

《能源政治经济学》课程大纲

北京外国语大学国际关系学院

2022-2023 学年秋季学期

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授课时间：星期五第七至八节（15:10-17:00）

授课地点：逸夫楼 306

办公时间：星期二 16:00-18:00

办公地点：国内大厦 1 号楼 706

课程简述

能源作为特殊的政治性商品和战略性商品，不仅与贸易、投资、安全、冲突、气变等议题相互交织，更深刻地塑造着工业革命以来的生产关系与国际关系，由此研习能源政治经济学对于正确深刻地认识世界至关重要。本课程并非拘泥于对能源其功能属性的介绍、能源政治历史的梳理与能源政策或战略的评介，而是关注国际政治经济学与比较政治经济学范畴内与能源相关的重要议题及其相应的经典和前沿文献。藉由文献研读与课堂讨论，本课程将帮助学生理解能源政治经济中的重要现象；把握该领域重要议题的演进脉络；自主进行社会科学意义上的研究探索。

课程目标

本课程是一门面向硕士及博士研究生的、以课堂讨论为主要形式的学科主文献课。课程结束时，选课学生将被期望实现以下目标：

- 在能源政治经济学的学术范畴内建立起基于自身理解的知识谱系。
- 熟识国际政治经济学与比较政治经济学中涉及能源议题的经典及前沿文献，能够较深刻地认识到相应文献的贡献及不足。
- 认识到研究设计的重要价值，能够阅读定量研究并理解其论证过程。
- 形成独到的学术审美，并且具备基于自身的研究兴趣构思一项问题导向的、尝试发掘因果机制的实证性研究的必要基础。
- 能够进行自信流畅的学术汇报，并且尽可能做到逻辑自洽、内容详实、具有思辨性和启发性。

成绩评定

基于“以过程为导向”的课程设计原则，一方面期末考核在课程成绩中所占的权重将被大幅降低；另一方面考核的形式将不再沿用提交课程论文或进行课堂期末展示。相反，在确保成绩评定公平和可追溯的基础上，阅读报告和课堂参与将在成绩评定中被赋予更高的权重。由此，课程成绩构成及其考核形式如下：

- **阅读报告（30%）**：自第二教学周起，选课学生将被要求提前研读大纲列出的当周阅读材料，并且于当周周三晚 22:00 前以 PDF 形式发送至我的电子邮箱中。阅读报告应包括对阅读材料的内容概述、主观评价和阅读困惑这 3 部分内容，且篇幅不超过 3 页。内容概述的准确性、主观评价的深刻性、阅读困惑启发性和语言措辞的简明性将成为赋分的依据。

- **课堂参与（60%）**：出勤和讨论是课堂参与的主要形式。尽管本课程无强制性的签到和点名，但因病或因故无法参加课程的学生应于课程开始前通过电子邮件的形式向我告知并说明事由。课堂讨论主要针对阅读材料及由其延伸出的其他话题，讨论的质量将成为赋分的依据。讨论应与阅读材料进行对话并清晰自治地呈现学理逻辑，而思辨性、批判性、挑战性的讨论将被高度提倡和鼓励。

- **期末考核（10%）**：围绕本课程涉及的任意专题撰写学术短评，一方面评析该领域研究的进展及不足，另一方面根据自身理解为该领域设定研究议程。针对进展和不足的梳理应力求详实中肯，研究议程的设定应力求体现出本人的思考，这两方面将成为赋分的主要依据。短评的篇幅不超过 4 页。学生应于第十八教学周周五晚上 22:00 前以 PDF 形式发送至我的电子邮箱中。

规则说明

- **预约规则**：上述狭义的“办公时间”也即面向选课学生的 Officer Hour 或 Students Time，以解答学生的问题并进行学术讨论，无论其内容是否与课程直接相关。办公时间为每周周二 14:00 至 16:30，并可被进一步细分为 2 个 30 分钟时长的时段和 2 个 45 分钟时长的时段。原则上每一名学生可提前预约 1 个时间段，2 名及更多结伴预约的学生可预约 2 个时间段。学生应最晚于周一晚上 22:00 前通过腾讯文档（[链接](#)）自行预约当周的办公时间。当周办公时间约满后预约将被顺延至次周。

- **邮件规则**：电子邮件是本课程中教师与学生线上交流的主要方式。所有选课学生应以“能源政治经济学_姓名_主题”为标题发送邮件。一般而言，邮件将在一个工作日内得到回复。

- **旁听规则**：本课程向所有感兴趣的同学开放旁听，并且欢迎旁听同学在不挤占教学资源、不影响教学秩序的前提下发言和提问。

• **防疫规则：**为了应对新型冠状病毒肺炎疫情的潜在扩散风险，教师和学生都需要遵从国家卫生健康委员会、北京市政府及北京外国语大学的防疫指导；上课期间携带口罩；做好自身健康监控。如因防疫需要课程由线下教授转至线上教授，我会更新线上授课的平台及要求，具体情况另行通知。

• **豁免规则：**因健康问题、突发变故或其他不可抗力无法完成课程学习、无法达到课程要求、无法遵循课程规则的学生可以自行选择最便捷的方式说明情况并寻求豁免。在符合学校和学院相关规则并知会相关机构负责人后，我会为豁免申请者提供必要的便利。

• **反馈规则：**确保学生在知识上获得持续增益并且在学习过程中保持快乐是本课程的优先目标。如学生认为课程设计、课堂讲授、办公时间的讨论、成绩评定有悖于上述目标，请选择最便捷的方式与我取得联系。我会进行充分的说明或进行必要的调整。

• **价值倡导：****一、学术诚信。**选课学生应致力于维护和实现这一价值，并且这是**强制性的**。阅读报告和期末考核中的抄袭行为都是被禁止的。**二、包容多样。**我会在专业和学理范畴内允许可能存有争议的讨论，并且强烈鼓励学生接纳与自身认知并不一致甚至对立的观点，进而尝试接纳迅速极化的世界。**三、公平竞争。**就本课程而言，分数的高低是竞争结果的体现之一。学生通过提高阅读报告质量、积极参加课堂讨论、认真准备期末考核来获取更高成绩的努力将被支持。**四、反对内卷。**不鼓励任何不增加实际成效的竞争，这种竞争包括但不限于：过度重视课堂发言次数而非内容、盲目增加阅读报告和学术短评的页数等等。**五、应对气变。**气候变化是对人类社会真实存在且影响深远的重要挑战。学生在本课程的学习中需要以电子版的形式提交作业和各类考核，并且在力所能及的情况下减少纸制材料的打印。

课程日历

第一部分 绪论

• 第一周（9月2日） 课程设计概述与能源政治经济学引论

Joshua S. Goldstein, Xiaoming Huang, Burcu Akan, “Energy in the World Economy, 1950-1992,” *International Studies Quarterly*, Vol.41, No.2, 1997, pp.241-266.

张建新：《能源与当代国际关系（第二版）》，上海：上海人民出版社 2016 年版，第 31-84 页。

Llewelyn Hughes, Phillip Y. Lipsey, “The Politics of Energy,” *Annual Review of Political Science*, Vol.16, 2013, pp.449-469.

Thijs Van de Graaf, Benjamin K. Sovacool, Arunabha Ghosh, Florian Kern, Michael T.

Klare, “States, Markets, and Institutions: Integrating International Political Economy and Global Energy Politics,” in Thijs Van de Graaf, Benjamin K. Sovacool, Arunabha Ghosh, Florian Kern and Michael T. Klare, eds., *The Palgrave Handbook of the International Political Economy of Energy*, London: Palgrave Macmillan, 2016, pp.3-44.

第二部分 国际政治经济学范畴内的能源研究

• 第二周（9月9日） 能源与经济安全

张建新：《21 世纪的国际能源安全问题》，载《国际安全研究》，2013 年第 6 期，第 124-149 页。

Christian Winzer, “Conceptualizing Energy Security,” *Energy Policy*, Vol.46, No.7, 2012, pp.36-48.

Charles L. Glaser, “How Oil Influences U.S. National Security,” *International Security*, Vol.38, No.2, 2013, pp.112-146.

宋亦明：《国家维护能源安全手段的选择逻辑：产权制度的视角》，载《国际安全研究》，2013 年第 6 期，第 98-130 页。

• 第三周（9月16日） 能源与国际贸易

Brian Levy, “World Oil Marketing in Transition,” *International Organization*, Vol.36, No.1, 1982, pp.113-133.

Bruce W. Jentleson, “From Consensus to Conflict: The Domestic Political Economy of East-West Energy Trade Policy,” *International Organization*, Vol.38, No.4, 1984, pp.625-660.

Ziv Rubinovitz, Elai Rettig, “Crude Peace: The Role of Oil Trade in the Israeli-Egyptian Peace Negotiations,” *International Studies Quarterly*, Vol.62, No.2, 2018, pp.371-382.

Michael Shafer, *Winners and Losers: How Sectors Shapes the Developmental Prospects of States*, Ithaca: Cornell University Press, 1994, pp.1-48.

• 第四周（9月23日） 能源与直接投资

Henning Bohn, Robert T. Deacon, “Ownership Risk, Investment, and the Use of Natural Resources,” *American Economic Review*, Vol.90, No.3, 2000, pp.526-549.

Rabah Arezki, Frederick van der Ploeg, Frederik Toscani, “The Shifting Natural Wealth of Nations: The Role of Market Orientation,” *Journal of Development Economics*, Vol.138, 2019, pp.228-245.

Nathan M. Jensen, Noel P. Johnston, "Political Risk, Reputation, and the Resource Curse," *Comparative Political Studies*, Vol.44, No.6, 2011, pp.662-688.

Chia-yi Lee, "Chinese Outward Investment in Oil and Its Economic and Political Impact in Developing Countries," *Issue & Studies*, Vol.51, No.3, 2015, pp.131-163.

• 第五周（9月30日） 能源与国际移民

Kiren Aziz Chaudhry, "The Price of Wealth: Business and State in Labor Remittance and Oil Economies," *International Organization*, Vol.43, No.1, 1989, pp.101-145.

David H. Bearce, Jennifer A. Laks Hutnick, "Toward an Alternative Explanation for the Resource Curse: Natural Resources, Immigration, and Democratization," *Comparative Political Studies*, Vol.44, No.6, 2011, pp.689-718.

Daniel Steinberg, "Resource Shocks and Human Capital Stocks - Brain Drain or Brain Gain?" *Journal of Development Economics*, Vol.127, 2017, pp.250-268.

Adrian J Shin, "Primary Resources, Secondary Labor: Natural Resources and Immigration Policy," *International Studies Quarterly*, Vol.63, No.4, 2019, pp.805-818.

• 第六周（10月7日） 国庆假期，无课堂讲授

• 第七周（10月14日） 能源与援助制裁

David H. Clark, Timothy Nordstrom, William Reed, "Substitution Is in the Variance: Resources and Foreign Policy Choice," *American Journal of Political Science*, Vol.52, No.4, 2008, pp.763-773.

Llewelyn Hughes, Austin Long, "Is There an Oil Weapon? Security Implications of Changes in the Structure of the International Oil Market," *International Security*, Vol.39, No.3, 2015, pp.152-189.

Kevin M. Morrison, "Oil, Nontax Revenue, and the Redistributive Foundations of Regime Stability," *International Organization*, Vol.63, No.1, 2009, pp.107-138.

Anna Getmansky, "Who Gets What from International Organizations? The Case of the International Atomic Energy Agency's Technical Cooperation," *International Studies Quarterly*, Vol.61, No.3, 2017, pp.596-611.

• 第八周（10月21日） 能源与国际制度

Jeff D. Colgan, "The Emperor Has No Clothes: The Limits of OPEC in the Global Oil Market," *International Organization*, Vol.68, No.3, 2014, pp.599-632.

Michael L. Ross, Erik Voeten, “Oil and International Cooperation,” *International Studies Quarterly*, Vol.60, No.1, 2016, pp.85-97.

Jeff D. Colgan, Robert O. Keohane, Thijs Van de Graaf, “Punctuated Equilibrium in the Energy Regime Complex,” *Review of International Organizations*, Vol.7, No.2, 2011, pp.117-143.

宋亦明：《制度竞争与国际制度的等级制》，载《世界经济与政治》，2021 年第 4 期，第 33-60 页。

• 第九周（10 月 28 日） 能源与气候变化

Tamma Carleton, Solomon Hsiang, “Social and Economic Impacts of Climate,” *Science*, Vol.353, No.6304, 2016, pp.1112-1127.

Michaël Aklin, Johannes Urpelainen, “Political Competition, Path Dependence, and the Strategy of Sustainable Energy Transitions,” *American Journal of Political Science*, Vol.57, No.3, 2013, pp.643-658.

Hannah Breetz, Matto Mildener, Leah Stokes, “The Political Logics of Clean Energy Transitions,” *Business and Politics*, Vol.20, No.4, 2018, pp.492-522.

Paasha Mahdavi, Cesar B. Martinez-Alvarez, Michael L. Ross, “Why Do Governments Tax or Subsidize Fossil Fuels,” *Journal of Politics*, Vol.84, No.4, 2022, pp.2123-2139.

第三部分 比较政治经济学范畴内的能源研究

• 第十周（11 月 4 日） 能源与经济增长

Jeffrey D. Sachs, Andrew M. Warner, “Natural Resources and Economic Development: The Curse of Natural Resources,” *European Economic Review*, Vol.45, No.4-6, 2001, pp.827-838.

Alexander James, “The Resource Curse: A Statistical Mirage?” *Journal of Development Economics*, Vol.114, 2015, pp.55-63.

Michael L. Ross, “The Political Economy of the Resource Curse,” *World Politics*, Vol.51, No.2, 1999, pp.297-322.

Ramez Abubakr Badeeb, Hooi Hooi Lean, Jeremy Clark, “The Evolution of The Natural Resource Curse Thesis: A Critical Literature Survey,” *Resources Policy*, Vol.51, 2017, pp.123-134.

• 第十一周（11 月 11 日） 能源与武装冲突

Paul Collier, Anke Hoeffler, “Resource Rents, Governance, and Conflict,” *Journal of*

Conflict Resolution, Vol.49, No.4, 2005, pp.625-633.

Michael L. Ross, "How Do Natural Resources Influence Civil War? Evidence from Thirteen Cases," *International Organization*, Vol.58, No.1, 2004, pp.35-67.

唐世平、熊易寒、李辉：《石油是否导致族群战争？——过程追踪法与定量研究法的比较》，载《世界政治研究》，2018 年第 1 期，第 54-87 页。

Graeme Blair, Darin Christensen, Aaron Rudkin, "Do Commodity Price Shocks Cause Armed Conflict? Evidence from a Meta-Analysis of Natural Experiments," *American Political Science Review*, Vol.115, No.2, 2021, pp.709-716.

• 第十二周（11 月 18 日） 能源与政体类型

Michael L. Ross, "Does Oil Hinder Democracy?" *World Politics*, Vol.53, No.3, 2001, pp.325-361.

Stephen Haber, Victor Menaldo, "Do Natural Resources Fuel Authoritarianism? A Reappraisal of the Resource Curse," *American Political Science Review*, Vol.105, No.1, 2011, pp.1-26.

Jørgen J. Andersen, Michael L. Ross, "The Big Oil Change: A Closer Look at the Harber-Menaldo Analysis," *Comparative Political Studies*, Vol.47, No.7, 2014, pp.993-1021.

Sarah M. Brooks, Marcus J. Kurtz, "Oil 'Rents' and Political Development: What Do We Really Know About the Curse of Natural Resources?" *Comparative Political Studies*, First View.

• 第十三周（11 月 25 日） 能源与国家能力

Noel D. Johnson, Mark Koyama, "States and Economic Growth: Capacity and Constraints," *Explorations in Economic History*, Vol.64, 2017, pp.1-20.

卢凌宇、许剑：《因“祸”得福？石油进口依赖与发展中国家能力》，载《世界经济与政治》，2020 年第 12 期，第 123-154 页。

James D. Fearon, "Primary Commodity Exports and Civil War," *Journal of Conflict Resolution*, Vol.49, No.4, 2005, pp.483-507.

Terry Lynn Karl, *The Paradox of Plenty: Oil Booms and Petro-States*, Berkeley: University of California Press, 1997, pp.44-67.

• 第十四周（12 月 2 日） 能源与国内制度

Halvor Mehlum, Karl Moene, Ragnar Torvik, "Institutions and the Resource Curse," *The Economic Journal*, Vol.116, No.508, 2006, pp.1-20.

James A. Robinson, Ragnar Torvik, Thierry Verdier, “Political Foundations of The Resource Curse,” *Journal of Development Economics*, Vol.79, No.2, 2006, pp.447-468.

Maria Carreri, Oeindrila Dube, “Do Natural Resources Influence Who Comes to Power, and How?” *Journal of Politics*, Vol.79, No.2, 2017, pp.502-518.

Pauline Jones Luong, Erika Weinthal, *Oil Is Not a Curse: Ownership Structure and Institutions in Soviet Successor States*, New York: Cambridge University Press, 2010, pp.1-30.

• 第十五周（12月9日） 能源与产业政策

G. John Ikenberry, “The Irony of State Strength: Comparative Responses to the Oil Shocks in the 1970s,” *International Organization*, Vol.40, No.1, 1986, pp.105-137.

G. John Ikenberry, “Market Solutions for State Problems: The International and Domestic Politics of American Oil Decontrol,” *International Organization*, Vol.42, No.1, 1988, pp.151-177.

Barbara Jenkins, “Reexamining the ‘Obsolescing Bargain’: A Study of Canada’s National Energy Program,” *International Organization*, Vol.40, No.1, 1986, pp.139-165.

Rabah Arezki, Frederick van der Ploeg, Frederik Toscani, “The Shifting Natural Wealth of Nations: The Role of Market Orientation,” *Journal of Development Economics*, Vol.138, 2019, pp.228-245.

• 第十六周（12月16日） 能源与国家治理

Michael L. Ross, “Oil, Islam, and Women,” *American Political Science Review*, Vol.102, No.1, 2008, pp.107-123.

Benjamin Smith, “Oil Wealth and Regime Survival in the Developing World, 1960-1999,” *American Journal of Political Science*, Vol.48, No.2, 2004, pp.232-246.

Simon Wigley, “Is There a Resource Curse for Private Liberties?” *International Studies Quarterly*, Vol.62, No.4, 2018, pp.834-844.

Marcus J. Kurtz, Sarah M. Brooks, “Conditioning the ‘Resource Curse’: Globalization, Human Capital, and Growth in Oil-Rich Nations,” *Comparative Political Studies*, Vol.44, No.6, 2011, pp.747-770.

• 第十七周（12月23日） 考试周，无课堂讲授

- 第十八周（12 月 30 日） 考试周，无课堂讲授

延伸阅读

• 能源政治经济学概述

Caroline Kuzemko, Andrew Lawrence, Matthew Watson, “New Directions in the International Political Economy of Energy,” *Review of International Political Economy*, Vol.26, No.1, 2019, pp.1-24.

• 能源与经济安全

Bruce Russett, “Dimensions of Resource Dependence: Some Elements of Rigor in Concept and Policy Analysis,” *International Organization*, Vol.38, No.3, 1984, pp.481-499.

Davis B. Bobrow, Robert T. Kudrle, “How Middle Powers can Manage Resource Weakness: Japan and Energy,” *World Politics*, Vol.39, No.4, 1987, pp.536-565.

• 能源与国际贸易

Michael Shafer, “Capturing the Mineral Multinationals: Advantage or Disadvantage?” *International Organization*, Vol.37, No.1, 1983, pp.93-119.

Ernest J. Wilson III, “World Politics and International Energy Markets,” *International Organization*, Vol.41, No.1, 1987, pp.125-149.

Osiris J. Parceroa, Elissaios Papyrakis, “Income Inequality and the Oil Resource Curse,” *Resource and Energy Economics*, Vol.45, 2016, pp.159-177.

• 能源与直接投资

Riitta-Ilona Koivumaeki, “Evading the Constraints of Globalization: Oil and Gas Nationalization in Venezuela and Bolivia,” *Comparative Politics*, Vol.48, No.1, 2015, pp.107-125.

• 能源与援助制裁

Roy Licklider, “The Power of Oil: The Arab Oil Weapon and the Netherlands, the United Kingdom, Canada, Japan, and the United States,” *International Studies Quarterly*, Vol.32, No.2, 1988, pp.205-226.

Sarah Blodgett Bermeo, “Aid Is Not Oil: Donor Utility, Heterogeneous Aid, and the Aid-Democratization Relationship,” *International Organization*, Vol.70, No.1, 2016, pp.1-32.

- 能源与国际制度

- Zuhayr Mikdashi, "Cooperation among Oil Exporting Countries with Special Reference to Arab Countries: A Political Economy Analysis," *International Organization*, Vol.28, No.1, 1974, pp.1-30.
- Davis B. Bobrow, Robert T. Kudrle, "Energy R&D: in Tepid Pursuit of Collective Goods," *International Organization*, Vol.33, No.2, 1979, pp.149-175.
- Theodore H. Moran, "Modeling OPEC Behavior: Economic and Political Alternatives," *International Organization*, Vol.35, No.2, 1981, pp.241-272.
- Theodore H. Moran, "Managing an Oligopoly of Would-be Sovereigns: The Dynamics of Joint Control and Self-control in the International Oil Industry Past, Present, and Future," *International Organization*, Vol.41, No.4, 1987, pp.575-607.
- Oran R. Young, "The Politics of International Regime Formation: Managing Natural Resources and the Environment," *International Organization*, Vol.43, No.3, 1989, pp.349-375.
- Robert O. Keohane, "The International Energy Agency: State Influence and Transgovernmental Politics," *International Organization*, Vol.32, No.4, 1978, pp.929-951.

- 能源与气候变化

- Marshall Burke, Solomon M. Hsiang, and Edward Miguel, "Global Non-linear Effect of Temperature on Economic Production," *Nature*, Vol.527, No.7577, pp.235-239.
- 赵行姝:《特朗普政府初期美国军方管控气候风险及其行为逻辑》,载《国际安全研究》,2018年第3期,第23-41页。

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