

# Appendix

*Table A.1 Interview guide*

Core Questions	In-depth Module
0. What is your present research/position?	
1. What were the most important influences in your professional life?	Which persons/or groups had a defining influence on your career choice? Were there any specific incidents that had a defining influence on your career choice?
2. In your personal experiences, what were your connections with Europe?	Have you lived abroad? What motivated you to go abroad? (what were your motives?) Can you tell me about your professional interactions with EU representatives/people working in a European context? Attitude?
3. According to you what are the main factors influencing the Chinese position in Climate Change negotiations?	What are the main driving forces in the PRC in these policy areas? Elites, pressure groups, stakeholders? Why?
4. How does climate policy-making work in China?	Who are the key actors? What is your organization's essence and core interest? What was your organization's position on policy x? Which other agencies would you regularly collaborate with?
5. What role do European experiences and policies play for Chinese climate policy?	Were you personally involved with EU counterparts in the field? – Experience? – Who did you collaborate with? – Biggest challenge? – Common workshops, education?
a) How do you perceive cooperation between the EU and China in coping with climate change	Scope: Is there a difference when compared with other actors (e.g. US, India, BASIC)?

Core Questions	In-depth Modules
	What role do you ascribe to the EU in these fields?
b) How are EU practices, say the ETS extension to China, communicated and brought to the Chinese discourse?	<ul style="list-style-type: none"> <li>– Public discourse</li> <li>– NGOs</li> <li>– Business interests</li> <li>– ICTs</li> <li>– ‘Win-Win’, co-benefits rhetoric</li> </ul>
c) How would you describe the frame for the debate on climate negotiations chosen by: Gov, private sector, NGOs, public opinion?	Morality?
d) Did these dynamics change in Durban?	International power struggle?
6. Do you think differences or similarities in political systems impact cooperation?	<p>How about your personal experience?</p> <p>How about the general notion?</p> <p>Member states</p> <p>Defining moments in the EU past 20 years</p>
7. How do you perceive the EU? (What do you think of the EU?)	<p>How do you perceive the EU in international affairs?</p> <p>Where do you see similarities in the international positions of Europe and China?</p>
8. Based on your experience, do you see scope for drawing inspiration from European practices in your field?	<p>What do you think are distinctively European ideas (approaches)?</p> <p>Have other actors tried to bring in ideas?</p>
9. Feedback	<p>What research question would you like us to address?</p> <p>How relevant is this research</p> <p>Who should I talk to, any suggestions for contacts?</p>

*Table A.2 Policy analysis: emissions trading versus carbon tax (complete table)*

Policy Alternatives Policy criteria (drawn from FYP and non-China-specific comparisons)	Emissions Trading Scheme (ETS)	Carbon Tax (CO <sub>2</sub> Tax)	Preferred choice based on criteria
Reducing greenhouse gas emissions	Clear reduction, given there are clear enforcement mechanisms	Quantity of pollution reduced depends on the chosen level of the tax	ETS
Scientific approach	Can be a result of policy analysis	Can be a result of policy analysis	-
Harmonious development/ costs for enterprises	Increased cost through taxation, but can be adjusted through use of tax revenue	Increased cost, but can be adjusted through free allocations	-
Harmonious society	Yes, reduced pollution; No, prices passed on to the consumer, danger of increases in the Consumer Price Index	Yes, reduced pollution, prices passed on to the consumer, but can be socially acceptable, when other taxes are used to offset	CO <sub>2</sub> Tax
Discourage use of fossil fuels/ reduce energy dependence	Yes, given CER price is high enough	Yes, given tax is high enough	-
Encourage renewable energy	Yes, to meet targets	Yes, to reduce tax burden and through funding schemes from tax revenues	-
Availability of best practices in policy implementation	EU ETS since 2005, Australia, New Zealand, Kazakhstan, parts of Canada and the US	Several European member states, Costa Rica, India, several states of the US and Canada. Several countries debated a carbon tax, but were unable to convince voters	-
Simplicity versus the need for new institutions	Need for new institutions, but can be developed at low cost (Parry and Pizer 2007)	Administration by the Ministry of Finance as part of its tax portfolio	CO <sub>2</sub> Tax

Policy Alternatives Policy criteria (drawn from FYP and non-China-specific comparisons)	Emissions Trading Scheme (ETS)	Carbon Tax (CO <sub>2</sub> Tax)	Preferred choice based on criteria
Revenue generation	No, unless the permits are auctioned (which is not the case in the present pilot systems)	Yes, and possibility of re-investment in clean energy, R&D etc.	CO <sub>2</sub> Tax
Room for manipulation/ obstacles to compliance to avoid costs being passed on to consumers or firms	Yes, 'Grandfathering': free allocations at the beginning of the scheme (good for short-term business profitability, but bad for reducing emissions)	Yes, tax evasion possible, similar to other taxes, however, enforcement mechanisms are already in place	-
Uncertainty	Over price	Over emissions reductions	CO <sub>2</sub> Tax