

XIAOBO LU

Department of Political Science
Barnard College
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Current Academic Appointments

Associate Professor of Political Science (since 2002)
Director, Weatherhead East Asian Institute, Columbia University (since July 2001)

Education

Ph.D. University of California at Berkeley, 1994, Political Science
M.A. Foreign Affairs College, Beijing, 1985, Political Science/Law
B.A. Sichuan Institute of Foreign Studies, China, 1982, English Language
& Literature

Research Interests

Comparative Political Corruption and Governance
Political Economy of Regulation
Politics of Development in East Asia
Chinese Politics and Political Economy
Political Economy of Transition from State Socialism

Honors, Awards and Major Grants

Scholar in Residence, Bellagio Study and Conference Center, Rockefeller
Foundation, Italy, April -May 2004.

Smith Richardson Foundation Research Grant, 2003-04

International Affairs Fellow, Council on Foreign Relation, 2001-2002.

Senior Visiting Fellow, Research Institute of Economy, Trade and Industry
(Ministry of Economy, Trade and Industry), Tokyo, Japan, June-August, 2001;
June-August 2002.

National Fellow, Hoover Institution, Stanford University, 1998-99.

Individual Project Fellow, Open Society Institute (Soros Foundation), 1998-99.

Emily Gregory Award for Excellence in Teaching, Barnard College/Columbia

University, 1997.

Nomination by UC Berkeley for the best PhD dissertation in comparative politics (the Gabriel Almond Award), the American Political Science Association, 1994-95.

Outstanding Young Scholar Dissertation Scholarship, 1991-1992, The China Times Cultural Foundation (US).

John Simpson Fellowship, Institute of International Studies, U.C. Berkeley, 1990-91.

Outstanding Graduate Student Instructor Award, University of California, Berkeley, 1988-1989.

The Asia Foundation Scholarship, 1985-1986.

Stein Rokkan Fellowship, the International Political Science Association, 1985.

Outstanding Teaching Award, Foreign Affairs College, Beijing, 1985.

Current Project

A book manuscript entitled *From Player to Referee: the Rise of the Regulatory State in China*. I expect to finish the full manuscript by the end of 2006.

Books

Taxation without Representation in Contemporary Rural China (with Thomas Bernstein), Cambridge University Press, 2003.

Cadres and Corruption: the Organizational Involvement of the Chinese Communist Party, Stanford: Stanford University Press, 2000. (This book was named one of the "Outstanding Academic Titles" by the *Choice* in 2002.)

Promise and Problems of Old and New Democracies, New York: The Academy of Political Science, 2000.

Danwei: the Changing Chinese Workplace in Historical and Comparative Perspective, (with Elizabeth Perry), M.E. Sharpe, 1997.

Refereed Articles and Book Chapters

"Tax and Coercion in Rural China" (co-author with Thomas Bernstein), in Odd-Helge Fjeldstad and Mick Moore eds, *Capacity and Consent: Taxation and*

State Building in Developing Countries, Cambridge University Press, forthcoming.

"Political Corruption and Regime Legitimacy in China" in Francois Godement, ed., *China's New Politics* (Paris: La Documentation Française, 2003).

"Taxation without Representation: Chinese State and Peasants in the New Reform Era" (with Thomas Bernstein), *the China Quarterly*, no.163 (September, 2000).

"From Rank-Seeking to Rent-Seeking: Changing Administrative Ethos and Corruption in Reform China," *Crime, Law, and Social Change*, in v. 32, n. 4 (2000), pp. 347-70.

"Transition, Globalization, and Changing Industrial Relations in China," in Rudra Sil and Christopher Candland, eds. *Politics of Labor in a Global Age: Continuity and Change in Late-Developing and Post-Socialist Economies*. Oxford University Press, forthcoming.

"Booty Socialism, Bureaupreneurs, and the State in Transition: Organizational Corruption in China," *Comparative Politics*, v.32, n. 3 (2000), pp. 273-294.

"The Political Foundation of Chinese Style Gradualism: A Paradox of Too Strong Private Interests" (with Christian Henning), *Journal of Institutional and Theoretical Economics*, v.156, n.1 (2000), pp. 35-59.

"Organizational Involution and Sociopolitical Reform in China" (with Lowell Dittmer), in Lowell Dittmer, Haruhira Fukui and Peter Lee, eds., *Informal Politics in East Asia*, Cambridge University Press, 2000.

"Transition from State Socialism and State-Labor Relations in China," in Francis Adams, Satya Gupta and Kidane Mengisteab, eds. *Globalization and the Dilemmas of the State in the South*, Macmillan, 1999, pp. 251-73.

"The Politics of Peasant Burden in Reform China," *Journal of Peasant Studies*, v.25, n.1 (1997), pp. 113-38.

"Structural Transformation of the Chinese Work Unit: Macropolitical Implications of Micropolitical Change" (with Lowell Dittmer), *China Studies*, n.3, (Spring 1997), pp. 111-43.

"Enterprise Paternalism and Transition to Market Socialism: the Political Economy of State Sector Reform in Former State Socialist Systems," *Mondes en Développement*, n.99 (1997), pp. 41-56.

"Minor Public Economy: The Revolutionary Origins of the Danwei" in Lü and Perry, eds, *Danwei: The Changing Chinese Work Units in Historical and Comparative Perspectives*, 1997.

"Personal Politics in the Chinese Danwei under Reform," with Lowell Dittmer, *Asian Survey*, v.36, n.3 (1996), pp. 246-267.

"Beyond Revolution: Some Theoretical Reflections on Leninist Organizations," in Xueguang Zhou, ed., *The State and Society in Contemporary China*, Guiguan Publisher, Taiwan, 1992.

"China and Southeast Asia in the Next Decade," in Yufan Hao and Guocang Huan, eds., *The Chinese View of the World*, New York, Pantheon Books, 1989.

"Reforms in China: A Political Cultural Analysis," *Journal of Chinese Political Science*, v.2, n.1, (May 1987).

"China's Relations With Japan and Korea," in *Japan in the 1980s*, ed. by the Southern Center for International Studies, Atlanta, 1986.

Entry Contributor, *Encyclopedia of Political Parties*, ed. by Xong Fu, Beijing, Hongqi Press, 1986.

"Foreign Lobby and American Foreign Policy Making," *World Economy and Politics*, v.6, n.4 (April 1986).

"Interest Groups In American Foreign Policy Making," *Political Science Abroad*, v.5, n.8 (August 1986).

"Executive Agreement: Its Constitutional and International Legal Aspects," *Journal of Institute of Foreign Affairs*, v.1, no.1, (1984).

Book Reviews and Other Writings

Global Corruption Report-2002: East Asia, Transparency International, August 2002.

Book review, *Political Economy of Corruption in China*, by Julia Kwang (Armonk, NY: M.E. Sharpe, 1997), *The China Quarterly*, no. 158 (June 1999).

Book review, *State and Society in China's Political Economy*, by Chi-Yu Shih (Boulder: Lynne Rienner, 1995), *The China Quarterly*, n.145 (March 1996).

Book review, *Mandate of Heaven* by Orville Schell (New York: Simon & Schuster, 1994), *Political Science Quarterly*, vo.110 (Spring 1995).

Book review, *China's New Political Economy: the Giant Awakes* by Susumu Yabuki, (Boulder: Westview Press, 1995). *China Review International*, vo.2, no.3 (Fall 1995).

Book review, *China's Transition from Socialism* by Dorothy Solinger (Armonk, New York: M.E. Sharpe, 1993), *China Review International*, vo.1, no.1 (March 1994).

Conference Papers

"Emerging Regulatory State in China and Its Implications," Institute of Asian Studies, Leiden, Holland, May 26-28, 2004.

"Taxation, Protest, and (In)stability in Rural China," Woodrow Wilson Center for International Scholars, Washington, D.C. November 12, 2002.

"Corruption and Regime Legitimacy in China," Centre Asie, French Institute of International Relations, Paris, October 26, 2002.

"From Player to Referee: The Changing Role of the State and Bureaucracy in China," Association of Asian Studies annual conference, Washington, DC, April 2002.

"Creating Institutions by Withdrawing: the State and the Reinvention of the Contract Arbitration System in China," paper presented at the American Political Science Association annual conference, Washington, D.C., August 31-September 3, 2000.

"The Political Foundation of Chinese Style Gradualism: A Paradox of Too Strong Private Interests," co-author with Christian Henning, for the 17th International Conference on Institutional Economics, Germany, June 7-9, 1999.

"State Legitimation in the Eyes of Chinese Peasants," paper presented at the Walter Sorenstein Symposium on "State Legitimation in Contemporary China," Institute of East Asian Studies, University of California at Berkeley, May 7-9, 1999.

"State Socialist Transition and Emerging Labor Relations in China," American Political Science Association annual conference, Washington, D.C. August 29, 1997.

"Danwei, Enterprise Paternalism, and Transition from State Socialism in China and Russia," American Political Science Association, San Francisco, August 30, 1996.

"Booty Socialism, Bureau-preneur, and Economic Development: A Study of Organizational Corruption in China," Association of Asian Studies annual conference, Hawaii, April 1996.

"From Redistributive to Regulatory: Rationalization of the State in Rural China?" at "Chinese Rural Collectives and Voluntary Organizations: Between State Organization and Private Interest," an international conference at Leiden University, the Netherlands, January 1995.

"The Role of the State in Economic Transition: Reduced or Reshaped?" Southern California Faculty Workshop on Political and Economic Liberalization, March 1995.

"The Production Campaign in Yan'an: The Revolutionary Origins of the Danwei," Symposium on the Chinese Workplace in Historical and Comparative Perspective, April, 1994.

"Minor Public vs. Greater Public: Institutional Corruption in China," Association of Asian Studies annual conference, Boston, March, 1994.

"Organizational Involution, Corruption, and Regime Change," paper presented at the Western Political Science Association annual meeting, Pasadena, California, March 1993.

Service to the University Community

In the last four years, I have been the Director of Weatherhead East Asian Institute of Columbia University (with one-year research leave in 2003-04). In this capacity, I have been heavily involved in administration of a one of the largest regional institutes on a university campus in this country. My duties include fundraising, directing a masters program, strategic planning, administration of fellowships and grants, public relations, and coordination with other units of the university.

I have served on several PhD student exam and dissertation committees in Arts and Sciences and Teachers College.

Besides course reductions, I have not missed any service duties. I maintain an active involvement in the Barnard faculty affairs as well. I served as a University

Senator in 2002-03. In the last few years, I also served on several search committees (chairing two) in the political science and MEALAC departments.

Service to the Profession

Senior Editorial Board, *Crime, Law and Social Change*, 2000- present
Executive Editorial Board, the *Journal of East Asian Studies*, 2002 - present
Editorial Board, the *China Review*, 2002- present
Editorial Board, *Insight: Asia*, 2002- present.
Editorial Board, *Journal of Chinese Political Science*, 1996- present

External Grant Evaluator:

Social Science Research Council, John D. and Catherine T. MacArthur Foundation, the Japan Foundation, the Open Society Institute.

Peer Referee:

American Political Science Review, Political Science Quarterly, the China Quarterly, the China Journal, Comparative Politics, Asian Survey, Journal of Asian Studies, Comparative Political Studies, Problems of Post-Communism, Pacific Review.

Public Intellectual Activities and Current Membership

Member of Council on Foreign Relations
Member of Committee of 100
Member of National Committee on US-China Relations

As co-chair of the Committee of 100's research committee, I was instrumental in designing and developing the opinion surveys (in 2004 and 2005) commissioned to Zogby International on American opinions of China and US-China relations.

In 2005, I was invited to serve on the Taskforce on US-China Relations at the Council on Foreign Relations.

Delivered speeches or briefings at the Council on Foreign Relations, the Asia Foundation, the Asia Society, World Affairs Council, National Committee for US-China Relations, American Center for International Leadership, Asia Society, the China Institute of America, the Japan Society, Northwest China Council, Close-up Foundation, the Committee of 100, and many community organizations.

Interviewed or commented on PBS (*News Hour*), CNN, NBC, NPR, BBC, the *New York Times*, *USA Today*, *Chicago Tribune*, the *Financial Times*, *San Francisco Chronicle*, *San Diego Union* on US-China relations, political corruption in Asia, Sino-Japanese relations, Chinese politics and public policy.

Visiting Appointments

Visiting Professor, Harbin Institute of Technology (School of Public Management), (Summer 2005).

Visiting Professor, Institut d'Etudes Politiques and Paris University I (Sorbone) (Summer 2004).

International Research Fellow, Johns-Hopkins Nanjing Center, China (Fall 2003).

Visiting Professor, School of Public Policy and Management, Tsinghua University, Beijing (Fall 2003).

Visiting Professor, Jiaotong University, Shanghai (Fall 2003).

Visiting Senior Research Fellow, City University of Hong Kong (Spring 2004).

Invited Academic Lectures/Presentations (2000-2005)

Waseda University (School of International Studies), "Public Opinion and Sino-Japanese Relations," Tokyo, July 6, 2005.

Tsinghua University (School of Public Policy and Management), "Beyond Developmental State: Emerging Regulatory State in China," Beijing, September, 2003.

Nordic Institute of Asian Studies, "From Player to Referee: the Changing Role of the State and Bureaucracy in China," Copenhagen, Denmark, Sept. 24, 2002.

Gothenburg University, "'From Player to Referee: the Changing Role of the State and Bureaucracy in China,'" Gothenburg, Sweden, September 26, 2002.

Lund University, "Taxation without Representation in Rural China," Lund, Sweden, September 25, 2002.

Universidad Externado de Colombia, "Political Economy of Corruption and Its Control" (workshop), Bogota, Colombia, August 25-26, 2002.

Hiroshima Shudo University, "From Player to Referee: Changing Role of the Chinese State and Bureaucracy", Hiroshima, Japan, July 4, 2002.

Waseda University, "US-China-Japan Relations after September 11," Tokyo, July

10, 2002.

Brandies University, "Taxation without Representation in Contemporary Rural China," May 7, 2002.

University of Washington, presentation on "Taxation without Representation in Rural China: State Capacity, Peasant Resistance, and Democratization," Seattle, May 3, 2001.

New England China Seminar, Harvard University, presentation on "Taxation without Representation in Rural China: State Capacity, Peasant Resistance, and Democratization," Cambridge, April 16, 2001.

SIPA of Columbia University and CIDE of Mexico, presentation on "Corruption and Democratic Consolidation: Lessons from Other Countries" at the conference, "Mexico on the Threshold of a New Century," Mexico City, March 26-29, 2000.

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