013. [http://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=2307054](http://papers.ssrn.com/sol3/papers.cfm?abstract_id=2307054). *Examines problems with China's official consumer price index and finds that inflation is understated, causing overstatement of real GDP growth.*
- \*Wu, Harry X., "China's Growth and Productivity Performance Debate Revisited—Accounting for China's Sources of Growth with a New Data Set," Conference Board Economics Program Working Paper EPWP #14-01, January 2014. [https://www.conference-board.org/pdf\\_free/workingpapers/EPWP1401.pdf](https://www.conference-board.org/pdf_free/workingpapers/EPWP1401.pdf). *New, alternate estimates of GDP growth and productivity growth from an economist who has spent many years working with these data for China. One of the few serious efforts to address data issues, although not everyone agrees with Wu's estimates and conclusions. Fairly technical, but worth reading for the main points.*

- \*\*Orlik, Tom, *Understanding China's Economic Indicators: Translating the Data into Investment Opportunities*, Upper Saddle River, New Jersey: FT Press Science, 2012. *Although aimed at the business world rather than students and scholars, this book contains some useful and entertaining discussion. Worth a look.*
- \*\*Datta, Madhusudan, "Net Material Product and Net Domestic Product: Significance of the Two Products for Less Developed Countries," *Economic and Political Weekly* 22, No. 1/2 (1987): 47-53. *A good discussion of the differences between and rationales for these two different measures of national product.*
- 3. Just for Fun: Some Other Chinese Data Issues (optional)**
- \*\*Keohane, David, "Wait, China's Employment Counting Problem...Solved?" *Financial Times* Alphaville, 24 Nov. 2015. <http://ftalphaville.ft.com/2015/11/24/2145357/wait-chinas-employment-counting-problem-solved/>. *Discusses problems with China's official unemployment statistics, which many consider to be basically useless, and a promising alternative approach based on data on job seekers and job postings from publicly traded online job search platforms.*
- \*\*Hanemann, Thilo, "Foreign Investment in China: A Tale of Two Statistics," Rhodium Group Research Note, 4 January 2013. <http://rhgroup.net/notes/foreign-investment-in-china-a-tale-of-two-statistics>. *Standard FDI statistics for China are not in line with international statistical practices, e.g., they don't include reinvestment of profits by foreign enterprises. Correcting for profit reinvestment markedly changes measured FDI inflows.*
- \*\*Martin, Michael F., "Trade data discrepancies between China and the US," U.S. Congressional Research Service Report 7-5700, RS 22640, 24 March 2016. <https://www.fas.org/sgp/crs/row/RS22640.pdf>. *An excellent report on discrepancies in trade data between China and the U.S. Many of the same discrepancies and problems are relevant when comparing Canadian and Chinese trade data. This article is listed again later on the reading list under foreign trade.*
- \*\*"Capital Controversy: China's "Overinvestment" Problem May Be Greatly Overstated," *The Economist*, 14 April 2012. <http://www.economist.com/node/21552555>. *Discusses some issues related to measurement of investment and capital stock in China.*
- \*\*Gibson, John, "Rising Regional Inequality in China: Fact or Artefact?" *East Asia Forum*, 12 August 2012. <http://www.eastasiaforum.org/2012/08/12/rising-regional-inequality-in-china-fact-or-artefact/?preview=true>. *The full analysis is reported in Li, Chao and John Gibson, "Rising Regional Inequality in China: Fact or Artifact?" *World Development*, 47 (2013): 16-29. Discusses changes in measurement of population from registered to resident, and implications for measurement of provincial GDP per capita and inter-regional inequality.*

## II.B. China's Economic Performance: Growth, Structural Change and Productivity

Bloomberg News, "China's Productivity Growth Is the Worst since the Asia Crisis," Bloomberg Markets, Sept. 5, 2016. <http://www.bloomberg.com/news/articles/2016-09-05/china-s-productivity-growth-is-the-worst-since-the-asia-crisis>. *A news report that productivity growth in China last year, measured as GDP per worker, slowed to 6.6%, the lowest growth since the late 1990s. (Keep in mind that labor productivity growth in Canada and similar countries has been below 2% in recent years.)*

Magnier, Mark, "China's Productivity Problem Drags on Growth," *Wall Street Journal Online* 1 September 2014. [http://blogs.wsj.com/economics/2014/09/01/chinas-productivity-problem-drags-on-growth/?mod=wsj\\_valettop\\_email](http://blogs.wsj.com/economics/2014/09/01/chinas-productivity-problem-drags-on-growth/?mod=wsj_valettop_email). *A news report on two recent studies that find slowing productivity growth in China.*

"Comparing Chinese Provinces with Countries—All the Parities in China: Which Countries Match the GDP, Population and Exports of Chinese Provinces?" *The Economist*. [http://www.economist.com/content/all\\_parities\\_china](http://www.economist.com/content/all_parities_china). *A great map graphic showing for each province the level of GDP, population and exports matched to countries of comparable size. Data are a few years old (for 2010), but gives a sense of the regional diversity within China.*

Naughton, "6: Growth and Structural Change," (*06 Growth and Structural Change 2015.pdf*) and "5. The Urban-Rural Divide," (*05 Urban-Rural 2015.pdf*).

Naughton, Barry, "Rebalancing, Restructuring, and Reform: China 2016," paper presented at the Reserve Bank of Australia conference on Structural Change in China: Implications for Australia and the World, 17–18 March 2016. <http://www.rba.gov.au/publications/conf/2016/pdf/rba-conference-2016-naughton.pdf>, pp. 1-9 only. *An updated analysis of China's structural change in recent years that highlights the importance of holding prices constant in order to correctly track structural change over time.*

\*Heston, Alan and Terry Sicular. "China and Development Economics." In *China's Great Economic Transformation*, edited by Loren Brandt and Thomas G. Rawski, New York: Cambridge University Press, 2008, 27-46 only (in chapter 2) [available as an e-book from Western Libraries online]. *Compares China's economic development to that of other developing countries.*

\*Holz, Carsten. "China's Economic Growth 1978-2025: What We Know Today about China's Economic Growth Tomorrow." *World Development* 36, No. 10 (October 2008): 1665-1691. *An analysis of mainland China's growth and the factors underlying it, with comparisons to Japan, Korea and Taiwan.*

\*Brandt, Loren and Zhu Xiaodong, "Understanding China's Growth: Past, Present, and Future," *Journal of Economic Perspectives* 26, 4 (2012): 103-124. *A careful analysis of trends in and sources of productivity growth in China.*

\*Holz, Carsten. "Measuring Chinese Productivity Growth, 1952-2005." Unpublished manuscript (2006). [http://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=928568](http://papers.ssrn.com/sol3/papers.cfm?abstract_id=928568). *Estimates of China's productivity growth during the Maoist and reform eras. Very thorough, detailed and careful. This is the gold standard for this kind of work.*

- \*Perkins, Dwight H., “Rapid Growth and Changing Economic Structure: The Expenditure Side Story and Its Implications for China,” *China Economic Review*, 2010. *Looks at the structure of GDP from the expenditure side.*
- \*Wu, Harry X., “China’s Growth and Productivity Performance Debate Revisited—Accounting for China’s Sources of Growth with a New Data Set,” Conference Board Economics Program Working Paper EPWP #14-01, January 2014. [https://www.conference-board.org/pdf\\_free/workingpapers/EPWP1401.pdf](https://www.conference-board.org/pdf_free/workingpapers/EPWP1401.pdf). *Also listed in the previous section of the reading list.*
- \*\*Chen Shiyi, Gary H. Jefferson and Zhang Jun, “Structural Change, Productivity Growth and Industrial Transformation in China,” *China Economic Review* 22, 1 (2011): 133-150. *This study takes an in-depth look at productivity growth in industry, a key sector.*
- \*\*Hu, Albert Guangzhou, and Liu, Zhengning, “Trade Liberalization and Firm Productivity: Evidence from Chinese Manufacturing Industries,” *Review of International Economics* 22, 3 (2014), pp. 488-512. *This study investigates the relationship between trade liberalization and productivity growth in Chinese manufacturing.*
- \*\*Fan Gang, Dwight H. Perkins and Lora Sabin. “People’s Republic of China: Economic Performance and Prospects.” *Asian Development Review* 15, 2 (1997): 43-53. *Gives statistics on growth, productivity, and structural change during the Maoist period and reform era through the mid-90s.*

## II.C. China’s Economic Performance: Quality of Life

- Xinhua, “China Has a High Level of Human Development,” Xinhuanet, 22 August 2016. [http://news.xinhuanet.com/english/2016-08/22/c\\_135625112.htm](http://news.xinhuanet.com/english/2016-08/22/c_135625112.htm). *News item on the release of the latest China Human Development Report (full report listed below).*
- Blanchfield, Mike, “Human Rights in China Going in ‘Negative Direction,’ Canadian Government Report Says,” *The Star*, 12 July 2017. <https://www.thestar.com/news/canada/2017/07/12/human-rights-in-china-going-in-negative-direction-canadian-government-report-says.html>. *A news report on the findings of a recent Global Affairs Canada report on human rights in China.*
- Xinhua, “China to Start Reform Focused on Quality of Life,” *China Daily*, Dec. 11, 2015. [http://www.chinadaily.com.cn/china/2015-12/11/content\\_22694446.htm](http://www.chinadaily.com.cn/china/2015-12/11/content_22694446.htm). *According to this news report, China’s 13<sup>th</sup> Five Year Plan will emphasize quality of life. More on the 13-FYP later...*
- Easterlin, Richard C., “When Growth Outpaces Happiness,” *New York Times*, 27 September 2012. [http://www.nytimes.com/2012/09/28/opinion/in-china-growth-outpaces-happiness.html?\\_r=0](http://www.nytimes.com/2012/09/28/opinion/in-china-growth-outpaces-happiness.html?_r=0). *A news report on a survey research project that finds there’s more to happiness in China than GDP growth.*
- Rosling, Hans. *Debunking Third-World Myths with the Best Stats You’ve Ever Seen*. February, 2006. [http://www.ted.com/index.php/talks/hans\\_rosling\\_shows\\_the\\_best\\_stats\\_you\\_ve\\_ever\\_seen.html](http://www.ted.com/index.php/talks/hans_rosling_shows_the_best_stats_you_ve_ever_seen.html). *An entertaining video that tells the big picture of changes in income and health worldwide—keep an eye on the China bubble in Rosling’s animated graphs.*

- Ash, Timothy Garton, "Welcome to China's Political Gamble of the Century," *The Guardian* 30 March 2014. <http://gu.com/p/3z25t>. *A thoughtful Op-Ed on political developments in China under Xi Jinping and the relationship between political reform, social stability and sustained growth.*
- Albert, Eleanor, and Xu, Beina, "China's Environmental Crisis," Council on Foreign Relations Backgrounders, January 16, 2016. <http://www.cfr.org/china/chinas-environmental-crisis/p12608>. *An important aspect of quality of life is the environment. This short report nicely summarizes key aspects of China's environmental challenges.*
- United Nations Development Programme and Development Research Center of the State Council of China, *China National Human Development Report 2016: Social Innovation for Inclusive Human Development*, Beijing: China Translation and Publishing House, 2016. [http://www.cn.undp.org/content/china/en/home/library/human\\_development/china-human-development-report-2016.html](http://www.cn.undp.org/content/china/en/home/library/human_development/china-human-development-report-2016.html). Read only the Introduction, section 1.4 of Chapter 1, and Chapter 2 (pp. 1-4, 18-40), plus the "Key Messages" at the start of all chapters. Peruse the statistics in the Annex. *Discusses the concept of human development and gives an excellent overview of China's accomplishments and challenges in this area. Unassigned sections are recommended, optional reading. The statistical Annex may be useful for the adopt-a-province short assignment.*
- Naughton, "9. Living Standards: Incomes, Inequality and Poverty," (*09 Living Standards 2015 Draft.pdf*).
- Lum, Thomas, "Human Rights in China and U.S. Policy, Issues for the 114<sup>th</sup> Congress," U.S. Congressional Research Service 7-5700, R43964, 17 September 2015. <https://www.fas.org/sgp/crs/row/R43964.pdf>. Read pp. 1-36 only. *A thorough, recent review of China's human rights record, noting both progress and problems.*
- \*World Bank, World Health Organization, China Ministry of Finance, National Health and Family Planning Commission, and Ministry of Human Resources and Social Security, *Healthy China: Deepening Health Reform in China: Building High Quality and Value-Based Service Delivery*, Washington D.C.: World Bank, 22 July 2016. <https://openknowledge.worldbank.org/handle/10986/24720>. *A thorough, recent report on health and health policy in China.*
- \* Klugman, Jeni, Francisco Rodríguez, and Hyung-Jin Choi, "The HDI 2010: New Controversies, Critiques," UNDP Human Development Research Paper 2011/01, 2011, sections 1, 2 and 4. [http://hdr.undp.org/en/reports/global/hdr2011/papers/HDRP\\_2011\\_01.pdf](http://hdr.undp.org/en/reports/global/hdr2011/papers/HDRP_2011_01.pdf). *A deeper discussion of the Human Development Index, recent changes in its design, and the principles on which it is based.*
- \*World Bank, Supporting Report 3, "Seizing the Opportunity of Green Development in China," *China 2030*, World Bank: Washington, D.C., 2012. <http://www.worldbank.org/content/dam/Worldbank/document/SR3--229-292.pdf>. *This report a policy analysis and recommendations regarding environmental issues.*
- \*\*Roumasset, James, Kimberly Burnett and Wang Hua, "Environmental Resources and Economic growth," In *China's Great Economic Transformation*, edited by Loren Brandt and Thomas G. Rawski, New York: Cambridge University Press, 2008, 250-285 (chapter 8). [Available as an e-book from Western Libraries online]. *In-depth analysis of factors contributing to GDP and productivity growth in the reform era.*

\*\*United Nations Development Programme, *China Human Development Report 2009/2010: China and a Sustainable Future—Towards a Low Carbon Economy and Society*. Beijing: China Translation and Publishing Corporation, 2010.

[http://www.cn.undp.org/content/china/en/home/library/human\\_development/china-human-development-report-2009-2010/](http://www.cn.undp.org/content/china/en/home/library/human_development/china-human-development-report-2009-2010/). Gives an overview of China's accomplishments and challenges in human development with an emphasis on the environmental aspects.

\*\*State Council, "National Human Rights Action Plan of China 2012-2015," Xinhuanet.com, 11 June, 2012. [http://news.xinhuanet.com/english/china/2012-06/11/c\\_131645029.htm](http://news.xinhuanet.com/english/china/2012-06/11/c_131645029.htm). This is the latest official document outlining the plan for improving human rights over the last three years. It is worth skimming. It reflects the Chinese government and Communist party's official perspective and policies regarding human rights, and in some ways contradicts or rebuts criticisms from outside.

### III. Initial Conditions

Naughton, "1. The Geographical Setting" and "2. The Chinese Economy before 1949," (*01 geography 2016 stripped.pdf* and *02 history 2015.pdf*)

Brandt, Loren, "Reflections on China's Late 19<sup>th</sup> and Early 20<sup>th</sup> Century Economy," *China Quarterly*, No. 150 (1997): pp. 282-308.

Rawski, Thomas G. *Economic Growth in Prewar China*. Berkeley: University of California Press, 1989, xix-xxxiii (Introduction) [posted on course website].

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

\*Deng, Kent G. "A critical review of recent research in Chinese economic history." *Economic History Review* LIII, No. 1 (2000): 1-28.

\*\*Huang, Yukon, and Alessandro M. Bocchi. *Reshaping Economic Geography in East Asia*. Washington, D.C.: The World Bank, 2009, especially chapters 13-18 (pp. 196-319). [An online version is available at <http://www.rrojasdatabank.info/regeas09toc.htm>.] These chapters contain an extensive examination of China's changing economic geography and the relationships between regional disparities and development in China, and elsewhere in Asia.

#### IV.A. China's Development Strategy: The Maoist Period

Eckstein, Alexander. *China's Economic Revolution*. New York: Cambridge University Press, 1977, 31-65 (chapter 2) [posted on course website]. An old piece, written before the reforms, but with a good summary of development strategies during the Maoist period.

Van Ness, Peter and Satish Raichur. "Dilemmas of Socialist Development: An Analysis of Strategic Lines in China, 1949-1991." In *China from Mao to Deng*, Armanak, edited by Bulletin of Concerned Asian Scholars, New York: M. E. Sharpe, 1983 [posted on course website]. Also an older piece, but with a good comparative schema of development strategies during the Maoist period.

\*Lardy, Nicholas R. and Kenneth Lieberthal. "Introduction." In *Chen Yun's Strategy for China's Development: A Non-Maoist Alternative*, edited by Nicholas R. Lardy and Kenneth Lieberthal, New York: M. E. Sharpe, 1983, xi-xxi (additional optional reading: pp. xxi-xliii.). *Describes the views of Chen Yun, an important player under Mao (adopting a conflicting viewpoint) who helped launch the reforms.*

\*Mao Zedong, Quotations from Mao Zedong, Beijing: Foreign Languages Press, 1966 [available online at <http://www.marxists.org/reference/archive/mao/works/red-book/>]. *This is also known as the "Little Red Book." Everyone should read at least something by Mao—here's a famous compilation of his quotations that you can peruse. Other works by Mao are also available on this website.*

#### **IV.B. China's Development Strategy: The Post-Mao Reform Period, 1980s to 2013**

Naughton, "4. Market Transition: Strategy and Process," (*04 Transition 2015.pdf*).

Qian Yingyi and Wu Jinglian. "China's Transition to a Market Economy: How Far across the River?" In *How Far across the River? China's Policy Reform at the Millennium*, edited by N. Hope, D.T. Yang and M.Y. Li, Stanford: Stanford University Press, 2003, 32-63 (chapter 2) [posted on course website]. *An excellent discussion of the two stages of reform and the importance of the shift to a "socialist market economy" since 1993.*

Wang Yu. "Our Way: Building Socialism with Chinese Characteristics." *Political Affairs Magazine*, January, 2004. <http://www.politicalaffairs.net/our-way-building-socialism-with-chinese-characteristics/>. *Written on behalf of the Communist Party of China; a good summary of the official view of China's socialist development strategy at the start of the Hu-Wen era. "Socialism with Chinese Characteristics" and the "Scientific Development Concept" are phrases associated with the the Hu-Wen leadership period (2002-2012).*

Cheng Li. "China's Team of Rivals." *Foreign Policy* (March 1, 2009). [http://www.foreignpolicy.com/articles/2009/02/16/china\\_s\\_team\\_of\\_rivals?page=0,0](http://www.foreignpolicy.com/articles/2009/02/16/china_s_team_of_rivals?page=0,0). *A discussion of the different views among the Communist leadership about China's development strategy during the Hu-Wen period and the dynamics underlying economic policy directions even to the present.*

\*Harding, Harry, "The Course of Reform." In *China's Second Revolution*, by Harry Harding, Washington, DC: The Brookings Institution, 1987, 70-95 (chapter 4). *Describes the debate over development strategy early in the reform period.*

\*\*Naughton, Barry. "A Political Economy of China's Economic Transition." In *China's Great Economic Transformation*, edited by Loren Brandt and Thomas G. Rawski, New York: Cambridge University Press, 2008, 91-135 (chapter 4). [Available as an e-book from Western Libraries online]. *Discusses development strategy and the relationship between political and economic change, focuses on the initial (through 1993) and second (1993 to 2002) periods of reform, with a section on developments since 2003.*

\*\*Roland, Gerard. "The Political Economy of Transition." *Journal of Economic Perspectives* 16, No. 1 (2002): 29-50. *Discusses different approaches to economic transition in Russia, the former USSR, China, etc.*

\*\*Whiting, Susan. "Growth, Governance and Institutions: The Internal Institutions of the Party-State in China." Unpublished manuscript, 2006.  
[http://siteresources.worldbank.org/INTCHIINDGLOECO/Resources/REV\\_Whiting\\_WBdraft\\_072806.doc](http://siteresources.worldbank.org/INTCHIINDGLOECO/Resources/REV_Whiting_WBdraft_072806.doc). *A very interesting paper that describes how the design of the political/Party system and incentives faced by officials and Party members interact with China's economic development.*

#### IV.C. China's Development Strategy: Policies and Outcomes, 1950s to 2013

Buckley, Chris, "Milder Accounts of Hardships Arise as Birthday of Mao Nears," *New York Times* 16 October 2013. <http://www.nytimes.com/2013/10/17/world/asia/advancing-a-milder-version-of-maos-calamities.html?pagewanted=all>. *A report on the current debate within China about the magnitude of the Great Leap Forward disaster. It happened more than 50 years ago, but it is still a topic of public interest and political relevance.*

Naughton, "3. The Socialist Era, 1949–1978: Big Push Industrialization and Policy Instability," (03 *Socialist 2015.pdf*), and review "4. Market Transition..."

Riskin, Carl. *China's Political Economy: The Quest for Development since 1949*. New York: Oxford University Press, 1991, 53-183 (chapters 4-7) [posted on course website]. *A detailed review of China's economic policies and trends from the 1950s through the Great Leap and up to the Cultural Revolution. Lots of reading, but there's a lot of territory to cover!*

Riskin, Carl. "Neither Plan nor Market: Mao's Political Economy." In *New Perspectives on the Cultural Revolution*, edited by William A. Joseph, Christine Wong, and David Zweig, Cambridge: Harvard University Press, 1991, 133-152. [posted on course website]. *Covers the Cultural Revolution period.*

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) 151-171. *Excellent overview of reform policies through the 1990s.*

Naughton, Barry. "China's Economic Policy Today: The New State Activism," *Eurasian Geography and Economics* 52, 3 (May-June 2011): 313-329. *A good overview of major policy changes in the 2000s and through the financial crisis.*

REVIEW relevant readings and lectures from I.A and II.B.

\*Svejnar, Jan. "China in Light of the Performance of the Transition Economies." In *China's Great Economic Transformation*, edited by Loren Brandt and Thomas G. Rawski, New York: Cambridge University Press, 2008, 68-90 (chapter 3). [Available as an e-book from Western Libraries online]. *Discusses China's economic performance during the transition in comparison to Eastern Europe and the former Soviet Union countries.*

\*Riskin, Carl. "Seven Questions about the Chinese Famine of 1958-61," *China Economic Review* 9, No. 2 (1998), 111-124. *An excellent overview of the research and debates about the magnitude and causes of the Great Leap disaster.*

\*Freeman, Charles W. III, and Yuan Wenjin, "The Influence and Illusion of China's New Left," *The Washington Quarterly* 35(1), Winter 2012, pp. 65-82.

[http://twq.com/12winter/docs/12winter\\_Freeman\\_Yuan.pdf](http://twq.com/12winter/docs/12winter_Freeman_Yuan.pdf). Discusses the shift in the locus of China's economic policy debate since the Great Financial Crisis. Relates to the Chongqing vs. Guangdong development approaches.

\*\*Fan, C. Cindy, "China's Eleventh Five-Year Plan (2006-2010): From "Getting Rich First" to "Common Prosperity," *Eurasian Geography and Economics*, Vol. 47, No. 6 (November-December 2006): 708-723. A discussion of the development strategy and policy-making process reflected in China's 11<sup>th</sup> FYP, which ran from 2006 through 2010.

\*\*Casey, Joseph, and Katherine Koleski, Backgrounder: China's 12<sup>th</sup> Five Year Plan, US-China Economic & Security Review Commission, June 24, 2011.  
[http://origin.www.uscc.gov/sites/default/files/Research/12th-FiveYearPlan\\_062811.pdf](http://origin.www.uscc.gov/sites/default/files/Research/12th-FiveYearPlan_062811.pdf). A succinct summary of the contents of China's 12<sup>th</sup> Five Year Plan (2011-2015) with comparisons to the 11<sup>th</sup> Five Year Plan.

\*\*Barry Naughton, "The Third Front: Defence Industrialization in the Chinese Interior." *China Quarterly* No. 115 (Sept. 1988) 351-386. Discussion of the important Third Front policies, which China adopted in the mid-1960s and which continue to influence China's economic structure and performance.

#### **IV.D. China's Development Strategy and Outcomes: Recent Developments 2013 to present**

*Note: This is a preliminary list of readings. In Oct or Nov China will hold the 19<sup>th</sup> Communist Party Congress, at which there will be changes in the leadership line up that will signal whether reform momentum will pick up in the future. I will add or substitute new readings here as interesting documents or analyses become available. Most of the readings listed below discuss policies announced at the Third Plenum and policy developments since then. The 2013 Third Plenum was a major policy meeting that marked the leadership transition and new policy directions when Xi Jinping assumed leadership. Different observers have different views of progress with reforms since 2013, but most agree that progress has been slow.)*

Zhang, Taisu, "China's Coming Ideological Wars," *Financial Times*, Tea Leaf Nation, 1 March 2016.  
<http://foreignpolicy.com/2016/03/01/chinas-coming-ideological-wars-new-left-confucius-mao-xi/>. An opinion piece discussing the ideologies that inform recent debates within China regarding development strategy and policy. Marxist/Maoist influences continue.

Naughton, Barry, "Is China Socialist?" *The Journal of Economic Perspectives* 31, 1 (2017): 3-24

Naughton, Barry, "What Are the Chances for Fundamental Policy Reform in China?" Keynote speech at the NYU Third Annual Conference on Chinese Capital Markets, 13 December 2013.  
<https://www.youtube.com/watch?v=6CYBUDIPIG4>. At the 3<sup>rd</sup> Plenary Session (Plenum) of the Chinese Communist Party Central Committee in 2013, China's leadership issued a document that announced the reform directions China would follow under its then new leader Xi Jinping. In this speech, Naughton explains and analyses the content of that document and its implications for China's reform strategy.

“CCP Central Committee Resolution Concerning Some Major Issues in Comprehensively Deepening Reform,” passed at the 3<sup>rd</sup> Plenum of the 18<sup>th</sup> Central Committee of the Chinese Communist Party (CCP), 12 November 2013. <http://chinacopyrightandmedia.wordpress.com/2013/11/15/ccp-central-committee-resolution-concerning-some-major-issues-in-comprehensively-deepening-reform/>. Read sections I-VII. *This is the key document from the 3<sup>rd</sup> Plenum discussed by Naughton in his speech. This document and Naughton’s speech provide important background for understanding economic policy and developments since 2013. Watch Naughton’s speech before you read this document, which is a bit heavy going.*

Naughton, Barry, “Supply-side Structural Reform: Policy-makers Look for a Way Out,” *China Leadership Monitor* 49 (Winter 2016). <http://www.hoover.org/sites/default/files/research/docs/clm49bn.pdf> . *A discussion the new supply-side structural reform policy announced in late 2015/early 2016. According to Naughton, China has not been overly successful in pursuing the reform program laid out in the Third Plenum, and the supply-side structural reform represents something of a departure.*

Miller, Alice, “How to Read Xi Jinping’s 19<sup>th</sup> Party Congress Political Report,” *China Leadership Monitor* 53 (Spring 2017). <http://www.hoover.org/sites/default/files/research/docs/clm53am.pdf>. *In anticipation of the 19<sup>th</sup> Party Congress, Miller explains the importance of this meeting and how to interpret the political report that will outline decisions regarding China’s economic and other priorities.*

\*US-China Business Council, “Full List of 13th Five-Year Plan Targets and Comparison of Targets in the 12th Five-Year Plan.” [https://www.uschina.org/sites/default/files/Full%20List%20of%2013th%20FYP%20Targets\\_0.pdf](https://www.uschina.org/sites/default/files/Full%20List%20of%2013th%20FYP%20Targets_0.pdf). *A chart summarizing the key targets in China’s current five year plan.*

\*Kennedy, Scott, and Johnson, Christopher K. “The What: The Plan’s Targets and Policies,” *Perfecting the Plan, Inc.*, Report of the Center for Strategic and International Studies, May 2016, Chapter 4, pp. 19-35. [https://csis-prod.s3.amazonaws.com/s3fs-public/publication/160521\\_Kennedy\\_PerfectingChinaInc\\_Web.pdf](https://csis-prod.s3.amazonaws.com/s3fs-public/publication/160521_Kennedy_PerfectingChinaInc_Web.pdf). *A description and analysis of China’s 13<sup>th</sup> Five Year Plan.*

\*“Report on the Implementation of the 2015 Plan for National Economic and Social Development and on the 2016 Draft Plan for National Economic and Social Development.” [http://english.gov.cn/news/top\\_news/2016/03/19/content\\_281475310332486.htm](http://english.gov.cn/news/top_news/2016/03/19/content_281475310332486.htm). Read section II “Guiding the New Normal and Applying the New Development Philosophy in 2016,” which starts about a third of the way through, and skim the rest. *This is a translation of the original five-year plan document adopted last March. It includes both the 13<sup>th</sup> Five Year Plan and also, first, a report summarizing progress during the previous 12<sup>th</sup> Five Year Plan.*

## V. Population and the Economy

Liu, Lili, “China’s Two-child Policy One Year On,” *East Asia Forum*, 19 April 2017. <http://www.eastasiaforum.org/2017/04/19/chinas-two-child-policy-one-year-on/>. *Interesting article by a prof at China’s Central Policy School arguing that the two-child policy is not effectively raising fertility and calling for an end to all family planning policies.*

- Vanderklippe, Nathan, "End of China's one-child policy is slowly giving 'ghost children' identities," *The Globe and Mail*, 3 April 2016. <http://www.theglobeandmail.com/news/world/end-of-chinas-one-child-policy-is-slowly-giving-ghost-children-identities/article29507109/>. *Less than a year ago China officially ended the one-child policy and now allows couples to have two children. This news report talks about how the change in policy has affected families.*
- Wang Feng, "Bringing an End to a Senseless Policy: Why China's One Child Policy Should be Scrapped," *New York Times* 19 November 2013. [http://www.nytimes.com/2013/11/20/opinion/chinas-one-child-rule-should-be-scrapped.html?\\_r=0](http://www.nytimes.com/2013/11/20/opinion/chinas-one-child-rule-should-be-scrapped.html?_r=0). *An opinion piece by a respected demographer (see readings by Wang below) commenting on last year's announcement that China is loosening its one child policy. The title says it all.*
- Schiavenza, Matt, "A Surprising Map of China's Population," *The Atlantic*, 14 August 2013. <http://www.theatlantic.com/china/archive/2013/08/a-surprising-map-of-the-world-shows-just-how-big-chinas-population-is/278691/>. *A nice map and some basic facts about China's BIG population based on data from China's recent population census.*
- "The Impact of Chinese Migration: We Like to Move It Move It: Few Forces Have Influenced the Modern World Economy as Much as Chinese Migration," *The Economist*, 25 February 2012. <http://www.economist.com/node/21548277>. *A short report on the huge migration flows within China. Be sure to watch the short videographic (link at bottom of the report), too.*
- "Factbox—China's 2010 Census," *China Daily*, April 28, 2011. [http://www.chinadaily.com.cn/china/2011-04/28/content\\_12415449.htm](http://www.chinadaily.com.cn/china/2011-04/28/content_12415449.htm). *Summarizes some key facts from the 2010 census, with comparisons to the last census (2000).*
- Naughton, "7. Population Growth and the One-Child Family" (*07 Demography 2015.pdf*).
- Whyte, Martin K., Wang, Feng and Yong, Cai, "Challenging Myths about China's One-Child Policy," *The China Journal* 74 (2015): 144-159. *Overview of China's demographic policies before and since the one-child policy. Challenges the view that the one-child policy is the reason for the dramatic decline in China's fertility rates.*
- Wang Feng, "The Future of a Demographic Overachiever: Long-Term Implications of the Demographic Transition in China," *Population and Development Review* 37, Issue Supplement s1 (2011): 173-190. *An excellent recent overview and analysis of China's population trends by a prominent demographer.*
- \*Wang Cuntong, "History of the Chinese Family Planning Program, 1970-2010," *Contraception* 85, 6 (2012): 563-569. *A succinct summary of the shifts in China's family planning policies from the 1970s to 2010.*
- \*Wang Feng and Andrew Mason. "The Demographic Factor in China's Transition." In *China's Great Economic Transformation*, edited by Loren Brandt and Thomas G. Rawski, New York: Cambridge University Press, 2008, 136-166 (chapter 5). [Available as an e-book from Western Libraries online]. *Discusses the role of China's demographic trends for China's economic transition.*

\*Zhao Zhong Wei and Chen Wei, "China's Far Below-Replacement Fertility and Its Long-Term Impact: Comments on the Preliminary Results of the 2010 Census," *Demographic Research* 25, 26 (2011): 819-836. <http://www.demographic-research.org/Volumes/Vol25/26/25-26.pdf>. Published in Dec. 2011, a discussion of China's low fertility rates and the role of changes in behaviour and family size preferences versus birth planning controls.

\*Banister, Judith, Bloom, David E., and Rosenberg, Larry, "Population Aging and Economic Growth in China. In M. Aoki, & J. L. Wu (Eds.), *The Chinese Economy: A New Transition*, Hampshire: Palgrave Macmillan, 2012, pp. 114-149. *A close look at the relationship between aging of the population and economic growth in China. This book contains other chapters on interesting topics, too. An earlier draft of this chapter is available here:* [http://www.hsph.harvard.edu/program-on-the-global-demography-of-aging/WorkingPapers/2010/PGDA\\_WP\\_53.pdf](http://www.hsph.harvard.edu/program-on-the-global-demography-of-aging/WorkingPapers/2010/PGDA_WP_53.pdf).

\*\*Ebenstein, Avraham Y. and Ethan Jennings Sharygin, "The Consequences of the "Missing Girls" in China," *World Bank Economic Review* 23, 3 (2009): 399-425.

## VI. Inequality and Poverty

Borst, Nicholas, "China's New Income Inequality Plan," Peterson Institute for International Economics China Watch, 5 February 2013. <http://www.piie.com/blogs/china/?p=2285>. *A succinct report on China's level of inequality and recently announced plans to address inequality.*

"China's Inequality: Plan to Spread Wealth Must Be Matched by Hard Targets," *Financial Times*, 10 February 2013. <http://www.ft.com/cms/s/0/e5e12096-71ef-11e2-886e-00144feab49a.html#axzz2dHIp5k8t>. *An opinion piece about China's inequality and the recent policy plans to address inequality.*

Solidjanova, Nargiza, "China's New Income Inequality Reform Plan and Implications for Rebalancing," U.S.-China Economic and Security Review Commission, March 12, 2013. <http://origin.www.uscc.gov/sites/default/files/Research/China%20Inequality%20-%203%2012%2013.pdf>. *An interesting overview of the Chinese government's latest plans to address growing inequality.*

Sicular, Terry, "The Challenge of High Inequality in China." *Inequality in Focus* 2 (2). 1-5. Poverty Reduction and Equity Department, World Bank, Aug. 2013. <http://www.worldbank.org/content/dam/Worldbank/document/Poverty%20documents/Inequality-In-Focus-0813.pdf>. *A short summary report about China's rising inequality and underlying causes.*

Kanbur, Ravi, Yue Wang and Xiaobo Zhang, "China's Great Inequality Turnaround," *VoxEU*, 15 March 2017. <http://voxeu.org/article/great-chinese-inequality-turnaround>. *A succinct summary of a new analysis analysing the recent decline in China's national inequality.*

Naughton, "9. Living Standards: Incomes, Inequality and Poverty," (*09 Living Standards 2015 Draft.pdf*), REVIEW.

- Sicular, Terry and Shi Li. "The Distribution of Household Income in China: Inequality, Poverty, and Policies." *China Quarterly* 217 (1): 1-41. *An up to date, more in-depth analysis of recent trends in inequality and poverty in China.*
- Sicular, Terry, Shi Li, Hiroshi Sato and Ximing Yue, "Changing Trends in China's Inequality: Key Issues and Main Findings," draft paper, 2017. (Will be posted on course website.) *A summary of findings on recent trends in inequality and poverty from analysis of recent household survey data from the China Household Income Project (CHIP).*
- \*Li, Shi, Luo, Chuliang, Sicular, Terry and Yue, Ximing, "Overview: Incomes and Inequality in China," draft paper, 2017. (Will be posted on course website.) *Gives in-depth empirical findings on inequality trends in China based on the CHIP household survey data.*
- \*Gustafsson, Björn, Li Shi, and Terry Sicular. "Inequality and Public Policy in China: Issues and Trends." In *Inequality and Public Policy in China*, edited by Björn Gustafsson, Li Shi, and Terry Sicular, New York: Cambridge University Press, 2008, 1-34 (chapter 1) [posted on course website]. *An overview of trends in inequality and poverty during the Hu-Wen era, to 2007.*
- \*Khan, Azizur Rahman and Carl Riskin. "China's Household Income and Its Distribution, 1995 and 2002." *The China Quarterly*, No. 182 (June 2005): 356-84. *Discusses in depth trends in income levels and inequality through 2002.*
- \*Li Shi, Hiroshi Sato and Terry Sicular, eds., *Rising Inequality in China: Challenge to a Harmonious Society*, New York: Cambridge University Press, 2013. *This book gives the latest data-based in-depth analyses of inequality and poverty in China, through the late 2000s. Different chapters look at different aspects.*
- \*World Bank, Supporting Report 4 "Equality of Opportunity and Basic Security for All," *China 2030*, World Bank: Washington, D.C., chapters 3 "Expanding Opportunities and Deepening Human Capital," and 5 "Enhancing Security and Improving the Social Security System" (pp. 316-346, 370-390). <http://documents.worldbank.org/curated/en/2013/03/17494829/china-2030-building-modern-harmonious-creative-society>.
- \*\*Benjamin, Dwayne, Loren Brandt, John Giles, Sangui Wang. "Income Inequality in the Transition Period." In *China's Great Economic Transformation*, edited by Loren Brandt and Thomas G. Rawski, New York: Cambridge University Press, 2008, 729-775 (chapter 18). [Available as an e-book from UWO Libraries online.]

## VII. Foreign Trade: China's Emergence as a Trading Nation, and China-Canada Trade

- Lindsay, Don, "Make Trade with China a Priority," Financial Post Comment, 26 Aug. 2016. <http://business.financialpost.com/fp-comment/make-trade-with-china-a-priority>. *Discussion of key issues for Canada's trade relationship with China for Trudeau's recent China trip.*
- Yan, Sophie, "Made in China Labor Is Not Actually That Cheap," CNN, 17 March 2016. <http://money.cnn.com/2016/03/17/news/economy/china-cheap-labor-productivity/>. *Discusses labor costs in China compared to in the U.S. and finds that after factoring in productivity differences, labor costs are not much lower than in the US.*

Lamy, Pascal, “‘Made in China’ Tells Us Little about Global Trade,” *Financial Times*, January 24, 2011. <http://www.ft.com/intl/cms/s/0/4d37374c-27fd-11e0-8abc-00144feab49a.html#axzz1kC6Xx9Ps>. *A succinct explanation of value-added measures of trade and their importance.*

Woo, Yuen Pao and Bo, Chen, “Another Way to Look at the Canada-China Trade Deficit,” Asia Pacific Foundation of Canada, 2 March 2013. <https://www.asiapacific.ca/blog/another-way-look-canada-china-trade-deficit>. *A discussion of value-added trade from the perspective of the Canadian-China trade relationship.*

Naughton, “16. International Trade,” (*16 International Trade Draft 2015.pdf*)

Martin, Michael F., “Trade data discrepancies between China and the US,” U.S. Congressional Research Service Report 7-5700, RS 22640, 24 March 2016. <https://www.fas.org/sgp/crs/row/RS22640.pdf>. *An excellent report on discrepancies in trade data between China and the U.S. Many of the same discrepancies and problems are relevant when comparing Canadian and Chinese trade data.*

OECD and WTO, “Trade in Value Added: China,” October 2015. [https://www.oecd.org/sti/ind/tiva/CN\\_2015\\_China.pdf](https://www.oecd.org/sti/ind/tiva/CN_2015_China.pdf), and statistics for 2005 and 2011, [https://www.wto.org/english/res\\_e/statis\\_e/miwi\\_e/CN\\_e.pdf](https://www.wto.org/english/res_e/statis_e/miwi_e/CN_e.pdf). *Key features of and statistics on China’s value-added trade, based on the recently developed OECD-WTO TiVA dataset.*

Anderson, Jonathan. “Is China Export-led?” UBS Investment Research Asian Focus, September 27, 2009 [posted on course website, or [http://www.allroadsleadtochina.com/reports/prc\\_270907.pdf](http://www.allroadsleadtochina.com/reports/prc_270907.pdf)]. *This analysis raises key questions regarding the measurement of exports and their role in China’s economic growth. The estimates he presents are not precise (see readings below for more careful estimates), but the questions he discusses are spot on.*

He Dong and Zhang Wenlang, “How Dependent Is the Chinese Economy on Exports and in What Sense Has Its Growth Been Export-Led?” *Journal of Asian Economics* 21, 1 (2010): 87-104. *A more in-depth empirical investigation of whether China’s growth has been export-led.*

\*Economic Partnership Working Group, Foreign Affairs and International Trade Canada, “Canada-China Economic Complementarities Study,” China-Canada trade complementarities study, August 2012. <http://www.international.gc.ca/trade-agreements-accords-commerciaux/agr-acc/china-chine/index.aspx?lang=eng&view=d>. *Take a look at Sections 1 through 3 only of this cooperative government study of bilateral economic relations between Canada and China. Later sections, if you are interested, look at trade in different economic sectors.*

\*Johnson, Robert C., “Five Facts about Value-Added Exports and Implications for Macroeconomics and Trade Research,” *Journal of Economic Perspectives* 28, no. 2 (2014): 119-142. *Explains the concept of value-added exports, discusses their importance, and gives estimates of their size relative to gross exports for China and major trading countries.*

\*Yang, Dennis Tao, Vivian Weijia Chen and Ryan Monarch, “Rising Wages: Has China Lost Its Global Wage Advantage?” *Pacific Economic Review* 15, 4 (2010): 482-504. *An analysis of trends in China’s wages and comparisons to other countries.*

\*Felipe, Jesus, Utsav Kumar, Norio Usui, and Arnelyn Abdon. “Why Has China Succeeded? And Why Will It Continue To Do So?” Levy Economics Institute Working Paper No. 611, August, 2010. Course website or [http://www.levyinstitute.org/pubs/wp\\_611.pdf](http://www.levyinstitute.org/pubs/wp_611.pdf) . *Looks at how China’s growth has been associated with innovation and structural change that has led to increased sophistication of its exports.*

\*\*Feenstra, Robert C. and Shang-jin Wei, eds., *China’s Growing Role in World Trade*, Chicago: University of Chicago Press, 2010. <http://www.nber.org/books/feen07-1>.

### **VIII. Panel Presentations: Topic List**

*I will assign topics to groups of 3-4 students based on sign ups among the following topics. Once topics are assigned, I can give some more suggested readings to get the groups started. Everyone in the class should read the readings below prior to each presentation.*

#### **A. The Political Economy of Reform & Relationship between Governance and Growth in China**

Yang, Dali, “Economic Transformation and Its Political Discontents in China: Authoritarianism, Unequal Growth, and the Dilemmas of Political Development,” *Annual Review of Political Science* 9 (2006): 143–64.

Alesina, Alberto, and Perotti, Roberto, “The Political Economy of Growth: A Critical Survey of the Recent Literature,” *World Bank Economic Review* 8, No. 3 (1994): 351-371.

#### **B. Labor and Employment: Wages, Unemployment, Human Capital, Gender, and Related Policies**

Naughton, “8. Labor and Human Capital,” (*08 Labor 2015.pdf*)

#### **C. State Ownership versus Private Ownership in China’s Economy**

Naughton, “13: Industry: Ownership, Governance and Industrial Policy,” (*13 Industrial Governance 2015 Draft.pdf*)

#### **D. Land Tenure and China’s Rural Development**

Naughton, “10. Rural Organization,” “11. Agriculture: Outputs, Inputs and Technology,” and “12. Rural Industrialization: From Township and Village Enterprises to *Taobao* Villages,” (*10 Rural Organization 2015.pdf, 11 Agriculture 2015.pdf, 12 Rural Industrialization 2015.pdf*). Also, review Chapter 5 on the Urban-Rural divide.

#### **E. Macro Policy: China’s Fiscal System and Policies**

Naughton, “18. The Fiscal System,” and “20. Macroeconomic Policies: Outcomes and Instruments,” (*18 Fiscal System 2015.pdf, 20 Macroeconomic Policy 2015.pdf*)

#### **F. Macro Policy II: China’s Financial System and Monetary Policies**

Naughton, “18. The Financial System,” and “20. Macroeconomic Policies: Outcomes and Instruments,” (*19 Financial System 2015 Draft.pdf, 20 Macroeconomic Policy 2015.pdf*)

Ma, Guonan, and Laurenceson, James, “China’s Debt Challenge: Stylised Facts, Drivers, and Policy Implications,” Australia-China Relations Institute (ACRI) Working Paper 2016-02, 2016. [http://www.australiachinarelations.org/sites/default/files/ACRIWORKINGPAPER2016-02\\_Ma%20and%20Laurenceson%2020160728.pdf](http://www.australiachinarelations.org/sites/default/files/ACRIWORKINGPAPER2016-02_Ma%20and%20Laurenceson%2020160728.pdf). *A very recent, level-headed analysis of debt levels and structure in China.*

**G. *The Exchange Rate Regime: Policies and Economic Impacts***

Naughton, “16 International Trade,” (*16 International Trade 2015 Draft.pdf*)

**H. *Foreign Investment: Inflows, Outflows and Economic Causes & Consequences***

Naughton, “17. Foreign Investment and the Capital Account,” (*17 Foreign Investment 2015 Draft.pdf*)

**I. *The Canada-China Economic Relationship: What Should Trudeau Know in Order to Make Sound Policy Choices?***

Economic Partnership Working Group, Foreign Affairs and International Trade Canada, “Canada-China Economic Complementarities Study,” China-Canada trade complementarities study, August 2012. <http://www.international.gc.ca/trade-agreements-accords-commerciaux/agr-acc/china-chine/index.aspx?lang=eng&view=d>.

**Please Note**  
Department Policies for 2017 – 2018

Remember that the University expects all students to take responsibility for their own academic Programs. Also remember to check your registration to make sure you are enrolled in the correct courses.

1. Guidelines and policies for the Faculty of Social Science and the Department of Economics are posted online in the current Western Academic Calendar at <http://westerncalendar.uwo.ca>.
2. Students must familiarize themselves with the “Rules of Conduct for Examinations” <http://westerncalendar.uwo.ca/2017/pg136.html>.
3. **Cheating as an academic offence:** Students are responsible for understanding what it means to “cheat”. The Department of Economics treats cheating incidents very seriously and will investigate any suspect behavior. Students found guilty will incur penalties that could include a failing grade or being barred from future registration in other economics courses or programs. The University may impose further penalties such as a notation on your official academic transcript, suspension or expulsion.
4. **Plagiarism:** Students must write their essays and assignments in their own words. Whenever students take an idea or a passage from another author, they must acknowledge it by using quotation marks where appropriate and referencing with footnotes or citations. Plagiarism is a major academic offence (see Scholastic Offence Policy in the current UWO Academic Calendar at <http://westerncalendar.uwo.ca/2017/pg113.html>).

The University of Western Ontario uses software to check for plagiarism and students may be required to submit their written work in electronic form. Those found guilty will have penalties imposed as noted in point 3.

5. It is Department of Economics policy that **NO** assignments be dated, stamped or accepted by staff. Students are responsible for submitting assignments in class or to the instructor during office hours.
6. When appealing a mark, students should refer to the University’s Procedures in the current UWO Academic Calendar (<http://westerncalendar.uwo.ca/2017/pg112.html>). Please note the relevant deadlines.

The Department will not consider any appeal unless an attempt has been made to settle the matter first with your instructor. If after this discussion you remain dissatisfied with a grade or other decision, you may proceed with a written appeal (e-mails are not acceptable) to the Undergraduate Director in Economics, stating the reasons for your appeal. A useful form and checklist is provided at([http://economics.uwo.ca/undergraduate/program\\_counselling/responsibilities\\_policies.html#appeals](http://economics.uwo.ca/undergraduate/program_counselling/responsibilities_policies.html#appeals)).

7. Systematic adjustments of a class grade distribution (either up or down) can occur in Economics courses. The fact that grades have been adjusted is **not** grounds for an appeal.
8. Note the following add and drop deadlines:

Last day to **add** a 1<sup>st</sup> term half course:  
**Friday, September 15<sup>th</sup>, 2017**

Last day to **add** a 2<sup>nd</sup> term half course:  
**Tuesday, January 16<sup>th</sup>, 2018**

Last day to **drop** 1<sup>st</sup> term half course without academic penalty:  
**Monday, November 13<sup>th</sup>, 2017**

Last day to **drop** 2<sup>nd</sup> term half course without academic penalty:  
**Wednesday, March 7<sup>th</sup>, 2018**

9. Faculty of Social Science policy states that oversleeping or misreading an exam schedule is not an excuse for a make-up. This rule applies to all mid-term tests and final exams in the Department of Economics.

### **Policy Regarding Makeup Tests and Final Examinations**

*Academic accommodation will **not** be granted automatically on request. You **must** demonstrate by documentation that there are **compelling** medical or compassionate grounds before academic accommodation will be considered.*

If you decide to write a test or an examination, you must be prepared to accept the mark you earn. Rewriting tests or examinations, or having the value of the test or examination reweighted on a retroactive basis, is **not** permitted. Book airline flights after you know the dates of your final examinations. Airline flights must not conflict with test or final exams.

If you are requesting a makeup test for a midterm or a final examination, unless medically incapable, notify your instructor by email or phone, preferably prior to the scheduled date of the test, but definitely within **24 hours** of the date of the test or exam. Failure to follow this procedure may result in denial of a request for academic accommodation or result in a grade of zero. Set up an appointment as soon as possible to meet personally with your instructor. If the instructor is not available, you may send an email message, copying the Undergraduate Coordinator at [econugrd@uwo.ca](mailto:econugrd@uwo.ca) (Social Science Room 4075). **Notifying your instructor of a missed test or exam does not automatically entitle you to a makeup test.**

Students who seek a makeup test or examination must provide medical or other relevant verification that their absence from a regularly scheduled test or examination is beyond their control. Documentation must support your reasons. Medical documentation should be given to the Academic Counselling Office of your *home* Faculty **as soon as possible (preferably within 24 hours of the test)** if you know you may not be able to write your final examination on the scheduled day and time. Failure to follow this procedure, or to provide supporting documentation, may result in denial of a request for academic accommodation or result in a grade of zero. If your documentation is not acceptable, you will be given a zero for the missed test.

For personal illness, if you consult Student Health Services regarding your illness or personal problem, you should request a Student Medical Certificate from the physician. If you were seen by an off-campus doctor, obtain a certificate from his/her office at the time of your visit. The off-campus medical certificate form must be used and can be found at: [http://www.uwo.ca/univsec/pdf/academic\\_policies/appeals/medicalform.pdf](http://www.uwo.ca/univsec/pdf/academic_policies/appeals/medicalform.pdf). Notes stating "For Medical Reasons" are not considered sufficient.

For any other circumstances, if you are not sure what documentation to provide, ask your Academic Counsellor. If your documentation is judged sufficient, the Academic Counsellor will issue a Recommendation for a Special Examination (a single form for midterms or a triple color form for final examinations). Once you have this form, contact your instructor as soon as possible to make arrangements. Even if approved from your home faculty Academic Counsellor, there is no guarantee that you will be allowed to write the makeup test and exam.

For final examinations, you need permission from your *home* Faculty Counsellor, your instructor, and the Department Undergraduate Director. Failure to follow this procedure may result in an examination grade of zero. You must ensure that the Special Examination form has been signed by the instructor and Department Undergraduate Director and that the form is returned to the Academic Counselling Office for approval without delay. Make-up final examinations, if permitted, will be written within one month of the end of the exam period.

### **Policies Regarding Academic Accommodation**

Information about the Faculty of Social Science's policies regarding academic accommodation is found on its website at <http://counselling.ssc.uwo.ca/procedures/havingproblems.asp> or in Social Science Room 2105. Your "Academic Rights and Responsibilities" are also outlined in the current UWO Calendar at <http://westerncalendar.uwo.ca/2017/pg111.html>. Claiming that "you didn't know what to do" is not an acceptable excuse for not following the stated procedures.

### **Policy Regarding Class Attendance**

If your instructor views your class attendance as unsatisfactory, you can be prohibited from writing the final examination. If there is intent to make use of this University policy, you will be notified in writing.

### **Statement on Mental Health and Support Services**

If you or someone you know is experiencing emotional/mental distress, there are several resources here at Western to assist you. Please visit <http://www.uwo.ca/uwocom/mentalhealth/> for more information and a complete list of resources, as well as how to obtain help.

## Guidelines for Essay Courses

### Essay Courses<sup>1</sup>

An essay course is defined as a course in which the cumulative amount of written work, excluding written work in examinations, is normally at least 2,500 words (for a half course).

In order to pass an essay course the student must exhibit some minimal level of competence in essay writing as well as the appropriate level of knowledge of the content of the course.

### English Language Proficiency for Assignment of Grades<sup>2</sup>

Students must demonstrate the ability to write clearly and correctly. Written work on any subject that shows a lack of proficiency in English and is unacceptable for academic credit will be failed or, at the discretion of the instructor, returned to the student for revision to an acceptable literate level.

To foster competence in the use of the English language within their disciplines, *all instructors will take proficiency in English into account in the assignment of grades*. Note that this policy applies to all courses, not only essay courses.

### Recycling of Assignments

Students are prohibited from handing in the same essay or paper for two different courses. This would be considered a scholastic offence and subject to academic penalties, including, but not limited to, the possibility of zero on that particular assignment.

### Plagiarism

Plagiarism is defined as “the act or an instance of copying or stealing another’s words or ideas and attributing them as one’s own.”<sup>3</sup>

The concept of plagiarism applies to ALL assignments and their component parts, including essays, reports, diagrams, statistical tables, and computer projects.

Below are examples of some common mistakes that constitute acts of plagiarism. It is plagiarism if you:<sup>4</sup>

- Submit someone else’s work as your own
- Buy a paper from a paper mill, website or other source and submit it as your own work
- Copy sentences, phrases, paragraphs, or ideas from someone else’s work, published or unpublished, without giving the original author credit
- Replace selected words from a passage and use it as your own without giving the original author credit
- Copy any type of multimedia (graphics, audio, video, internet streams), computer programs, music compositions, graphs, or charts from someone else’s work without giving the original author credit
- Piece together phrases, ideas and sentences from a variety of sources to write an essay without giving the original authors credit

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<sup>1</sup>From the UWO Academic Handbook. See [http://www.uwo.ca/univsec/pdf/academic\\_policies/registration\\_progression\\_grad/course numbering.pdf](http://www.uwo.ca/univsec/pdf/academic_policies/registration_progression_grad/course numbering.pdf)

<sup>2</sup> From the UWO Academic Handbook. See [http://www.uwo.ca/univsec/pdf/academic\\_policies/exam/english.pdf](http://www.uwo.ca/univsec/pdf/academic_policies/exam/english.pdf)

<sup>3</sup>Excerpted from HC Black, *Black’s Law Dictionary*, West Publishing Co., 1999, 7th ed., p. 1170.

<sup>4</sup> From the San José State University Plagiarism Tutorial <http://tutorials.sjlibrary.org/tutorial/plagiarism/>

- Build on someone else's ideas or phrases to write your paper without giving the original author credit

Plagiarism is a serious scholastic offence. Possible consequences of plagiarism include a mark of 0% on the assignment, a mark of 0% for the entire course, and expulsion from the university.

Purchasing an essay is a form of plagiarism and a very serious offence. The UWO Academic Calendar indicates that the penalty can be as severe as expulsion from the university.

Instructors may require students to submit their written work electronically to <http://www.turnitin.com>. Turnitin.com is a service that assists instructors and students in detecting and avoiding plagiarism.

Students wishing more guidance on how to avoid plagiarism or in doubt about whether their work constitutes plagiarism should consult their instructor. Claiming that you did not know you have plagiarized is not an acceptable excuse.

The key to avoiding plagiarism is to cite references correctly and fully for the sources you use in your work. The next section provides a summary of style guidelines for citing references.

### Referencing and Citation Guidelines

If you use the work or ideas of others in your work, you must acknowledge the contributions of the original authors and provide citations and references to their work.

The Economics Department has adopted the citation guidelines used in *The Chicago Manual of Style*, 16<sup>th</sup> edition. Chicago: University of Chicago Press, 2010. An Online version is available from Western Libraries <http://www.lib.uwo.ca>. Search the catalogue by title "Chicago Manual of Style." For access from off campus, you must use the *OffCampus Access* sign-in on the Library's homepage.

Economics papers typically use the **author-date** style of references. A detailed explanation of the author-date style and numerous examples of citations for print and electronic sources are available in chapter 15 of the *Chicago Manual of Style Online*. See also the handy "Chicago-Style Citation Quick Guide" under Tools on the homepage.

In the body of an essay, in-text citations give the last names of the authors of the piece you are referencing, the year of publication, and, where relevant, page numbers. These in-text citations refer the reader to more complete bibliographic references given in a list of references at the end of the essay. If your paper cites multiple works by the same author(s) with the same publication year, the convention is to add a lower case letter after the date in both the in-text citation and the References, e.g., 1993a and 1993b. This way, the in-text citation points the reader to the correct work in the References.

Examples of in-text citations:

Diamond (1981, 1982) and Mortensen (1982a, 1982b) find these externalities can cause an inefficient level of search activity...

The "new view of unemployment" which emerged during the 1970s emphasized the importance of turnover in the labour force and the brief duration of many employments spells (Hall 1970, 1972; Perry 1972; Marston 1976).

The primary objectives of the LMAS are "1. To provide measures of the dynamic...the Labour Force Survey" (Statistics Canada 1990, 5).

The list of references at the end of the essay should be titled References or Works Cited. It provides more complete bibliographic information about each source cited. In addition to References, you should also provide adequate referencing of any data sources. This should be done in a data appendix following the text of the paper and before the References.

Examples of the author-date style in the References for some commonly used materials follow. Note that for a book with two or more authors, only the first author's name is inverted, and a comma appears both before and after the first author's given name or initials.

(i) BOOKS:

Lastname, Firstname. Copyright year. *Title of Book*. Place of Publication: Publisher's Name.

e.g. Wonnacott, Thomas, and Ronald Wonnacott. 1984. *Introductory Statistics for Business and Economics*. 3rd edition. Toronto: John Wiley & Sons.

(ii) JOURNAL ARTICLES OR ARTICLES IN A BANK REVIEW:

Lastname, Firstname. Year. "Title of Article." *Name of Journal or Bank Review* Volume: pages.

e.g. Geweke, John F., and David E. Runkle. 1995. "A Fine Time for Monetary Policy." *Federal Reserve Bank of Minneapolis Quarterly Review* 19: 18-31.

(iii) GOVERNMENT PUBLICATIONS:

Government Agency, Bureau or Department. Year. *Title*. Catalogue or issue number or additional information (where applicable).

e.g. Statistics Canada. 1983. *Logging: Annual Census of Forestry*. Catalogue No. 25-201.

U.S. Department of Commerce, Bureau of the Census. 1975. *Median Gross Rent by Counties of the United States, 1970*. Prepared by the Geography Division in cooperation with the Housing Division, Bureau of the Census. Washington, DC.

(iv) NEWSPAPERS:

Lastname, Firstname. Year. "Title." *Name of Newspaper*. Month day. Note that the page number should be given in the in-text citation, for example, (Sicular and Hartford 1989, 14).

e.g. Sicular, Terry, and Kathleen Hartford. 1989. "China's Looming Rural Crisis." *Asian Wall Street Weekly*. July 3.

(v) CHAPTERS IN EDITED BOOKS OR CONFERENCE VOLUMES:

Lastname, Firstname. Year. "Title." In *Title of Book/Volume*, edited by Firstname Lastname, page range. Place of Publication: Publisher's Name.

e.g. Fafchamps, Marcel. 2001. "The Role of Business Networks in Market Development in Sub-Saharan Africa." In *Communities and Markets in Economic Development*, edited by Masahiko Aoki and Yujiro Hayami, 186-214. New York: Oxford University Press.

(vi) ONLINE BOOKS:

Lastname, Firstname. Year. *Title*. Place of Publication: Publisher. url/web address (access date).

e.g. Mäler, Karl-Göran, and Jeffrey R. Vincent, eds. 2005. *Handbook of Environmental Economics, Vol. 3: Economywide and International Environmental Issues*. Amsterdam: Elsevier. <http://www.sciencedirect.com/science/handbooks/15740099> (July 23, 2007).

(vii) ONLINE JOURNAL ARTICLES:

*A DOI (digital object identifier) is preferable to a URL. If using a URL, use the address that appears in your browser's address bar when viewing the article (or the abstract) unless a shorter, more stable form of the URL is offered along with the electronic article.*

Lastname, Firstname. Year. "Title." *Journal* Volume: pages or article number. doi: **OR** url/web address (access date)

e.g. Caucutt, Elizabeth M., and Krishna B. Kumar. 2008. "Africa: Is Aid an Answer?" *The B.E. Journal of Macroeconomics* 8(1): 1935-1690. doi: 10.2202/1935-1690.1761

Ruffle, Bradley J., and Richard Sosis. 2007. Does it Pay to Pray? Costly Ritual and Cooperation. *B.E. Journal of Economic Analysis and Policy* 7(1): Article 12.  
<http://www.bepress.com/bejeap/vol7/iss1/art18> (Aug. 7, 2007).

(viii) INTERNET SITES:

Name of Website or Organization. "Title". Access date. url/web address.

e.g. McDonald's Corporation. "Our History." Accessed July 19, 2016.  
<https://www.mcdonalds.com/us/en-us/about-us/our-history.html>

### Writing an Economics Essay: Starting Points

The best place to start a written economics assignment is by reviewing your instructor's description of and instructions for the assignment. If you have questions about the assignment, you should ask your instructor.

A good way to learn how economists write is to read work written by economists. Examples of economic writing can be found in the course outline, economics journals, working papers series, and other economic publications. Your instructor may be able to suggest good examples of published work or provide examples of good student work from past years.

Two books that provide useful advice on how to write for economics are:

McCloskey, Dierdre N. 2000. *Economical Writing, 2<sup>nd</sup> edition*. Prospect Heights, Illinois: Waveland Press.

Greenlaw, Steven A. 2006. *Doing Economics: A Guide to Understanding and Doing Economic Research*. New York: Houghton Mifflin Co.

### Writing an Economics Essay: Resources

An excellent place to start looking for information and ideas is the **Resources Link** on the Department of Economics website (<http://economics.uwo.ca/resources/index.html>). Here you will find a comprehensive list of sources for published and unpublished economic papers, articles, books, theses, government publications, data, and so on.

The **DB Weldon Library** has an outstanding collection of materials in economics, including bibliographies, indexes, handbooks, and periodicals. Library holdings, the online library catalogue, and other resources are available electronically from the Western Libraries Homepage <http://www.lib.uwo.ca/>. Access is available anywhere there is an internet connection using the OffCampus Proxy Server on the Library main page.

There is a wealth of "how to" information, including YouTube videos, on the Library's home page. You are strongly encouraged to take a library orientation tour, as well, to learn about where things are located physically and online, and where to go for assistance. You should feel free to consult library staff if you have any questions or are having difficulty using the library.

**The New Palgrave Dictionary of Economics** is a good place to begin exploring topics in economics. The most comprehensive dictionary of economics in existence today, it features articles by influential economists in their areas of expertise. It is available online through the library catalogue, or in print in the Weldon's Reference section (call # HB 61.N49 2008 v. 1-8).

**EconLit** (*Economic Literature*) is a comprehensive, indexed electronic bibliography of economic literature from 1969 to the present covering major journals, articles in collective volumes (essays, proceedings, etc.), books, book reviews, dissertations, and working papers. Citations, selected abstracts, and links to UWO's full-text resources are provided. *EconLit* is available through the Library catalogue, or from the Library's list of Databases found under "Research Tools" on the Library homepage <http://www.lib.uwo.ca/>

You can download and print records from the *EconLit* database. Once you have successfully marked records of interest, download your marked records to a text file, send marked records by email, or export them to a citation manager such as *Refworks*.

**Refworks** is a bibliographic and citation software tool that can be used to construct citations and lists of references in the author-date and other styles. Search the library catalogue (title search) for *Refworks* for access using Western's group access code.

**CANSIM (Canadian Socio-economic Information Management System)**

is Statistics Canada's computerized database of time series data covering a wide variety of social and economic aspects of Canadian life. Access the database by doing a Title Search on the Western Libraries Catalogue, or from the Library's list of Databases found under "Research Tools" on the Library homepage <http://www.lib.uwo.ca/>.

**Western Undergraduate Economics Review (WUER)**

The Department of Economics encourages students to consider submitting their essays to the *Western Undergraduate Economics Review*, a journal published annually by the Department that showcases student work in economics. For information about the *WUER* and its submission guidelines, please visit [http://economics.uwo.ca/undergraduate/undergraduate\\_economics\\_review.html](http://economics.uwo.ca/undergraduate/undergraduate_economics_review.html)

## Alumni Essay Prizes in Economics

The following criteria will be used, and each prize is valued at \$550:

1. Students can only win an Alumni Prize once.
2. Two prizes may be awarded at the end of the academic term. One for a student registered in a 2100 level course and one for a student registered in a 2200 or higher level course. Economics 4400E is not eligible for this as it has its own paper prize.
3. Instructors will nominate students for the prize. The paper should be submitted to the Undergraduate Coordinator for consideration by the Essay Prize Committee, which will decide the winner.
4. The Essay Prize Committee will consist of the Undergraduate Program Director, WUER Faculty Advisor and one other faculty member. The decision of the Committee is final and cannot be appealed.
5. Papers will be judged on content, originality, use of references, spelling and grammar.

The grade given to the paper will not influence the decision of the Essay Prize Committee as all comments by the original marker will be removed.

The deadlines for submissions are:

Fall courses: December 21<sup>st</sup>

Winter courses: April 30<sup>th</sup>

***The winner of the essay prize will have his/her paper submitted in the spring to the Western Undergraduate Economics Review. Other appropriate papers may also be submitted.***