

Online Appendix for “Beyond Carrot and Stick: The Effects of Conflict Resolution on Crime Control in China.”

1. Description of Data Collection of Crime Statistics:

Based on the Procuratorial Yearbooks of China, we were able to build a panel dataset for 31 provinces and 27 years. We did not impute for missing data. There is only one missing value for the number of accusations for Guangdong in 2012, but we left it as it is: this is the reason why the total number of observations for accusation is 836 in Table 1 in the paper.

Figure 1: Content of the Procuratorial Yearbook of China, 1989.

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Note: please see Appendix A at the end for a brief translation for the content in this figure.

More specifically, our paper uses crime statistics collected from provincial procuratorate work reports between 1988 and 2014.¹ For 1988-2012, the procuratorate work

¹ There are a few previous studies, such as Chen, Li, & Chen (2010) and Chen (2012), both cited in our paper, that use the same data. However, as far as we know, all these papers are published in Chinese except for Cheong & Wu (2015) which have been published in English.

reports are compiled in the Procuratorial Yearbooks of China, 1989-2013 (中国检察年鉴, 1989-2013), published by the China Procuratorial Press in Beijing. These are paper copies. E.g., Figure 1 of this appendix displays the content page of the 1989 yearbook. For 2013 and 2014, paper copies of procuracy work reports are not available. But the electronic copies can be found on the official websites of provincial People’s Procuratorates. Figure 2 of this appendix shows a screenshot of the website from People’s Procuratorate of Beijing Municipality (<http://www.bjjc.gov.cn/bjoweb/gzbg/index.jhtml>).

Figure 2: Online Work Reports of People’s Procuratorate of Beijing Municipality, 2010-2018.



Note: please see Appendix B at the end of this online appendix for a brief translation for the content in this figure.

Indeed, this data collection is very time-consuming. As an example, we attached an excerpt – this is the third paragraph from the 2015 Work Report of People’s Procuratorate of the Beijing Municipality:²

对命案等重大复杂案件，派员参加现场勘验，引导侦查机关依法、规范、全面、及时收集证据。依法惩治严重危害国家安全和社会稳定、侵害公民人身财产权利、破坏公共秩序和经济秩序犯罪，**全年共批准逮捕 16086 人**；对证据不足、需要补充侦查的 1753 人，依法作出不批捕决定，并督促侦查机关完善证据、查清事实。二是准确把握起诉标准。针对刑法严格了认定犯罪的证据标准，市检察院制定《提高公诉办案质量的工作意见》、《规范不起诉工作的指导意见》，严格执行罪刑法定、疑罪从无、证据裁判等原则和规定，要求承办检察官必须听取犯罪嫌疑人辩解，必须核实关键证人证言，必须听取辩护人意见；对侦查取证不符合法定程序、可能影响司法公正的，排除非法证据 55 件。坚持事实清楚、证据确实充分的标准，**对各类犯罪依法提起公诉 25204 人**；对于司法解释调整人体损伤鉴定标准、提高盗窃和抢夺定罪数额，导致不构成犯罪的案件，当事人达成和解的轻微犯罪案件，依法作出不起诉决定 751 人。

² Available at <http://www.bjjc.gov.cn/bjoweb/gzbg/80477.jhtml>.

The sentences in bold state that “Last year 16,086 suspects were approved for arrest” and “25,204 were prosecuted for criminal conducts.” These are the statistics we collected and later used as dependent variables for Beijing, 2014. It took several months to read all the reports and build the dataset at the Universities Service Center for China Studies (USC) of the Chinese University of Hong Kong where a whole set of these procuracy yearbooks are reserved.

It is true that Law Yearbooks of China (中国法律年鉴) also compile provincial court reports, however, they have two shortcomings: first, they do not cover all 31 provinces; usually, the number of provinces reported are slightly more than half – for example, there are 16 provincial reports in the 2014 yearbook.

Second, while some provincial courts reported both the number of suspects and the number of cases, some only reported the number of cases. By contrast, procuratorate reports consistently and continuously contain the number of suspects arrested and the number of accused for each province-year during the study period. Therefore, the data from the procuratorate is more comprehensive. Chen (2012: 748) collected and compared all the available crime statistics from the police, the procuratorate, and the court between 1989 and 2008: for the same period, the numbers of observations were 276 (police), 596 (procuratorate), and 365 (court), respectively. The procuratorate data is the most complete.

Moreover, Chen (2012) also find that these data sources are highly correlated, with correlation coefficients around 0.9. Therefore, crime statistics from all three sources – police, court, and procuratorate – are similar to one another; the advantage of the procuratorate data is that it covers more provinces and years.

2. Strategies to Deal with Potential Problems in Crime Data and Robustness Checks with Potential Outliers Removed:

It is extremely difficult to fully account for how official definitions of crime have changed overtime in China, which might affect the consistency of government crime statistics.

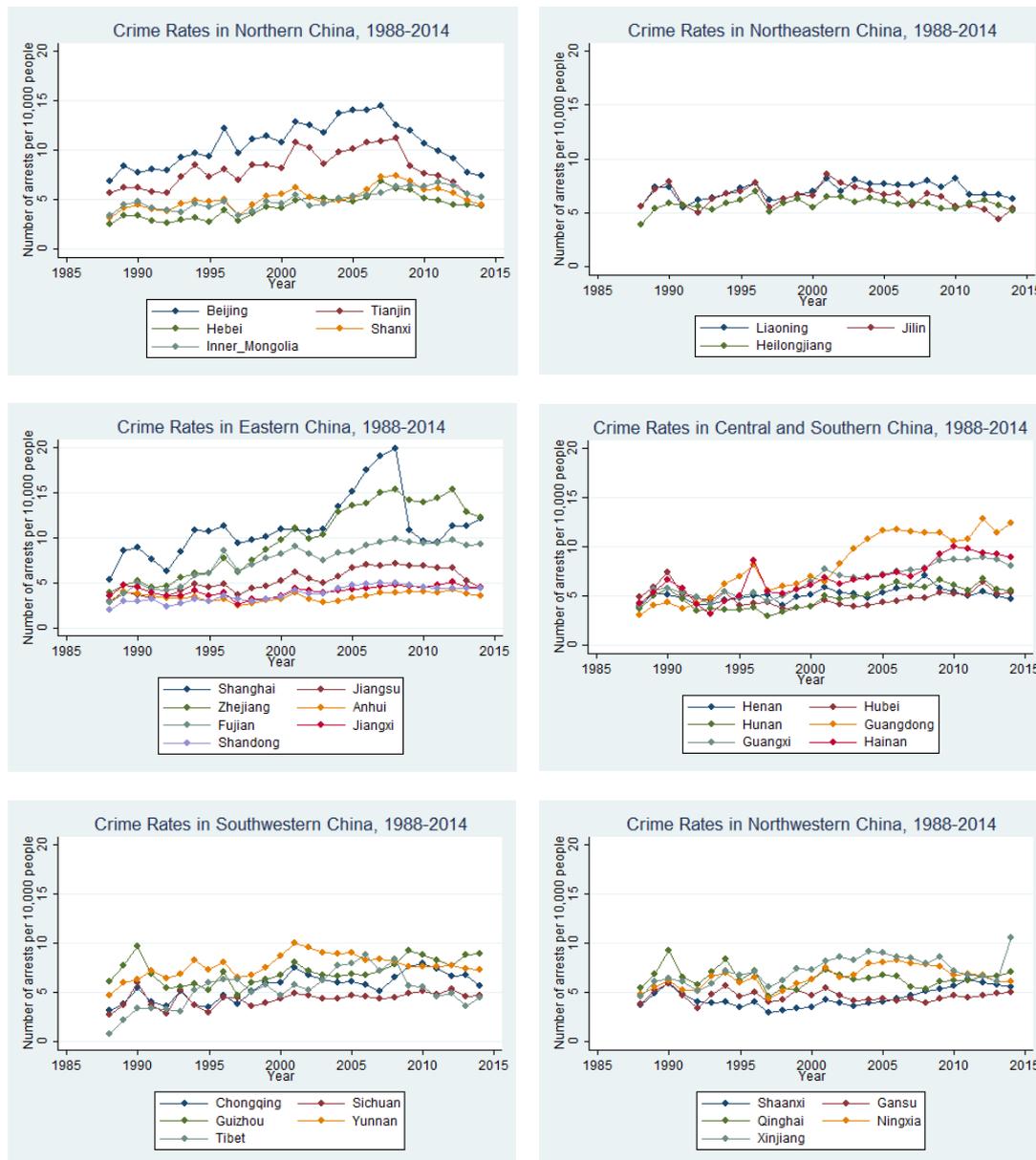
However, there are two important points that might alleviate the concern regarding problems created by the changes in the official definition of crime. First, since China has only one criminal code for all the provinces, in the same year, the definition of crime is consistent and comparable across the provinces. Therefore, we should expect the change or inconsistency in the scope of crime, as a function of changes in the definition of crime, to be temporal (over time) rather than spatial (between provinces): such temporal inconsistency can be captured by the year-fixed effects. If provinces do have different interpretations of the crime definition, which results in between-province differences, such differences should be captured by the fixed province effects used in the analysis.

Second, we have plotted the time series of the crime data for every province between 1988 and 2014 – this includes all the observations for the dependent variable using arrests per 10,000 people.³ We group the provinces by regions for a better visual presentation. In Figure 3 of this appendix, we do observe some very short-term changes associated with a revision of criminal law in 1997, following the first major revision based on the principle of legal

³ We also did the analysis using accusations per 10,000 people and the patterns were similar.

punishment: there is a very small drop in crime rates across all provinces around 1997; again, this seems to be case for all provinces, which should be controlled in our regression analysis by year fixed effects.

Figure 3: Crime Rates in Chinese Provinces, 1988-2014.



As shown in Figure 3, there are very few sudden jumps in the time series of crime data: one is the case of Shanghai between roughly 2004 and 2008, one is Hainan in 1992 — we suspect that this is because they had a provincial level strike-hard campaign during that year — and one is Xinjiang in 2014. To make sure our results are not an artifact of these cases, we have re-run our regression after removing these observations. Table 1 of this appendix has the results: our main results do not change.

Table A1: Influence of Carrot, Stick, and Conflict Resolution Policy on Crime (Accusation) Rate in China, 1988-2014 (Potential Outliers Excluded).

	Model 1 OLS	Model 2 OLS	Model 3 IV (judicial per capita)	Model 4 OLS	Model 5 OLS	Model 6 IV (judicial per capita)
Welfare per capita		-0.085*** (0.028)			-0.103*** (0.028)	-0.093*** (0.031)
Judicial per capita			0.165 (0.189)		0.219*** (0.053)	0.098 (0.177)
Org. per ten thousand				-0.023 (0.041)	-0.037 (0.040)	-0.029 (0.042)
Mediator performance				-0.082*** (0.030)	-0.083*** (0.029)	-0.082*** (0.029)
Number of disputes	0.027 (0.028)	0.040 (0.028)	0.024 (0.028)	0.107*** (0.040)	0.120*** (0.040)	0.120*** (0.040)
Unemployment	0.037 (0.025)	0.037 (0.025)	0.028 (0.027)	0.031 (0.025)	0.020 (0.025)	0.026 (0.026)
GDP per capita	0.692*** (0.073)	0.693*** (0.073)	0.549*** (0.179)	0.662*** (0.075)	0.478*** (0.086)	0.580*** (0.167)
Economic growth	-0.087*** (0.030)	-0.072** (0.030)	-0.087*** (0.029)	-0.081*** (0.030)	-0.063** (0.030)	-0.065** (0.030)
Constant	-3.202*** (0.528)	-3.103*** (0.521)	-4.536*** (0.978)	-3.281*** (0.526)	-2.424*** (0.560)	-4.126*** (1.009)
Province-fixed effects	Yes	Yes	Yes	Yes	Yes	Yes
Time-fixed effects	Yes	Yes	Yes	Yes	Yes	Yes
Time trend	Yes	Yes	Yes	Yes	Yes	Yes
Observations	795	795	795	795	795	795
R-squared	0.669	0.673	0.674	0.673	0.684	0.682

Notes: All variables are logged, and the independent variable are lagged by one year.

Standard errors are in parenthesis.

*** $p < 0.01$, ** $p < 0.05$, * $p < 0.1$

3. Robustness Checks with Local Strike-hard Campaigns Controlled:

The strike-hard campaign variable we used in the main analysis only captures national campaigns so there is no variation between provinces. During this round of revision, we have collected data on provincial level strike hard campaigns and added this new variable as a robustness check.

More specifically, we collected the information about provincial strike-hard campaigns from the work reports/summary of the police and the provincial law and political committees.⁴ The coding rule for the provincial strike-hard campaign dummy variable is that

⁴ Though we thought about collecting more detailed data for prefecture or county level

it has to meet at least one of the three standards: (1) the action has a name or code (e.g., “sword” (利剑 Lijian), “thunder” (雷霆 leiting), and “Qing wind 1” (秦风 1 号 Qinfeng-1); (2) it has a start and end date (or duration) instead of generally saying that the legal system are to stick to the “strike-hard” principle; (3) it has listed the exact times/frequency of the specific actions. The work reports/ summaries come from local gazetteers for each province during the study period, and we further cross-checked these against the descriptions in the work reports from provincial procuratorates.

The correlation between national and provincial level measures of strike-hard campaign is 0.147, significant at the 0.001 level. Table 2 of this appendix shows that provincial strike dummy, one-year lagged or not, has no effect on crime rates. And our main results do not change. The reason why local strike-hard campaigns, unlike the national ones, do not have significant effect on crime rates, is probably that at the local level the campaign-style policing has become routinization (Tanner, 2005).

campaigns, it seems impossible for us to do so at current stage because many of these reports are not available. Also, our unit of analysis is province-year.

Table A2: Robustness of Different Policies' Influence on Crime (Arrest) Rate in China, 1988-2014.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	IV							
	(judicial per capita)							
Welfare per capita	-0.060** (0.027)	-0.043* (0.024)	-0.062** (0.026)	-0.062** (0.026)	-0.062** (0.026)	-0.062** (0.026)	-0.062** (0.026)	-0.043* (0.024)
Educational per capita		0.076 (0.155)						0.074 (0.154)
Judicial per capita	0.086 (0.161)	0.100 (0.204)	0.110 (0.147)	0.110 (0.146)	0.110 (0.147)	0.112 (0.145)	0.112 (0.145)	0.102 (0.202)
Strike-hard dummy (not lagged)			0.311*** (0.059)		0.311*** (0.059)		0.311*** (0.059)	0.385*** (0.072)
Strike-hard dummy					0.220*** (0.053)		0.220*** (0.054)	
Provincial strike dummy (not lagged)				0.001 (0.015)		0.000 (0.015)	0.000 (0.015)	-0.003 (0.015)
Provincial strike dummy						-0.003 (0.015)	-0.003 (0.015)	
Org. per ten thousand		0.009 (0.034)	0.022 (0.034)	0.022 (0.034)	0.022 (0.034)	0.022 (0.035)	0.022 (0.035)	0.009 (0.034)
Mediator performance	-0.068*** (0.022)	-0.044* (0.025)	-0.061** (0.024)	-0.061** (0.024)	-0.061** (0.024)	-0.061** (0.025)	-0.061** (0.025)	-0.044* (0.025)
Number of disputes	0.097*** (0.032)	0.079** (0.034)	0.092*** (0.033)	0.092*** (0.033)	0.092*** (0.033)	0.092*** (0.033)	0.092*** (0.033)	0.079** (0.034)
Unemployment	0.006	0.012	0.004	0.004	0.004	0.004	0.004	0.012

	(0.022)	(0.022)	(0.022)	(0.022)	(0.022)	(0.022)	(0.022)	(0.022)
GDP per capita	0.372**	0.346***	0.347**	0.347**	0.347**	0.347**	0.347**	0.346***
	(0.149)	(0.098)	(0.137)	(0.137)	(0.137)	(0.136)	(0.136)	(0.098)
Economic growth	-0.078***	-0.148***	-0.078***	-0.078***	-0.078***	-0.078***	-0.078***	-0.148***
	(0.025)	(0.028)	(0.025)	(0.025)	(0.025)	(0.025)	(0.025)	(0.028)
Constant	-2.447***	-2.741***	-2.335***	-2.335***	-2.335***	-2.343***	-2.343***	-2.743***
	(0.859)	(0.832)	(0.824)	(0.825)	(0.824)	(0.829)	(0.829)	(0.834)
Province-fixed effects	Yes							
Time-fixed effects	Yes							
Time trend	Yes							
Observations	803	795	803	803	803	803	803	795
R-squared	0.49	0.50	0.49	0.49	0.49	0.49	0.49	0.50

Notes: All variables (except the strike-hard dummy) are logged, and the independent variable are lagged by one year without special mentioning. Standard errors are in parenthesis *** p<0.01, ** p<0.05, * p<0.1.

Appendix A: A brief translation of Figure 1.

Content

Part One

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Work Report of the Supreme People's Procuratorate (21)

Decision of the 9th Beijing Municipal People's Congress on the Work Report of the People's
Procuratorate of Beijing Municipality (27)

Work Report of the People's Procuratorate of Beijing Municipality (28)

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Work Report of the People's Procuratorate of Shanxi Province (43)

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Appendix B: A brief translation of Figure 2.

Work Reports

Work Report of the People's Procuratorate of Beijing Municipality, 2018 (2018-05-21)

Work Report of the People's Procuratorate of Beijing Municipality, 2017 (2018-05-21)

Work Report of the People's Procuratorate of Beijing Municipality, 2016 (2018-05-21)

Work Report of the People's Procuratorate of Beijing Municipality, 2015 (2015-04-09)

Work Report of the People's Procuratorate of Beijing Municipality, 2014 (2014-02-21)

Work Report of the People's Procuratorate of Beijing Municipality, 2013 (2014-01-10)

Work Report of the People's Procuratorate of Beijing Municipality, 2012 (2014-01-10)

Work Report of the People's Procuratorate of Beijing Municipality, 2011 (2011-05-10)

Work Report of the People's Procuratorate of Beijing Municipality, 2010 (2011-05-10)

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