

COLLOQUIUM BY XIAOFAN ZHAO

PERVASIVE THREAT AND REGULATORY COMPLIANCE: EVIDENCE FROM ENERGY-SAVING REGULATIONS IN CHINA

TIME: 5:00-6:00 PM, TUESDAY, 6 FEBRUARY 2018

VENUE: ACADEMIC BUILDING 1079

Pervasive Threat and Regulatory Compliance: Evidence from Energy-Saving Regulations in China

Speaker: Xiaofan Zhao, Ph.D candidate at Tsinghua University

* The event is also a faculty recruitment seminar for iMEP.

ABSTRACT:

As the world's largest energy consumer and greenhouse gas emitter, China has made energy saving the main plank of its climate change mitigation efforts. Since the 11th FYP period (2006-2010), the central government of China has launched a number of policies to enforce energy saving, the most representative ones are the Top-1,000 and Top-10,000 Enterprise Programs. This study uses the Top-10,000 Enterprise Program as an example to investigate why Chinese businesses comply with governmental regulations in the field of energy saving and to what extent existing theories regarding compliance are applicable to the Chinese context.

The researcher employs a sequential explanatory strategy to approach the research question, conducting a closed-end survey followed by in-depth, open-ended qualitative interviews. 125 valid survey responses are analyzed to identify the key factors influencing compliance decision-making of firms through factor analysis and multivariate regression. The survey results are corroborated by over 150 interviews conducted by the author with energy managers from 121 industrial enterprises as well as 30 local government officials in 11 cities in 9 provinces over the period of 2012-2017. Based on empirical observations from the quantitative survey

and the qualitative interviews, this study builds a pervasive threat model of compliance in the domain of administrative regulations and orders in China, which forms a contrast to the classical deterrence theory of compliance in the domain of law.

BIO:

Xiaofan Zhao is a PhD candidate in the School of Public Policy and Management, Tsinghua University. She received her Bachelor of Science in environmental engineering (with honors) and Master of Science in management science and engineering, both from Stanford University, where she also earned the Frederick Terman Award for Scholastic Achievement in Engineering (2009). Xiaofan Zhao's research focuses on energy and climate policy. In particular, she conducts intensive fieldwork to investigate the implementation of energy efficiency policy at the local and firm level. Her empirical research has appeared in top peer-reviewed journals including World Development, Energy Policy, Journal of Cleaner Production, and Energy. Before joining the PhD program at Tsinghua, she worked as a policy analyst for the Climate Policy Initiative-Beijing Office and as a Sustainable Energy Fellow for the World Resources Institute. At Tsinghua University, she was awarded the two most prestigious honors for graduate students: the Outstanding Student Scholarship and the Rising Academic Star, each awarded to 10 graduate students in the university every year.

This event is open to all. For any queries email yg73@duke.edu or call 3665 7149.

Hope to see you all.

Yijun