

APPENDIX I INTERVIEW METHOD AND INFORMANT POOL

This appendix provides details concerning the interview set used in this book. Heimer and Thøgersen's *Doing Fieldwork in China* (2006) offers thorough and updated methodological guidance. Our interviews were undertaken from 2009 to 2014, spanning nearly five years of the late Hu-Wen administration and the early Xi-Li administration, witnessing a gradual ideological shift from one slogan (Harmonious Society) to another (Modernization of State Governance). It was thus a suitable period to observe and explore the discursive adjustments made by governance theorists and practitioners as they did in the early days of the introduction of governance in China. The leading proponents of governance mentioned in this book are active in academic and policy circles, in particular at the Central Compilation & Translation Bureau, Renmin University, Zhejiang University, Peking University and Fudan University. Beijing and Shanghai are the two major cities where governance ideas are created, circulated and experimented. Those who once studied at these centers have found new positions at universities, party schools or administrative academies in other cities. In this regard, the institutional and geographic distribution of the interviewees roughly corresponds to their generational relations. The Chinese story of governance, now more than 20 years long, can be read largely as their collective work. The informant pool of 30 interviewees was selected for their contributions to the intellectual development of governance, according to peer

evaluations and citation rates of their corpus of works. The following information about the governance scholars interviewed for this study is provided: position, affiliation and location. For reasons of privacy, all names in the following list are pseudonyms.

1. Yu Qinying. Professor. Renmin University of China. Beijing.
2. Zhou Yihong. Professor. Renmin University of China. Beijing.
3. Chen Zhenyu, Professor, Renmin University of China. Beijing.
4. Li Guoxiong, Associate Professor, Renmin University of China. Beijing.
5. Liao Wen. Associate Professor, Renmin University of China. Beijing.
6. Sun Yong. Research Fellow. Central Compilation & Translation Bureau. Beijing.
7. Cai Jianshe. Research Fellow. Central Compilation & Translation Bureau. Beijing.
8. Chen Qichang. Research Fellow. Central Compilation & Translation Bureau. Beijing.
9. Zhang Fengji. Research Fellow. Central Compilation & Translation Bureau. Beijing.
10. Lin Zhongrong. Professor. University of International Business and Economics. Beijing.
11. Liu Jianguo. Professor. Peking University. Beijing.
12. Wu Shujian. Professor. Peking University. Beijing.
13. Xi Cuimei. Professor. China National School of Administration. Beijing.
14. Li Chaoqun. Professor. Fudan University. Shanghai.
15. Liu Jinchang. Associate Professor. Fudan University. Shanghai.
16. He Xianlong. Professor. Fudan University. Shanghai.
17. Wei Jieming. Associate Professor. Fudan University. Shanghai.
18. Wu Zhenzhong. Professor. Tongji University. Shanghai.
19. Tong Xiaoke. Professor. Tongji University. Shanghai.
20. Wang Hongmei. Professor. East China University of Political Science and Law. Shanghai.
21. Ding Yi. Associate Professor. Shanghai Administration Institute. Shanghai.
22. Guo Yelin. Professor. Zhejiang University. Hangzhou.
23. Li Renjie. Professor. Zhejiang University. Hangzhou.

Table A.1 The topic guide used in interviews

<i>Part I Introduction</i>
<ol style="list-style-type: none"> 1. Researcher position, expectation of career, objective of the study, methodology, source of data 2. Respondent occupation, affiliation, research interests, relevant publications
<i>Part II Main questions</i>
<i>Individual work(s)</i>
<ol style="list-style-type: none"> 1. Could you first of all tell me how you became interested in issues of governance in your research and writings? 2. What would you say is the problematic of your work(s) about governance? 3. What kind of policy suggestions are addressed in your work(s)? What is the significance of such suggestions for the ongoing political-administrative reforms? 4. What would you say is the distinctiveness of your work(s) compared with other governance studies? 5. What is the contribution of your work to the study of governance in the context of China?
<i>General background</i>
<ol style="list-style-type: none"> 6. Which environmental factors or any particular event have been important in pushing scholars to engage in governance theory? (Specifying the time scale; ask casually, if not, ask the next question instead) 7. What is the relationship between the rise of governance theory and Chinese broad context of political-economic reforms? 8. Does governance theory introduce some new perspectives to understand China's political-administrative development during the reform era? To what extent can governance theory help scholars to understand the political reality of transitional China?
<i>Intellectual development of governance theory in China</i>
<ol style="list-style-type: none"> 9. Are there any linkages between governance theory and the other theories or ideas in public administration (or political science)? 10. How would you evaluate the introduction and application of western theories of governance in transitional China? What are the implications of such event for Chinese public administration? 11. How would you assess the current intellectual development of governance theory in China?
<i>Part III Recommendations</i>
<ol style="list-style-type: none"> 1. Among the scholars specialized in governance theory, which one(s) do you particularly appreciate? Based on which works in your readings, if available? 2. Which topic(s) is worthy of further study in the field of governance? Why?

24. Jin Huaiyuan. Professor. Zhejiang Gongshang University. Hangzhou.
25. Zhou Wenhai. Research Fellow. Zhejiang Provincial Party School. Hangzhou.
26. Xiao Ligong. Professor. Sun Yat-sen University. Guangzhou.
27. Zhai Junjie. Professor. Sun Yat-sen University. Guangzhou.
28. Yang Jun. Professor. Central China Normal University. Wuhan.
29. Ren Hai. Professor. Nanjing University. Nanjing.
30. Wu Feng. Associate Professor. Central South University. Changsha.

In practice, the length of an interview was generally kept under two hours, with actual progress adjusted based on informants' responses. Meanwhile, two additional tasks were carried out: the refining of the topic guide as the interviews progressed and the collecting of primary and secondary documents, statistical data, scholarly literature and journalistic publications from the libraries of research institutions. These tasks aimed to improve the validity and effectiveness of interviews. The following table presents the main questions in the practical semi-structured interviews. ([Table A.1](#))

APPENDIX II SAMPLING METHOD FOR GOVERNANCE TEXTS

The corpus of sample texts for textual analysis in this book was selected from a few leading journals published by Chinese party schools and administrative academies. The data collection had two steps. First, we identified sample journals from the recent six-year annual rankings (2010–2015) of the Information Center for Social Sciences of Renmin University of China, based on the statistical analysis of articles published in its *Replicated Journals*. The Chinese academic community generally accepts the authority of this professional ranking in the field of humanities and social sciences. In the category “journals of cadre training schools,” the Center usually lists the top 20 journals according to their overall performance. We drew on this source of data and then calculated the frequency and ranking of each journal every year. The following table shows the result of this first step ([Table A.2](#)).

For the second step, we used the online database China National Knowledge Infrastructure (CNKI) to identify the four most cited articles on governance in the journals we had labeled. The advantage of this method was that it took into account the academic significance of articles and journals. A total of 80 texts were selected. In this way, we were able to draw a satisfactorily full picture of governance discourse for possible ideal-type synthesis.

The literature has three obvious features that deserve illustration. First, these governance authors are generally supportive of the government and are primarily concerned with improving state capacity. Second, the texts

Table A.2 List of selected journals of party schools and administrative academies

<i>Ranking</i>	<i>Title in Chinese</i>	<i>Title in English</i>	<i>Publisher</i>	<i>Frequency</i>	<i>year</i>										
					<i>Est.</i>	<i>2010</i>	<i>2011</i>	<i>2012</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>				
1	理论学刊	Theory Journal	Shandong Provincial Party School	Monthly	1984	10	4	9	5	14	11				
2	北京行政学院学报	Journal of Beijing Administrative College	Beijing Administrative College	Bimonthly	1999	7	2	13	10	3	5				
3	江苏行政学院学报	Journal of Jiangsu Administration Institute	Jiangsu Administration Institute	Bimonthly	2001	11	1	1	2	1	10				
4	上海行政学院学报	Journal of Shanghai Administration Institute	Shanghai Administration Institute	Bimonthly	2000	13	16	5	13	4	1				
5	理论探讨	Theoretical Investigation	Heilongjiang Provincial Party School	Bimonthly	1984	4	13	10	12	15	2				
6	中共浙江省委党校学报	Journal of Zhejiang Provincial Party School	Zhejiang Provincial Party School	Bimonthly	1985	19	20	14	18	8	12				
7	学习论坛	Tribune of Study	Henan Provincial Party School	Monthly	1986	2	12	3	3	6	13				
8	新视野	Expanding Horizons	Beijing Municipal Party School	Bimonthly	1984	9	7	16	6	9	8				
9	甘肃行政学院学报			Bimonthly	1992	6	3	4	4	7	16				

10	探索	Journal of Gansu Administration Institute Probe	Gansu Administration Institute Chongqing Municipal Party School Ningbo Municipal Party School	Bimonthly	1985	1	10	8	5	3
11	中共宁波市委党校学报	Journal of the Party School of CPC Ningbo Municipal Committee	Ningbo Municipal Party School	Bimonthly	1979	14	19	16	13	19
12	中国延安干部学院学报	Journal of China Executive Leadership Academy Yan'an	China Executive Leadership Academy Yan'an	Bimonthly	2008	18	8	2	1	19
13	中国浦东干部学院学报	Journal of China Executive Leadership Academy Pudong	China Executive Leadership Academy Pudong	Bimonthly	2007	15	5	6	8	16
14	国家行政学院学报	Journal of Chinese Academy of Governance	Chinese Academy of Governance	Bimonthly	1999	20	11	18		7
15	理论与改革	Theory and Reform	Sichuan Provincial Party School	Bimonthly	1988	5	6	20	11	
16				Bimonthly	1973	3	14	11	11	15

(continued)

Table A.2 (continued)

<i>Ranking</i>	<i>Title in Chinese</i>	<i>Title in English</i>	<i>Publisher</i>	<i>Frequency</i>	<i>Est. year</i>	2010	2011	2012	2013	2014	2015
	中共天津市委党校学报	Journal of the Party School of Tianjin Committee of the CPC	Tianjin Municipal Party School								
17	中共中央党校学报	Journal of the Party School of the Central Committee of the CPC	Party School of the Central Committee of the CPC	Bimonthly	1997	12	15	12	2	4	4
18	行政论坛	Administrative Tribune	Heilongjiang Administration Institute	Bimonthly	1994		11	9	20	18	18
19	中国井冈山干部学院学报	Journal of China Executive Leadership Academy Jingtangshan	China Executive Leadership Academy Jingtangshan	Bimonthly	2008		15	12	12	14	14
20	天津行政学院学报	Journal of Tianjin Administration Institute	Tianjin Administration Institute	Bimonthly	1999		9	17	18	18	18

Source: Information Center for Social Sciences of Renmin University, available at: www.zlzx.org

Note: The ranking of a particular journal from 2010 to 2015 is listed at the six columns on the right side. The final ranking of each journal is calculated by the author.

Table A.3 Characteristics of the texts selected

<i>Number of texts</i>	<i>80 texts</i>
Number of authors	106 authors
Number of state-funded projects	23 projects
Examples of topics	Urban governance; rural governance; e-governance; regional governance; emergency governance; governance reform; community governance; meta-governance; collaborative governance
Some authors' names	Bao Xinjian; Huang Honghua; Sun Xiaoli; Tang Xiaoteng; Xiao Tangbiao; Yu Keping; Yu Jianxing; Zhang Kangzhi; Zhao Xiaofeng
Some cited foreign authors' names	Anthony Giddens; Elinor Ostrom; Gerry Stoker; Roderick Rhodes; Ulrich Beck
Year of publication	2001(4); 2002(3); 2003(9); 2004(9); 2005(11); 2006(7); 2007(8); 2008(4); 2009(8); 2010(9); 2011(3); 2012(2); 2013(1); 2014(2)

are always structured in a prescriptive rather than analytical format, and at least three organic parts are identifiable in these policy-oriented prescriptions—diagnosis of problems, theoretical discussion and policy advice—typically in that order. Third, there is relatively little micro-level analysis of particular governance issues. Instead, most works focus on overarching themes, and their authors seem reluctant to examine special cases, focusing instead on more general patterns of governance. Consequently, compared with detailed empirical studies, the grand narrative is more often used as a way of writing. To sum up, all three features represent the strong policy orientation embedded in these disciplinary discourses, which are better suited for providing government-friendly advice than for offering criticism. The table here summarizes the main characteristics of the sample texts (Table A.3).

APPENDIX III LIST OF SAMPLE GOVERNANCE TEXTS

1. Bao, Xinjian. 2013. “Lunxieshang Minzhude Xianshi Zhengzhi Jiazhishi Zhiduhua Goujian [On the Political Significance and Institutional Building of Deliberative Democracy].” *Journal of the Party School of Tianjin Committee of the CPC* 1: 3–8.
2. ———. 2014. “Quanmian Shenhua Gaige: Jueding Dangdai Zhongguo Qiantuhe Mingyunde Guanjian Jueze [Comprehensively Deepening Reform: The Key Choice of the Future and Destination of Contemporary China].” *Journal of China Executive Leadership Academy Yan’an* 7(1): 32–47.
3. Bu, Wanhong. 2004. “Shizouxiang Shequ Zizhi Haishi Jianli Shequ Zhili Jiegou: Guanyu Woguo Chengshi Shequ Jianshe Mubiao Dingweide Sikao [Toward the Autonomy of Community or Community Governance Structure: Reflection on the Objectives of Urban Community Building in China].” *Theory and Reform* 6: 58–61.
4. Cai, Jingjing and Li Deguo. 2005. “Zhengce Wangluo Zhongde Zhengfu Zhili [Governance in Policy Network].” *Theoretical Investigation* 125: 122–125.
5. Chen, Gang. 2011. “Shehui Guanli Chuangxinyu Jiceng Weiwen Shijian: Yibeijingshi Chaoyangqu ‘Yiwang, Liangku, Sanguan’ Kexue Weiwen Tixi Weili [Social Management Innovation and Primary-Level Stability Safeguard].” *Journal of China Executive Leadership Academy Yan’an* 4(1): 86–92.

6. Chen, Wenhua, Liu Shanqing and Peng Bo. 2008. "Chanye Jiqun Fazhan zhongde Zhengfu Zhili [Governance in the Development of Industrial Clusters]." *Journal of China Executive Leadership Academy Jinggangshan* 1(3): 94–100.
7. Deng, Weizhi and Liu Chunping. 2006. "Hezuo Zhuyi Moshixia Minjian Zuzhide Peiyuhe Fazhan [Creation and Development of Civil Organizations in Corporatist Model]." *Journal of Chinese Academy of Governance* 11: 126–130.
8. Fan, Tiezhong. 2007. "Xifang Guojia Zhili Lilun Duiwoguo Goujian Hexie Shehuide Qishi [Lessons of Western Governance Theory for Chinese Pursuit of Harmonious Society]." *Theory and Reform* 13: 18–20.
9. Feng, Ling and Wang Ming. 2003. "Zhili Lilunyu Zhongguo Chengshi Shequ Jianshe [Governance Theory and Urban Community Building in China]." *Theory and Reform* 3: 25–27.
10. Ge, Wei. 2009. "Gongzhong Jueqi: Shehui Zhilide Xinhuanjing [The Rise of the Public: A New Condition for Social Governance]." *Theory Journal* 184: 72–77.
11. Gong, Peixing and Chen Hongsheng. 2003. "Zhegnfu gongxinli: Linian, Xingweiyu Xiaoliude Yanjiu Shijiao [Government Credibility: A Perspective of Ideal, Behaviour, and Efficiency]." *Journal of the Party School of the Central Committee of the CPC*. 7 (3): 34–38.
12. Guo, Zhenglin. 2002. "Lunxiangcun Sanchong Guanxi [On the Triple Relationship between Towns and Villages]." *Journal of Beijing Administrative College* 2: 1–6.
13. He, Xianming. 2005. "Shichanghua Jincheng Zhongde Difang Zhili Moshi Bianqian Jiqi Neizai Luoji: Jiyu Zhejiangde Ge'an Yanjiu [The Changing Models of Local Governance in Marketization and Their Logic: A Case Study of Zhejiang Province]." *Journal of Zhejiang Provincial Party School* 6: 14–22.
14. He, Zhe. 2010. "Quntixing Shijiande Yanhuahe Zhili Celue: Jiyu Jiti Xingweihe Xifang Shehui Yundong Lilunde Fenxi [The Evolution of Collective Resistance and Its Governing Strategies: An Analysis Based on the Theories of Collective Action and Western Social Movement]." *Theory and Reform* 4: 105–109.
15. Hu, Xiangming and Lu Ping. 2002. "Zhili Shiye Xiade Zhengfu Gonggong Fuwu Shichanghua [Marketization of Public Service in

- the Perspective of Governance].” *Journal of Beijing Administrative College* 5, 20–24.
16. Huang, Xuexian and Qi Jiandong. 2009. “Shilun Gongmin Canyuquande Faliu Baozhang [On Legal Protection of Citizen’s right to Participate].” *Journal of Gansu Administration Institute* 5: 117–124.
 17. Jia, Bo. 2005. “‘Fuwuxing Zhengfu’ Tanjiu [An Inquiry of ‘Service-Oriented Government’].” *Tribune of Study* 21(2): 25–28.
 18. Jin, Minqing. 2010. “Yingxiang Woguo Shehui Wendingde Jige Yinsu Janxi [A Study on China’s Social Stability].” *Journal of China Executive Leadership Academy Pudong* 4(6): 15–20.
 19. Li, Bin. 2009. “Lunwangluo Zhengzhi Canyu Zhiliyu Tiaoshide Tuijin Lujinghe Jiben Yuanze [On the Path and Principle of Governing Political Participation in the Cyber-Space].” *Journal of Tianjin Administration Institute* 11(4): 22–26.
 20. Li, Jianqin and Wang Shizong. 2005. “Minjian Shanghuiyu Difang Zhengfu: Quanli Boyi, Hudong Jizhiyu Xianshi Juxian [Chambers of Commerce and Local Government: Power Struggle, Interactive Dynamic, and Practical Limitation].” *Journal of Zhejiang Provincial Party School* 5: 5–12.
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 24. Liu, Xia and Xiang Liangyun. 2007. “Gonggong Weiji Zhili: Yizhong Butongde Gainian Kuangjia [Public Crisis Governance: A New Conceptual Framework].” *Expanding Horizons* 5: 50–53.

25. Lu, Hanlong. 2004. "Zhongguo Chengshi Shequde Zhili Moshi [Community Governance Models in Urban China]." *Journal of Shanghai Administration Institute* 5(1): 56–65.
26. Ma, Qingyu. 2006. "Feizhengfu Zuzhi Shengcunyu Fazhande Luoji Jieshi [On the Subsistence and Development of the NGOs]." *Journal of Tianjin Administration Institute* 8(3): 16–20.
27. Ma, Xiheng. 2004. "Shequ Zhili Kuangjia Zhongde Jumin Canyu Wenti: Yixiang Fansixingde Kaocha [Residential Participation in the Framework of Community Governance: A Reflective Exploration]." *Journal of Shanghai Administration Institute* 5(2): 59–67.
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29. Shen, Ronghua and Zhou Yicheng. 2003. "Zhili Lilunyu Woguo Zhengfu Gaigede Youxianxing Daoxiang [Governance Theory and Chinese Political Reform towards Limited Government]." *Theoretical Investigation* 114: 5–8.
30. Shen, Yuechun. 2014. "Jiakuai Zhuanbian Zhengfu Zhineng, Shenhua Xingzheng Tizhi Gaige [Accelerating the Transformation of Government Functions and Deepening Administrative System Reform]." *Journal of China Executive Leadership Academy Pudong* 8(4): 45–50.
31. Su, Xuhong. 2001. "Lundianzi Zhengfu Zhiliji Zhidu Chuangxin [On E-Governance and Institutional Innovation]." *Probe* 3: 85–88.
32. Sun, Baiying, You Xiangbin and Peng Lei. 2001. "Shequ Minzhu Canyu: Renzhong Daoyuan [Democratic Participation in Community: Long Way to Go]." *Journal of Chinese Academy of Governance* 2: 74–79.
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38. Wan, Jun. 2006. “Dali Tuijin Zhengfu Goumai Gonggong Fuwu: Gonggong Zhili Biange Zhidao [Promoting Government Purchase of Public Services: The Reform of Public Governance].” *Expanding Horizons* 6: 67–68.
39. Wang, Chenglan, Liu Fuchun, Guo Chunpu and Chen Yu. 2005. “Huiyingxing Zhengfu: Goujian Hexie Shehui Duizhengfu Zhili Moshide Biran Yaoqiu [Responsive Government: The Request of Governance in building a Harmonious Society].” *Probe* 5: 56–59.
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- Theory of Public Management].” *Journal of Jiangsu Administration Institute* 19: 96–100.
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- Governance ‘by the Famers and for the Farmers’].” *Theory Journal* 158: 85–86.
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 62. ———. 2007. “Hexie Shijieyu Quanqiu Zhili [Harmonious World and Global Goernance].” *Journal of the Party School of Tianjin Committee of the CPC* 2: 5–10.
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INDEX

A

Accountability, 32, 38n26, 45, 133, 146, 162, 166n18, 175

Accumulation
capital, 3, 4, 5, 10, 17, 43, 52, 55, 69, 78, 183
logic of, 4
urban-centred wealth, 69

Acquisition, 10, 135
of money, 10

Administrative
Academy, 134
centralization, 30, 110, 127
decentralization, 30, 53, 84n21
reform, 17, 20, 30, 38n32, 92, 125, 128, 131, 136, 137, 152, 153, 167n35, 181

Agent, 3, 4, 10, 18, 19, 22, 24, 46, 48, 64, 69, 92, 99, 100, 102, 103, 108, 111, 112, 114, 116, 162
governmental, 161

Agricultural reform, 52

Alienate, 4, 38n26, 44, 49
labour, 4

American imperialism, 115

Ames, Roger, 90

Anglo-Governance School, 177

Appropriate, 3, 12, 27, 31, 60, 81, 92, 106, 107, 127, 132, 135, 149, 169, 176, 180, 185

Aron, Raymond, 7

Arrighi, Giovanni, 78–79

Asian Financial Crisis, 68

Aucoin, Peter

Authority
decentralize, 23, 108
hierarchical, 22, 177

Autonomy, 14, 100, 101, 102, 109, 110, 112, 129, 130, 140, 150, 159, 162

B

Babylon, 4

Bache, Ian, 38n30

Banking system, 59

Bankruptcy law, 53

Barry, Andrew, 82n2

Barzelay, Michael, 173, 190n2

Baxter, Richard, 11

Bell, Daniel, 13, 16

Boltanski, Luc, 14

Bo Yibo, 52

Britain, 17, 27, 45, 47, 63

Buchanan, James, 91, 136

- Bureaucracy
 dynamism of, 7
 ideal-type, 7, 9
 Bureaucratic system, 22, 132, 137,
 163, 174, 183
 Bureaucratism, 108
 Bureaucratization, 182
- C**
- Cadre
 bureaucratic capitalist, 3, 57, 171,
 180, 183
 of the Chinese party-state, 16, 48,
 183
 entrepreneurial, 16, 109, 116
 Calculation, 3, 45, 49, 157
 Rational, 3
 Calling, 11, 43, 89, 153, 179, 188
 Calvinist, 11, 179
 Capital
 discipline of, 4
 foreign, 68
 Capitalism
 advanced, 14
 agents of, 4
 contradictions of, 13
 crony, 114
 laissez-faire, 3
 neoliberal mode of, 3
 state, 42, 67, 68, 69, 79, 90,
 116, 170
 welfare, 64
 Castells, Manuel, 25
 Central Compilation & Translation
 Bureau, 144, 193, 194
 Central planning, 51, 54, 107
 Chamber of commerce, 159
 Chen Yun, 50, 52
 Chiapello, Eve, 14
 Chinese Communist Party
 (CCP), 36n3, 49, 51–59, 64–67,
 70, 72–74, 76, 77, 81, 83n15,
 85n47, 86n50, 88, 89, 90, 98,
 100, 113, 115, 116, 121n47,
 125, 126, 127, 128, 144,
 165n8, 167n29, 171, 172, 183,
 187, 188
- Christian
Asceticism, 11
 sect, 5
 City-state, 4
 Civic virtue, 102, 129
 Class
 bureaucratic, 182
 business, 103, 108, 117, 150, 183
 entrepreneurial, 5, 12, 44,
 137, 159
 polarization, 57, 115
 power, 3, 4, 17, 42, 43, 44, 78
 society, 139
 struggle, 12, 52, 89, 125, 126, 127,
 129, 139, 141
 Coase, Ronald, 22, 37n24
 Collaboration, 90, 94, 95, 96, 98,
 100–102, 107, 109, 112, 114,
 116, 131, 146, 149, 150, 151,
 153, 157, 163, 172
 Commodification, 43, 60, 63, 82n4,
 163, 183
 Common good, 13, 31, 94, 100, 107,
 112, 116, 174
 Communism, 180
 Communist Youth League, 72
 Community
 association, 25, 74, 76
 building, 107, 161
 Confucius, 88, 89
 foundation, 88
 Congress of Arts and Sciences, 1
 Consumer goods, 50, 51, 54
 Coordination, 23, 26, 27, 73, 76, 91,
 101, 104, 112, 132, 177
 horizontal, 23

Core executive, 177
 Corruption, 56, 57, 68, 114,
 128, 187
 Cultural Revolution, 2, 50, 51, 73, 89,
 125, 126, 127, 164n6

D

De Bary, William, 89
 Democracy, 29, 43, 57, 81, 85n46,
 114, 128, 129, 130, 147, 148,
 149, 150, 152, 173, 187, 188,
 191n5
 Deng Liqun, 55, 83n15
 Deng Xiaoping, 17, 49, 127,
 140, 188
 Deng Zhenglai, 129
 Deregulation, 17, 45, 133, 137, 157,
 183, 191n5
 Developmental strategy, 58, 66
 Dichotomy, 5, 138
 Ding Xueliang, 51, 57, 72
 Disciplinary orientation, 16, 127, 142,
 143, 172, 187
 Discourse
 disciplinary, 16, 35, 124, 125,
 137, 187
 paradigmatic, 162, 186
 political, 15, 34, 35, 46, 47, 82n2,
 91, 92, 127, 128, 144,
 152, 186
 Disposable income, 50
 Dispossession, 44, 47, 65
 Division of labour, 95, 120n35
 Dogmatism, 15, 119n20
 Domination
 traditional, 8
 unconditioned, 12
 Dual-track system, 70, 158
 Dynasty
 Qin, 140
 Qing, 140

E

Economic determinism, 5, 179
 Education, 19, 54, 55, 60, 62–63,
 69, 70, 73, 84n21, 86n49,
 86n50, 110
 Efficiency, 2, 12, 38n26, 45, 60, 96,
 97, 104, 135, 157, 158, 166n19,
 174, 182, 191n5
 Egalitarian, 43, 54
 Election, 11, 130, 161
 Elite, 12–13, 43, 45, 46, 64, 69, 93,
 103, 110, 115, 149, 159, 163,
 172, 173
 Engels, Frederick, 36n5, 85n47, 139,
 164n6
 Enlightenment, 13, 91
 Enterprise
 collective-owned (COE), 52
 foreign, 68
 private, 51, 54, 60, 78, 98, 110, 147
 reform, 54
 social, 55
 state-owned (SOE), 52
 township and village (TVE), 53
 Entrepreneur, 3–5, 10–13, 15–17, 19,
 23, 43, 44, 48, 69, 78–80, 92,
 103, 109–110, 113, 116–117,
 130, 137, 148, 149, 159,
 160, 182
 Environment, 17, 22–27, 31, 32, 45,
 80, 91, 95, 102, 104–106, 108,
 111, 112, 125, 132, 135, 148,
 153, 166n19, 173
 Evans, Peter, 29

F

Falun Gong, 66, 148, 171
 Feudalism, 108
 Fewsmith, Joseph, 121n47
 Feudalism, 108
 Five-year plan, 72, 75

Flinders, Matthew, 38n30

Fordism, 50

Foreign direct investment, 52

Foucault, Michel, 47

Franklin, Benjamin, 2, 10

Frederickson, George, 29

Friedman, Milton, 136

G

Gaebler, Ted, 23, 136, 174

Giddens, Anthony, 6, 36n5, 180

Goldman Sachs, 59

Goodman, David, 69

Governance

collaborative, 75, 95, 99, 100,
102–104, 106, 107, 109, 113,
138, 183

community, 160

crisis of, 120n37, 131

democratic, 30, 143

discourse, 162

good, 18, 96–98, 102, 111, 132,
133, 145–147, 149–152, 154,
155, 159, 160, 162, 163

mechanisms of, 22

mobile technology of, 47

participatory, 143, 156, 159–161

state, 15, 28, 34, 72, 76–78, 171,
188, 189

structure, 22, 108, 154, 159

theory, 20, 32, 152

Government

conservative, 17

decentralization of, 105

democratic, 28, 128

entrepreneurial, 23

service-oriented, 99, 100, 109, 110,
111, 113, 157, 172, 173

Governmentality, 82n2

Gramsci, Antonio, 47, 70

Great Leap Forward, 58

Guanxi, 47

Gu Mu, 88

H

Hart, Jeffrey, 18

Harvey, David, 17, 42–48, 65, 80, 81,
82n2, 82n3, 91, 131

Hayek, Friedrich, 91, 136

Health care, 19, 161

Hedonism, 13

Hegemony, 78, 81

Hierarchy, 22, 24, 182

Hirschman, Albert, 12–13

Historical

materialism, 5, 126

nihilism, 188

Hollowing out, 177

Hong Kong, 52, 59

Housing, 55, 61, 69, 73, 161

Hsu, Immanuel, 83n13, 164n2

Hua Guofeng, 51

Hu Jintao, 15, 85n46

Humanity, 12, 13, 90

Hungary, 51

Hu Qiaomu, 55

I

Ideal type, 5–15, 20, 30, 32–34,
36, 37n21, 42, 88, 92, 93,
113, 123, 170, 171, 176,
178–186

methodology of, 5, 9, 15, 32, 36,
42, 88, 178

Ideological emancipation, 51, 125

Ideology

bourgeois, 55

liberal-democratic, 115

neoliberal, 3–4, 46, 47, 48, 165n12,
178

revolutionary, 52

Imperative, 5, 34, 42, 80, 92, 126
 Incentive mechanism, 22
 India, 4
 Individual liberty, 43, 48
 Industrialization, 1, 3, 50
 capitalist, 1
 Inequality, 3, 46, 54, 56, 66, 69, 128, 163
 Inflation, 54, 56, 57, 82n3, 128
 Information
 age, 25
 industry, 45
 Insecurity, 14, 19, 148
 Institution
 bureaucratic, 7, 173, 174
 political, 24, 31, 82n3, 98, 134
 Institutional adjustment, 15, 140
 Instrumental rationality, 7, 8, 154
 Intellectuals, 46, 51, 57, 68, 91, 114, 115, 127–130, 149–150
 radical, 115
 International monetary fund (IMF), 18, 131
 Interpretation, 5, 12, 18, 21, 24, 27, 28, 38n34, 42, 88, 93, 139, 143, 150, 163, 170, 176, 178, 185, 186, 189
 Interpretive
 school, 5
 understanding, 5
 Iron cage, 12
 Israelites, 41

J
 Jewish, 4
 Jiang Zemin, 58, 88
 Jing Yuejin, 129, 159
 Justification, 13, 15, 17, 30, 41, 56, 78, 98, 99, 102, 113–114, 171
 personal and general, 13

K
 Kettl, Donald, 28
 Kickert, Walter, 24
 Klein, Naomi, 17
 Kooiman, Jan, 26, 145
 Kuhn, Thomas, 9

L
 Labor surplus, 51
 Left, 3, 19, 32, 35, 54, 70, 81, 88, 102, 106, 114–116, 134, 151, 172
 wing camp, 114–115
 Legislator, 22
 Leninism, 187
 Liberal democracy, 57, 81
 Liberalism, 44, 96, 134, 136, 141
 Liberalization, 57, 64, 79, 82n3, 114, 176
 Libertarianism, 136
 Li Keqiang, 77
 Lindbeck, Tore, 8, 33
 Liu Junning, 134, 135, 166n18
 Living standards, 3, 64, 65, 148
 Lynn, Laurence, 30

M
 Macfarquhar, Roderick, 187
 Machiavelli, 28
 Management
 game, 26
 participatory, 23, 106
 totalitarian, 51
 Manager, 14, 22, 51, 53, 54, 57, 69, 79
 Managerialism, 55, 137, 166n21
 Maoism, 51, 188
 Mao Shoulong, 136, 144
 Mao Zedong, 50, 164n6
 March, James, 29, 75, 187

- Market
 mechanism, 17, 23, 60, 97, 136, 137, 147
 transition, 2, 46, 148
 Marketization, 2, 46, 49, 56, 57, 60, 66, 69, 70, 110, 114, 115, 129, 143, 160, 163, 171, 177
 capitalistic, 2
 Marsh, David, 25
 Marxism
 doctrinal, 15
 neo-, 47
 Marx, Karl, 4, 85n47, 164n6, 182
 Means of production, 54, 182, 183
 Meisner, Maurice, 83n13
 Mencius, 89, 140
 Merit principle, 23
 Mexico, 16
 Microeconomics, 21
 Middle class, 2, 49, 104, 107
 Mises, Ludwig, 136
 Modernity, 12
 Modernization, 15, 34, 42, 49, 50, 52, 72, 76, 77, 89, 114, 126, 129, 154, 170, 171, 176
 economic, 40, 50, 52
 Monopoly, 21, 65, 107, 111, 148, 183
 Moral duty, 10
- N**
 Narrative method, 27
 National Economic Census, 68
 Nationalism, 115
 National state, 12, 45, 151
 Naughton, Barry, 58, 79
 Neo-classical economics, 17, 44
 Neoliberalism, 3, 4, 15, 17, 32, 34, 35–36, 41–49, 58, 63, 67, 72, 79–81, 82n2, 52n3, 88, 91, 99, 113, 114, 116, 117, 119n20, 131, 133, 143, 145, 170–172, 178, 180, 183, 185, 188
 Chinese, 3, 4, 41–42, 46, 47–49, 63, 67, 79, 80, 88, 170, 172, 178, 180, 183, 185
 Neoliberalization, 17
 Network
 -based work structure, 14
 discourse, 14
 manage, 27
 policy, 25, 38n32, 177
 society, 25
 -style environment, 24
 New Public Management (NPM), 21, 173
 Nietzsche, Federick, 169–170, 190
 Nonini, Donald, 47, 48, 81
 Nozick, Robert, 91, 136
- O**
 Oligarchy, 16
 Olson, Johan, 29
 Ong, Aihwa, 45–47, 82n2
 Opening-up policy, 1, 52, 101
 Organization theory, 30
 Osborne, David, 29, 153, 174
 Osborne, Thomas, 82n2
 Ostrom, Elinor, 37n23, 96, 118n15
 Outsourcing, 17, 137, 157, 158
 Ownership, 54, 59, 61, 68, 71, 104, 132, 137, 148
- P**
 Paradigm, 9, 55, 56, 82n3, 144, 163, 166n21, 173–176, 181–182, 190n2
 Scientific, 9
 Party
 committee, 74, 75

- leadership, 50, 51, 57, 64, 66, 73,
 90, 127, 128, 144
 leninist, 56
 organization, 51
 school, 93, 118n9, 152, 193
 Party-state, 3, 16, 42, 46, 48, 49, 51,
 53, 56, 57, 60, 63, 67, 69, 72–74,
 77–80, 93, 98, 99, 101–103,
 106, 111–113, 115, 116, 127,
 130, 146, 150, 155–157, 178,
 180, 183
 Peck, Jamie, 44, 45, 83n10
 Peng Zhen, 55
 People's Bank of China, 59
 Performance
 collaborative, 96
 organizational, 22
 Personnel motivation, 14
 Peters, Guy, 20, 30
 Pierre, Jon, 20
 Plutocracy, 35, 113, 114, 116, 117,
 170
 Poland, 70
 Policy-making
 capacities, 29
 decentralized, 23
 joint, 26
 Political
 economy, 16, 86n50, 132
 participation, 96, 98, 130, 150,
 159, 172
 science, 20, 21, 24, 28, 32, 144,
 151, 156
 Pollitt, Christopher, 38n32, 173, 174
 Post-structuralism, 47
 Power
 demonic, 12
 distribution, 24, 38n26
 structure, 24, 46, 47, 51, 100
 Prakash, Aseem, 18
 Predestination, 11
 Price reform, 54, 57
 Principal-agent theory, 22, 37n24
 Privatization, 16–17, 43, 44, 60, 63,
 64, 74, 79, 82n3, 137, 153,
 176, 183
 Production
 capitalist, 5
 responsibility system, 52
 Productive force, 4, 50, 64, 76, 126
 Proletarian, 12
 revolt, 12
 Propaganda, 16, 51, 72, 75, 93, 145,
 171, 187, 188
 Property right, 43, 59, 82n3, 132,
 166n19
 Protestant
 ethic, 2, 11, 179, 184
 worldview, 12, 179
 Protestantism, 36n5, 179
 Public
 Administration, 9, 18, 20–21,
 24, 29, 32, 95, 99, 134,
 152, 167n35, 177,
 191–192n15
 choice, 21, 137
 economics, 97
 expenditure, 3, 55, 70
 goods and services, 23, 95, 103
 infrastructure, 68
 power, 102, 107, 138–141, 155
 -private relationship, 17, 153
 Puritan, 11, 13
- R**
- Reagan, Ronald, 45
 Realism, 99, 189
 Reciprocity, 94, 95, 98
 Reductionist fallacy, 15
 Religious
 consciousness, 179
 conviction, 5
 pseudo, 12

- Responsibility, 22, 52, 53, 55, 60, 61, 62, 63, 74, 75, 102, 103, 108, 110, 160, 164n6, 171, 180, 190
- Responsiveness, 146
- Rhodes, Roderick, 25, 26, 38n27, 38n32, 145, 177
- Right, 3, 35, 62, 81, 88, 100, 102, 103, 109, 113, 114, 115, 116, 119n22, 136, 147, 151, 172, 182, 188
- wing camp, 116, 172
- Righteousness, 41, 82n1, 190
- Rome, 4
- Rosenau, James, 145
- Rosenbloom, David, 28
- Rose, Nikolas, 82n2
- Rural
- Industry, 53, 56
- urban inequality, 56
- Russia, 16
- S**
- Saich, Tony, 50, 52
- St. Louis, 1
- Salamon, Lester, 105, 130, 147
- Salvation, 11, 12
- Secular, 2, 12
- Segregation, 189
- Shambaugh, David, 81, 93
- Shareholder, 22, 54, 79
- Shenzhen, 69
- Shirk, Susan, 53
- Shock therapy, 16
- Skocpol, Theda, 29
- Slovak Republic, 70
- Social
- coherence, 67
- harmony, 15, 34, 72, 73, 74, 75, 76, 85n47, 87, 90, 91, 92, 94, 95, 99, 100, 102, 108, 109, 112, 171, 178, 183, 184, 188
- justice, 56, 63, 66, 73, 116
- management, 75, 145, 149
- organization, 7, 73, 75, 76, 105, 111, 112, 138
- policy, 55, 60, 63, 64, 138, 171
- responsibility, 55
- security, 59, 60, 70, 73, 171
- solidarity, 66, 103
- stratification, 101, 127
- unrest and resistance, 70
- Socialism
- initial stage of, 53
- market, 47
- state, 42, 46, 50, 64, 67, 79, 115, 170
- with Chinese characteristics, 76, 187
- Socialist Market Economy, 148
- Social Science Research Council, 29
- Society
- bourgeois, 12
- civil, 16, 25, 95, 101, 102, 104–106, 108, 112, 114, 116, 125, 128, 129, 130, 131, 133, 135, 138, 142, 143, 145, 147–153, 156, 159, 165n10, 171, 172, 173, 176–178, 188
- communist, 56
- harmonious, 72, 73, 75, 85n46, 94, 97, 99, 100, 102, 103, 108, 109, 111, 112, 119n22
- market, 56, 58, 103, 119n25
- well-off, 64, 72
- Sociologist, 1, 2
- Soviet Union, 101
- Special Economic Zones (SEZs), 52
- Spirit
- bourgeois, 12
- of capitalism*, 2, 4, 10, 14, 30, 179, 180
- of neoliberalism, 3

- Spiritual pollution, 55, 89
 Stability, 72, 73, 85n46, 98, 106, 113, 132, 161, 163, 177
 Stalinism, 51
 Stanley, Morgan, 59
 State
 administrative, 28–30
 authoritarian, 45, 78
 building, 155, 156
 capacity, 59, 71, 77
 entrepreneurial, 3, 48
 intervention, 44, 46
 legal-rational, 182
 monopoly, 107, 111, 148, 183
 neoliberal, 15, 17, 19, 35, 43, 44, 46, 48, 92, 131, 178
 Neo-weberian, 173
 organizations and actors
 polycentric, 29
 power, 43, 109, 139, 141
 revenue socialist, 52
 totalitarian, 109, 120n35
 welfare, 27, 63, 71, 177
 Steering, 18, 23, 26, 37n20, 91, 137, 138
 Stoker, Gerry, 20, 145
 Storytelling, 27
 Superstructure, 5, 179
- T**
 Taiwan, 52
 Tax-sharing system, 59
 Thatcher, Margaret, 45
 Think tank, 75, 82n3, 93, 145, 149, 153, 157, 188
 Thought experiment, 88
 Three Represents, 64
 Tiananmen, 46, 57, 58, 66, 88, 89, 115, 128, 144, 171
 movement, 46, 57, 144, 171
- Tickell, Adam, 44, 45
 Tillich, Paul, 12
 Tito, Joseph, 51
 Tocqueville, Alexis de, 2
 Trade union, 133
 Transaction cost economics, 22
 Transparency, 45, 146, 158, 166n18
 Trickle-down effect, 44, 161
 Type
 action, 8
 general sociological, 8
 pure, 7, 8, 181
 structural, 8
- U**
 Unemployment, 60, 70, 115
 United Kingdom, 177
 United States, 1, 2, 17, 28, 45, 47, 52, 63, 81
 Urban
 household survey, 60
 -rural integration, 110
 unemployment rate, 60
 Urbanization, 110
 Utopia, 43, 73, 115, 116
- V**
 Value judgment, 9, 16, 18, 88, 147, 181
 Virtue, 10, 13, 99, 102, 103, 129, 150, 175, 189
 duty and, 10
 Vocation, 10, 11
- W**
 Waldo, Dwright, 28–31
 Wang Hui, 46

Washington Consensus, 58
Weber, Max, 1–16, 36, 36n9, 37n11,
37n13, 37n21, 175, 178–184,
191n11
Welfare provision, 3, 19, 54, 56, 60,
64, 171
Williamson, Oliver, 22
Worker's management system, 51
Work unit, 72, 127, 160
World Bank, 18, 85n44,
99, 125, 131–135,
146, 147, 166n18,
172, 176
World Trade Organization
(WTO), 68
World War II, 42, 174

X

Xi Jinping, 15, 72, 77, 187
Xinhua News Agency, 75
Xu Yong, 138–141, 158

Y

Yugoslavia, 51
Yu Keping, 123, 124, 142, 143, 144,
153, 154, 156, 158, 167n28, 172

Z

Zhao Ziyang, 53, 54
Zhou Enlai, 86n52
Zhu Rongji, 58