

国家发展的政治经济学

北京大学国家发展研究院 研究生课程

2021 年秋季学期

承泽园 245 教室

主讲人：席天扬

课程主旨：

本课程是面向经济学研究生的专业课程，介绍和讨论当代政治经济学的前沿文献和研究方法。通过文献阅读和论文展示，建立对于政治经济学基本理论体系和分析框架的认识，掌握政治经济学的研究方法，完成初步的研究设计。本课程的文献侧重与国家发展、国家能力和治理问题相关的专题，同时对于政治经济学的博弈论建模、社会科学因果识别方法亦有涉猎。

课程要求：

本课程的教学方式以专题讲授(lecture)和论文讨论(seminar)穿插进行。选课的学生需要完成至少一次时长为 30 分钟的指定论文展示，并在期末提交一篇与政治经济学相关的课程论文。需要在期中之前确定课程论文的选题并提交 500 字以内的研究大纲。

教学计划和阅读清单：

用粗体字标注的论文要求课堂展示 (Present)，共 15 篇论文需要课堂展示。

1. 导论/国家能力(part 1)

弗里德里希·李斯特《政治经济学的国民体系》，陈万煦译，商务印书馆 2017 年。119-299 页。

约翰·穆勒《政治经济学原理及其在社会哲学上的若干应用》，胡企林译，商务印书馆 1991 年，第二编。

Barzel, Yoram. 2001, *A Theory of the State: Economic Rights, Legal Rights, and the Scope of the State*. Cambridge University Press.

Evans, Peter. 1995. *Embedded autonomy: States and industrial transformation*. Princeton University Press.

Besley, Timothy, and Torsten Persson. 2010. "State Capacity, Conflict, and Development." *Econometrica*. 78(1): 1-34.

Brambor, Thomas, et al. 2020. "The lay of the land: Information capacity and the modern state." *Comparative Political Studies*. 53(2): 175-213.

Agnafors, Marcus. 2013. "Quality of Government: Toward a More Complex Definition." *The American Political Science Review*. 107(3): 433-445.

Porta, Rafael La, López-de-Silanes, Florencio, Shleifer, Andrei, and Robert Vishny. 1999. "The Quality of Government." *The Journal of Law, Economics, and Organization*. 15(1): 222-279.

浏览以下关于国家能力的跨国数据:

Quality of Government

<https://www.gu.se/en/quality-government/qog-data/data-downloads/basic-dataset>

World Governance Indicator

<https://datacatalog.worldbank.org/dataset/worldwide-governance-indicators>

2. 国家能力 (part 2)

Tilly, Charles. 1990. *Coercion, Capital, and European States, AD 990–1992*. Cambridge University Press.

Borcan, Oana, Olsson, Ola, and Putterman. 2018. "State history and economic development: Evidence from six millennia." *Journal of Economic Growth*. 23(1): 1-40.

Wucherpfennig, Julian, Hunziker, Philipp, and Lars-Erik Cederman. 2016. "Who Inherits the State? Colonial Rule and Postcolonial Conflict." *American Journal of Political Science*. 60(4): 882-898.

Gennaioli, Nicola, and Hans-Joachim Voth. 2015. "State Capacity and Military Conflict." *The Review of Economic Studies*, 82(4): 1409-1448

Chiu Yu Ko, Mark Koyama, Tuan-Hwee Sng. 2017. "Unified China and Divided Europe." *International Economic Review*. 59(1): 285-327.

Acharya, Avidit and Alexander Lee. 2018. "Economic Foundations of the Territorial State System." *American Journal of Political Science*. 62(4), 954-66.

梁晨、李中清等(2012)“无声的革命：北京大学与苏州大学学生社会来源研究”《中国社会科学》，98-116.

Ansell, Ben and Johannes Lindall. 2013. "The political origins of primary education systems: Ideology, institutions, and interdenominational conflict in an era of nation-building." *American Political Science Review*. 107(3): 505-522.

Aghion, Philippe, Jaravel, Xavier, Persson, Torsten, and Dorothée Rouzet. 2019. "Education and Military Rivalry." *Journal of the European Economic Association*. 17(2): 376-412.

Paglayan, Agustina. 2021. "The Non-Democratic Roots of Mass Education: Evidence from 200 Years." *American Political Science Review*. 115 (1): 179-198.

3. 激励与选拔

Fearon, James. 1999. "Electoral Accountability and the Control of Politicians: Selecting Good Types versus Sanctioning Poor Performance." In *Democracy, Accountability, and Representation*, Cambridge University Press.

Maskin, Eric, and Jean Tirole. 2004. "The politician and the judge: Accountability in government." *The American Economic Review*. 94(4): 1034-1054.

Alt, James, Bueno de Mesquita, Ethan, and Shanna Rose. 2011. "Disentangling Accountability and Competence in Elections: Evidence from U.S. Term Limits" *Journal of Politics*. 73(1): 171-186.

周黎安 2017 《转型中的地方政府：官员激励与治理》，第 5 章：政治锦标赛

Xi, Tianyang, Yao, Yang, and Muyang Zhang. 2018. "Capability and Opportunism: Evidence from City Officials in China." *Journal of Comparative Economics*. 46: 1046-61.

Avis, Eric, Ferraz, Claudio, and Frederico Finan. 2018. "Do Government Audits Reduce Corruption? Estimating the Impacts of Exposing Corrupt Politicians." *Journal of Political Economy*. 126(5): 1912-1964.

Szakonyi, David. 2021. "Indecent Disclosures: Anticorruption Reforms and Political Selection." *American Journal of Political Science*. 1-17.

4. 官僚体制与国家治理

Evans, Peter, and James Rauch. 1999. "Bureaucracy and growth: A cross-national analysis of the effects of" Weberian" state structures on economic growth". *American Sociological Review*. 64(5): 748-765.

Brown, David, Earle, John, and Scott Gehlbach. 2009. "Helping Hand or Grabbing Hand? State Bureaucracy and Privatization Effectiveness." *The American Political Science Review*. 103(2): 264-283.

Jiang, Junyan. 2018. "Making Bureaucracy Work: Patronage Networks, Performance Incentives, and Economic Development in China." *American Journal of Political Science*. 62(4): 982-999.

Xi, Tianyang. 2019. "All the Emperor's Men? Conflicts and Power-sharing in Imperial China." *Comparative Political Studies*. 52(8): 1099-1130.

Shi, Xiangyu, and Tianyang Xi. 2018. "Race to Safety: Political Competition, Neighborhood Effects, and Coal Mine Deaths in China" *Journal of Development Economics*. 131: 79-95.

Dasgupta, Aditya, and Devesh Kapur. 2020. "The Political Economy of Bureaucratic Overload: Evidence from Rural Development Officials in India." *The American Political Science Review*. 114(4): 1316-1334.

5. 选举体制

Fleck, Robert. 2008. "Voter influence and big policy change: The positive political economy of the New Deal." *Journal of Political Economy*. 116(1): 1-37.

Folke, Olle, Hirano, Shigeo, and James Snyder. 2011. "Patronage and elections in U.S. States." *The American Political Science Review*. 105(3): 567-585.

Timothy Besley et al. 2017. "Gender Quotas and the Crisis of the Mediocre Man: Theory and Evidence from Sweden." *American Economic Review*. 107(8): 2204-42.

Alesina, Alberto, Piccolo, Salvatore, and Paolo Pinotti. 2019. "Organized Crime,

Violence, and Politics.” *Review of Economic Studies*. 86: 457-499.

Carlin, Ryan, and Timothy Hellwig. 2019. “Policy regimes and economic accountability in Latin America.” *Comparative Political Studies*. 52(13-14): 2032-2060.

6. 贤能体制的政治经济学

Hao, Yu, Liu, Kevin Zhengcheng, Weng, Xi, and Li-An Zhou. 2021. “The Making of Bad Gentry: The Abolition of Keju, Local Governance and Anti-Elite Protests, 1902-1911.” *Journal of Economic History*. Forthcoming.

Ernesto Dal Bo et al. 2017. "Who Becomes a Politician?" *The Quarterly Journal of Economics*. 132(4): 1877-1914.

Ting Chen, James Kai-sing Kung, Chicheng Ma. 2020. “Long Live Keju! The Persistent Effects of China’s Civil Examination System” *The Economic Journal*. 130(631): 2030–2064.

Bai, Ying and Ruixue Jia. 2016. “Elite Recruitment and Political Stability: The Impact of the Abolition of China's Civil Service Exam System.” *Econometrica*. 84(2): 677-733

7. 领导人与经济增长

Adi Brender and Allan Drazen. 2013. “Elections, leaders, and the composition of government spending.” *Journal of Public Economics*. 97: 18-31.

Hodler, Roland, and Paul Raschky. 2014. “Regional favoritism.” *The Quarterly Journal of Economics*. 129(2): 995-1033.

Nicholas Carnes and Noam Lupu. 2015. "What Good Is a College Degree? Education and Leader Quality Reconsidered" *Journal of Politics*. 78(1): 35-49.

Li, Jingheng, Xi, Tianyang, and Yang Yao. 2020. "Empowering Knowledge: Political Leaders, Education, and Economic Liberalization." *European Journal of Political Economy*. 61: 1-16.

8. 领导人与制度变迁

Oeindrila Dube and S. P. Harish. 2020. “Queens.” *Journal of Political Economy*. 128(7): 2579–2652.

Dal Bo, Ernest, Dal Bo, Pedro, and Jason Snyder. 2009. “Political Dynasties.” *Review of Economic Studies*. 76(1): 115-142

Jiang, Junyan, Xi, Tianyang, and Haojun Xie. 2020. “In the Shadows of Great Men: Leadership Turnovers and Power Consolidation in Autocracies” Working paper.

Thomas Gift and Daniel Krmaric. 2015. “Who Democratizes? Western-educated Leaders and Regime Transitions.” *Journal of Conflict Resolution*. 61(3): 671-701.

9. 税收与债务国家

Hibbs, Douglas, and Violeta Piculescu. 2010. "Tax Toleration and Tax Compliance: How Government Affects the Propensity of Firms to Enter the Unofficial Economy." *American Journal of Political Science*. 54(1): 18-33.

Casaburi, Lorenzo, and Ugo Troiano. 2016. "Ghost-House busters: The electoral response to a large anti-tax evasion program." *The Quarterly Journal of Economics* 131(1): 273-314.

Besley, Timothy, and Torsten Persson. 2014. "Why Do Developing Countries Tax So Little?" *Journal of Economic Perspectives*. 28(4): 99-120.

Aguiar, Mark, and Manuel Amador. 2011. "Growth in the Shadow of Expropriation." *The Quarterly Journal of Economics*. 126: 651-697.

Mares, Isabela, and Didac Queralt. 2015. "The non-democratic origins of income taxation." *Comparative Political Studies*. 48(14): 1974-2009.

Denis Cogneau, Yannick Dupraz, Sandrine Mesplé-Somps. 2020. "Fiscal capacity and dualism in colonial states: The French empire 1830-1962." *The Journal of Economic History*. 81(2): 441-480.

Li, Lixing, Liu, Zhengcheng, Nie, Zhuo, and Tianyang Xi. 2021. "Evading by All Means: How does Value-added Tax Affect Payroll Tax Compliance in China?" *Journal of Economic Behavior & Organization*. 185: 770-784.

Khan, Adnan, Khwaja, Asim, and Benjamin Olken. 2016. "Tax Farming Redux: Experimental Evidence on Performance Pay for Tax Collectors." *The Quarterly Journal of Economics*. 219-271.

10. 因果识别在社会科学的前沿进展

Cyrus Samii. 2016. "Causal Empiricism in Quantitative Research." *Journal of Politics*. 78(3).

Alberto Abadie, Alexis Diamond, Jens Hainmueller. 2014. "Comparative Politics and the Synthetic Control Method." *American Journal of Political Science*. 59(2): 495-510.

Tarik Abou-Chadi and Werner Krause. 2018. "The Causal Effect of Radical Right Success on Mainstream Parties' Policy Positions: A Regression Discontinuity Approach." *British Journal of Political Science*. 50(3): 829-847.

Guy Grossman and Kristin Michelitch. 2018. "Information Dissemination, Competitive Pressure, and Politician Performance between Elections: A Field Experiment in Uganda." *The American Political Science Review*. 112(2): 280-301.

Jennifer Larson. 2021. "Networks of Conflict and Cooperation." *Annual Review of Political Science*. 24: 89-107

11. 制度与社会冲突

Debraj Ray and Joan Esteban 2017. "Conflicts and Development." *Annual Review of Economics*. 9:263-93.

Toke Aidt and Franck Raphaël 2015. "Democratization Under the Threat of

Revolution: Evidence from the Great Reform Act of 1832.” *Econometrica*. 83(2): 505-547.

Lyall, Jason, Zhou, Yang-Yang, and Kosuke Imai. 2019. “Can Economic Assistance Shape Combatant Support in Wartime? Experimental Evidence from Afghanistan.” *American Political Science Review*. 114(1): 126-143.

Lowes, Sara, and Eduardo Montero. 2021. “Concessions, Violence, and Indirect Rule: Evidence from the Congo Free State.” *The Quarterly Journal of Economics*. Forthcoming.

Garfias, Francisco and Emily Sellars. 2021. "From Conquest to Centralization: Domestic Conflict and the Transition to Direct Rule" *Journal of Politics*.

Przeworski, Adam, Rivero, Gonzalo, and Tianyang Xi. 2015. "Elections as a Conflict Processing Mechanism." *European Journal of Political Economy*. 39: 235-48.

12. 分权与集权

Malesky, Edmund, Nguyen, Guong Viet, and Anh Tran. 2014. “The Impact of Recentralization on Public Services: A Difference-in-Differences Analysis of the Abolition of Elected Councils in Vietnam.” *The American Political Science Review*. 108(1): 144-168.

Carruthers, Bruce, and Naomi Lamoreaux. 2016. "Regulatory races: The effects of jurisdictional competition on regulatory standards." *Journal of Economic Literature*. 54(1): 52-97.

Qian, Yingyi, and Chenggang Xu. 1993. "The M-form hierarchy and China's economic reform." *European Economic Review*. 37:541-548.

Callander Steve and B Harstad. 2015. "Experimentation in federal systems." *The Quarterly Journal of Economics*. 130(2): 951-1002.

Grossman, Guy, and Janet Lewis. 2014. "Administrative Unit Proliferation." *The American Political Science Review*. 108(1): 196-217.

13. 国家与市场

Kim, In Song. 2017. "Political Cleavages within Industry: Firm-level Lobbying for Trade Liberalization." *The American Political Science Review*. 111(1): 1-20.

Harstad, Bard and Jakob Svensson. 2011. “Bribes, Lobbying, and Development.” *The American Political Science Review*. 105(1): 46-63.

Fishback, Price. 2017. "How successful was the New Deal? The microeconomic impact of New Deal spending and lending policies in the 1930s." *Journal of Economic Literature*. 55(4): 1435-1485.

Storeygard, Adam. 2016. "Farther on down the road: Transport costs, trade and urban growth in sub-Saharan Africa." *The Review of Economic Studies*. 83(3): 1263-1295.

Aghion, Philippe. et al. 2015. "Industrial policy and competition." *American Economic Journal: Macroeconomics*. 7(4): 1-32.

Shi, Xiangyu, Xi, Tianyang, Zhang, Xiaobo, and Yifan Zhang. 2021. "Moving Umbrella: Bureaucratic Transfers and the Comovement of Interregional Investments in China." *Journal of Development Economics*. Forthcoming.

Colonnelli, Emanuele, and Mounu Prem. 2021. "Corruption and Firms." *The Review of Economic Studies*. 1-38.

14. 腐败与经济发展

Williams, Martin. 2017. "The political economy of unfinished development projects: Corruption, clientelism, or collective choice?" *The American Political Science Review*. 111(4): 705-723.

Ahmed, Ali, and David Stasavage. 2020. "Origins of early democracy." *The American Political Science Review*. Forthcoming.

Nakaguma, Marcos. 2015. "Choosing the form of government: Theory and evidence from Brazil." *The Economic Journal*. 125(589): 1986-2023.

Shleifer, Andrei, and Rober Vishny. 1993. "Corruption." *The Quarterly Journal of Economics*. 108(3): 599-617.

Chaudhuri, Kausik, Schneider, Friedrich, and Sumana Chattopadhyay. 2006. "The size and development of the shadow economy: An empirical investigation from states of India." *Journal of Development Economics*. 80(2): 428-443.

Xi, Tianyang, Yao, Yang, and Qian Zhang. 2021. "Purifying the Leviathan: The Anti-Corruption Campaign and Changing Governance Models in China." Working paper.

15. 金融与政治

Jha, Saumitra. 2015. "Financial asset holdings and political attitudes: Evidence from revolutionary England" *The Quarterly Journal of Economics*. 130(3): 1485-1545.

Guinnane, Timothy, et al. 2007. "Putting the corporation in its place." NBER working paper.

Dari-Mattiacci, Giuseppe, et al 2017. "The emergence of the corporate form." *The Journal of Law, Economics, and Organization*. 33(2): 193-236.

Pagano, Marco, and Paolo Volpin. 2005. "The political economy of corporate governance." *The American Economic Review*. 95(4): 1005-1030.

Rajan, Raghuram, and Rodney Ramcharan. 2011. "Land and credit: A study of the political economy of banking in the United States in the early 20th century." *Journal of Finance*. 66(6): 1595-1931.

Opitz, Alexander 2018. "Comrades, Let's March! The Revolution of 1905 and its impact on financial markets." *European Review of Economic History*. 22(1): 28-52.

16. 土地问题

***Banerjee, Abhijit, and Lakshmi Iyer. 2005. "History, Institutions, and economic performance: The legacy of colonial land tenure systems in India." *The American Economic Review*. 95(4): 1190-1213.**

Baland, Jean-Marie, and James Robinson. 2008. "Land and power: Theory and evidence from Chile." *The American Economic Review*. 98(5): 1737-1765.

Field, Erica. 2007. "Entitled to Work: Urban Property Rights and Labor Supply in Peru." *Quarterly Journal of Economics*. 122(4): 1561-1601.

Fergusson, Leopoldo. 2013. "The political economy of rural property rights and the persistence of the dual economy." *Journal of Development Economics*. 103: 167-181.

Ansell, Ben. 2014. "The Political Economy of Ownership: Housing Markets and the Welfare State." *The American Political Science Review*. 108(2): 383-402.