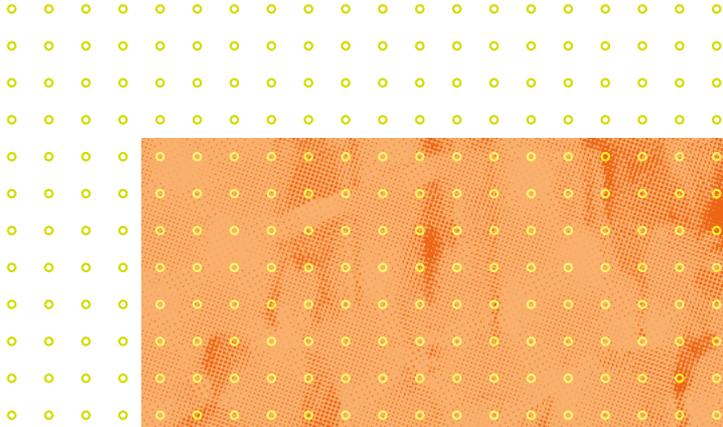


**MAX PLANCK**  
GESELLSCHAFT



# REPORT

2018-2020

MAX PLANCK INSTITUTE  
FOR SOCIAL LAW  
AND SOCIAL POLICY



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GESELLSCHAFT



**REPORT**  
**2018–2020**

MAX PLANCK INSTITUTE  
FOR SOCIAL LAW  
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# PREFACE

This Report provides information about the activities performed by the Max Planck Institute for Social Law and Social Policy (MPISOC) during the past three years. It depicts the multifaceted research projects and activities carried out by the Institute's staff members and describes the developments experienced by the Institute over the three-year period 2018–2020. In presenting this Report, we hope to be able to not only supply an account of the Institute's activities, but also to give our readers an insight into the various developments of social law and social policy, and to promote interest in research related to these fields.

Our Institute – founded in 1980 under the name Max Planck Institute for Foreign and International Social Law and later renamed Max Planck Institute for Social Law and Social Policy in the course of its enlargement in 2011 – hosts two departments. The Department of Foreign and International Social Law, headed by Ulrich Becker, investigates social law as an instrument for the implementation of social policy measures and as a special field of administrative law. The Department for Social Policy, i. e. the Munich Center for the Economics of Aging (MEA), under the leadership of Axel Börsch-Supan studies demographic change and the socio-political impacts, macro-economic implications and social transformation processes resulting from the former. With the retirement of its director at the end of 2022, MEA will conclude its time as a department of MPISOC; its research will continue on a smaller scale.

As a rule, the different departments at the Institute pursue their own research programs. However, the fact that related topics are being dealt with under one roof opens up opportunities for interdisciplinary exchange; this is an added value for the individual departments and has resulted in the joint projects described in Part I.

Common projects basically encompass two broad areas. The first area is migration. Several projects study the legal, economic and social implications of the huge migration wave into Germany that peaked in 2015. A second area of

collaboration has focused on inclusion and was undertaken together with the Max Planck Fellow Group 'Dis[cover]ability and Indicators for Inclusion', which ended in February 2020.

The projects carried out by the two departments during the period under review and an outlook of their future plans are summarized in Part II (Social Law) and Part III (Social Policy), including their activities to promote young researchers as well as the publications produced, presentations held and events hosted in the reporting period. The fourth part (IV) contains an overview of the activities of the Max Planck Fellow Group, headed by Elisabeth Wacker, and focuses on the transformation of social systems and the participation of persons with disabilities.

During the period 2018–2020, the Institute has again enabled scholars to conduct social law and social policy research in a first-rate environment whose resources are unrivalled inside and outside Germany. Excellent work facilities as well as the expertise of its staff have made the Institute an internationally recognized center for social law and social policy research that continues to attract researchers from all over the world. SHARE, the Survey of Health, Ageing and Retirement in Europe, provides a huge collection of micro data in 28 countries that enables the Institute's researchers to study the interactions between health, economic and social circumstances as demographic change takes its path. The Institute's library offers a unique basis for comparative research in social law and social policy (see V.4). The promotion of visiting scholars and the organization of guest lectures, workshops and conferences, as well as the reception of visiting guests foster both international and interdisciplinary exchange – although this essential part of academic life came to an abrupt halt in spring 2020 due to the pandemic.

Besides conducting its own research projects and promoting junior researchers, the Institute also strives to communicate its findings on social law and social policy at home and abroad. For this purpose, its staff regularly participates in diverse conferences, workshops and lecture

events and also maintains a constant dialogue with politicians and experts from practice working in ministries, associations and social service institutions. This exchange is important. It helps to take practice-related issues as an opportunity for further in-depth study or for the reconsideration of hypotheses. And it takes the relevant issues, often also issues of significance in terms of social policy, from the research sphere of the Institute to the outside world.

I wish to take this opportunity to express once more my sincere thanks to all staff members of the Institute for their great commitment during the reporting period. This gratitude applies to the research staff, to the administration, the secretariats, the IT division, the library, and those looking after our guests or processing our texts. No research can be successful without the assistance of our support staff, and we are very happy that the Institute works in a climate of mutual respect and cooperation. My thanks also extend to the members of our Scientific Advisory Board and our Board of Trustees who continue to provide valuable support to our work.

*Munich, January 2021*  
*Axel Börsch-Supan*





# | JOINT PROJECTS



Dr. Constantin Hruschka



May Khourshed

## 1 LOST POTENTIALS? THE RIGHTS AND LIVES OF THE EXCLUDED

*Constantin Hruschka, May Khourshed,  
Diana López-Falcón, Romuald Méango  
and Tim Rohmann*

The MPI for Social Law and Social Policy has contributed with an interdisciplinary project to the 'Challenges of Migration, Integration and Exclusion' research initiative (WiMi) of the Max Planck Society. The research took place in the emerging field of refugee studies in Germany after the 'long summer of migration' in 2015. The project 'Lost Potentials? The Rights and Lives of the Excluded' aimed at gaining insights into the legal and political factors that create and solidify mechanisms of exclusion, as well as into the socioeconomic consequences of exclusion for migrants. Taking the migration to Germany since 2014 as a case study, the project sought to answer a complex set of questions for which the expertise of the legal and political/economic sciences is equally necessary. Therefore, both departments of the Institute were involved.

In a first step, a systematic analysis of existing legal statuses and corresponding social rights uncovered the normative trajectories of exclusion. This served as the comparative background for those migrants who have entered the country irregularly, who have exhausted the legal possibilities to stay or who fall through the cracks otherwise. As the relevant legal provisions create a spectrum of possibilities and restrictions for the different types of migrants in Germany, the project investigated the chances of integration for each group. These findings were also used to stipulate hypotheses for the empirical part of the study that allows for a comparison of the relevance of these diverging degrees of exclusion (perpetuated in legal status) for integration.

The legal part of the project, conducted by the Department of Foreign and International Social Law, consisted of an analysis of the legal texts and provisions, especially with regard to the residence status and the rights foreseen for third

country nationals under national and EU migration and asylum law. As a service for the other non-legal scholars in the WiMi research initiative, the researchers have delivered a detailed chart containing legal categories as well as other important explanations and legal notions that are relevant for examining forced migration. The clarification of legal categories relevant in the migration of third-country nationals that do not enter on a visa scheme has greatly contributed to the design of the questionnaire of the Institute's Social Policy Department and to its charts (see below).

Based on the analysis of the legal framework, further juridical research focused on the protection gaps identified, in particular, on the implications of legal changes for persons in the asylum procedure (and thereafter). Its elaboration included comments on current decisions of the CJEU and the changes foreseen and implemented in the asylum area in Germany. Special relevance was also ascribed to the idea to enhance migration management in the asylum area by concentrating all relevant actors in so-called 'AnKER centres', which are by design





At a two-day workshop in Munich, the scientists discussed legal and socio-economic perspectives of exclusion.

already a place of exclusion. First legal findings were presented at several conferences of the relevant networks in Germany (Netzwerk Migrationsrecht as well as Netzwerk Flüchtlingsforschung) and at the most important Migration Law conference in Germany in Hohenheim, as well as internationally in Switzerland (University of Basel), the UK (Refugee Law Initiative), the US (University of Michigan) and Canada (McLaughlin College, York University). Moreover, the project was presented together with the colleagues from the Social Policy Department at the meetings of the Board of Trustees and of the Scientific Advisory Board of the MPI for Social Law and Social Policy. Several articles on relevant themes have already been published. Scientific articles written by the scientific staff have also been regularly cited by courts including leading courts in Germany.

The data collection part of the study, carried out by the Department of Social Policy (MEA), was based on a quantitative survey among Afghan migrants in three German cities with the largest Afghan populations (Berlin, Hamburg and Munich). Among other insights, the data gained from the survey made it possible to analyze the pathways that result in exclusion. Moreover, the questions focused on understanding the skills and integration investments of Afghan migrants, and on how these are affected by their prospects in Germany. The empirical findings allow for an elaboration of alternative policy approaches to prevent the uncovered exclusion mechanisms.

The first half of this subproject focused on the survey design, the recruitment strategy and test-

ing the feasibility of the survey in the field with different groups. During this period, repeated interactions with the Social Law colleagues were crucial to identify the relevant categories of legal statuses. Besides, an expert workshop helped to properly design the foreseen recruitment strategy: a mix of traditional sampling based on administrative registry data and a snowball-sampling technique, where previous respondents are asked to recruit potential respondents, possibly with an irregular status.

The fieldwork was carried out in 2019. The operation was coordinated by the MEA Migration Unit and involved 18 interviewers in the field. They conducted computer-assisted personal interviews (CAPI) in Dari and Pashto, the two main languages spoken in Afghanistan. The target population was composed of persons aged 18 or older who arrived in Germany for the first time in 2014 or after. Before and during fieldwork, the survey team was in contact with key stakeholders of the Afghan community (Imams, NGOs, social workers, community leaders, etc.) in each city to raise awareness about the study and solve any questions. The survey design ensured the anonymity of the respondents and no information regarding the individual's identity was kept.

The successful implementation of the survey resulted in 1,024 interviews in all three cities, with 40 percent of respondents being female. As an important contribution to the economic literature, the survey elicited respondents' subjective beliefs about the chance to obtain the right to stay in Germany, the perceived risk of deportation and outcomes related to the legal status.



Romuald Méango, PhD



Tim Rohmann



Dr. Simone M. Schneider

First results provide interesting insights about migrants' expectations: Afghan asylum seekers are, on average, pessimistic about the proportion of asylum seekers that are granted the legal right to stay in Germany. Afghan asylum seekers expect, on average, a deportation rate that is 20 percentage points higher than the official statistics (less than 1 per cent). Providing information about the actual proportion of deportation does not have a sizable effect on those beliefs. In comparison, they are more optimistic about their own chance to receive the legal right to stay. However, there is considerable variation across and within groups. In particular, the city of residence significantly influences beliefs.

Subjective beliefs in turn shape the intention to stay in Germany without the legal right to stay. Intention to overstay is, on average, relatively high, and the chance of being regularized explains more than 20 percent of this intention for one half of the sample. Here, as before, the city of residence plays an important role for the elasticity of the intention to stay to the option to be regularized. Asylum seekers residing in Munich are considerably less willing to stay when the chance to be regularized decreases.

The project contained a special set of questions about the detection of vulnerabilities at the time of entry. Based on respondents' answers, we conclude that non-visible vulnerabilities (e.g. psychological problems and having been the victim of violence) may not be systematically detected by German authorities at the time of entry. However, these vulnerabilities have a negative impact on subsequent economic outcomes such as labor market integration or language skills of asylum seekers. For example, respondents with at least one non-visible vulnerability have lower language skills, are less likely to have obtained some education in Germany, and report a more limited access to the labor market than their counterparts without vulnerability. Moreover, the analysis of the survey data brought to light that women with young children and men above 40 have worse integration outcomes than other subgroups in the population. Thus, they could also qualify as vulnerable populations.

## 2 THE BALTIC SEA STATES PROJECT

*Diana López-Falcón and Simone Schneider*

The economic and socio-demographic developments occurring throughout Europe pose new social risks which threaten the livelihood of certain population subgroups. Due to the heterogeneity of the Baltic Sea States, the task of defining new vulnerable groups is not straightforward, nor is the analysis of welfare regimes contributing to their creation. The phenomena become more complex with the interrelationships and cumulative effects of less explored determinants, particularly unintentional life course events, cognitive health as well as work and life experiences. For this reason, historical shifts within the welfare systems of many East European states, as well as cross-country differences, offer a fertile environment for conducting research on the multi-dimensional causes of social vulnerability.

The Baltic Sea States Project is funded by the Max Planck Society and developed in collaboration with the Max Planck Institute for Demographic Research in Rostock and the network *Population Europe*. The interdisciplinary research aims to shed light on underexplored, but highly relevant aspects of vulnerability with a particular focus on the population developments in Denmark, Estonia, Finland, Germany, Latvia, Lithuania, Poland, the Russian Federation and Sweden. Additionally, Iceland and Norway are considered as they form part of Northern Europe and the Nordic welfare model.

Departing from the central topic of vulnerability, the research at the Max Planck Institute for Social Law and Social Policy is built on three main domains: Working life and retirement, migration, and health. It uses three main data sources: *The Survey of Health Ageing and Retirement in Europe* (SHARE), the *Social Policy Archive for SHARE* (SPLASH), and one migration survey. The topics are examined from theoretical and empirical perspectives, which includes the improvement of existing methodologies, the use of combined sources, and new data collection.

During the reporting period, several approaches were undertaken at the Department of Social Policy (MEA) to ensure an in-depth investigation of social vulnerability. While considering the life course as a process, we focused on filling the research gaps with regard to discontinuities and how they affect life opportunities. We examined not only short- and mid-term perspectives, but the long term, which includes issues such as discontinuous education and career paths, deterioration of the health status, as well as the consequences of migration. Moreover, we were interested in the question of how policy interventions can mitigate the possible negative effects of life course discontinuities at the micro level.

Regarding the domains of working life and retirement and health, MEA researchers investigated the social risks derived from employment and retirement behaviors using SHARE data. The studies considered the interaction between work and health regarding the long-term consequences of recessions on health and the mediating effects of leaving the labor market early. The cross-national perspective on how employment decisions could result in higher levels of inequality and risk of exclusion in the long term were analyzed as well. In terms of the BSS Project objectives, we were able to link economic and socio-demographic trends to subsequent challenges emerging in social policy. For instance, we found that increasing the retirement age might have greater negative effects on individuals in physically demanding jobs given the increased risks of health problems. These individuals are more exposed to lower pension entitlements if forced into early retirement due to failing health, thus exacerbating the financial difficulties and higher risk of exclusion already faced by low-skilled workers in retirement.

Within the BSS Project, the Department of Foreign and International Law equally contributes to the research on retirement. Due to the severe reform pressure that states are faced with as a result of demographic change, pension schemes are unceasingly undergoing alterations, and different structural approaches are undertaken in order to address financial protection in old age.

In this dynamic and complex context, carving out the plurality of legal backgrounds behind the different pension systems is crucial for understanding variations in old age income. The legal frameworks not only provide retirement ages and possibilities for early and deferred retirement, but also regulate pension levels and ultimately design the whole structure of the pension systems. In order to shed light on the various systems of financial protection in old age, we engaged with the development of an analytical framework of pension policy to elaborate on the differences in the institutional structure of old age security across European countries and its legal foundations.

The product of this work is a newly developed systematization of pension policy, which provides a comprehensive and systematic legal framework for policy evaluation as it captures the multifaceted interplay of different pension schemes. This conceptual work on pension policy utilizes categories from the field of social law and social policy (such as legal forms, functions, right to access, form of affiliation, as well as modes and sources of financing) in order to facilitate cross-comparative research on the consequences of pension policy. On the basis of the created analytical framework, the project team engaged with the compiling of country reports and the systematic collection of data on 32 countries, including 10 countries forming part of the BSS Project (Denmark, Estonia, Finland, Germany, Latvia, Lithuania, Poland, the Russian Federation, Sweden and Norway). The core element of each country report forms the so-called Pension Map, which provides an easily understandable overview of the general structure of a national old age security system by picturing the analytical categories within a single image. Such an approach allows researchers and policy makers to easily identify the different institutional structures of old age security and how their varying policies create or alleviate social risks for pensioners/retirees. The Pension Maps are complemented by accompanying information that facilitates the understanding of the Pension Map and the interplay of different pension schemes.



Dr. Diana López-Falcón

Since immigrants are a population of concern, MEA addressed two dimensions related to international migration in the Baltic Sea States. With respect to the first dimension, the SHARE survey data provided rich microdata covering the life history of the respondents in almost all project countries. Accordingly, the study of vulnerable population groups considered the long-term consequences of migration and employment decisions from a cross-national perspective, including intergenerational relations and environments that might later affect cognitive and physical health. As elderly migrants are more likely to have worked a shorter time span in the host country and have a smaller family network, the risk of poverty and exclusion is compounded. Thus, these research lines remove the static framework, revealing the degree to which vulnerability can snowball over time, capturing the long-term embodiment of social vulnerability throughout one's life.

The recent influx of refugees in Europe was the second dimension of international migration explored. Using Germany as a case study, the challenges of integration and the subsequent social risks were studied to evaluate past policy responses to one of the most vulnerable groups of migrants, as well as to develop more effective policy interventions for the future. For instance, the MEA study 'The Role of Trauma for Integration: The Case of Syrian Refugees' examines how the presence of traumatizing events affects short-term integration of Syrians in Bavaria. It concludes that although war-related traumata are widespread in this subpopulation of refugees, structural and cultural integration (specifically, seeking work and learning the language) is not significantly hampered.

Within the BSS Project, new methodologies have been developed to assess whether a population is vulnerable. For example, no direct test procedure existed to assess whether individuals choose their sector of activity based on the maximization of their income (Roy model). In the project 'Sharp Bounds and Testability of a Roy Model of Science, Technology, Engineering and Mathematics (STEM) Major Choices', MEA devel-

oped a testing procedure based on covariate restrictions. Applied to recent cohorts of graduates from Germany, the results show that neither white females, nor white males in West Germany choose their major in order to solely maximize their income. However, the effect is more important for females and contributes to the observed gender wage gap.

The most relevant results of these and future studies supported by the BSS Project will continue to be shared with the public as they are made available on the SPLASH Database launched in 2019 by the Max Planck Institute for Social Law and Social Policy. This platform offers the advantage of partnering the data collected under the BSS Project with the comprehensive collection of social policies and their supporting legislation regarding relevant demographic issues collected up until 2016 in the predecessor database PER FAR, hosted by the Max Planck Institute for Demographic Research. In addition, the SPLASH Database provides access to datasets of contextual indicators for longitudinal microdata analysis and a data map of external quantitative and qualitative data sources. Particularly the combined use of SPLASH macro and contextual data and SHARE microdata offers researchers a unique opportunity to conduct comparative analyses of social policies over space and time. This is important, as policy interventions and welfare regimes must be taken into account for an accurate and comprehensive study on social vulnerability.

### 3 SECOND SOUTH-EAST AFRICAN AND EUROPEAN CONFERENCE ON REFUGEES AND FORCED MIGRANTS: HEALTH IN DIVERSITY, DIVERSITY IN HEALTH?

*Katharina Crepaz*

#### I Aims and Background of the Conference

The '2nd South-East African and European Conference on Refugees and Forced Migrants: Health in Diversity, Diversity in Health?' was held in Kilifi, Kenya on March 12–14, 2019. The conference was a joint project of the Fellow Group 'Dis[cover]ability and Indicators for Inclusion' led by Prof. Dr. Elisabeth Wacker, the Department for Foreign and International Social Law headed by Director Prof. Dr. Ulrich Becker, LL.M. (EHI), the Chair of Sociology of Diversity at the Technical University of Munich, and Pwani University in Kenya.

The so-called 'refugee crisis' has been an ongoing topic for national and European political discussion since 2015; due to the continued relevance of the topic, it soon became clear that a follow-up event to the '1st South-East African and European Conference on Refugees and Forced Migrants: Social Rights – Care – Mutual Benefits', which took place in Kilifi in August 2016, should be held. The 2016 conference aimed to supply the often Eurocentric scientific discourse on refugees with African perspectives by fostering the connection of research activities and the exchange of best practices. For the 2019 edition, a special focus was placed on the connection between diversity and health, and on the analysis of how (forced) migration affects health and well-being on a variety of levels and in different contexts. In order to reach solid results, researchers from Africa and Europe were invited to examine the topic from interdisciplinary perspectives. The conference's workshop format allowed for in-depth discussion and dialog.



Dr. Katharina Crepaz



The participants of the Conference on Refugees and Forced Migrants convened at Pwani University in Kenya.

## II Conference Topics and Contents

In her introductory remarks, Prof. Dr. Elisabeth Wacker underlined the South-East African countries' expertise in dealing with flight and (forced) migration, as well as the conference's aim to foster international scientific discussion and the exchange of best practices. The following first conference panel dealt with historical perspectives on health and migration in a globalized society. Prof. Dr. Ulrike Kluge, from the Center for Intercultural Psychiatry & Psychotherapy (ZIPP) at Charité Universitätsmedizin Berlin, looked at mental health in times of increasing flight, migration and hybridity, while Dr. Gordon Omenya from Kenyatta University, Kenya, provided historical reflections on civil strife, migration and health in the East African region.

The following panel covered legal questions. Cornelius Lätzsch from the University of Hamburg spoke about difficulties in access to health care and social services for refugees with disabilities in Germany. Prof. Dr. Letlhokwa George Mpedi from the University of Johannesburg, South Africa, reported on how health as a human right was implemented in the Republic of South Africa.

Political solutions and policy approaches were the focus of the following panels on health care policies and environmental factors and on social policy and diversity. Andrea Göttler from the Technical University of Munich spoke about the role of (older) age in forced migration, while Dr. Godfrey Nato, County Minister of Environment, Waste Management and Energy in the County Government of Mombasa, Kenya, looked at the refugee environment nexus from the camp infrastructure perspective. Prof. Dr. Albert Scherr, Director of the Institute for Sociology at the Freiburg University of Education, tackled social integration and racist discrimination of young African refugees in Germany. Edwin Wanjawa from Pwani University, Kenya, presented on health outcomes of refugees and forced migrants by way of social policy analysis and response.

The panels on quality of life, diversity and health and on diversity in refugee camps followed up on

the analysis of the current state and policy challenges and focused in more detail on the prerequisites for a functioning 'health in diversity' approach, as well as on the very particular situation in refugee camps. Prof. Dr. Halimu Shauri and Dr. Sellah Lusweti from Pwani University, Kenya, focused on coping strategies and innovations among forced migrants in encampment in the Tana Delta. Jun. Prof. Dr. Ulrike Krause from the University of Osnabrück critically analyzed the notion of refugee camps as safe harbors by presenting empirical findings about sexual and gender-based violence against women during encampment. Fahtima Azmiya from the Technical University of Mombasa, Kenya, spoke about social support and health in culturally diverse refugee settlements, and provided considerations for policy and practice.

The final panel focused on economic perspectives of diversity and health. Annalies Beck from Friedrich Schiller University Jena reported on migration, health and the role of technology, while Dr. Samuel Mwakubo from Pwani University, Kenya, analyzed patterns, benefits and challenges of forced migration drawing on the case of Kenya. Finally, Prof. Dr. Elisabeth Wacker and Prof. Dr. Ulrich Becker provided concluding remarks and reflected on the lessons learned from three days of in-depth discussion.

## III Results and Outlook

The conference offered an interdisciplinary look on the topic of (forced) migration and health, and provided the starting point for a new, resource-oriented view on the nexus between diversity and health through the concept of 'health in diversity'. It generated new outcomes by combining European and African lenses for analysis and therefore creating new levels of comparison. The coming-together of experts from different disciplinary and geographical contexts made for a fruitful scientific debate and fostered the exchange between researchers. Besides legal and political strategies for dealing with diversity and health and possible challenges, the need for a changed perspective on (forced) migrants themselves was also high-

lighted: their individual abilities and potentials (resources) should be better acknowledged and supported, in order to allow for better health chances and a better quality of life.

The conference results were published in an edited volume titled 'Health in Diversity, Diversity in Health? (Forced) Migration, Social Diversification and Health in a Changing World' (Springer VS) in early 2020.

#### **4 WHO 'OWNS' PARTICIPATION? BENEFITS, PROVISION AND AVAILABILITY OF PARTICIPATION AS A COMMON GOOD**

*Katharina Crepaz*

##### **I Aims and Background of the Conference**

The conference 'Wem 'gehört' die Teilhabe? Nutzen, Bereitstellung und Verfügbarkeit von Teilhabe als Allgemeingut' ('Who 'Owns' Participation? Benefits, Provision and Availability of Participation as a Common Good') was held at the Max Planck Institute for Social Law and Social Policy in Munich on December 6–7, 2018. The conference was a joint project of the Fellow Group 'Dis[cover]ability and Indicators for Inclusion' led by Prof. Dr. Elisabeth Wacker and the Department for Foreign and International Social Law headed by Director Prof. Dr. Ulrich Becker, LL.M. (EHI).

In public discourse, participation is ascribed the role of a public good accessible to the entire population regardless of personal resources or structural inequalities. Participation thus occurs as an ideal that can be claimed by all, but possessed by no one, and that cannot be occupied by any uniformly valid definition. The conference's aim was therefore to contribute to answering the following questions: Is participation a common good? Can participation take place through law? Does the demand for participation function as an engine of social policy? Does participation promise a good life? The conference provided an inter-

disciplinary look at the concept of participation, in order to present a broad picture of participation in different contexts, from different perspectives and with different stakeholders involved. It also aimed at providing an outlook into the future of participation.

##### **II Conference Topics and Contents**

In their introductory remarks, Prof. Dr. Elisabeth Wacker and Prof. Dr. Ulrich Becker underlined the relevance of participation as a currently widely discussed topic, which is receiving increased attention from both research and practice, and thanked the participants for their willingness to shed further light on what the term actually entails.

The following first conference panel dealt with the character of participation as a common good. Prof. Dr. Ulrich Becker offered a constitutional historical look on the meaning of participation, while Prof. Dr. Elisabeth Wacker analyzed the discovery of participation from a socio-ethical point of view.

The next panel covered participation as an instrument to achieve balance and equality. Jun. Prof. Dr. Minou Banafsche from the University of Kassel spoke about the *Bundesteilhabegesetz* (BTHG), the German federal law on participation, and possible chances and problems. Dr. Isabella Bertmann-Merz from the Technical University of Munich looked at the connection between balance, equality and participation. Following a lively discussion, Dr. Marc Beise from the *Süddeutsche Zeitung* offered an insight into the role of the media in the field of participation, media and digitalization. Finally, Prof. Dr. Ingmar Steinhart, Chairman of the von Bodelschwingsche Stiftungen Bethel, provided a practitioner's perspective on the concept of participation for persons with severe psychological disabilities.

The second conference day moved from conceptual challenges and discussions about definitions to the practical implementation of participation in different fields. Prof. Dr. Stephan Lessenich from Ludwig Maximilian University



Prof. Dr. Dieter Röh from HAW Hamburg spoke on the metaphysics of participation ...

Munich spoke about inequality, the welfare state and the participation paradigm. Dr. Katharina Crepez from the Max Planck Institute for Social Law and Social Policy and the Technical University of Munich followed with a discourse on the possibilities and boundaries of political participation. The researchers' views were again supplied with insights from practical fields: Constantin Grosch, politician and disability rights activist, spoke about participation as a resource for persons with disabilities, while Dr. Peter Bartelheimer from SOFI Göttingen critically examined the suitability of the concept of participation for measuring target achievement.

The next panel focused on the right to participation, and on how legal provisions can enable participation. Prof. Dr. Katja Nebe from the University of Halle (Saale) examined whether law can foster participation, and Prof. Dr. Dieter Röh from Hamburg University of Applied Sciences provided an introduction to the metaphysics of participation. Dr. Thorsten Hinz from Caritas Behindertenhilfe und Psychiatrie e.V. (CBP) spoke about how participation in social life can be achieved. Finally, Prof. Dr. Gudrun Wansing from Humboldt University Berlin provided an outlook on what may come after participation. Prof. Dr. Ulrich Becker and Prof. Dr. Elisabeth Wacker then opened the floor to the concluding discussion with all speakers and conference participants.



... whereas Constantin Grosch fed impulses from practice into the discussion.

### III Results and Outlook

The conference offered an interdisciplinary look at the topic of participation, one of the current buzzwords not only in scientific discourse but also in public and societal developments. Driven by the implementation of the UN Convention on the Rights of Persons with Disabilities (CRPD), participation has made its way to the forefront of scholarly interest and also of policy-making and legal processes (as outlined by the *Bundesteilhabegesetz*). The conference looked at the prerequisites for keeping the character of participation as a common good, while also establishing accessibility and representation for different groups. The coming-together of researchers from different disciplines with practitioners and the interested public made for a fruitful and lively debate and fostered the in-depth discussion of both conceptual and practical issues regarding the topic of participation.

The conference results will be published in an edited volume with Nomos, as part of the series *Studien aus dem Max-Planck-Institut für Sozialrecht und Sozialpolitik*, in early 2021.

## 5 JOINT PROJECTS PLANNED

Even though the time of the Max Planck Fellow Group at the Institute came to an end in February 2020, its former head Prof. Elisabeth Wacker and Prof. Ulrich Becker, director at the Institute and head of the Department for Foreign and International Social Law will continue their collaboration in the future. The following projects, for which third-party funding has been obtained, have already started:

### **The Corona Pandemic in Special Housing Arrangements for Persons with Disabilities.**

Snapshots and future planning on equality and participation in health care in 2020 [Wohnen in Gesundheit: WoGe2020].

Federal Ministry of Labour and Social Affairs | 2020–2021

**b4: Specifying Needs | Building Bridges.** A participatory approach to observing, assessing, and reporting new ways of health promotion and healthcare provision.

Krankenhaus GmbH Landkreis Weilheim-Schongau | 2020–2023

## 6 EVENTS

17–18 Jun 2019

Workshop: **'Areas of Exclusion', Meeting of the Research Initiative 'The Challenges of Migration, Integration and Exclusion' of the Max Planck Society**, Department of Foreign and International Social Law together with the Munich Center for the Economics of Aging (MEA), Max Planck Institute for Social Law and Social Policy, Munich (organized by Tim Rohmann, Constantin Hruschka, Romuald Méango and Diana López-Falcón)

**Ulrich Becker:** Opening

### **Legal Perspectives**

**Jürgen Bast:** The Spatial Dimension of EU Migration Law

**Carolyn Moser:** The External Dimension of EU Migration Control

**Constantin Hruschka:** Internal Border Controls

**Tim Rohmann:** AnKER Centres

**Anna Oksuzyan:** Is Inter-Marriage Protective for Immigrants and Native-Born Swedes? A Register-Based Study of Suicide and Inter-Marriage in Sweden

**MEA (Munich Center for the Economics of Aging):** Progress in the 'Survey on Migrants' Expectations in Germany'

### **Socio-Economic Perspectives**

**Romuald Méango:** The Political Economy of Refugee Migration in the European Union

**May Khourshed:** The Role of Trauma in Integration: The Case of Syrian Asylum Seekers in Bavaria

**Yvonne Giesing:** The Labour Market Integration of Refugees: Evidence from a Field Experiment in Munich

**Franck Düvell:** Liquid Modernity and the Rise of Irregular Migration

12–14 Mar 2019

Conference: **2nd South-East African and European Conference on Refugees and Forced Migrants: 'Health in Diversity, Diversity in Health?'**, Department of Foreign and International Social Law, the Chair of Sociology of Diversity, Technische Universität München, and Pwani University, Kilifi, Kenya (organized by Katharina Crepez and Sellah Lusweti)

**Ulrich Becker, Elisabeth Wacker:** Introduction to the conference

**Ulrike Kluge:** Mental Health in Times of Increasing Flight, Migration and Hybridity

**Gordon Omenya:** Civil Strife, Migration and Health in the East African Region: Some Historical Reflections

**Cornelius Lätzsch:** Forgotten Non-Citizens!? Access to Health Care and Social Services for Refugees with Disabilities in Germany

**Lethokwa George Mpedi:** Health as a Human Right: Some Critical Legal Perspectives from the Republic of South Africa

**Andrea Göttler:** What Role does (Older) Age Play in Forced Migration?

**Godfrey Nato:** The Refugee Environment Nexus: The Camp Infrastructure Perspective

**Alber Scherr:** Social Integration and Racist Discrimination of Young African Refugees in Germany

**Edwin Wanjawa:** Health Outcomes in the Context of Refugees and Forced Migrants: Social Policy Analysis and Response

**Halimu Shauri, Sellah Lusweti:** Quality of Life: Coping Strategies and Innovations among Forced Migrants in Encampment in the Tana Delta

**Ulrike Krause:** Refugee Camps as Safe Harbors? Empirical Findings about Sexual and Gender-based Violence against Women during Encampment

**Fahtima Azmiya:** Social Support and Health in Culturally Diverse Refugee Settlements: Considerations for Policy and Practice

**Andrea Göttler:** Outlook: Conference Publication – Details and Deadlines

**Annalies Beck:** Migration, Health, and the Role of Technology

**Samuel Mwakubo:** Forced Migration: Patterns, Benefits and Challenges: The Case of Kenya

**Elisabeth Wacker, Ulrich Becker:** Concluding remarks & lessons learned

6–7 Dec 2018

Conference: **Wem 'gehört' die Teilhabe? Nutzen, Bereitstellung und Verfügbarkeit von Teilhabe als Allgemeingut**, Department of Foreign and International Social Law together with the Fellow-Group, Max Planck Institute for Social Law and Social Policy, Munich (organized by Eva Nachtschatt and Katharina Crepaz)

**Ulrich Becker, Elisabeth Wacker:**

Welcome address

**Ulrich Becker:** Die Bedeutung der Teilhabe – eine verfassungsgeschichtliche Betrachtung

**Elisabeth Wacker:** Die Entdeckung der Teilhabe – sozialetisch betrachtet

**Minou Banafsche:** Das Bundesteilhabegesetz: Chancen und Probleme

**Isabella Bertmann-Merz:** Ausgleich durch Teilhabe? – Teilhabe durch Ausgleich?

**Marc Beise:** Teilhabe, Medien, Digitalisierung – was die vierte Gewalt leisten kann

**Ingmar Steinhart:** Impuls aus der Praxis  
**Stephan Lessenich:** Ungleichheit, Wohlfahrtsstaat und das Teilhabeparadigma

**Katharina Crepaz:** Chancen und Grenzen politischer Teilhabe

**Constantin Grosch:** Impuls aus der Praxis

**Peter Bartelheimer:** Eignung des Teilhabekonzepts für Messung von Zielerreichung

**Katja Nebe:** Kann Recht die Teilhabe fördern?

**Dieter Röh:** Metaphysik der Teilhabe

**Thorsten Hinz:** Teilhabe am gesellschaftlichen Leben

**Gudrun Wansing:** Ausblick: Was kommt nach der Teilhabe?

**Ulrich Becker, Elisabeth Wacker:**

Concluding remarks



## II FOREIGN AND INTERNATIONAL SOCIAL LAW



Prof. Dr. Ulrich Becker,  
LL.M. (EHI)

## 1 INTRODUCTION

*Ulrich Becker*

### 1.1 TASKS AND STRUCTURES

#### Mission and Overall Research Questions

The Department for Foreign and International Social Law carries out research on one of the most important inventions that political communities have created: social protection. Social protection is essential to the majority of human beings all over the world. Although its role and its scope and design differ from one country of the world to another, although it is in some global regions in a certain way still in its early stages, and although it is even not always comprehensive all over Europe: Social protection not only makes life bearable, but helps people to feel at home in a world of individual freedoms. Those who have to live without it are worse off.

We understand social protection as a core area of social policy and as the core feature of welfare states in general. And we understand social protection law as the instrument to put social policy in place and as an important element of welfare state constitutions. Social protection law mainly consists of assuring non-discrimination and societal participation, as well as of granting social benefits: (1) in the traditional sense of social security, i.e. providing security against social risks; (2) in the sense of supporting families, but also members of other groups of vulnerable persons, and of supporting education and housing; (3) in the sense of social assistance as a social safety net providing for a minimum level of subsistence; and (4) in the sense of social compensation, i.e. compensation for damages that have been suffered due to situations in which a common responsibility is established, as is the case with benefits for war victims and victims of crime, but also for those hit by natural catastrophes or a pandemic crisis.

What we seek to learn can, in a nutshell, be put into three questions: What are the peculiarities of

social law as an instrument to implement social policy goals? What are the peculiarities of social law as a part of administrative law? And what is its normative background and its contribution to the constitution of political communities?

The first question points to the relation between social law and social policy. Social law serves as an instrument of social policy; it makes social policy work and puts it into concrete terms. Legal research has to take into account the specific functionality of social law and also to include questions of effectiveness in its research design on the one hand. On the other, we are convinced that legal research is particularly capable of providing precise and complete information on the institutional conditions and particularities of a specific social policy and, therefore, to contribute to a better understanding of social policy in general – this is an observation addressed to social scientists and a lesson from our interaction at our Institute.

The second question starts from the fact that social law is a special field of administrative law. This means that the knowledge of the principles and general rules on administrative actions can also be used in order to explain how social administrations work. Yet, at the same time it also means that those dealing with general administrative law can learn from social law as innovations normally take place in specific fields of administration. In the end, we have – again – undergone a mutual learning process, but one that serves those who are interested in public law and its legal doctrine.

The third question concerning the normative background takes into account that social law acts as the backbone of welfare states. What we can find in statutes and other legal instruments with regard to social protection puts social policy into practice. At the same time, it reflects fundamental ideas on the right and just construction of a political community, in particular on the legitimacy of public interventions, or on how far governments should be entrusted with the task of influencing societal and individual behaviour. This is why modifications of social (protec-

tion) law are not a mere technicality but reveal, at least if they were of considerable importance and go beyond mere adjustments, changes in the constitution of welfare states.

### Methods and Approaches

Social protection needs to be organised, it needs to be put in place by institutions. Social benefits cannot be granted without the establishment



of administrative authorities, without making funds available, without laying down the rules on access or coverage as well as on the conditions for, and the amount of, cash benefits and benefits in kind, and in many cases also not without regulating the actual provision of social and health services.

States fulfil the demanding task of organising social protection systems according to their own history, their given societal and economic situation and their interpretation of how to align freedom and security. Furthermore, they use as instruments for implementation the pathways paved in their respective jurisdictions, the legal institutes and instruments which are generally known and used for administering governmental actions.

As a result, neither social protection systems nor social protection law are uniform. They depend on political decisions taken by national legislature in order to legitimise the redistribution of financial means, and they depend on the respective legal culture rooted in a given jurisdiction. As a result, the actual scope and design of social protection systems and, as a consequence, of social protection laws, differ from one country to another – even if they were meant to serve similar social policy goals. To provide just two examples from our recent research: ‘Self-administration’ or self-government of administrative bodies may be used as a suitable instrument for decentralisation of social protection only if this form of organising administrative authorities and of sharing powers is well established in a national legal system (see *Becker, Sharing Power with Employers and Employees: A Tried and Proven Form of Functional Decentralisation in Europe*, in: G. Vonk/P. Schoukens (eds.), *Devolution and Decentralisation in Social Security: A European Comparative Perspective*, 2019, p. 41 et seq.). How physicians become part of a public health care system, how their legal status is shaped, and how it can be assured that their services are available to the population throughout a country (see: *Gutachten zur Weiterentwicklung der Bedarfsplanung i.S.d. §§99ff. SGB V zur Sicherung der vertragsärztlichen Versorgung*, Legal Part, July 2018, p. 621 et seq.) varies according to the institutions involved as well as to the existing instruments for administrative planning.

The variety of social protection systems calls for legal comparison, and it makes this comparison both a demanding as well as a potentially

very fruitful method. We engage in it particularly in order to compare different jurisdictions with one another. Comparison helps to clarify that the existing positive laws (or institutions) are often a product of historical contingencies and political randomness. It shows, on the one hand, different ways of institutional answers to a given societal problem (and in the case of social protection, the so-called variety of capitalism). And it allows us, on the other, to go beyond this and to find out more about common legal principles and structures. In an era where social security continues to undergo reforms, comparison is still a most suitable tool for gaining new insights. And social law is an appropriate field for comparison, as its functionality goes well with the comparative method, which is also functional. Although one may discuss further what 'functionality of laws' actually means, this methodological starting point leads, in any case, back to the social policy context of social protection law: it is those legal sources which serve the same social policy goal that should become part of a comparison. Accordingly, their assessment has to take social policy research into account. This still leaves us with much room for interpretation and theoretical reasoning, but it also allows and even urges us to make use of a non-legal framework.

Besides legal comparison and legal doctrinal research, we also engage in other methods, in particular empirical research going beyond legal documents. Dr. *Sergio Mittlaender's* main research activities deal with behavioural economics and include lab experiments (see below, II.2.6.1–2.6.3); Dr. *Simone M. Schneider* uses quantitative methods for her research on public opinion and the perception of economic inequalities (see below, II.2.6.4–2.6.5); and *Nina Schubert* conducted a survey on the functionality of administrative adjudication procedures from the perspective of the complainants (see below, II.3.2.2).

### Organisation of Research

As in the previous reporting periods, the research activities of our Department have been organised mainly within a framework of three different pro-



cesses of social protection law developments: (1) Transformation of social benefits systems in developing countries or emerging nations; (2) Europeanisation and Internationalisation of social law, characterised by the increasing significance of supranational and international provisions. Both lead to an interplay between national levels on the one hand, and between regional or international levels of government on the other. The outcome for the respective legal system is a greater plurality, with a greater possibility for conflicting laws, and these conflicts are sometimes difficult to solve due to the asymmetric structure of the two different kinds of governmental levels involved: whereas national governments have a comprehensive responsibility for guaranteeing welfare, powers and democratic legitimisation of actions on supra-national and international levels are restricted; (3) Modernisation or the restructuring of social benefits systems in post-modern times, and in particular in developed countries, which is characterised by adaptations to societal changes through the deployment of new forms of steering and of action, alterations of the ways in which social benefits are granted and provided. Comparative studies help to understand these processes. A frequently posed question is whether and which national regulatory patterns can be transferred from one jurisdiction to another – either because different states have the same needs for reform, for example following from similar demographic developments which threaten the fundamentals of social insurance based on pay-as-you-go financ-

ing; or because increasing economic interpenetration and migration calls for a greater convergence of social benefits schemes; or because in the course of societal developments and transformations traditional security options are to be replaced with new forms of security.

Transformation processes are not yet a main part of the most recent research activities. This is partly due to the fact that researchers working within this field, Dr. *Tania Abbiate* and Dr. *Kangnikoé Bado*, have left the Institute (in 2018 and in 2019). It is also due to the necessity to undertake research in the field and to cooperate with other disciplines. Nevertheless, the Department will hold on to this strand of research, yet following a different approach. The establishment of a partner group in Bolivia under the lead of Dr. *Lorena Ossio* will enable us to concentrate on research concerning the impact of differences in culture and societal organisation on social protection, and to concentrate on a specific situation on-site.

As pointed out in the previous section, the comparison of different jurisdictions continues to be a method with central relevance for our research activities. As the responsibility for establishing and managing social benefits systems rests with national legislators, and as this will not change in substance even in times of (still ongoing) globalisation and Europeanisation, country-specific investigations remain crucial for the understanding of social protection systems and social protection law. Therefore, we have over the last years followed a 'mixed strategy' as far as the identification of research projects and the hiring of scientific staff is concerned. A chief policy in engaging new research staff has been to seek experts on national social law regimes that are of particular interest in order to analyse processes of development and reforms. And national jurisdictions which are suitable for particular comparative projects are being chosen on a case-by-case strategy. Whilst it still makes sense to organise research carried out by the Department at least partly in the form of so-called country sections, long-term employment relations and the establishment of country sections devoted

to specific single countries for decades have ceased to be a major goal. It has to be admitted that the advantages of more flexibility do not come without costs. Some expertise is lost, new expertise has to be built up 'by doing', i.e. during the working relations with the Institute. Nevertheless, these disadvantages cannot be avoided in social law research as this field only forms a very small part of legal science in which it is not always easy to attract excellent scientists. In many countries, social law either leads a rather shadowy existence as part of labour law or as part of social policy, and this is a considerable impediment for the general attractiveness of social law research.

For the different reasons mentioned above, the Institute has, as usual, seen several staff changes within the reporting period, and we are, at the same time, in the fortunate situation that we have been able to find excellent new staff members and, as a consequence, have also been able to help broaden the scientific social law community. Dr. *Eva Maria Hohnerlein* has continued to work on family benefits, Italian and European social protection law, and Dr. *Olga Chesalina* is also still working with the Institute, dealing with East European and Russian social protection law as well as with social law questions arising in the context of Work 4.0. Dr. *Anastasia Poulou*, whose research had focused on European law, left the Institute in 2019 in order to take up preparatory training for the Greek administrative courts with the National School of Judges. Dr. *Anika Seemann* joined the Institute in autumn 2018; her research concentrates on Scandinavian social law and the history of welfare states. At the end of 2020, she was accepted for the Minerva Programme of the Max Planck Society, which particularly promotes excellent female scientists in their post-PhD period. Dr. *Linxin He* also took office in 2018 and focuses on European law, legal theory and French social law.

It should be added that the Department has, over the last years, put a certain emphasis on two aspects in the context of modernisation processes: first, on health care law; and second, on migration and its consequences for the social

state. In the first field, we could rely on *Nicola Wilman*, who also takes care of the field of British social protection in general, on Dr. *Simone von Hardenberg*, and on Dr. *Roman Grinblat*. The latter two have received calls for professorships at universities of applied sciences and left the Institute in 2019 and 2020 respectively. Research in the field of migration has been undertaken by Dr. *Constantin Hruschka* and by *Tim Rohmann*.

Last, it should be added that our Department participates in *Max Planck Law*, a joint endeavour of all legal Max Planck Institutes, or legal departments of Max Planck Institutes, aiming at strengthening the exchange between these entities both through collaboration and the setup of a common teaching programme. A kick-off event of this initiative could be held at Harnack House in October 2019.

## 1.2 MAIN ACHIEVEMENTS

### Europeanisation

(1) *Overall Development*. The regulation on social security coordination is the oldest substantial legal act of the European Economic Community, the predecessor of the European Union. And in the 1970s, the Community had started to establish a European Social Policy. Yet, the establishment and organisation of social protection systems remained the competence of the Member States, and it still is up to now. This explains why two decisions of the European Court of Justice of 1998 (Case C-120/95 – *Decker*; Case C-158/96 – *Kohll*) came as a shock, at least for many observers. Service providers residing in a Member State other than the one that guarantees social security now had to be considered as relevant actors, and their treatments had to be paid by social security institutions. For the first time, economic fundamental freedoms, namely the free movement of goods and of services, had been applied to social protection provisions. Economic law hit social law, the internal market reached out to social protection, not only with a view to fundamental freedoms but also to state subsidies, the prohibition of



unfair competition and public procurement. This raised concerns, and it was expected that – as a consequence of the hierarchy of norms and the asymmetric normative fundamentals of economic law at the European level on the one hand, and of social law at national level on the other – social protection would come under pressure. That expectation proved to be wrong. What can be observed 20 years after *Decker* and *Kohll* is, rather, a process of mutual influence of European and national laws. While national social protection systems had to adapt to deterritorialisation and more transparency, European legislation and adjudication have in turn experienced a certain influence of social policy. It seems that we have, today, reached a more or less balanced situation. There might still be discussions on the right extent of the ECJ's jurisdiction with respect to legitimate grounds for justification in cases of restrictions of fundamental freedoms (see Case C-148/15 – *Deutsche Parkinson Vereinigung*), but recent trends, namely the revision of the public procurement directives as well as of the posting directive and the recent judgement on this latter development (GC of 1 December 2020, Case C-815/18 – *Federatie Nederlandse Vakbeweging*), strongly support this assumption.

A similarly balanced situation has been reached as far as social rights for migrants are concerned. In this regard, the ECJ had opened access to social assistance and social support benefits for foreign EU citizens who did not pursue economic activities. Its case law was based on a broad concept of non-discrimination. It took a turn with the decisions in *Dano* and *Alimanovic* (Cases C-333/13 and C-67/14). These are clearly influenced by the actual development of the free movement of persons within the EU, and probably also not free from overall political considerations. They attracted a considerable amount of criticism, and it is true that the Court moved on to an application of the principle of proportionality – which is more abstract and, in a certain way, also rough. But it is not,



as sometimes suggested, true that social rights were (again) restricted to situations of economic activity. It is rather the free movement of persons that is not unconditional, and the recent case law of the ECJ takes care of the necessary alignment of the right to free movement with the division of powers in the field of social protection. That leaves room for differentiation and adjustments in particular cases as a recent decision shows (ECJ, judgement of 6 October 2020, Case

C181/19 – Jobcenter Krefeld; see also below, II.2.5.2). Yet, it is rightly based on the insight that social protection is intertwined with its economic background. Even if this general insight might not be shared generally and is often confronted with scepticism towards a one-sided dominance of economic considerations, mostly criticised as ‘neo-liberalism’, it is open for finding the right balance – and thus consistence – with a social market economy.

(2) *New EU Social Policy*. To take social market economy as a common ground seriously also means to develop a ‘New European Social Policy’. The EU has started to work on this, and the ‘European Pillar of Social Rights’ (see Activity Report 2015–2017, pp. 48–50; *Becker, Die Europäische Säule sozialer Rechte*, ZöR 73 [2018], pp. 525–558) serves as a foundation stone. It is built up against a two-fold factual background: first, based on the experiences made during the financial crisis (see also below, *Social Rights and Welfare State Constitutions*); second, learning from the effects of enforced intra-EU migration, which highlights the existing inequalities between EU welfare states more than ever (see *Becker, Sozialrecht im europäischen Binnenmarkt: von asymmetrischen Einwirkungen zu einer gemeinsamen Sozialpolitik*, in: Marhold/Becker/Eichenhofer/Igl/Prosperetti (eds.), *Arbeits- und Sozialrecht für Europa, Festschrift für Maximilian Fuchs*, 2020, p. 369 et seq.). In the light of those experiences, it seems necessary to develop a common framework for social policy. In this context, Brexit, unfortunate as it may be, should not be a reason to give up on this task, but rather to learn about and to discuss competitive models of social protection. In any case, societies and labour markets are undergoing changes all over Europe, and the consequential challenges to social protection request transnational solutions in many cases. At the same time, uniform standards need to be implemented throughout all EU Member States, at least as far as minimum protection is concerned. The Council Recommendation on access to social protection for workers and the self-employed of 8 November 2019 (OJ C 387/1) is a first step into this direction. It does not lay down legally binding provisions

but can be seen as an expression of a common understanding that coverage of social protection should become more comprehensive.

One of the open questions remains whether, and to what extent, it could be advisable (and also whether it is legally permissible) to introduce transfer systems at EU level. Possible answers to this question became particularly urgent when the pandemic crisis hit Europe in spring 2020. Also in this regard, the crisis, although an extraordinary and unexpected situation calling for immediate reactions, sheds light on the strengths and weaknesses of the existing social protection systems in general (see also *Social State and the Pandemic Crisis* below). The temporary Support to mitigate Unemployment Risks in an Emergency (SURE) (Regulation 2020/872 of 19 May 2020, OJ L 159/1) could be based on Art. 122 TFEU and does, as forming part of the already known legal toolbox, not raise legal concerns. Things are different with 'NextGenerationEU'. This temporary instrument designed to boost the recovery will not only be 'the largest stimulus package ever financed through the EU budget', as the European Commission puts it. It leads to borrowing and thus to a new budgetary instrument which at least needs, to put it cautiously, considerable stretching of the Treaty provisions possibly serving as legal basis. In any case: the EU, which suffered a loss of control at the beginning of the pandemic crisis when Member States closed their borders, is back in the game. Yet, coronavirus points at a core constitutional question that remained unanswered after the financial crisis of 2008/09: namely whether the division of powers between Union and Member State in the field of social protection should be shifted, allowing for a more active role of the Union (see also below, 1.5).

(3) *Common European Asylum System*. The last point dealing with questions of strengthening EU powers also leads to the Common European Asylum System, which had already been an issue of our previous research (see Activity Report 2015–2017, pp. 56–57). Unfortunately, the already well-known deficits of the relevant EU legislation are still existent. The underlying prob-

lems were the subject of a comparison with an African 'receiving state', namely Kenya, which opened up a new perspective (see Wacker/Becker/Crepaz (eds.), *Refugees and Forced Migrants in Africa and the EU, Comparative and Multidisciplinary Perspectives on Challenges and Solutions*, 2019) and underlined the necessity to seek solutions at a global level (see below, II.2.5.2).

### Social Rights and Welfare State Constitutions

(1) *Starting Points*. Social rights have gained more attention over the last decades. This is, on the one hand, due to the fact that in times of crises – be it the financial or the pandemic crisis – state interventions play an even more important and also more prominent role: obviously, support is needed, and states actively taking care of the welfare of their populations therefore need less justification than in 'normal' times. On the other hand, social rights nowadays form part of most of national constitutions. They have become more widespread than ever, and the Charter of Fundamental Rights of the European Union bears testimony of this development. It is certainly of high value to observe this development (see the Toronto Initiative for Economic and Social Rights). Yet, even if one wants to learn more about welfare state constitutions, it does not suffice to look at how economic and social rights have been formulated. The question is, rather, how they work in practice. A 'law in action' approach calls, first of all, for a detailed stocktaking and critical assessment of judicial actions. In many cases, courts interpret clear-cut 'subjective rights' provisions as having (only) programmatic (or 'aspirational') character. More challenging is the question what potential effects constitutions in general and social constitutional rights in particular actually have with a view to practical life. In order to find an answer, one has to observe the interplay – or the distinctiveness for that matter – of social policy processes and constitutionalism. This does not only allow us to combine questions of individual enforceability with the overall task of organising effective social protection and therefore adding a 'collective aspect' to individ-



ual cases. It also opens up a way to learn more about the functionality (see above, 1.1 'Methods and Approaches') of constitutional law. But taking this path can lead to a tiring journey, and it is certainly strenuous work. Knowledge about the intricacies of existing social protection systems is needed, and historical as well as political science perspectives have to be included; rough codification for the application of quantitative methods may help to gain additional facts but is obviously not apt to replace in-depth qualitative studies. It should further be added that proper analyses also become complex because of the fact that social rights are laid down at different political levels and in different legal forms: as part of global human rights treaties, as part of regional rights protection mechanisms, and as part of national constitutions which may, in turn, be influenced by devolution (i.e. sharing powers between the federation and states or the central government and national regions). In Europe, recent developments have led to a certain interplay between EU law, the ECHR and national constitutional law which is difficult to explain and which has not really settled yet (see above, 1.2 'Europeanisation').

(2) *Double-sided Welfare State Constitutions.* Some of our research projects use, and always

have been using, this theoretical insight as a starting point (see e.g. doctoral group dealing with the impact of constitutional and public international law on shaping social security, Activity Report 2008–09, III.1, and dissertation project on Bulgaria, below II.3.4.5). One of them was the project on 'European Welfare State Constitutions after the Financial Crisis' (see II.2.1.1). It is based on two basic assumptions: (below, a) a concept of welfare state constitutions that also takes the implementation of social policy through granting social rights at the level of legislation and administration into account; (below, b) the fact that all fundamental rights (including so-called civil liberties and the right to equality) play a role for the actual shape of welfare states as constitutional protection is always multi-dimensional.

(a) Welfare states conceive themselves as political communities that take care of the well-being of the persons living in their territory. There is a certain common understanding that they should do so. In Europe, the normative fundament can be found both in the law of the European Union as well as in national constitutions. The so-called European social model is based on a combination of guaranteeing individual freedoms and enabling their actual enjoyment, but it is a loose concept as far as the institutional settings and the level of social protection are concerned. States have to make political decisions in this respect, and these decisions become tangible and receive a binding character once they have been transformed into legal documents. Social protection law is the instrument for putting social policy into practice.

(b) Constitutional protection in a material sense through human rights is not, even not in the field of social protection and social rights, restricted to the application of social human rights. Three different mechanisms of protection can be distinguished, and they each relate to a specific factual situation (in particular with regard to the implementation of social rights through legislation) and address a specific type of human rights, or at least a specific dimension of those rights. First, human rights can oblige states to introduce (and to maintain) social protec-

tion systems. In this respect, most constitutions lay down social rights. These may not provide for subjective rights, but they will have a certain effect of 'fine-tuning' general welfare state obligations. On the other hand, also human rights aimed at protecting individual freedoms can serve as a basis for a right to benefits. Second, constitutional provisions protect legal positions held by persons in specific situations of need, and thus the individual's claims under social security law. In this sense, the legislature does not remain entirely free to question a once gained position. Constitutional law may also protect the functioning of a social security system, in particular if this system is mandatory and affiliation to it can be regarded as a restriction of a legally protected individual freedom. In both cases, the so-called negative dimension of human rights is relevant, which means the function of those rights to protect against restrictions of rights to social benefits. Third, equality or non-discrimination rules can have a certain protective effect for rights to social benefits. Even if we understand equality or non-discrimination rules as rather formal provisions as far as they serve for comparisons between two different legal positions and for answering the question whether the relevant differentiation is justified (or the comparison between two different factual situations and one legal position, if an obligation to draw distinctions matters), those provisions can have a considerable impact on (secondary or statutory) social rights.

## Modernisation

(1) *Starting Points.* Social protection is aimed at reacting to societal needs. It tries to give answers to specific social problems, and at the same time it reshapes social relations. Changes in those relations cause challenges to social security systems. The four most important changes are: (a) First, demographic processes, at least in industrialised states including China. Most of us live in ageing societies: life expectancy is rising, fertility rates are decreasing. This demographic change will cause problems for the productivity of societies as a whole. It might be moderated, although it cannot be replaced, by migration which is, in turn, not without consequences for the societies. (b) Second, industrial relations are changing. 'Digitalisation' or 'economy 4.0' are the key words here. Some call it a new industrial revolution although the outcomes remain partly unclear and partly quite disputed. In any case, there is at the same time a strong interrelation with globalisation, especially with a view to the rise of transnational industrial relations. (c) Third, societies as such are changing, a process that is not triggered, but enforced, by social security itself. There are patchwork families, single parents, and changing social roles which lead to different household structures and increased difficulties in terms of balancing economic activities and private life. And there is migration with consequences for the societies in receiving countries, but also a danger of brain-drain in sending states. (d) Last but not least, the urgent necessity to react to climate



change through regulatory policies will have to be accompanied by new social policy measures.

These changes cause specific challenges to the organisation of social protection, and they also influence its specific and overall functionality. This interaction can be summarised, again, in three points: (a) As far as the technique of social protection is concerned, both the financing and coverage of traditional social security schemes, particularly of contributory-based social insurances, are becoming more difficult. This is due to demographic processes and the rise of non-standard work, and the latter development is exactly the point where the Global North and the Global South meet each other as informal industrial relations can no longer be seen as a transitional phase of economic development but as a rather permanent and world-wide issue. (b) Social policy is no longer about the struggle between social classes. It already became clear in the 1970s that it has a much broader role. Its overall aim is to improve social integration, and the inclusion of migrants and vulnerable groups is certainly a growing concern. (c) Societal changes also change the social risks that have to be dealt with by social protection. There are new social risks, such as care dependency, and old ones which have never been taken into account such as natural catastrophes. There are so-called secondary risks, namely that people fall outside the coverage of social security systems because of the systems' conditionalities. And risks also have to be dealt with differently if we also take the goal of integration into consideration. Integration is a cross-cutting endeavour which cannot concentrate on the traditional single risks anymore. This holds true for complex goals such as labour market integration – which requires careful dovetailing of the elements of unemployment, invalidity and old age pension insurance –, but also for the social support of vulnerable persons such as persons with disabilities.

Generally speaking, and although the actual need for reconstructing social security very much depends on the given architecture in each country, one can identify three general imperatives:

- The first is *universality*, in three different ways: social security has to be extended to all economic activities; social security schemes should be unified: privileges for specific groups of employees should be eliminated, and the community of insured persons should be broadened in order to organise financial redistribution among the entire workforce; universal social protection is necessary in order to protect human dignity, which does not mean, however, that this protection must be unconditional.
- The second is *variety*, again in three respects: making new sources of financing available, such as taxation of service contracts; introducing a mixture of differently financed systems as capital funding will be necessary with all its weaknesses, but not without searching for better ways of collective saving; new schemes to address new social risks need to be introduced: for those who need support for the activities of daily living, as well as for those who take care of children and dependent persons and those who wish to invest in their own vocational training.
- The third is *integrality*: we must reduce the chaotic jungle of different benefits schemes and coordinate (or harmonise even) social benefits, taking into account: personal prerequisites for coverage and benefits, space (within a territory and cross-border-wise), and substantial goals.

(2) *Digitalisation*. Digitalisation has a strong impact on our societies. It intensifies the societal process of individualisation in general, and it influences a specific type of social relationships, namely industrial relations, in particular.

Those relations are already changing. The term 'non-standard work' which is being used both by the ILO and the OECD indicates such changes – although the main part of the workforce is still working under full-time labour contracts, and although it is questionable whether temporary contracts and part-time work can be regarded as non-standard at all as they have

not only formed part of the labour markets for a long time, but also do not pose any difficulties with a view to identifying a legal relationship between employees and employers which follows the rules of labour law and leads to the inclusion in traditional social security systems. Nevertheless, there is no doubt that new forms of work are arising. The keywords here are short-term labour contracts and labour contracts with a marginal number of working hours (like mini-jobs, zero-hours contracts, on-call work and other forms of casual work), hybrid and multiple employment, proliferation of self-employment and bogus self-employment, triangular relationships with more than one person on the employees' or employers' side (like employee-sharing or temporary agency work). The outcome is an increasingly fragmented labour market, a rise in precarious and informal work, a shifting of risks from the employer to the employee, and a growing grey zone between dependent employment and self-employment. Digitalisation is a catalyst for respective changes. It allows for new ways of communication, for more flexibility and more mobility; it enhances informality, and it enforces globalisation as territorial boundaries of human interactions lose their relevance. New employment patterns are emerging, and the most prominent one is platform work including crowdwork and work on demand via apps.

Those changes in the labour market pose, in turn, challenges to social protection, in particular if social protection is organised via traditional forms of social security, which is currently experiencing changes for two other reasons: the ageing of our societies leads to a change in the age structure of populations; individualisation, pluralisation and shifts of role models lead to a change of household structures. Together with changing labour markets, these different processes make it necessary to adapt the existing social security systems. While this necessity is, generally speaking, nothing new and rather forms a typical feature of institutions that are established in order to react to societal needs, the multitude of ongoing changes and their magnitude make the reforming of social security a particularly difficult task. Our Project on 'Social

Work 4.0' started with these assumptions. It concentrated on the two most urgent problems raised by the consequences of digitalisation for the labour market: access to social protection and its future financing. It examines innovative approaches at national level, and also sheds light on the future role of the EU (see below, II.2.2.2).

Digitalisation also opens up new opportunities. This holds true for the organisation of social protection systems as well as for the provision of social benefits. With respect to the latter, new approaches become particularly relevant in the field of health systems and health law (see below, *Innovations in Health Law* and 1.3).

(3) *Migration*. One of the driving factors for societal and demographic changes is migration. Of course, migration is neither a new nor a sporadic or occasional phenomenon. It is rather the other way around: the world is on the move. This is nothing new. We live on a 'planet of nomads' (Karl Schlögel, *Planet der Nomaden*, 2006). As recent research on the evolution of *homo sapiens* shows, human beings have been travelling from Africa not only to Asia and Europe, but also to America since the very beginning of their history. Much later, the rise and fall of big empires have caused entire populations to move over centuries. And as a result of industrialisation and changing societal patterns, the proverbial melting pot has been bubbling in many places throughout the Western world although it might have turned out to be rather a salad bowl.

Today, it seems more and more as though room for migration has become restricted by barriers. Those barriers are not only set up in order to protect against military invasion, as had been the case with the Great Wall of China, for instance. They also act as obstacles to peaceful international migration. If it seems that the density and height of barriers have been growing, this has much to do with the fact that they delineate territories on which political communities were built – communities that need organisation and some common ground even though there are ongoing debates on what the existence of sufficient common ground actually means. Yet, and

even if a rather formal acceptance of universal underlying values is regarded as being sufficient, social rights have not only to be distributed in a non-discriminatory way but must also serve a certain function for the inclusion or exclusion of persons, and they have an important role to play for the integration of migrants.

Building on this general assumption, research on migration issues, and especially on the relation between migration and social rights, has continuously been a part of the Department's research activities over the last reporting period. This holds true for the doctoral thesis of *Stefan Stegner* on the interrelation between social security and citizenship (see below, 1.3 *Doctoral Research*). It also holds true for the free movement of persons within the EU (see also below, II.2.5.3) and the necessary reforms of the Common European Asylum System (see above, 1.2 *Europeanisation*). How to govern migration flows and to deal with the accommodation and distribution of refugees at the global level was also the subject of a specific project (see below, II.2.5.2). Last but not least, we have kept on working on our interdisciplinary study in cooperation with MEA ('Lost Potentials? The Rights and Lives of the Excluded', see I.1). It was part of the Max Planck-wide research initiative 'Challenges of Migration, Integration and Exclusion' that could be brought to a successful close, not least because of the commitment of our Department and the work of Dr. *Constantin Hruschka*.

### Cross-Cutting Projects

(1) *Social Protection for the Self-Employed*. Both from our research on digitalisation as well as on the pandemic crisis (see below, *Social State and the Pandemic Crisis*), it became obvious that social protection for the self-employed is turning into a more and more important issue in the field of social protection. First of all, it cannot look back on such a long-standing tradition as social protection for the employed, which had been introduced at the end of the 19th and the beginning of the 20th centuries as an answer to the 'worker question'. Social protection for the self-employed gained importance with a wave

towards universalisation of social benefits systems after the end of World War II. Although it might be part of most developed welfare states today, it often does not reach the same level of coverage and protection as traditional social security. In particular, Germany is lagging behind the general developments for some obvious reasons (see *Becker*, *Die soziale Sicherung Selbständiger in Europa*, ZESAR 2018, pp. 307–318). Second, new forms of self-employment can be observed, and they are becoming more and more



widespread, to a certain degree as a result of digitalisation (see above). These new forms of work have led to a growing group of economically active but vulnerable persons.

That efforts have to be taken to improve access to social protection is obvious. Within the EU, a respective (political) obligation follows from the Council Recommendation on access to social protection for workers and the self-employed of 8 November 2019 (see for the context of a 'New EU Social Policy' above, 1.2 *Europeanisation*). In many countries, the weaknesses and gaps in social protection for the self-employed

have become visible through the COVID-19 crisis, which functions like a magnifying glass in this respect. Thus, we have begun to put emphasis on social protection for the self-employed in this specific context (see below, II.2.2.3), and the Department will try to follow this path over the years to come.

(2) *Innovations in Health Law*. Over the reporting period, the Department has kept on working on different projects in health law, be it within the German jurisdiction (see also as a general basis Becker/Kingreen (eds.), *SGB V – Gesetzliche Krankenversicherung*, Commentary, 7th ed. 2020) or in a comparative way.

The first approach led to participation in the interdisciplinary project on demand planning in German ambulatory care (see Activity Report 2015–2017, II.2.4.3 and 2018–2020, II.2.7.2) which could be completed in 2019. The outcome was presented to the Federal Joint Committee (*Gemeinsamer Bundesausschuss*) which has published the expertise on its websites ([https://www.g-ba.de/downloads/39-261-3493/2018-09-20\\_Endbericht-Gutachten-Weiterentwicklung-Bedarfsplanung.pdf](https://www.g-ba.de/downloads/39-261-3493/2018-09-20_Endbericht-Gutachten-Weiterentwicklung-Bedarfsplanung.pdf)). A comparative approach has been chosen for the projects on the ‘Introduction of Innovative In-Vitro Diagnostics in Healthcare’, which is aimed at finding out about different national solutions to a specific issue of modernising public health care systems (see below, II.2.4.1), and on ‘Regulating Access to COVID-19 Vaccines and Medicines’ (see below, II.2.4.3). In the framework of Max Planck Law (see 1.1 *Organisation of Research*), we started a collaboration with the Max Planck Institute for Comparative Public Law and International Law in order to bring together those researchers of the two Institutes who are currently working on health care projects in times of the pandemic crisis (see below, II.2.4.4).

An emerging field of research is the role of digitalisation in health care. To a certain extent, this already held true for the former project on personalised medicine (see Activity Report 2012–2014, II.2.2.2). Digitalisation is gaining even



more importance in the framework of doctoral research. A current project deals with artificial intelligence and its impact on health law (see below, II.3.1.2), another with telemedicine as a specific channel to provide health benefits (see below, II.3.1.4). At the time of writing this report, a new doctoral group is being set up which should concentrate on digitalisation in health care and its impact on health care law for the coming years.

(3) *Social State and the Pandemic Crisis*. As can be seen from the foregoing summary of our research activities, the COVID-19 crisis has given rise to research projects reflecting its impact on the welfare state. As unprecedented and overwhelming as it started at the beginning of 2020, with immediate and strong effects on our economies and our daily lives, the Institute understood it as a major event in need of scientific monitoring, and as a challenge to our scientific work.

Crisis-driven legislation in the field of social protection has to be implemented within pre-existing frameworks of complex institutional arrangements. These arrangements open up certain paths of welfare state intervention while blocking others. This leads to specific challenges for short-term interventions: when simple and fast-acting measures are called for, their incorporation into a given social protection infrastructure is likely to encounter difficulties, and coordination problems may arise. More importantly, crisis-related measures may be constructed in a way which modifies some of the principles of previously existing benefits schemes, and it is sometimes not clear whether such modifications occur intentionally or not. One may assume that they are a reaction to crisis-driven changes

concerning the societal background of specific social protection systems. To give an example, it can make a difference for the design of a social assistance scheme whether it is meant to be applicable under extraordinary circumstances only, or whether it actually covers a majority, or at least a substantial part, of the population on a more long-term basis. In any case, crisis-related social policy measures are able to give a revealing insight: they shed light on the background of social protection schemes and underlying ideas of how to delineate the spheres of responsibilities between the individual, societal institutions and the political community.

This leads to the question as to what can be learned from the crisis with regard to the basic structure of the welfare state. How do states react when mechanisms of market economies are suspended, supply chains are interrupted and sharp fall-offs in demand occur, partly because people cannot act anymore, and mostly because they are obliged to stop social interactions? Social states strengthen, and partly take over, particular responsibilities. What we can observe is a steep increase in social compensation. Times of pandemic crises are times of catastrophes as they bring with them mass damages. Consequently, times of crises are also times for social compensation (see below, II.2.3.1). Compensation benefits differ according to national traditions of social policy interventions. They are accompanied by additional types of social benefits and measures, in particular by making social security and social assistance benefits available under easier conditions, and they thus go beyond compensation in the proper sense. Instruments with the aim of job retention and sickness benefits in a broad sense become widespread and are extended, means-testing is less strict or even suspended. Specific measures for the self-employed (see above) were introduced in many countries. What measures will be used in coming times of a new normality, and what further actions will be undertaken in order to react to the experiences gained during the pandemic crisis, has yet to be seen (see below, II.2.2.1). A second question concerns the appropriate answers to the crisis at European level. Whilst

there is an institutional framework governing state subsidies that worked well and without any delay, the respective institutions are missing when it comes to introducing and implementing solidarity between EU Member States. This leads back to the general question whether, and if so in what form, redistribution should be organised with the EU playing an active role (see also above, *Europeanisation*, and below, 1.5). Another question to be dealt with is how new measures of social protection introduced during the pandemic crisis relate to social security coordination, and to what extent social compensation benefits are exempted from the applicability of the coordination regulation.

### 1.3 PROMOTION OF YOUNG RESEARCHERS

#### Doctoral Research

The support of junior talents and the promotion of young researchers form one of the most important tasks of our Department. In particular, the Department of Social Law has a strong commitment to the supervision of doctoral students.

This supervision takes place, as a rule which enjoys some exceptions, in so-called doctoral groups. These consist of three to five doctoral candidates who are engaged in specific dissertation projects within the overall frame of a more or less broad principal topic to start out from. A group of this sort may be joined by doctoral students who work on separate, topically different research projects. The aim of such cooperation in the context of a doctoral group is to create an intensive exchange of views on common methodological foundations as well as on issues relating to academic work procedures and individual thematic problems. In this way, these groups are designed like small, informally organised graduate schools. During the early stages, the general, theoretical and methodological principles are provided, along with the basics of social law as well as the essentials of academic work procedures including issues of form and content. This includes the methodology of

comparison, the peculiarities of social law, and the significance of social policy for the development of social law. At a later stage, the focus usually lies on the respective projects, both with regard to conceptual questions and to individual problems that might occur in the course of the research process.

The work of a new doctoral group is launched in a brief retreat of one or two days. Regular meetings at the Institute are organised in order for the group members to keep updated on their progress. These activities are sometimes rounded off by workshops, organised by the group members themselves or by other institutions, with doctoral students from other universities for the purpose of discussing their theses within a larger circle of junior researchers, thus also becoming familiar with other work styles.

The doctoral group on *'Health Law'* started in 2018; in its framework, a broad range of different topics is under investigation (see below, II.3.1) including projects on digitalised health care (see also above, 1.2 *Modernisation*). Still ongoing dissertation projects are part of the doctoral group on the *'Adjudication of Social Rights'* (see below, II.3.2) and of the doctoral group on *'Social Law as a Specific Field of Administrative Law'* (II.3.3). Thematically independent dissertations (see below, II.3.4) include research projects like Vulnerability as a Legal Concept, Post-Licensing Assessment of Medicines to Inform Coverage Decisions, Pricing Regulation of Reimbursable Pharmaceuticals, Systematisation and Impact of Constitutional and International Social Rights on Social Protection in Bulgaria, as well as Communication between Administration and Citizens in Social Law Proceedings.

*Jihan Kahssay* finished her thesis entitled *'When NGOs Fulfill State Obligations'*; it deals with innovative questions in human rights protection and was published in 2020. The same holds true for the thesis of *Annemarie Aumann* on *'Work Accidents 4.0'*, published in 2019, which has attracted particular attention in these times of pandemic crisis and the increase in work from home. At the beginning of 2018, *Stefan Stegner* could pub-



The PhD candidates together with their supervisor Prof. Ulrich Becker and senior researcher Dr. Anika Seemann (second row, left) at a doctoral retreat at Schloss Ringberg.

lish his thesis on *'The Welfare State Constructing Citizens and Transnational Social Rights: Poland and the German Social Insurance from 1918 to 1945'*. In his interdisciplinary study, *Stefan Stegner* successfully combines historical archive work with social law doctrine and political theory, thus making an extensive contribution to a fundamental question regarding the organisation of political communities, namely to the issue of constitutional conditions that facilitate economic and sovereign allocation to a political community. Also *Maximilian Kreßner's* thesis on *'Controlled Health – Reasons and Limitations of Behaviorally Informed Health Promotion and Disease Prevention Policies'* received an outstanding score. It was published in 2018 and analysed comprehensively the German legal foundations of the right to health and constitutional questions of *'nudging'* with regard to health prevention.

### Classes and Courses

Participation of Department members in academic teaching is meant to serve both the promotion of young scientists and as a contribution to the training of legal scholars with expert knowledge in social law. Accordingly, the director of the Department of Social Law continued his teaching activities at the Faculty of Law at Ludwig Maximilian University, Munich. He holds seminars each semester and teaches social law on a regular basis within the framework of two different elective fields of specialisation (labour

and social law; health law). This activity attracted even more commitment than usual as teaching had to be changed to a digital format in the wake of the COVID-19 crisis. In this context, he also participates in the preparation and correction of written examinations. Furthermore, he regularly acts as an examiner in the First State Examination in Law. Several staff members of the Department have also been employed at the Faculty of Law at Ludwig Maximilian University as session leaders of study groups and as correctors.

Lectures and courses were also held abroad in different parts of the world. The director of the Department has contributed, for instance, in the frame of a visiting professorship in China (Renmin University, School of Law) and Taiwan (National Chengchi University). Dr. *Sergio Mittelander* held a deputy professorship in Brazil (Fundação Getulio Vargas Law School) in the summer terms of 2019 and 2020. He and other researchers, e.g. Dr. *Olga Chesalina*, Dr. *Eva Maria Hohnerlein*, and Dr. *Constantin Hruschka*, gave presentations in the context of international seminars, symposia and conferences (see below, II.5, 6).

## 1.4 OUTREACH

### Publications

The findings of researchers working with the Institute are not only published in scientific journals – the Institute also offers its own channels for social law publications. It publishes the *Zeitschrift für ausländisches und internationales Arbeits- und Sozialrecht* (ZIAS), its own journal for foreign and international labour and social law. In addition, the Institute puts out two serials entitled *Studien aus dem Max-Planck-Institut für Sozialrecht und Sozialpolitik* (formerly: *Studien aus dem Max-Planck-Institut für ausländisches und internationales Sozialrecht*) and *Schriftenreihe für internationales und vergleichendes Sozialrecht*. Seven new volumes of the *Studien* were published in the period under review; the most recent one came out in the form of an e-book at the end of 2020.

The Institute's former 'Working Paper Series' has been renamed and is now published under the title 'Working Papers Law'. Two new papers were issued in 2020, making use of the fact that this series allows for quick and relatively smooth publication and making findings available online, which was of particular help at the beginning of the pandemic crisis. A series of working papers called 'Social Law Reports' was launched in 2015 in order to publish reports on the development of national social laws worldwide. Five volumes were published in 2020, six in 2019, and ten in 2018, partly in English, partly in German and in French. Worth mentioning also is the series *Schriften zum Sozialrecht* (Nomos Publication, Baden-Baden), a monograph series on German and European social law edited by a large group of (initially) German professors of social law and initiated by the director of the Department under the title *Schriften zum deutschen und europäischen Sozialrecht*. It has established itself as one of the most widespread series for monographs and, particularly, dissertations related to social law in Germany. 17 (!) new volumes were released in this series during the period under review.

### Forum for Exchange

The Institute enables scholars to conduct social law and social policy research in a first-rate environment whose resources are unrivalled inside and outside Germany. One significant factor in this context is its library, which holds the largest collection of literature on social law and social policy worldwide (see below, V.4).

These work facilities as well as the expertise of its staff have made the Institute an internationally recognised centre for social law studies and a meeting place for researchers interested in social law and social policy. This again attracted many guest scholars from Germany and abroad in the period under review – some of whom received financial support from the Institute, while most had come to carry out variously timed studies sponsored by other institutions (see below, II.12.1). Unfortunately, but also inevitably, the corona pandemic has led to a stop of

sorts of the scientific exchange with researchers from other institutions in Munich. We had to shut down for visitors, and from March 2020 onward our library has had to remain closed to visitors. At least, presentations could be taken up in the form of video conferences, and guests may, within the bounds of possibility and in compliance with the general hygiene measures, resume visiting the Institute if they plan to stay for a longer period of time.

### Expertises

The Department also offers counselling in a broad sense and, thus, makes its research and specific knowledge available for practical application. This is true in several regards. Members of the Department have been involved in the preparation of legislative measures in Germany, they have been available for consultations with foreign members of the public service or researchers who visit the Institute in order to learn about the developments in social law, and they deliver, like most of the legal Max Planck Institutes, expert opinions on behalf of courts in matters of foreign social law. Remarkably, there is a certain shift as far as the issues brought up by German courts are concerned. Whereas over the recent years most opinions had to be delivered in the field of pensions, namely concerning pension rights adjustments, what has come to the fore is relief from liability and subrogation of liability claims as laid down in foreign social protection law as these claims have to be recognised by German authorities dealing with torts in those cases in which the social protection law of other EU Member States is applicable (see Art. 85 of Regulation 883/2004).

### Media Coverage

The Department continued to intensify its media and public outreach activities. Research results were disseminated via press releases, social media channels – notably LinkedIn and Twitter –, the Social Science Research Network (SSRN) and the Institute’s website, a comprehensive relaunch of which went online in late 2019. In so doing, the whole range of research topics investigated at



Prof. Ulrich Becker with musicians of the Philharmonic State Orchestra Hamburg at the Elbphilharmonie where he held a musically framed speech.

the Department was covered. More specifically, media support was provided through the provision of background material and the arrangement of interviews with the director and research staff. Resultingly, the Department and its researchers were cited around 250 times in various media formats (online, print, broadcast, TV). In addition, the director was represented with guest contributions in Germany’s leading media such as the *Frankfurter Allgemeine Zeitung*, thus feeding scientific findings into the public debate. Researchers also published a number of articles on relevant open access online platforms, notably the *Verfassungsblog*.

In terms of public outreach, scientists of the Department participated in two Max Planck Fora, the Society’s flagship event, and discussed with representatives of different sectors of society, e.g. politics, the administration and the media, questions on the freedom of science and migration respectively. Prof. Becker also contributed to the event series ‘*Music and Science*’ with a musically framed speech on ‘*Sozialrecht und Sozialpolitik im Wandel*’ at the Elbphilharmonie in Hamburg in January 2020. Moreover, he held a lecture on ‘*Mehr Brüssel oder mehr Berlin? Steuern und Sozialleistungen im Europa von morgen*’ together with Wolfgang Schön (MPI for Tax Law and Public Finances) at the well-attended Max Planck Day in 2018 in Munich.

Efforts to communicate the Departments’s research in a comprehensible way to the public and to further expand networking with the media gain further importance. In this context, the current project ‘Pension Maps: Visualising the Institutional Structure of Old Age Security in Europe’ is particularly worth mentioning. It will provide a systematic overview of the institutional structure of old age security in European and selected non-European countries. For every country, a

graph will provide an easily accessible overview on social protection systems, mapping the institutional landscape at a glance and providing reliable and detailed information alike. All information materials, including concise explanatory sheets, will be published on the website, for which a specific tool was created in order to adequately display the maps.

## 1.5 RESEARCH OUTLOOK

Many of the research questions laying the ground of the projects on which we have reported on the previous pages will continue to be of major interest and address core developments of the welfare state. This holds true for the impact of digitalisation, mobility and demographic changes (see above, 1.2 *Modernisation*) on social protection systems. It also does so concerning the search for the appropriate level for governmental interventions (see above, 1.2 *Europeanisation*). In recent years, the debate among economists, political scientists and lawyers on the future of the fiscal state and the welfare state has largely been driven by the perception of rising financial inequality (both with regard to individuals and with regard to states), leading to an increased momentum to establish new cooperative structures at a global level. On the other hand, political realities like Brexit or a rise of unilateralism make it hard to see how collective solutions on a regional or global scale should be organised, and whether they have a chance of being implemented.

Those questions will have to be dealt with in the coming years. Yet, and with a view to further developments concerning the Department dealing with social policy, it is time to put these questions into a wider framework. This is why the directors of the MPI for Tax Law and Public Finance and the remaining director of our Institute have decided to enhance cooperation and to create the 'Max Planck Hub Fiscal and Social State' based in Munich. This will allow us to bring together important aspects for building and maintaining political communities and to create new opportunities for scientific exchange. The

national, European and international challenges and the options for the further development of the public sector make one thing very clear: neither the fiscal (tax) side of government nor the welfare (social protection) side can be discussed in isolation. While each of these topics is (at least in most countries) currently administered to a large extent by different institutions on the basis of different legal settings, addressing different social and political needs and enforcing financial contributions against different groups of individuals and firms, the boundaries between the fiscal state and the welfare state become more and more blurred. The fiscal state and the welfare state are inextricably intertwined.

Therefore, it is evident that the research questions dealt with at the MPI for Social Law and Social Policy and those addressed at the MPI for Tax Law and Public Finance are closely related to each other. Both institutes are at the centre of comprehensive public transfer mechanisms. The challenges these systems face are often similar or even the same. They affect both the administration and – in view of the disconnection of traditional relationships of responsibility and the increase in transnational interaction – the coherence of domestic systems which combine fiscal taxes and social benefits in a specific fashion.

At the same time, both these transfer systems directly affect our social order as a whole, because they are the very supplement to the freedom of the individual members of societies to thrive in market economy systems. The fiscal state and the welfare state cooperate in order to establish social equality and open up opportunities for participation, and last but not least they help to convene political communities and to ensure their stability and cohesion in a fashion that goes beyond the mere functioning of an imposed constitutional order. This raises questions of a theoretical, empirical and normative nature. They are closely related to other trajectories of current social science research, such as that on measuring and assessing equality and inequality for politically constituted societies.



Dr. Anastasia Poulou

## 2 PROJECTS

### 2.1 EUROPEANISATION AND INTERNATIONALISATION

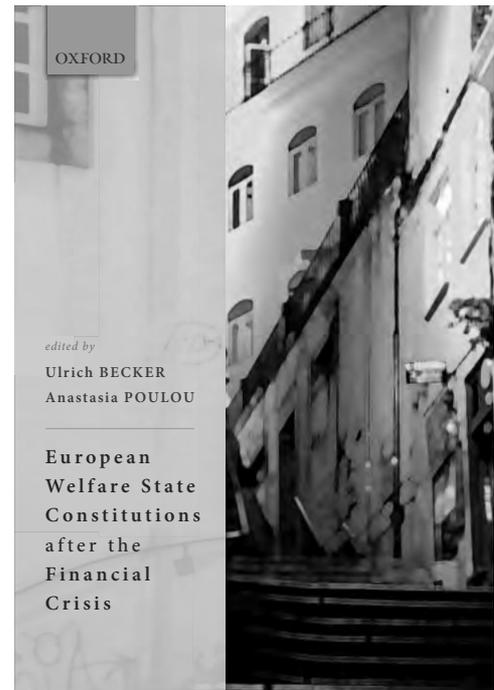
#### 2.1.1 EUROPEAN WELFARE STATE CONSTITUTIONS AFTER THE FINANCIAL CRISIS

Anastasia Poulou

The research project 'European Welfare State Constitutions After the Financial Crisis' started in January 2017 and was completed by the end of 2020. Its outcome is an edited collection on the reforms of social security benefits in European countries that were strongly affected by the financial crisis. The book was published in November 2020 by Oxford University Press.

Affected by the European financial crisis that erupted in 2008, a number of Member States of the European Union (EU) asked for financial assistance from other members of the European Monetary Union (EMU), from the newly created European assistance mechanisms (EFSM, EFSF, ESM) and the International Monetary Fund (IMF). In order to meet the conditions of financial assistance and to unlock successive tranches of the bail-out funds, the Member States in question had to adopt structural adjustment programmes aiming, *inter alia*, at the reduction of public expenditures. As a consequence, a number of social security benefits were reduced and a great number of structural reforms were introduced, since expenditures on social security benefits and public healthcare were considered to have a strong impact on the public budget's macro-economic balances. The far-reaching reforms in the field of social security and social assistance were in many cases experienced as violations of human rights by the respective right holders, who sought for legal protection in national and international courts. As a result, many national constitutional courts, the Court of Justice of the EU, as well as the European Court of Human Rights issued a series of rulings on the conformity with human rights of reforms in social protection initiated during the Eurozone crisis.

Given the mounting concern about the implications of the reductions in social security benefits for the enjoyment of human rights, the Department of Foreign and International Social Law of the Max Planck Institute for Social Law and Social Policy elaborated an edited volume which offers a systematic analysis of the impact of the recent financial crisis and the conditionality set by international creditors on the national social security systems. For the realisation of



this project, we have invited a group of distinguished legal scholars, experts in social security law and human rights from the respective nine European countries that were heavily affected by the financial crisis. The latter can be divided into three different groups: First, the non-Eurozone Member States (Hungary, Latvia and Romania), which received financial assistance from the EU, the IMF and the World Bank in the form of balance of payments support tied to the conditionality of the structural reforms. These countries are of particular interest, since to a great extent they served as precedent cases for the bail-out of Eurozone members. Second, bail-out countries that are Member States of the EMU



Dr. Eva Maria Hohnerlein

and entered into an economic adjustment programme, namely Greece, Ireland, Portugal and Cyprus. Third, Italy and Spain are also of significant interest. Although in both countries crisis management measures were not officially prescribed by supranational organisations, their national governments received instructions aiming at the reduction of social security benefits. For example, Italy experienced strong informal pressure from the ECB to introduce reductions of public expenditures, while Spain received financial assistance from the ESM for the recapitalisation of its banking sector.

The purpose of this work was twofold: (a) to document and systematise the crisis-related reforms introduced in the field of social protection, covering old-age benefits, social assistance allowances, unemployment benefits and healthcare; (b) to embed the reforms in social protection in the constitutional framework of each country by investigating the ways in which the application of constitutional law has changed during the crisis and the impact that this change had on the welfare states under investigation and their constitutions.

In order to achieve its objectives, the comparative study addressed four distinct legal research questions: (1) What were the most important reforms introduced in national social security systems after the economic and financial crisis? (2) What was the background of the reforms and how were they influenced by crisis management measures? (3) Which human rights and constitutional principles were affected by these legislative reforms and how did national courts deal with fundamental rights issues during the crisis? (4) Has the financial crisis and the conditionality set by the creditors influenced the constitutional doctrine of the countries affected and if so, to what extent?

By highlighting the national experiences, the edited collection aims to contribute to the ongoing global discussion about the strong impact of the financial crisis and the measures to combat it on the social security systems. In addition, as we are experiencing a new crisis as per 2020,

the ultimate aim of the book is also to learn from the financial crisis and to identify whether and how social security benefits can legally and legitimately be reduced in times of crisis, so that human rights are not infringed. Last but not least, by covering a wide range of national social security reforms as well as national case law, the edited collection offers a rich comparative study and can serve as a legal platform for the assessment of the different national reactions to the financial crisis. In this sense, it is not only a helpful tool to legal scholars, but also to advocates in quest of sound legal bases for the protection of individuals affected by social security reforms, and to national and international judges who are confronted with cases that question the legality and legitimacy of the reforms.

## 2.1.2 LIFE IN DIGNITY – MINIMUM INCOME PROTECTION IN EUROPE

*Eva Maria Hohnerlein*

Measures to secure a minimum subsistence level were and are a traditional part of European welfare state policy. Elements of a minimum income are not only found in the traditional social security systems set up against social risks in the event of loss or reduction of earned income or to compensate for maintenance costs in the family. Means-tested minimum income benefits for individuals and families with an income below a specified limit are also increasingly important. Across Europe, minimum income systems have been recalibrated for various purposes during the last two decades, in particular by linking them to active participation obligations and other conditions that are intended to bring about rapid labour market integration of beneficiaries.

Not least after the global economic and financial crisis that started to spread in 2008, and recently again in the course of the COVID-19 pandemic, measures to secure livelihoods have increasingly moved into the centre of social policy agendas at national and European level. The European Pillar of Social Rights, which the European Parlia-

ment, the Council and the European Commission adopted in a joint proclamation on 17 November 2017, highlights the principle that anybody who lacks sufficient resources has the right to adequate minimum income benefits ensuring dignity at all stages of life, and to effective access to the goods and services necessary to achieve this objective (principle No. 14). This is backed by the European Charter of Fundamental Rights (Art. 34 (3)), according to which the EU recognises the right to social support to ensure a dignified existence.

The reference to human dignity underpins that guaranteeing a minimum income should not only serve to combat poverty and social exclusion, but should also enable a decent life in line with human dignity as well as participation in society. How this can be achieved and what level of security is necessary and appropriate in the respective national context to safeguard human dignity remains open. Despite the fact that meanwhile all EU Member States introduced general minimum income systems, the risk of poverty has remained high in many countries. In hardly any EU country do minimum income schemes provide adequate protection against poverty. The persistently high poverty rates among some population groups, especially among children and single-parent families, are of particular concern. Even before the outbreak of the 2020 pandemic, one in four children on average in the EU was at risk of poverty and social exclusion.

This development raises various fundamental social law issues that the new research project 'Life in Dignity – Minimum Income Protection in Europe' seeks to address. Initially, the project will be limited to five representative case studies: Italy (Southern Europe), France, Denmark (Scandinavia), Germany and the United Kingdom, conducted by Eva Hohnerlein, Linxin He and Anika Seemann under the supervision of Ulrich Becker.

Based on a broad concept of minimum income, which is not limited to the most basic social safety net, the various systems for securing livelihoods in selected countries will first be systematically assessed and their mutual interrelation-



Despite the existence of general minimum income systems, the risk of poverty remains high in many countries.

ships analyzed. In so doing, not only issues of access to adequate minimum income benefits, eligibility requirements, and parameters used to determine the benefit levels will be considered, but also the socio-political objectives pursued by the systems. Of particular interest is the question of whether and to what extent the goal of participation is being pursued as well as the needs dimensions taken into account. In addition, the constitutional, fundamental and human rights requirements for securing livelihoods in a participation-oriented way are to be examined, as some of these requirements have already left traces in benchmark court decisions in some countries (as well as at EU level). The first phase of the project that was initiated in 2019 examined the current state of socio-legal research in this area, and elaborated the key questions for comparison. In addition, two preparatory studies were carried out dealing with the introduction of a general, universal and binding minimum income scheme in Italy through the so-called Citizenship Income (*reddito di cittadinanza*). In spring 2019, Italy became the last EU Member State to set up a general, means-tested minimum income system, which, in addition to cash benefits, also included activation measures for the labour market or social inclusion, albeit the necessary infrastructure was largely lacking at that moment. Although the respective reform is a significant step forward in modernising the country's social law architecture, it remains controversial in terms of its design and implementation. Critical aspects include the financial basis,

the amount of the benefits, and the numerous restrictions on access to benefits relating to length of residence and required legal residence status, but also the planned activation measures for professional and social integration. The design shows a pronounced distrust of potential beneficiaries, based on the idea that a life in dignity should primarily be secured through gainful employment. The poorly balanced and in some circumstances insufficient benefit levels appear problematic as they do not reflect an adequate and transparent assessment of needs.

The benefits for individuals are comparatively high compared to families with children. Furthermore, neither flat-rate nor specific additional needs are recognised for certain family or special health needs. The sanctions regime is likely to be one of the toughest in Europe. Regulations on reducing benefits if the Citizenship Income is not spent on time or the compulsory waiting period of one month before a repeat application can appear just as uncommon as the general budgetary reservation regarding financing means available, which allows a subsequent reduction in benefits if necessary.

Securing the livelihood of children and the role of international child rights standards in national social benefit systems were subjects of yet another preparatory study.

Its focus was on children's rights standards as adopted in the law of the Council of Europe (European Convention on Human Rights, European Social Charter) and in UN law (Convention on the Rights of the Child; UN Human Rights Covenants). Several approaches concerning the reception of these instruments by national case law in the UK and Italy in the area of securing the livelihood of children were analysed. Somewhat sobering were the findings regarding the implementation of child rights standards in social security legislation and social benefit administration. The law of social benefits generally does not recognise any obligations on the part of the service providers to give priority to the best interest of the child when granting or denying benefits. Even when assessing minimum income ben-

efits for children, references to the Convention on the Rights of the Child are barely discernible. There is little evidence that concerns of child rights are to be taken into account when determining standard benefit rates for children, or special child-related additional needs, the imposition of sanctions or generally in the case of exclusions from benefits. The research project is expected to be completed and published in 2021. The three preparatory studies (one of them in Italian) were published during the reporting period: 1. Eine historische Zäsur in der sozialen Sicherung Italiens: der lange Weg zu einer allgemeinen Mindestsicherung (ZIAS 1/2019, pp. 30–58), 2. Uno sguardo dalla luna sul reddito di cittadinanza (RDSS 3/2019, pp. 609–621) and 3. Kinderrechte und Kinderarmut in Europa. Zu internationalen normativen Standards für sozialrechtliche Leistungen (ZIAS 1/2020, pp. 88–112).

### 2.1.3 THE IMPACT OF EUROPEAN UNION LAW ON NATIONAL FAMILY BENEFITS

*Eva Maria Hohnerlein*

Social law benefits for families encompass a broad spectrum of different interventions, which are regularly tailored to the implementation of national family policies and which are intended to be effective on the respective national territory. At the same time, however, national law on family benefits is shaped by the EU legal framework on the coordination of social security for migrant workers and their families. This supranational framework is aimed at realising their free movement in the European internal market. It is based on a number of legal principles that the Member States must observe when designing and applying national family benefits for migrant workers. These legal principles include, in particular, the ban on discrimination based on nationality, the so-called equal treatment of facts and events, and the export of benefits.

The coordination of family benefits in the EU has caused various problems of interpretation in national practice over the years. This is related

to the construction of the European rules themselves as well as to the different arrangements of family benefits in the Member States. The diversity of family structures in cross-border circumstances additionally creates a new need for clarification as to whether, to whom and under what conditions child benefit is to be paid, for example in the case of divorced families. Questions about compatibility with European law also arise if access to newly introduced family policy benefits is limited to nationals or domestic issues, such as in the case of the *Baukindergeld* introduced in Germany in January 2018. In addition, since spring 2016, the question of reducing child benefits for children who live in an EU country with a lower cost of living than in the country of employment of the parent entitled to benefits has developed a new dynamic. This debate on linking cross-border child benefit levels to the cost of living of the child's place of residence, and a change in the German practice of granting child benefits to migrant workers were the initial impetus for undertaking a study on current developments in child benefit law with a focus on the interaction between European and domestic law.

The coordination of family benefits is a highly complex matter that has led to numerous preliminary proceedings before the European Court of Justice (ECJ). The rules establishing a uniform administrative practice for the payment of German child benefit in early 2016 was also induced by a preliminary ECJ ruling of 22 October 2015 (C-378/14). Before this ruling, German child benefit authorities as well as first instance court decisions had adopted diverging approaches in defining the receiving parent in cross-border cases. The prevalent opinion – adopted for example by Bavarian authorities – was to pay benefits to the parent residing in Germany even if the children lived with the other parent in a different EU Member State. The reason for this was that the parent living abroad has no links to the German jurisdiction and, as a person not subject to German income tax law governing child benefits, could not be entitled to receive such benefits. According to this interpretation, the only beneficiary is the parent residing

in Germany, and the domestic rule that the benefit should be paid to the household where the child lives (shared household principle) is not applicable.

The German Federal Fiscal Court rejected this interpretation and established a new, uniform practice for determining the entitlement for child benefit in cross-border cases in favour of the parent living abroad, in line with the preliminary ruling of the ECJ. By a leading decision of February 2016, the Federal Fiscal Court held that under EU regulations, for the coordination of family benefits the situation of the family as a whole must be considered in such a way as if all involved persons were subject to the law of the EU Member State competent for the granting of child benefit and were living in this state. Due to this 'fiction of residence' the parent living abroad is treated 'as if' his or her residence was in Germany, and as a consequence of the shared household principle becomes primarily entitled to receive the child benefit. This shift in interpretation based on EU coordination law ensured that child benefit is now paid consistently to the family household where the child lives also in cross-border cases.

In addition, if the application is made by the parent living in Germany it will be assigned to the other parent living with the child, even if that parent has not made any application for the benefit. In any case, this interpretation guarantees that the child benefit is paid to the parent actually taking care of the child. The same applies to grandparents or foster parents entitled to child benefit when they are taking care of the child in a common household in another EU Member State.

Since this interpretation entails a direct benefit transfer abroad (unlike in the event of paying the child benefit to the parent residing and working in Germany), the controversial issue of the level of child benefit exported gained new momentum. The significant increase in child benefit payments, in particular to Eastern EU countries, as part of the eastward expansion of the EU since 2010 has contributed to this debate.



Dr. Linxin He

Germany was thus one of those countries that campaigned in 2017 to link the amount of child benefit paid for EU citizens working in Germany to the living costs at the child's place of residence. The plan was to cut child benefit by half for transfers to Poland, Romania, Bulgaria, Hungary and Croatia. Organised fraud and abuse of child benefit by criminal gangs also played a role in advancing this approach. Based on the principle of non-discrimination, the European Commission opposed any attempt to cut child benefit when exporting to other EU countries. Accordingly, attempts by the German Federal Government to counteract the business model underlying the abuse by lowering the child benefit based on the child's centre of life also failed. As a reaction, the legislature adopted a law against illegal employment and social security fraud in 2019, which restricted the access of economically inactive migrants to child benefit. These restrictions result on the one hand from the regulation according to which EU migrants are not entitled to child benefit in the first three months after establishing their place of residence or habitual residence, unless domestic income is proven (Section 62 (1a) EStG). On the other hand, access to benefits tends to be made more difficult by the possibility of temporary suspension without a notice (Section 71 EStG) as well as by the shortening of the retroactive granting of child benefit to only six months before the application date which had been introduced already in 2017, against the former right to retroactive payments of up to 4 years before the application date. Whether or not these changes in German law are contradicting the prohibition of discrimination on grounds of nationality under EU law is currently an open question, and will be part of the further course of the investigation which will expand also on child benefits in other EU countries.

In the reported period, an article was published on the change in German administrative practice when child benefit is paid out to children living in other EU countries (child benefit between European and German law, ZESAR 4/2018, pp. 157–162). Another publication discussing critical aspects of cross-border child benefits in EU Member States is in preparation, based on a lec-

ture given at the international seminar 'Current Issues of Coordination of Family Benefits' at the University of Rijeka on 26 April 2020.

## 2.1.4 SOCIAL LAW AND FUNDAMENTAL SOCIAL RIGHTS IN THE EU

*Linxin He*

In contrast to the traditional territoriality of social law (i. e. the restriction of the territorial scope of application to national territory), European social law is characterized by the free movement of people and services in the internal market. The divergence between national social standards could lead to so-called 'law and forum shopping' and the economic integration could result in the weakening of certain social rights, as happened recently during the financial crisis. However, international social law has long shown that 'universal and lasting peace can be established only if it is based upon social justice' (according to the ILO Constitution). For this reason, the objectives of the EU in relation to labor and social law ought always to be respected and implemented: '[...] the promotion of employment, improved living and working conditions, so as to make possible their harmonisation while the improvement is being maintained, proper social protection, dialogue between management and labour, the development of human resources with a view to lasting high employment and the combating of exclusion' (Art. 151, Paragraph 1, TFEU). The cohesion of the Union depends on it.

The realization of the social objectives of the Union is made more difficult by the fact that the normative work of the EU in this area has been greatly reduced compared to the first decades of the European Economic Community, partly because of the enlargement of the EU, partly because of various crises (financial market, migration movement, Brexit and recently the corona pandemic). As the legislative branch reaches its limits, the European Commission has developed a new method. In 2017, the European Pillar of Social Rights was presented as a

measure to promote European labor and social law. The Pillar consists of three parts: 1. equal opportunities and access to the labor market; 2. fair working conditions; 3. social protection and social inclusion in the EU. In other words, the Commission is now using a method based on the recognition of rights. One could state that the regulatory perspective, which is difficult to establish in practice, is strengthened (if not replaced) by an empowering perspective. The analysis of European social law should therefore concentrate on the development of fundamental social rights. In the more recent research between 2018 and 2020, this general analytical interest was developed through three questions: What effectiveness do the EU's fundamental social rights enjoy? What is their relationship to basic national social rights? How is convergence possible, 'while the improvement is being maintained'?

The processing of the question of EU law's effectiveness is based on the latest case law of the ECJ. The Court of Justice in Luxembourg has actively dealt with the application of social rights in the Charter of Fundamental Rights for the past three years. There is a general tendency towards increasing their effectiveness, especially with regard to the horizontal effect, i.e. the direct applicability in private law relationships. The application of the Charter of Fundamental Rights in the social area by the ECJ – such as access to a livelihood or the right of workers to be heard – was initially largely hesitant. However, case law has made progress in this area, initially through the Egenberger decision of the ECJ (C-414/16): The prohibition of discrimination in Art. 21, Paragraph 1 of the Charter of Fundamental Rights has a horizontal effect. Shortly afterwards, the ECJ extended a new solution in the Shimizu case (C-684/16) to the right to annual paid leave (Art. 31, Para. 2). The court emphasized the imperative nature of the fundamental right concerned and referred to the requirement that the rights of the Charter should achieve their maximum or optimal effectiveness, insofar as the wording allows it. In this sense, social rights are not just soft goals.

The question of the relationship between the Charter of Fundamental Rights and national fundamental rights is based on the multilevel system of human rights protection and is linked to the question of convergence. A divergence in terms of the level of protection could lead to the so-called 'solidarity conflict', as happened with the austerity policy. This policy forced countries like Greece and Portugal to drastically cut social benefits. While facing financial pressure, the EU's fundamental rights seemed to have been less effective, as the ECJ waived its control in cases such as Pringle (C-370/12). In contrast, the national constitutional courts have resisted cuts in social benefits, as in Portugal. Although the method of interpreting fundamental rights shows a clear comparability on the different levels, there is a clear divergence between the ECJ and national courts here.

Theoretically, the problem of the possibility of a convergence could be presented as the possibility of a common law – '*ius commune*'. The idea of *ius commune* goes back to Roman law and relates to the idea of reason. However, the peak of European common law was not reached until the Middle Ages. It consisted of two components: on the one hand, the traditional and meanwhile newly discovered Roman law and the canonical law of the Church. The latter, however,



EU policy strives, among others, for the promotion of employment, improved living and working conditions as well as proper social protection.



Dr. Anika Seemann

'was based solely on habit and on the self-referential practice of legal science, which was largely autonomous in relation to the political process' (Nils Jansen). In other words: the medieval *ius commune* was not enforced in a top-down way, but rather drew its authority from the idea of reason. From this follows the hypothesis that the success of a common law requires not only technical regulations, but also a spiritual element. Specifically, in the area of social law it was observed that the solidarity conflict in Europe partly reflected the conflict between European ordoliberalism and national solidarity. Research on the *ius commune* is carried out on the basis of a collective project supported by the *Collège de France* and the *Université Paris 1*.

Furthermore, research into European social law cannot neglect the traditional law of coordination. During a meeting of the association 'Trans Europe Experts' in Paris on the topic 'The EU viewed from the outside', the question of the comparability of coordinating rules in the EU and Chinese social law with regard to the 'management of diversity' was discussed. The research found that the Chinese government has shown a keen interest in the European model since its reform and opening-up policies in the 1980s. The reason for this is, in particular, the completeness of the coordination principles in EU law (monopoly of the competent state, equal treatment, equivalence principle and export of benefits). A closer look, however, reveals that the European model has exercised little influence on Chinese social law. Although China has a strong need for cross-regional coordination, particularly due to the large number of migrant workers, it differs from the EU in three ways: First, the objectives differ from one another. While the EU strives for the free movement of people in the internal market, the 'Hukou' registration system tends to prevent the mobility of the population and thus deepens the duality between urban and rural areas in China. Second, the regulatory models are heterogeneous: complaints based on the principle of equal treatment are primarily decided by the courts in Europe. In contrast, the main actor in China is the administration. Inequalities mostly arise from confusing administrative reg-

ulations that have so far not been able to harmonize social law. Third, the difference between the respective bases of the right of coordination must be emphasized. The EU's coordination rules are based on national welfare systems that are different, but fundamentally efficient. In contrast, Chinese social law is still being developed. The central legislation should therefore play a leading role and must not be content with just a subsidiary role or a coordinating function.

Some of the results of the research at hand were conveyed to master's students in a focal point seminar at the University of Paris 1.

## 2.2 MODERNISATION OF THE WELFARE STATE

### 2.2.1 SECURING LIVELIHOODS IN THE COVID-19 CRISIS – A COMPARATIVE STUDY OF EUROPEAN LABOUR MARKET AND SOCIAL POLICIES

Anika Seemann

In early 2020, the COVID-19 pandemic triggered unprecedented government-mandated social and economic lockdowns across the globe. In Europe, the government lockdowns imposed from March 2020 onwards took a largely similar trajectory, putting public life on pause and bringing entire industries to a grinding halt. To avert the most dramatic economic and social consequences of these measures, European governments and legislators swiftly introduced extensive labour market and social policy measures aimed at stabilising the employment sector, preventing redundancies, and supporting those whose livelihoods the crisis most acutely threatened.

A group of legal researchers led by Professor Ulrich Becker conducted a comparative study of the labour market and social policy measures introduced in light of the on-going crisis in Denmark, France, Germany, Italy and the United Kingdom between March and October



All over Europe, lockdowns severely affected economies.

2020. It focused in particular on three types of responses: 1) measures that aimed to stabilise the overall economy, including fiscal stimulus and tax reliefs, 2) measures that aimed to secure jobs, including job retention schemes and public compensation schemes, and 3) measures that sought to accommodate for the specific needs of individuals on a range of social benefits during the crisis. The chosen countries represent a variety of Western European welfare state and labour market models, which allowed the project to compare the social and labour market policies introduced against the background of different institutional frameworks.

In comparing these five European welfare states, the project examined the systemic characteristics and functions of the crisis instruments introduced during the first six months of the pandemic. In particular, it questioned whether the measures introduced were in some ways 'typical' for each respective welfare state, or whether they represented a systemic novelty. More precisely, the researchers asked whether the countries under investigation adopted measures in line with pre-existing approaches to different labour market groups, or whether the crisis rather prompted a fundamental policy shift. This allowed the authors to assess how well equipped the five welfare states were for a major economic downturn as that seen in the pandemic, and the extent to which different pre-crisis labour market compositions played a role in exacerbating certain challenges. At an even more fundamental level, the project posed the question of whether the measures introduced in response to the COVID-19 crisis expressed a novel understanding of state responsibility for individual economic security.

The project commenced in late March 2020, when the first lockdowns had been imposed and it became clear that European states were both adopting novel policy instruments as well as expanding existing provisions to counter the economic and social hardships of the crisis. The project resulted in a first Working Paper, published in May 2020, which analysed the nature of the measures introduced and compared the five countries under investigation in regard to how they responded to the crisis. In order to analyse the different national crisis measures over time, the project working group then traced changes to the initial measures taken at the beginning of the pandemic, and published a follow-up Working Paper in November 2020. The publications also assessed the transnational influences of different national crisis measures, and contained a discussion on the role of the European Union in the crisis.

In addition, the project has resulted in a journal article, to be published in a special edition on COVID-19 in the peer-reviewed journal *Global Social Policy* in mid-2021. The article concentrated its analysis on the differences in social protection measures for 'standard workers' and groups on the margins of traditional social security regimes, such as the self-employed, and individuals in what is often termed 'precarious work'. The level of social protection offered to 'non-standard workers' before the crisis differed considerably between European countries. The crisis in turn prompted the rapid introduction of a variety of social protection measures for both standard and non-standard workers across Europe. Along with the radical changes that the COVID-19 crisis has brought to traditional conceptions of 'work', the crisis has intensified awareness among Europe's policy makers



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Kand. Jur. Wiss.  
(Minsk)

for the manifold types of non-standard work in today's labour economies, and raised the question of whether and how to include these groups more fully into the social welfare contract. For this reason, the various measures adopted to secure livelihoods across different labour market groups offered a well-suited arena for investigating the capacity of different social security systems to offer protection in times of economic downturn, as well as the potential effects of the current crisis in Europe's welfare states.

The article focused on the effects of the crisis at the individual level and examined those policy tools designed to secure 'livelihoods', understood in the context of the article as personal income sources either in the form of work income or social benefits. In doing so, it also took into account pre-crisis labour market compositions and social protection systems to highlight in what ways the five European states faced different challenges as the crisis took hold. To bring to the fore the distinct vulnerabilities that the crisis exposed for individuals on the fringes of traditional social security systems, the researchers contrasted the situation for 'standard workers' during the crisis with that of two specific groups of 'non-standard' workers: the self-employed and individuals in 'marginal part-time employment', with a main focus on those whose limited work hours place them outside some parts of the regular social security system. This included for example seasonal workers, 'platform workers' and individuals on so-called 'zero-hour contracts'.

Beyond exposing specific vulnerabilities of traditional social security systems, the crisis has offered an opportunity to address systemic shortcomings, both those that have been present for a long time, for example in relation to the self-employed, and those which have been brought about by novel types of work shaped by the digital age. The article therefore asked in what ways the crisis instruments suggest the introduction of more encompassing protection levels for 'non-standard workers'. The authors were, however, cautious in seeing in the crisis measures adopted between March and October

2020 a paradigm shift with regard to social security for 'non-standard workers'. While some measures indicated that the crisis had led to shifts in how 'non-standard work' is addressed in the welfare state context, and some reform initiatives towards a greater degree of universalisation could be identified, most crisis measures were public compensation schemes intended to be in place for a limited time only. In light of this, the article concluded that many existing vulnerabilities of 'non-standard workers' were likely to continue into post-pandemic times.

The project was carried out by Prof. Dr. Ulrich Becker, Dr. Linxin He, Dr. Eva Maria Hohnerlein, Dr. Anika Seemann and Nikola Wilman.

### **2.2.2 SOCIAL LAW 4.0: NEW APPROACHES FOR ENSURING AND FINANCING SOCIAL SECURITY IN THE DIGITAL AGE**

*Ulrich Becker and Olga Chesalina*

The research project 'Social Law 4.0: New Approaches for Ensuring and Financing Social Security in the Digital Age' is a continuation and further development of the research project 'The Digital World of Work 4.0 – Challenges for Social Security Systems' that started in January 2017. In its framework an international conference was organised and held at the Max Planck Institute for Social Law and Social Policy in Munich from 12 to 13 December 2019. The event was supported by the Fritz Thyssen Foundation. As the main output of this research project, an edited volume was published at the end of 2020 by Nomos.

#### **Background and Research Objective**

Digitalisation, being one of a plurality of challenges, has a strong impact on our societies. It intensifies the societal process of individualisation in general and influences employment relationships. Digital technologies have contributed to new business models and new forms of non-standard employment like crowdwork and

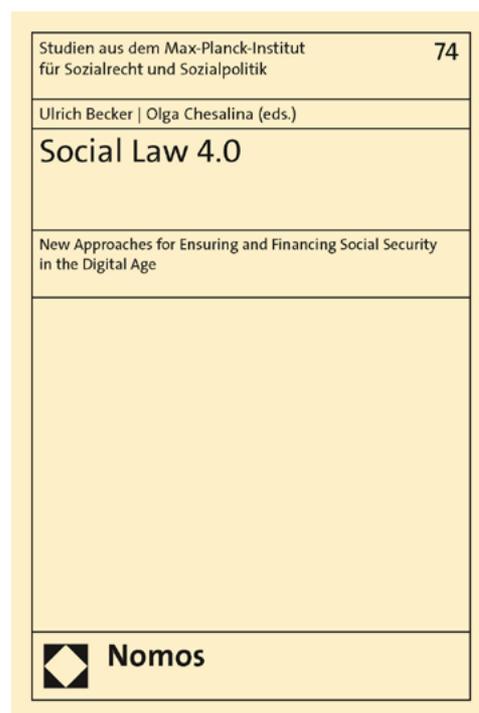
work on demand via apps. Although the main part of the workforce is still working under full-time labour contracts, there are clear trends towards a fragmentation and precariousness of labour, unstable employment careers, increasing job mobility and flexibility, multiple employment or employers, a large shift from dependent employment to self-employment, rapidly spreading bogus self-employment and informal work. The changing world of work with new work patterns is calling into question the standard (dependent) employment model as the basis for the social security system and widening the existing gaps in coverage and protection. The demand for social protection is increasing while the feasibility of social insurance systems is weakened.

Social protection in the changing world of work is already the subject of a wide range of sociological, economic and political studies and publications, whereas social law is just getting its research in this field underway. Our project seeks to fill this gap and is based on two innovative points. First, we concentrate on a social law perspective. The project undertakes an analysis of the impact of labour market changes in the digital age on social security law and addresses the challenges to social security which arise through these changes by putting emphasis on platform work. Second, this book does not want to merely add another study to the already existing publications that reflect specific single aspects of social protection in the changing world of work; rather, it takes a holistic approach that systematises new insights concerning the future of social protection in the digital age. As this approach is based on a legal comparison and includes transnational perspectives, our study is at the same time a contribution to the more general topic of how welfare states develop and sheds light on a common European core of the concept of welfare state.

The overall aim of the project is to provide new insights on what a 'Social Law 4.0' should look like. With respect to the methods in use for gaining these insights, we base our analysis on a systematic legal comparison which takes account

of the existing empirical (social science) evidence, but also focus on case studies in order to give concrete and detailed examples of the different ways of adapting social security systems to the present challenges.

The whole undertaking focuses on the two most important questions in the context of social protection in a digitalised world, which point at the same time to the two most urgent problems raised by the consequences of digitalisation for the labour market: access to social protection



and its future financing. In so doing, it seeks to examine innovations: solutions and mechanisms for ensuring social security and those for financing social security. In this regard, different national approaches – ones that have already been implemented (through legislation, collective agreements or private actors) or are presently under discussion (in the literature or draft laws) – are analysed in a comparative perspective. Although it is first and foremost the task of states to adjust their social protection systems, transborder issues will become even more

important in the digital age. Therefore, it includes the present and future role of the European Union: on the one hand, new coordination problems may arise; on the other hand, new forms of financing will also have an impact on the basic freedoms and basic rights, and we will have to ask whether it is possible or necessary to opt for new regulatory approaches at European level.

### Project Outcomes

The four-sectioned book includes 5 'general' contributions and 9 'case studies', covering Belgium, Italy, the United Kingdom, the Netherlands, Denmark, Sweden, Spain, France and Estonia. It provides various new approaches in order to meet the challenges posed to social protection in the digital age. The contributions cover a broad range of different topics such as the legal qualification of economic activities taking into account both legal and practical issues concerning the inclusion of digital workers, the role of different systems of social protection, including the relation between contributory-based and tax-financed schemes, as well as the relation between basic and supplementary security, or the difficulties to secure a stable financial basis for social security.

The contributions in this book do not only give evidence of the fact that despite recent amendments in the legislation, there are still a lot of obstacles to effective access to social protection for non-standard workers and self-employed persons. They also analyse new approaches for ensuring and financing social security and put these approaches into the context of the overall social protection structure, discuss their pros and cons, and provide the reader with a critical assessment of whether, and to what extent, novel approaches can help to effectively meet current challenges. There are some examples of 'good practice'/positive innovations: Denmark effected a reform of the unemployment insurance in 2017, which expanded its scope of protection, changing this system into a more universal approach by taking into account income from all types of work. It is an excellent example of 'good practice' in social security concerning access to social protection. France is a

prominent example for attracting new sources of financing in social security: worth mentioning are the levies applied to revenue derived from specific digital activities (since 2019) as well as the social responsibility of platform providers (introduced in 2016). Estonia has already implemented some innovative mechanisms to administer social security and taxes, and to simplify the taxation of services. The entrepreneur account, on the one hand, represents a new way of simplifying tax liability (including social taxes) and, on the other hand, enables access to social security, in particular health insurance.

Some lessons can be learned from the different approaches presented in this book. First, it is clear that many initial steps to meet the challenges of the digital age at a national level remain embedded in the national architectures of social protection institutions. It is remarkable that not few of the approaches described in this book might easily be transferred from one jurisdiction to another. That holds especially true for rather technical approaches like making the enrolment of platform workers easier and providing economic incentives in this regard. Yet, the same transfer would be feasible when it comes to more fundamental aspects like putting certain social responsibilities on platforms and thus integrating these enterprises more closely into the systems of social protection. Second, there seems to be a certain lack of overall strategies and a certain tendency towards special solutions which often remain controversial and fragmented, or more generally speaking, a tendency towards modifications or extensions of existing social protection schemes in the light of specific developments.

This does not only call for more exchange and dialogue at EU level in order to establish a common social policy basis. It also leads to the question whether new and specific forms of social security are necessary for platform workers. To what extent does digitalisation urge us to change (and not only further develop) the traditional structures of existing social security systems and fundamental aspects of transnational social security coordination at EU level?

Although these questions will have to be answered, we propose to take intermediate steps and to react in two steps to the challenges posed by digitalisation. The first concerns better knowledge of the factual developments: there is still a need for empirical analysis of the impact of digitalisation on the existing social protection systems, which is an endeavour that calls for interdisciplinary research as social science methods have to be applied while, at the same time, knowledge of the circumstances taken into account for the application of social protection law is required.

In a second step, the existing law will have to undergo changes. These changes will certainly differ from one jurisdiction and one state to the next, depending on the national social protection architecture, the actors involved, and also the legal instruments available with regard to the administrative and constitutional law background. They may lead to a more universal, and at the same time more restricted, role of social security, leaving room for more variety as regards supplemental protection.

### 2.2.3 SOCIAL AND LABOUR RIGHTS OF 'NEW' SELF-EMPLOYED PERSONS

*Olga Chesalina*

The platform economy is characterised by new forms of employment, such as platform work. This particular employment form combines the features of salaried labour and self-employed activity: algorithmic, market and organisational control mechanisms allow platforms to monitor and manage the labour of platform workers. At the same time, platforms advertise this form of employment with the autonomy of platform workers in terms of the determination of the place and time of work. In this way, platforms are able to evade traditional labour relationships and contribute to a rapid spread of bogus self-employment. The new form of employment calls into question the dependent employment model, which is characterised by personal dependence



Orders via online platform: this new kind of work calls into question the traditional employment model.

on the employer as a basis not only for the inclusion into the scope of labour law, but also for the inclusion into the social insurance scheme.

The main objective of the project, which started in 2018, is to shed light on the phenomenon of platform work from labour law and social security perspectives and to analyse the possible responses to the exclusion of persons from labour and social protection in new forms of employment.

The research project can be divided into three parts. The first subproject is dedicated to analysing fundamental questions concerning platform work as a new form of employment. It is questionable whether there is something new in the construction of platform work and the business model of online labour platforms in comparison to already existing non-standard forms of employment. The key question addressed is whether with platform work a new kind of dependence (apart from personal and economic dependence) has emerged in relation to platform providers or clients. Therefore, features of dependence of platform workers are compared with the situation in other employment categories, and court decisions concerning the employment classification of platform workers (first of all, taxi drivers and couriers) are analysed. The examination also includes a critical assessment of empirical studies and practical findings. Due to the heterogeneity of platform workers, platform work and platforms, and due to different strategies concerning the allocation of tasks (allocated by the platform, by the client or by the worker) it is not possible to define one single pattern of dependence. This new dimension of dependence is characterised through 'controlling

autonomy', invisible algorithmic control as well as management control, financial and organisational incentives set by platforms, rating and recommendation systems, information asymmetries, a new form of integration into the 'work organisation', and an 'overstaffing' strategy. We can thus recognise a new type of dependence, which is characterised by a mix of economic, algorithmic and personal dependence. For this reason, by means of employment classification, platform workers often fall between the cracks.

The second subpart of the project addresses possible ways to guarantee social protection to platform workers, as they are often excluded from statutory insurance schemes. Therefore, on the one hand, innovative strategies for extending the access to social protection to platform workers and their advantages and limits are investigated. On the other hand, different available strategies for extending the access to social security schemes to 'non-employees' are analysed. In many European countries, social insurance schemes provide for different mechanisms of extending social protection to non-employees by disconnecting social protection from the employment status. Despite the existence of a variety of strategies, their main goal remains the same: to reflect the need for social protection. Some of the respective legislative solutions thus allow for a differentiation in the level of protection depending on the level of economic dependency of the workers (e.g. economically dependent self-employed persons and employee-like persons). The heterogeneity of platform workers, platform work and platforms, different strategies in terms of the allocation of tasks, differences with regard to whom a platform worker is dependent on, and also new kinds of dependence all require more flexible and fine-tuned solutions. The innovative strategies for extending social protection to platform workers are trying to address new groups of gainfully employed persons. At the same time, the 'classical' strategies for extending social protection to 'non-employees' demonstrate that they can address different groups of non-salaried workers, and different persons on the 'employers' side. These strategies have to be adjusted to new labour patterns

and new forms of employment, which are often less secure and more flexible than the standard employment relationship.

The third subproject addresses the challenges that new forms of employment pose to labour and social law in Russia. Hereby, on the one hand, options concerning the labour protection of platform workers in Russia are analysed. On the other hand, taking into account that workers on demand are also in Russia classified as self-employed in case law and in practice, their situation is investigated from a social law and tax law perspective. It is worth to mention that over the last two decades, the legislator has been trying to fight the informal economy (which is a big problem in Russia) by introducing privileged tax regimes for self-employed persons (in particular 'tax holidays' for special categories of self-employed persons and a tax on professional income). For this reason, access to social protection for self-employed persons in general, and for those self-employed who use privileged tax regimes in particular, is analysed. The result discloses a complex interrelationship between labour, social and tax law. Since the tax on professional income introduces a new social insurance regulation to payers of this tax, a mixture between a tax regime and an employment category for the purposes of social insurance law has emerged. In conclusion, a coordination of legislative measures and reforms in labour law, social law and tax law is seen as a way to improve the situation of workers on demand.

The research project was developed through participation in numerous international conferences and various publications in English and Russian. In particular, the following publications are to be mentioned: Access to Social Security for Digital Platform Workers in Germany and in Russia: A Comparative Study, in: Spanish Labour Law and Employment Relations Journal, 7 (2018) 1–2, pp. 17–28; Digital Platform Work in the Russian Federation, in: ZIAS, (2019) 1, pp. 18–29; Platform Work as a New Form of Employment: Implications for Labour and Social Law, in: Wratty, Jerzy; Ludera-Ruszel, Agata (eds.), New Forms of Employment, Wiesbaden 2020, pp. 153–167;

Extending Social Security Schemes for 'Non-Employees': A Comparative Perspective, in: ZIAS (2020) 1.

## 2.2.4 TRANSFORMATION OF THE BELARUSIAN SOCIAL SECURITY SYSTEM

*Olga Chesalina*

This new research project examines the transformation of the social security system in Belarus in comparison to the situation in other former USSR republics. Its main goal is to analyse the development of the national social security system after the downfall of the USSR in the framework of the implemented international and regional standards concerning social security. To this end, the role of international standards in guaranteeing social rights has to be investigated. Another goal of the project is to examine, on the one hand, the problems related to ongoing legal reforms and, on the other hand, the enforcement of social rights in the decisions of the Constitutional Court of the Republic of Belarus.

The first results of the project show, on the one hand, a strong historical path dependency of the Constitution of the Republic of Belarus of 1994 in relation to the Constitution of the Byelorussian Soviet Socialist Republic (BSSR) of 1978 regarding the detailed regulation of social rights. The current Belarusian legislation still contains some regulations from BSSR times. Worth mentioning in this context is, for example, the regulation concerning pensions for persons residing abroad: Pensioners who move abroad will receive their pension for a further 6 months in the form of a one-off lump sum prior to moving. Payment will then be stopped, unless a reciprocal agreement can be applied. Another example concerns special guarantees (privileges) for certain categories of citizens, like early retirement for mothers of five or more children and for certain groups of employees.

At the same time, the social security regulations have been considerably reformed in compari-

son to the legislation of the BSSR. In the BSSR, a state social insurance existed only formally; contributions were to be paid by enterprises for their employees without individual assignment and were similar to taxes. In contrast, the Belarusian statutory social security system today comprises social insurance, social services, social assistance and other social security instruments. There are two kinds of compulsory state social insurance in Belarus: the *pension insurance* (which includes old age pensions, disability pensions, survivor pensions) and the so-called *social insurance* (insurance in case of temporary disability, pregnancy, childbirth, childcare up to the age of 3 years, and in some other insurance cases). The contributions for *pension insurance* are paid both by the employer (28% of all payments in favour of the employee) and by the employee (1%). The contributions for *social insurance* are paid only by the employer (6%). Self-employed persons have to pay contributions for pension insurance and social insurance at the same rate as employers (even higher in case of pension insurance) – 29% and 6% accordingly. According to the Belarusian legislation, pension rights do not emerge for periods of salaried employment during which pension insurance contributions were not paid either by the employee or by the employer. The Belarusian legislation does not provide a subsidiary responsibility of the state in such cases. In this respect, the situation is different from Russia, where the Constitutional Court of the Russian Federation in 2007 derived from the constitutional right to social security and the equality principle a state obligation to pay unpaid contributions instead of the employer if enforcement of the contributory debt was not possible.

The aging of society and the financial crisis pose challenges to the Belarusian social security system that the state attempts to address through further reforms targeting the retirement age and pension eligibility conditions. For a very long period of time, Belarus was one of the countries with the lowest retirement age: since 1928, it had been 55 years for women and 60 years for men. Due to the aging of the population in Belarus the retirement age has been raised since

1 January 2017 by 6 months every year until it will be 58 years for women and 63 years for men in 2022. Other conditions for granting old-age pensions were made more rigorous as well. The contribution record (minimum insurance period) of 5 years introduced in 2006 was raised, first to 10 years in 2014, then to 15 years and 6 months in 2016, and finally to 20 years in 2017. Moreover, the required minimum age for social pensions (a kind of social assistance financed from the state budget) was also increased from 60 to 65 years for men and from 55 to 60 years for women. The increase of the contribution record from 5 to 10 years and the raising of the age requirement for the entitlement to social pensions were subject to constitutional control. In both cases, the Constitutional Court confirmed the constitutionality of these reforms.

A special role in the Soviet pension system took the early retirement system for employment under dangerous or unhealthy working conditions. This system, based primarily on state responsibility for work under dangerous or unhealthy working conditions (meaning that only the state has financed this system), has been reformed in all former USSR republics and also in many Eastern European countries. In Belarus, on 1 January 2009, a reform started introducing the *funded professional pension insurance*, which replaces the pensions for working under special conditions and the long-service pensions. Employers are now obliged to pay social insurance contributions for these categories of employees to the professional pension insurance. The so-called professional pensions are divided into *early professional pensions*, which are paid to the insured person before reaching the general retirement age, and *additional professional pensions*, which are paid to the insured person after reaching the general retirement age (if the conditions for the early profession pensions are not met).

In 2006, social insurance against accidents at work and occupational diseases was replaced by state insurance against accidents at work and occupational diseases. It is a state insurance *sui generis*, which is no longer regulated as

part of the social insurance. On the other hand, a new form of social security is the maternal capital that contains an additional support measure for families (citizens of the Republic of Belarus) in case of the birth or adoption of the third child or further children, which has been provided for since 1 January 2015.

According to the Constitution, everyone has the right to a dignified standard of living (Art. 21) and citizens are guaranteed the right to social security and to health care (Arts. 45, 47). Qualitative social standards concerning pensions, health care, social assistance and social services are regulated in Law No. 322-Z of 11 November 1999 'About state minimum social standards'. However, the actual level of unemployment benefits and of some kinds of pensions does not guarantee a decent standard of living. For example, the minimum level of the old age pension should be no less than 25% of the living wage budget on average per capita. However, this is not enough to provide a minimum standard of living. Belarus has also ratified some human rights instruments which are relevant for national social security rights, especially the International Covenant on Economic, Social and Cultural Rights of 1966 and the UN Convention on the Rights of Persons with Disabilities. Furthermore, Belarus has ratified some of the ILO Conventions related to social protection in a broad sense, e.g. Conventions No. 88, 155, 167, 183. However, Belarus has not ratified Convention No. 102 on Social Security (Minimum Standards).

It is extremely important not only to provide for social rights, but also to create guarantees for their realisation and implementation. One of the institutional instruments for the protection of the constitutional social security rights is the Constitutional Court of the Republic of Belarus, which exercises the control of the constitutionality of normative acts of the state. It is very important to stress that the citizens do not have a right of an individual complaint to the Constitutional Court, which significantly diminishes the protection of constitutional rights and freedoms of the citizens. Some decisions of the Constitutional Court relate to the issues of pension and family

benefits. The conclusions and decisions of the Constitutional Court show that the principle of equality is highly relevant for social security rights and, in several cases, the Constitutional Court stated the breach of the constitutional equality principle. For example, in decision No. P-148/2005 of 21 October 2005 'On the amount of state benefits for families raising children' the Constitutional Court concluded that the different amounts of childcare benefit before the age of 3 years (65 or, respectively, 35 per cent of the subsistence minimum budget for employed, respectively unemployed women) contradicts the principle of equality of citizens of the Republic of Belarus (Art. 22 of the Constitution). On the other hand, the right to social security itself (Art. 47 of the Constitution) and the level of social benefits always depend on the state's financial and material capacities.

The first results of the project were published in the article 'The Right to Social Security in the Constitution of the Republic of Belarus, in: *Studia z Zakresu Prawa Pracy i Polityki Społecznej* (Studies on Labour Law and Social Policy), 25 (2018) 3, pp. 293–306.

## 2.2.5 JUDICIAL PROTECTION OF SOCIAL RIGHTS IN RUSSIA AND GERMANY

*Olga Chesalina*

### Topic, Objectives and Methods

The main goal of the project was to examine current theoretical and practical problems of the judicial protection of social rights, in particular the right to social security, in Russia and Germany. Different problems related to the constitutional protection of social rights as well as the general framework of the judicial protection of social rights, which is designed very differently in Russia and Germany, were investigated. While in Russia the ordinary courts are responsible for disputes concerning the right to social security (e.g. pension claims and claims concerning other social benefits) and there is still no

specialised jurisdiction in this field, Germany has decade-long experience with specialised social courts. The practical relevance of the topic is shown by the fact that the new Administrative Procedural Code came into force in the Russian Federation in 2015. As part of the examination, a very topical and controversial question in Russia was discussed, namely whether social law disputes should be dealt with by the courts according to civil or to administrative procedural regulations in accordance with the new Administrative Procedural Code. Likewise, the importance of 'case law' for the social security systems in both legal systems was investigated. Finally, differences and similarities regarding legal solutions in both legal systems were discussed and their advantages and disadvantages worked out.

### Activities and Results

With support of the German Foundation for International Legal Cooperation (IRZ), a Russian-German workshop on 'Judicial Protection of Social Rights in Russia and Germany' was held in Saint Petersburg at the Law Faculty of Saint Petersburg State University on 21 June 2019.

Six leading experts in the fields of Russian constitutional, social and civil procedural law gave lectures at the event. Five speakers (Prof. Dr. Mihail Schwarz, Prof. Dr. Elena Gricenko and Dr. Marina Filippova) represented the Law Faculty of St. Petersburg State University and one speaker (Prof. Marina Fedorova) represented the Constitutional Court of the Russian Federation. From the German side, three speakers from the Max Planck Institute for Social Law and Social Policy (Director of the Institute and Head of Department Prof. Ulrich Becker, doctoral student Andreja Bogataj and Senior Researcher Dr. Olga Chesalina) as well as Prof. Richard Giesen from Ludwig Maximilian University Munich participated with presentations. The event was moderated by Prof. Dr. Evgenii Khokhlov, Chair of Labour Law and Safety at Work at the Law Faculty of Saint Petersburg State University.

Current problems of the judicial protection of social rights were thoroughly addressed during

the workshop. It was made clear that ‘case law’ was of great importance for the development of the social security systems in both countries. As far as Russia is concerned, numerous examples from different branches of social insurance and social assistance have shown that case law plays an essential role in the ongoing development of legal relationships concerning the provision of social benefits. With reference to Germany, the difficulties in the distinction between self-employed activity and dependent work were discussed using the example of new forms of



Participants of the 2019 Russian-German workshop at the Saint Petersburg State University: Andreja Bogataj, Dr. Olga Chesalina, Prof. Richard Giesen, Prof. Evgenii Khokhlov, Prof. Ulrich Becker and Ruslana Rosa (from left).

employment such as platform work. However, until now, in Germany there have been no social court disputes regarding the classification of platform workers and only recently first cases on this issue were decided on by labour courts (cf. Judgement of the Regional Labour Court of Munich of 4 December 2019, 8 Sa 146/19 and of the Federal Labour Court of 1 December 2020, 9 AZR 102/20). In this context, the status determination procedure of the clearing office of the German Pension Insurance was analysed. In particular, the question was examined whether the absence of social law disputes concerning the classification of platform workers was caused by the fact that new forms of employment and new forms of dependence had already been assessed and correctly classified through the clearing office as part of the status determination procedure. Another reason could be, however, that companies make only limited use of crowdwork because they are aware of the risk of misclas-

sification of this contractual relationship as an employment relationship. Finally, the influence of the decisions of the Federal Social Court on the practice of the clearing office of the German Pension Insurance and individual decisions of the Federal Social Court were investigated.

The results of the scientific exchange showed some similarities as well as essential differences in the design of the judicial protection of social rights in both legal systems. Both in Germany and in Russia, recipients of social benefits are not protected from cuts of benefits merely through the social state principle (Art. 20 Sec. 1 German Basic Law, Art. 7 Parts 1 and 2 Constitution of the Russian Federation). The reason for this is that in both countries the social state principle is understood as a mandate to the legislator, from which subjective rights cannot be derived. Only in connection with the basic rights, individual claims and protective effects may be derived from the social state principle.

The new Russian Administrative Procedural Code, which came into force in 2015, has raised the question of whether social law disputes – similar to Germany – should be classified as administrative law disputes. According to the prevailing opinion, social law procedures are administrative procedures and therefore the Administrative Procedural Code should be applied. However, the Supreme Court of the Russian Federation has indicated that social law disputes will continue to be negotiated according to the rules of civil procedure (Letter of the Supreme Court of the Russian Federation of 5 November 2015 – No. 7-BC-7105/15 concerning ‘Notification of Categories of Civil Proceedings dealt with by the courts of general jurisdiction’). As a result, the burden of presentation and proof applies without restrictions. This may lead to great difficulties in pension disputes, particularly with regard to the fact that – even if the court considers the rejection of a pension claim by the Pension Fund as unfounded – the pension will still not be awarded as long as the plaintiff does not explain the calculation of the amount in detail. From the German point of view, it should be noted that if civil procedural rules were to



Dr. Simone M. Schneider

be applied, there would at least be a duty of the court to inform the plaintiff about the demonstration requirements, in order to prevent 'surprise decisions'.

The lecture presented at the workshop on 'Employees vs. Self-Employed – The Significance of the Status Determination Procedure in Germany' was published in Russian in the 'Russian Legal Journal' in 2019.

## 2.2.6 PENSION MAPS: VISUALISING THE INSTITUTIONAL STRUCTURE OF OLD AGE SECURITY IN EUROPE

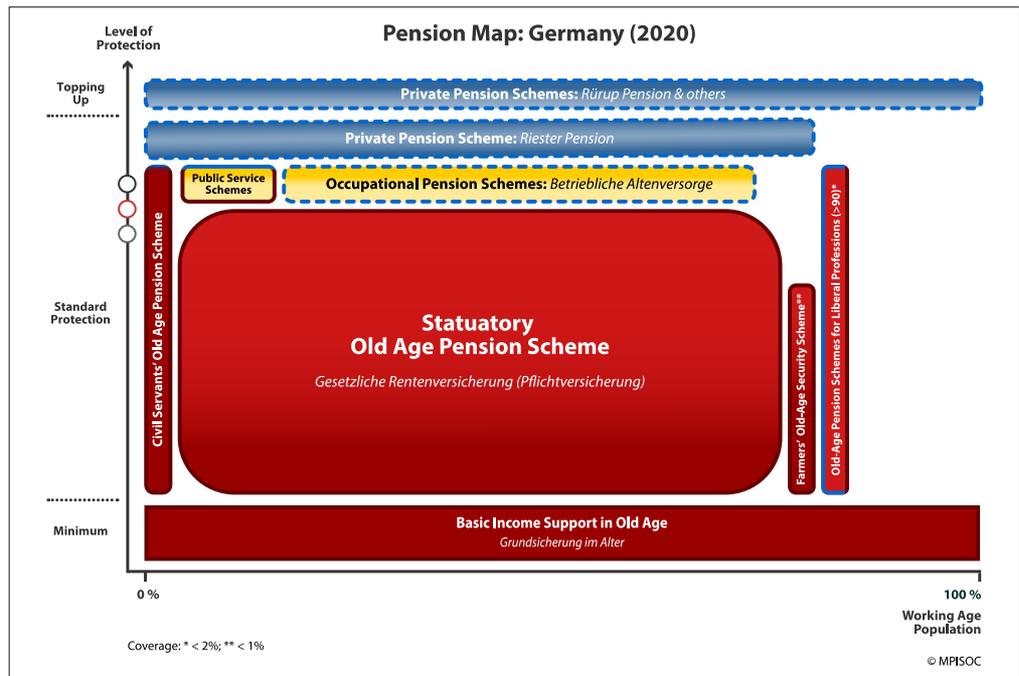
Simone M. Schneider and Teodora Petrova

Financial protection in old age is indisputably one of the core objectives of modern welfare states. Yet, its legal implementation and institutional organisation vary widely across countries and are often subject to political debate. Despite common pressures posed by demographic and societal change, these national differences in old

age security are likely to remain, as the current legal foundations actively shape today's policy making and dictate – at least to some degree – the pace and direction of future reforms. The research project 'Pension Maps' examines these legal foundations of old age security in Europe and selected non-European countries with the objective of providing a comprehensive and systematic legal overview of the institutional landscape of national old age security in the form of a large-scale cross-country comparative analysis.

In order to shed light on the institutions providing social protection in old age, the Department of Foreign and International Social Law has developed an analytical framework. The product of this work is a newly developed systematisation of old age security which captures the multifaceted interplay of different old age pension schemes. It utilises the following categories in order to facilitate cross-country comparative research:

- *Legal form*: The 'legal form' refers to the legal basis of the pension scheme and the form of





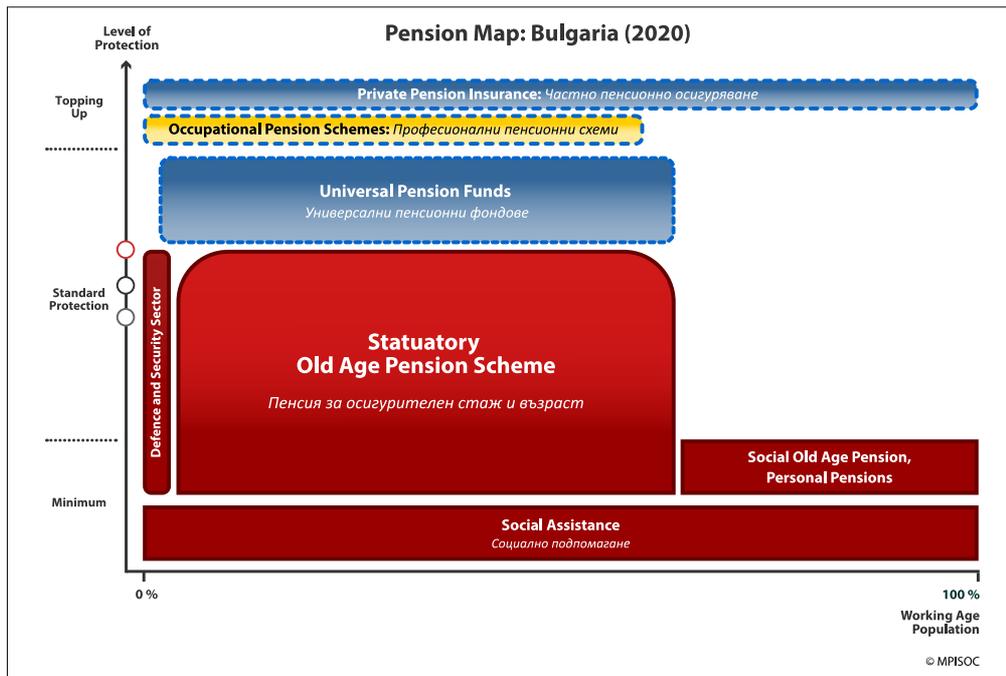
Teodora Petrova

organisation as defined by the legal relationship between the institution and the insured person or beneficiary. We distinguish between three legal forms: (a) *public* refers to pension schemes based on public law and administered by public institutions; (b) *private* refers to personal pension provision based on private law and administered by private law pension plan providers; (c) as a third category, *occupational* refers to pension plans linked directly to a person’s occupational activity or industrial relations.

- *Function*: The ‘function’ refers to the social policy aim of benefits (or: schemes). We distinguish between three main functions: (a) *minimum protection* refers to a (guaranteed) minimum level of (pension) income in old age; (b) *standard protection* refers to the intended level of pension benefits in old age; (c) *the topping-up function* describes supplementary pension benefits exceeding standard protection.
- *Right to access*: The ‘right to access’ indicates the categories of persons of working age that

are either able or required to enter a pension scheme. The ‘right to access’ equals the ‘factual coverage’ of schemes with mandatory affiliation and indicates the ‘intended coverage’ for schemes with voluntary affiliation.

- *Legal form of affiliation*: The ‘legal form of affiliation’ can vary from mandatory affiliation, making insurance for the person legally binding; to voluntary participation, leaving it up to the person to join a pension scheme; and other forms, such as automatic enrolment with possibilities of opting out.
- *Modes and sources of financing*: We distinguish between two often competing ‘modes of financing’: schemes financed on a pay-as-you-go (PAYG) basis and (fully or partially) capital-funded schemes. The ‘sources of financing’ refer to the scheme’s budget and specify the degree to which a scheme is financed out of (insurance) contributions or the state’s general budget. The latter does not only consider state subsidies, but also other forms of incentives (such as tax reductions) that are at the expense of the state.



The project encompasses 32 country reports which describe the institutional settings of old age security in line with the developed analytical framework. The country reports are prepared by the Department of Foreign and International Social Law in collaboration with distinguished legal scholars and experts in social security law from the respective countries. The systematic collection of information will comprise 29 European countries (Austria, Belgium, Bulgaria, the Czech Republic, Croatia, Cyprus, Denmark, Estonia, Finland, France, Germany, Great Britain, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, the Netherlands, Norway, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, and Switzerland) and three non-European countries (Brazil, China and the Russian Federation).

The core element of each country report is the so-called Pension Map, a visual representation of the respective national old age security system. The Pension Map is designed in accordance with the analytical framework and uses different illustrative tools (size, colour, shapes) to picture this information in a single image. By capturing the multifaceted interplay of different pension schemes, the pension map provides answers to the following research questions at one glance:

- How is old age security organised within a given country? How do public, occupational and private pension schemes interact?
- How can a standard level of protection be achieved in old age? What measures secure a minimum level of protection, and do these measures form part of the old age security system? What are the options for topping up pension benefits? How high is the average level of protection provided in a country compared to the European/OECD average?
- Which population groups are considered and protected by formal institutions? What are the forms of participation and do they vary systematically between pension schemes? Does the level and form of protection differ between population groups?

The pension maps are complemented by a short summary of the system's key institutional features as well as more detailed information on each pension scheme, including information on its coverage, financing mechanisms, administrative bodies, qualifying conditions and old age benefits. The accompanying information shall facilitate the understanding of the pension map and the interplay of the different pension schemes. The coherence and consistency of the accompanying information enables swift comparison of the institutional structure of old age security and specific pension schemes within and across countries.

The structured analysis of the legal framework of old age security will add important insights on the existing differences in institutional settings of old age security, which can be used by scholars from various disciplines for their further research. An open access policy provides unrestricted access to the research results. Results are published on the Institute's website via an interactive web tool and in the form of an edited research report, which will be electronically available on the Institute's website. To ensure timely publication, a first collection of country reports will be published in March 2021, and will be extended thereafter with the completion of further country reports.

The research project is part of a larger collaborative research project entitled 'On the Edge of Societies: New Vulnerable Populations, Emerging Challenges for Social Policies, and Future Demands for Social Innovation. The Experience of the Baltic Sea States', which is carried out jointly by the Max Planck Institute for Demographic Research in Rostock and the Max Planck Institute for Social Law and Social Policy in Munich (see I.2).

## 2.2.7 PENSION INDEXATION IN INTERNATIONAL COMPARISON

*Eva Maria Hohnerlein*

Maintaining adequate pension levels throughout the entire retirement phase is a persistent challenge in old age protection. An often underestimated element of pension adequacy is the question of whether and how pensions in payment are adjusted to changes in the general level of earnings and to changes in the cost of living. Surprisingly, this issue has not been an object of current comparative research, and is hardly a topic in international pension reform debates. The study thus contributed to closing the gaps in knowledge on indexation issues, with a focus on their social policy implications across EU welfare states.

Indexation rules for pensions in payment are an important feature of public pension systems. They are decisive for the question whether or not old age pensioners will be able to participate in the general income evolution of the economically active population over time. The indexation of old age pensions is a highly relevant issue particularly in times of increasing longevity: Most industrialised countries experience persistent and unprecedented increases in life expectancy for men and women, leading to more extended retirement and pension payment periods. Between 1970 and 2014, the average duration of pensions in payment in Europe rose from 15 to 22 years for women and from 11 to 18 years for men. Consequently, European countries enacted pension reforms in order to improve financial sustainability in view of rapid population ageing. The sustainability-driven pension reforms in earnings-related pension schemes cut down pension levels and reduced the so-called replacement rate, which is defined as the initial pension expressed as a percentage of the last wage of the beneficiary.

Against this background, concerns about effective social protection in terms of adequate old age pensions have reappeared on the social policy agenda in Europe, in particular in the after-

math of the 2008 global economic and financial crisis. However, scant attention is given to the fact that lacking adequacy of pensions in payment and re-emerging poverty risks among old-age pensioners are not only linked to cuts in initial pension levels, but also to poor indexation rules. In view of increasing longevity, however, the arrangements for indexing pensions have turned into a decisive factor in order to avoid pension erosion at higher ages. This aspect is also important when pension levels between countries are compared. In many countries older pensioners, in particular those aged 75 and over, are at a higher risk of poverty and have lower incomes than younger retirees. The risk of poverty increases for pensioners with low entry pensions. As female pensioners tend to have lower initial pensions than men on average, insufficient indexation adds to the poverty risks associated with persistent gender pension gaps in many EU countries. Moreover, increased poverty risks are attested for those aged 80+ living alone, another characteristic found most often among women.

The study on pension indexation rules in an international comparison aimed at taking stock of the evolution of pension indexation parameters for pensions in payment in public pension schemes, explaining their underlying rationale, while pointing out additional factors and conditions used to modify or even replace traditional indexation arrangements across EU countries. The research investigated particularly three aspects:

Firstly, the objectives of different indexation mechanisms, their normative framework and their implications for pension adequacy and poverty prevention. Depending on the 'pension promise', pension indexation rules can pursue various goals. A first major objective is to prevent losses in purchasing power over time, which is normally achieved through price indexing. A second objective is to allow pensioners to participate in the rising living standards of the active population, normally achieved through wage indexing. Both indexing mechanisms serve to maintain income security in old age, albeit to a different extent, and help to reduce poverty risks among the very old. EU countries have a strong ten-

gency towards mixed or hybrid models of these two standard parameters as they allow for a combination of advantages and a counterbalancing of disadvantages. Price indexing has in general gained weight over wage indexing, and the German preference for wage indexing rules is a rather special path from a comparative perspective.

Secondly, the research project analysed the transitory and permanent changes to indexation rules adopted across the EU after the global financial crisis of 2008. While most EU states deviated from their regular indexation mechanism on a temporary basis, some states introduced structural changes in order to mitigate the negative effects of austerity measures on pension income and associated poverty risks among pensioners.

Thirdly, the study compared existing indexation rules to the international minimum standards for pension indexation, as set by the International Labour Organization (ILO) in Convention No. 102 on Minimum Standards of Social Security (1952) and No. 128 on Invalidity, Old-Age and Survivors' Benefits (1967), and their replication in Council of Europe instruments, namely the European Code of Social Security (1964). All but three EU Member States are bound by such standards. The international minimum standards do not impose a specific indexation mechanism for pensions in payment but postulate a defined minimum level of public pensions, which may vary between 40% and 45% of the respective reference amount, depending on the Convention applicable. This standard has to be guaranteed not only for the entry pension, but throughout the pension payment period as a whole.

The analysis revealed, among other things, that inadequate pension indexation rules, in particular if they are limited to mere price indexing, will not be able to make a stand against the increasing duration of retirement and the corresponding pension erosion. Such failure calls into question not only income security during retirement as a major objective of old age pensions, but also compliance with the international standards

of social security set by the ILO and the Council of Europe. Reforms of adjustment parameters should bear in mind these international minimum standards instruments. Reduced initial pension payment levels in combination with indexation rules neglecting adequacy could entail non-compliance with international minimum standards at some point of time. This risk should be taken more seriously by policy makers, particularly in light of the growing complexity of the various indexation arrangements for pensions in payment. In this respect, there is continuous need for further research from a social law perspective.

The research project was completed in spring 2019 and resulted in two publications, a preliminary one published in the German Review of Social Policy *Sozialer Fortschritt* 2018, pp. 197–219 ('Dynamisierung gesetzlicher Renten im Vergleich – Entwicklungstendenzen und internationaler Rechtsrahmen'), and a final version published in the journal *Global Social Policy*, 2019, pp. 1–20 ('Pension Indexation for Retirees Revisited – Normative Patterns and Legal Standards').

## 2.2.8 PUBLIC PENSIONS AND PRIVATE RESPONSIBILITY – THE SWEDISH PREMIUM PENSION AT TWENTY

*Anika Seemann*

The Swedish pension reform of 1998 was one of the most comprehensive and innovative pension reforms of its time. To this day, it continues to serve as an inspiration for pension reform discussions around the world. One of the most characteristic elements of the reformed Swedish public pension system is a mandatory capital-funded component with individual investment accounts, which was introduced in 2000. This so-called Premium Pension complements the pay-as-you-go funded component of the public pension system, the so-called Income Pension. In addition, the Swedish public pension system contains a subsidiary minimum pension scheme

for individuals with insufficient funds from income-related pensions, the Guarantee Pension. The aim of the pension reform, and in particular the introduction of the Premium Pension, was to make Sweden's public pension system more sustainable, both in light of a changing demography and against the backdrop of the Swedish financial crisis of the early 1990s.

This research project takes the twentieth anniversary of the Premium Pension as an occasion to analyse how the system has developed over time, and how political assessments concerning the acceptable risk of individuals have changed since its inception. The project draws upon materials produced by parliamentary commissions as well as legislative materials to identify the guiding principles behind the premium pension system when it was introduced, the problems that have arisen since, the ways in which the system has been modified over the years and the nature of the reforms that are currently under way. Above all, it shows how the political debates regarding the tension between state responsibility and individual risk have changed in the past twenty years, before highlighting what effects this has already had on the institutional design and legal bases of the system and how this tension is to be resolved in the reformed Premium Pension system. The project does not examine, however, the question of whether the Swedish premium pension system can serve as a model for the German pension system. This has already been dealt with in detail elsewhere for the existing system, and it would be premature to give an assessment of the reformed system as there is still no full political consensus on its future legal and institutional design.

Since the phase-in of the new Swedish pension system, which took place over several years around the turn of the millennium, various minor adjustments have been made. Most recently, in 2020, the retirement age was raised. However, the basic features of the pension system have remained unchanged. Its key characteristics are that 16% of pensionable income is allocated to the Income Pension, and 2.5% to the Premium Pension. 40% of contributions are paid

by employees and 60% by employers. Within the Premium Pension, each member of the pension system can choose up to five funds from a choice of several hundred options to invest their assets. There is both a small number of state-managed funds available as well as a wide range of options in the private investment market. For individuals who do not make an active investment decision, there is a state-managed fallback fund. A very important characteristic of the Premium Pension is that the individual bears the entire risk responsibility for the investments – there is no state guarantee level within the Premium Pension System. The Premium Pension system currently manages around 1,100 billion Swedish Kroner (approx. 105.5 billion Euros). Over the course of the past twenty years, the system has, on average, generated returns that lie well above the income index.

Despite the good average returns of the Premium Pension system, however, it is in urgent need of reform in regard to its fundamental structures. Since its introduction twenty years ago, various problems have emerged which have disrupted the functioning of the Premium Pension system and weakened its public support. One of the most central challenges for the functioning of the Premium Pension system is that the public's investment behaviour has turned out to be completely different from what its creators had anticipated. The system was designed based on an assumption that most individuals would actively and repeatedly choose their investment funds. This, in turn, would generate competition in the private fund market, and – in theory – lead to attractive investment options at low administrative cost for the general public. However, instead of actively and repeatedly putting together their own investment portfolio, most individuals began to leave their funds in the state-managed fallback fund only a few years after the system had been introduced. Over time, this created significant problems in the private fund market, as the lack of competition resulted in an increasing number of unfavourable investment options. Some individuals made very unfortunate decisions in the increasingly confusing fund market, formed at its peak of around 850 fund options,

leaving them with a very low pension income from the Premium Pension. Information and education campaigns intended to lead to a higher degree of 'financial literacy' in the population proved unsuccessful, however. Various embezzlement scandals further weakened public trust in the Premium Pension system.

Against the background of these developments, the political debate on the Premium Pension has shifted over the past two decades: rather than emphasising individual choice and responsibility, as was done when the system was phased in, politicians have increasingly focused on the state's responsibility for the outcome of the Premium Pension system. In order for the Premium Pension system to better reflect the state's responsibility for the public pension system, Sweden's political parties in 2018 reached an agreement that the Premium Pension system would be fundamentally reformed over the next few years. The reformed system is intended to systematically increase the chances for a good pension outcome for the Swedish population through an improved system design and a more regulated private fund market.

The academic output of this project is an academic article to be published in issue 4/2020 of the journal *Deutsche Rentenversicherung*.

## 2.2.9 SOCIAL REFORMS IN FRANCE

*Linxin He*

High unemployment is a persistent problem in France. In 2018, the French unemployment insurance was once again fundamentally reformed by the so-called 'Pénicaud II' Law. But what is the goal of this new reform? How does it change the structure of the social law? Research on these questions shall build the first step for further investigations into reforms of the French welfare state, which has been launched by President Emmanuel Macron, who has been in office since 2017.

The new law has brought two important changes into being: on the one hand, the extension of the unemployment insurance to include employees who actively resign and, on the other hand, the establishment of a new unemployment insurance for the self-employed.

Until recently, one of the conditions for granting the *Allocation de retour à l'emploi* (benefit for returning to work or unemployment benefit) was the fact that the employee became involuntarily unemployed. There have already been some exceptions in place. For example, the legislature has provided that conventional contract termination (Art. L. 1237-11, Labor Code) is such an exception. There were a total of fifteen variants of 'legitimate employee dismissal' that do not affect unemployment benefits. This includes, in particular, private reasons for dismissal and various forms of employment promotion. The new Art. L. 5422-1, II of the Labor Code removes the general condition of involuntary unemployment. In order to receive unemployment benefits, job-seekers must meet two requirements in particular. First: employees have to fulfill a qualifying period. The government initially wanted to set the period at five years. The final requirement is now a minimum working period of six months during the last thirty-six months. Second: employees have to pursue a professional reorientation project. In terms of content, this project must be authentic and verifiable. Some procedural obligations are also provided (L.6323-17-6).

With regard to the self-employed, two main questions arise: First, who should be considered self-employed? This term is always controversial. According to the authorities of the social security system, these are in particular those employed in the craft and trade as well as the liberal professions who do not have an employment contract (Art. L. 611-1, Social Security Code). In contrast, Art. L. 8221-6-1 of the Labor Code, which was introduced by Law No. 2008-776 of 4 August 2008, offers an abstract definition. This article holds that a self-employed person is someone who determines his own working conditions. With this definition there would have been 3.3 million self-employed persons in France in

2017. The privately insured self-employed make up for only 1% of the total group. In addition, the government characterizes the self-employed as dynamic and entrepreneurial in its legislative proposal. In this context, the second question arises: What is the specific risk covered in relation to the self-employed? Does entrepreneurship mean that the self-employed (should) already consider the risk of unemployment? Creating an 'unemployment benefit' for this heterogeneous group is extremely problematic because of these questions. The legislature ultimately opted for special social assistance as a flat-rate benefit (see Art. L. 5424-27, Labor Code). The benefit and the duration of the grant were determined by decree. They are around €800 per month.

The reform sparked a debate about the universalization of the welfare system. As with the discussed pension reform, the government is claiming officially as its goal the establishment of a universal system. The differences between the previous insurance system and the reformed scheme are particularly visible when it comes to financing: The traditional unemployment insurance is financed by contributions: both employer and employee pay a contribution (L. 5422-9, Labor Code). The Social Security Financing Act of 2018 provides for the abolition of the employee contribution. According to this logic, the financing of the benefits for the self-employed under Art. L. 5424-28 of the Labor Code is expressly based on taxes. Such changes inevitably call into question the nature of the system: will unemployment benefit remain an insurance or will it be based on the solidarity among all citizens in the future? In the case of the self-employed it seems relatively clear that benefits are based on national solidarity. The nature of unemployment benefits for traditional employees, however, is open for discussion because at least employers have to pay contributions. It seems plausible that the unemployment insurance is not only an insurance for employees, but can also be regarded as insurance for employers, for employers are paying social contributions to avoid the risk in case of redundancies. In any case, research shows rather that universalization

is largely limited due to the diverse conditions for benefiting from the new unemployment benefit.

## 2.3 FOUNDATIONS OF THE SOCIAL STATE

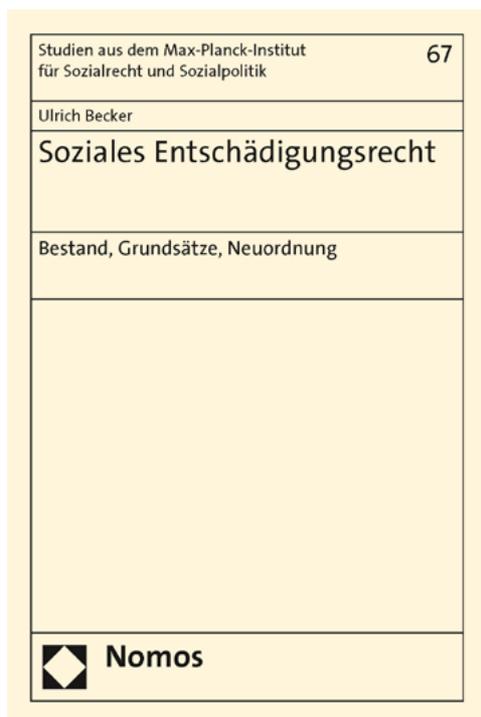
### 2.3.1 PUBLIC COMPENSATION LAW

*Ulrich Becker*

Pandemic crises lead to massive damages. In this regard, they are comparable to natural disasters. Such times of catastrophes are also times of social compensation. Those who suffer damages through no fault of their own may try to receive compensation from governments; and governments may feel obliged to provide help. This leads to the question under what conditions states (or any other political communities) are willing – or even bound – to accept a legal responsibility in this respect. What does the actual practice of public compensation look like, how did it evolve, and what are the general rules that are behind it? (*Becker, Soziales Entschädigungsrecht, 2018*).

Those questions point to a field of social protection which in many countries is simply unknown, at least in terms of a specific type of social benefits, which is why it is not by chance that the term 'social compensation' has been put in quotation marks on the internet site of the European Commission providing general information on social protection in Germany, and is entirely missing on the page providing an overview on social protection (<https://ec.europa.eu/social/>). In better cases, social compensation is systematically underdeveloped and underresearched. Even in Germany, where it traditionally forms a distinct part of 'social law', its systematic position and its role remain rather unclear and widely undebated. A reason might be that only a very small part of the overall expenditure on social protection concerns social compensation. And although the concept can be found in the General Part of the German Social Code, its underlying purposes and its general structures lack a legal circumscrip-

tion. In Germany, social compensation is a mere compilation of different acts of Parliament, and it is formally restricted to compensations for damages to life and health. If one broadens the perspective, we can observe four different 'pillars' or areas of social compensation widely known to many national jurisdictions: compensation (1) for war victims; (2) for victims of political upheaval, riots and terrorism; (3) for victims of damages caused by vaccination; (4) for victims of crimes. The latter is the most recent line of social compensation and even has a basis in European law



(European Convention on the Compensation of Victims of Violent Crimes, ETS No. 116; Directive 2004/80/EC relating to compensation to crime victims of 29 April 2004, OJ L 261/15; Directive 2012/29 EU establishing minimum standards on the rights, support and protection of victims of crime of 25 October 2012, OJ L 315/57), although it remains questionable why states should be held responsible for the outcomes of crimes. Still unclear and rather in the making is social compensation for damages caused by natural and technical disasters.

The common background of social compensation benefits is that a person may suffer damage and that the community (regularly the state) bears a responsibility for the situation that has caused this damage. Coming back to compensation for victims of crimes, this benefit is, eventually, rooted in the necessity to maintain a peaceful social order whenever the state claims a monopoly on the use of force. And generally speaking, every social compensation can be based on the general assumption that a welfare state has to maintain the legal and social order and to support individuals if they suffer from extraordinary losses. Such responsibility may follow from an obligation of the welfare state to take the appropriate measures although most governments would assume that they are rather free to act; in any case, there is no individual right to a compensation benefit without a political decision that has been put into a respective act.

Difficult questions arise when it comes to delineating social compensation from social security, not at least with regard to the coordination of social security systems within the EU (see Art. 3 of Regulation 883/2004/EC on the coordination of social security systems, OJ L 166/1). A suitable approach is to take the legal form and the financial basis of specific schemes as decisive factors for differentiation; that mainly helps to distinguish social compensation from social insurance although it can, for obvious reasons, not explain why a given type of social benefits has been chosen. It is even more difficult to draw a neat line between social compensation and state liability. Liability requires, first, that damages have been caused by governmental actions, and second, that the state either did wrong, has to guarantee for a specific result (in the sense of strict liability) or has caused individual damages that go beyond the general risks arising from the vicissitudes of life. The first requirement is often not easily established, as demonstrated in particular by cases in which vaccination is recommended by administrative authorities (see decision of the Spanish *Tribunal Supremo*, Sala de lo Contencioso, Sección 4, Rec 6878/2010 of 9



Times of catastrophes are times of social compensation.

October 2012; decision of the Italian Corte Costituzionale no. 107/2012 of 16 April 2012).

Whether states are liable for income losses caused by shutdowns during the pandemic crisis has become a question both of major interest and of major concern. In order to provide answers, it is not only necessary to gain a systemic understanding of social compensation, but also to reconstruct the legal basis of state liability.

Different spheres of legal responsibility need to be properly realigned, and their relations to each other require a convincing explanation. The overall task for legal science is to develop a consistent ‘public compensation law’ comprising both state liability which is rooted in the protection of fundamental rights, and social compensation with its foundation in the social state prin-

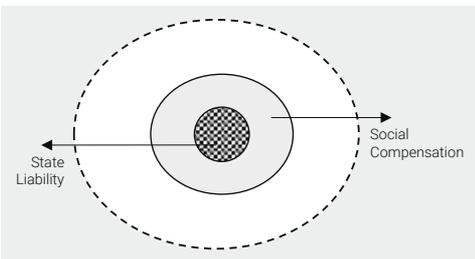
held responsible for the outbreak of a virus; but a causal link can be established between damages and governmental actions if states impose lockdowns. What will be missing, however, is the second condition, at least if lockdown measures are lawful and address major parts of the population. It follows, therefore, that if a state assumes a legal responsibility for the effects of a pandemic crisis by granting compensation for crisis-related damages and losses, it does so as an expression of its obligations arising from the social state principle.

### 2.3.2 THE CONSTRUCTION OF A SOCIO-ECOLOGICAL STATE

*Linxin He*

The welfare state must look to the future beyond economic developments. A functioning system of social protection must also take into account other living conditions in society. Climate change and other changes in the so-called ‘Anthropocene’ pose new challenges to human existence. The Anthropocene is, first of all, a geological and historical concept. What is meant by this is that we are living in an age in which humans have become one of the most important factors influencing the biological, geological and atmospheric processes of the earth.

Only a ‘socio-ecological state’ seems to be able to cope with these challenges. Four guiding principles can be cited as the basis of the socio-eco-



ciple (see *Becker*, Öffentliches Entschädigungsrecht, in: *Huster/Kingreen* [eds.], *Handbuch des Infektionsschutzrechts*, Beck 2021, pp. 313–372). With a view to the COVID-19 crisis, it is clear that states cannot, at least in most cases, be

logical state. 1. Ecological security: A state is only legitimate if, in addition to political security (constitutional state) and social security (welfare state), it guarantees security against natural disasters (ecological state). 2. The overriding role of social justice: Generational justice, global justice and the so-called 'justice of action' or capability could facilitate the distribution of responsibility and resources. 3. The need for new economic models: The economic system is a meeting point for social and ecological interests. A low carbon model should also consider the necessary conditions of a good living. 4. Reforms as a process: Taking factors such as speed and time resources into account can help to ask the right social law questions at the right moment.

Based on this, previously neglected topics such as the so-called 'green economy' and the 'social economy' are gaining importance. The 'green economy' appeared on the international stage during the financial crisis through the 'Green Jobs Initiative' of the UN and the ILO. A report by the United Nations Environment Program (UNEP) examines the sectors in which there could be green jobs and defines them as 'work in agricultural, manufacturing, research and development (R&D), administrative, and service activities that contribute substantially to preserving or restoring environmental quality'. Most jobs in the green economy have yet to be created. At the same time, they will destroy older occupational configurations (e.g. in the mining sector). In Schumpeter's development model, green jobs are therefore a clear example of 'creative destruction'. In order to retrain employments and protect employees from social risks, appropriate social precautions must be taken. The EU Commission published an investment plan for the European Green Deal in early 2020. It also emphasized the need for a just transition, through which the European people should maintain a 'fair and well-being society'.

With regard to the social economy, the cooperative movement may be mentioned as its pioneer. Today, the concept of the social economy encompasses 'the set of private, formally-organised enterprises, with autonomy of decision and

freedom of membership, created to meet their members' needs through the market by producing goods and providing services, insurance and finance, where decision-making and any distribution of profits or surpluses among the members are not directly linked to the capital or fees contributed by each member, each of whom has one vote, or at all events take place through democratic and participative decision-making processes. The social economy also includes private, formally organized organizations with autonomy of decision and freedom of membership that produce non-market services for households and whose surpluses, if any, cannot be appropriated by the economic agents that create, control or finance them' (European Economic and Social Committee). In contrast to the capitalist economy, the social economy is characterized by two main features: on the one hand, its aim is to meet needs through mutual services and not economic gain; on the other hand, the social economy is based on a democratic decision-making structure. The socio-ecological concerns therefore have more chances of being taken into account in this economic model, as they are more directly related to the living conditions of the stakeholders.

Successful ecological change also needs accompanying measures with regard to social benefits. The first main question relates to a new understanding of risk. The risks of natural disasters are usually recognized as simple uncertainties because they cannot be calculated. This limits also the insurance possibility. But the increasing number of extreme natural events as a result of climate change could refute this assessment. A notable phenomenon is the increasing number of climate change liability lawsuits worldwide. It recalls the well-known beginning of occupational accident insurance in Europe, which, in close connection with the change in liability law, brought about the transition from professional risk to social risk. In addition, governments could take up ideas such as an ecological basic income and compensation funds for natural disasters.

The question of the socio-ecological state was examined in a colloquium at the Collège de France in 2019. A report was written about this conference for the *Neue Zeitschrift für Sozialrecht*.

### 2.3.3 THE DANISH 'GHETTO INITIATIVES' AND THE CHANGING NATURE OF SOCIAL CITIZENSHIP

Anika Seemann

The Danish welfare state is characterised by its generous welfare provision and is centred on ideas of social cohesion and 'active' citizenship. The Danish citizenship ideal of the twentieth century centres on the 'work line', which involves an active population engaged in full-time work across the gender divide. For this reason, individuals who deviate from this ideal are often met with suspicion from both policy makers and the general public. In the 1990s, Denmark introduced a range of 'workfare' measures, focused on job training and activation, enforced through tightened conditionalities on welfare provision. This was a common policy turn across Western welfare states. Additionally, Danish policy makers began to focus not just on individual labour market participation, but also on the relationship between segregated communities, living in what officials began to term 'ghettos', and the Danish welfare state. Beginning in the 1990s, and expanded in the new millennium, Denmark introduced a series of 'ghetto initiatives' aimed at countering segregation and facilitating high labour market participation among low-income, high-immigrant communities.

The 'ghetto initiatives' led to the legal demarcation of 'ghetto' areas. Since 2010, the Danish government has used changing sets of criteria according to which it publishes annual 'ghetto lists', defining areas that are deemed to present a concentration of social problems. In these areas, special legal provisions apply concerning crime prevention, integration, data protection, welfare and the allocation of public housing. The government's official use of such a historically loaded

term as 'ghetto' has led to the Danish ghetto lists being widely discussed both within Denmark and beyond its borders. But it is also the measures adopted as part of Denmark's 'ghetto initiatives' that have drawn attention across the world. A 2018 initiative, for example, made it a legal obligation that children living in specific neighbourhoods attend at least 25 hours of mandatory day care in Danish institutions from the age of twelve months, with a failure to comply resulting in the reduction of child benefits. The same initiative also allowed for a doubling of criminal penalties in ghetto areas. These measures were widely condemned as discriminatory and in violation of established principles of modern liberal democracies.

Despite the widespread attention that Denmark's ghetto initiatives received, the specific legal mechanisms they employ and their relationship to the Danish welfare state's underlying ideals have not yet been examined from a scholarly perspective. This project therefore aims to contribute to the growing literature on social citizenship in the twenty-first century and to offer a first in-depth investigation of the Danish 'ghetto initiatives' from a legal and conceptual perspective. So far, existing research has focused mainly on the relevance of the 'ghetto initiatives' in the context of wider political discourses concerning immigration, ethnicity and multiculturalism, or the feasibility of the 'ghetto initiatives' from the perspective of housing studies. However, the distinct relationship between the Danish ghetto initiatives, social rights, and changing official ideas concerning social citizenship has not yet been explored in any detail.

The project casts its spotlight on the distinct ways in which Denmark's 'ghetto initiatives' have led to changes in the social rights of ghetto residents, as well as their implications for existing ideals of citizenship in the Danish welfare state. The project focuses on the government's four 'ghetto strategy papers' of 2004, 2010, 2013, 2018 and the legal changes that followed each initiative. It has two main areas of investigation: firstly, it examines the substantive changes that the ghetto initiatives brought to the social rights

of ghetto residents, with a focus on the particular welfare conditionalities that apply in areas defined as 'ghettos'. Secondly, it examines how these changes to substantive rights are justified in the context of each ghetto initiative. This involves an analysis of how ghettos and their residents are constructed as a problem for the Danish welfare state, and how these arguments in turn are used to justify a range of policy measures aimed at targeting specific groups of individuals.

The guiding research question for this project is: What do the Danish ghetto policies reveal about changes in the nature of social citizenship in Denmark? The findings are discussed in relation to the concept of 'social citizenship'. Within the context of the project, 'social citizenship' is defined as that aspect of citizenship that concerns the relationship between the individual and public social policies, based on a set of rights and obligations in the citizen-state relationship. Citizenship, in turn, is defined as the status of being a full member of a national polity. This definition is an example of what is sometimes referred to as 'narrower' definitions of social citizenship, derived from Marshall's influential work *Citizenship and Social Class* (1953).

A preliminary conclusion of the project is that the ghetto policies of the past twenty years suggest a profound change to established Danish interpretations and practices of social citizenship of the postwar era. This change is seen in the way in which social citizenship is increasingly conceptualised and shaped in relation to geographic entities (*spatialization*), which in turn are defined, *inter alia*, by ethnicity (*ethnicization*). While the official argument for the policies is that the policies are aimed at promoting 'equality', the policies introduce a status differentiation that deviates from the ways in which citizenship equality was understood for most of the twentieth century.

Methodologically, the project combines legal and policy analysis with conceptual history. The project employs a critical policy analysis with the aim of uncovering the explanatory and norma-



Since 2010, 'ghetto' lists in Denmark define areas where special legal provisions apply.

proposed measures in the four ghetto strategy papers allows the project to assess how social citizenship has been conceptualised in relation to 'ghettos' over the past twenty years. In providing a structured account of the successive legal changes brought about by each ghetto initiative, the project then traces *substantive* changes in the particular individual rights and entitlements associated with social citizenship. The analysis of the ghetto initiatives is combined with a more long-term historical analysis of the changing citizenship ideals within the Danish welfare state.

So far, the project has resulted in an article entitled 'The Danish 'Ghetto Initiatives' and the Changing Nature of Social Citizenship, 2004–2018', which is forthcoming in the peer-reviewed journal *Critical Social Policy*. A paper based on this project has also been accepted for presentation at the Nordic ESPANet Annual Conference, hosted by OsloMet University in Norway and to be held virtually in December 2020. Currently in preparation is a second peer-reviewed journal article which analyses the ghetto initiatives from the perspective of discrimination law, with a particular focus on the concept of 'geographical discrimination' – understood within the context of this project as discrimination on the grounds of an individual's place of residency.

### 2.3.4 THE BOUNDARIES OF WELFARE – MIGRANTS AND MINORITIES IN SCANDINAVIAN SOCIAL LAW AND CITIZENSHIP LAW (1890–1940)

Anika Seemann

The Scandinavian welfare states have become a global brand, an image of a stable and prosperous 'welfare utopia' to which countries across the world seek to aspire. In the social sciences,

the status of the Scandinavian states as an almost 'mythical place' is embodied in the phrase 'getting to Denmark'. But in both scholarly and wider public debates, the stability of the 'Scandinavian model' – often linked to the cultural, ethnic and social homogeneity of Scandinavian societies – is often said to be under threat by growing migration flows across national borders. In fact, as elsewhere across the West, the relationship between immigration and social security is a source of major tension in the political landscape of the Scandinavian welfare states today.

This legal history project examines the relationship between immigration and welfare from a historical perspective by looking at the interaction of social law, citizenship law and immigration law in the Scandinavian region between 1890 and 1940. The project intends to unsettle the idea that national welfare states emerged out of clearly defined national borders and fully homogenous populations. It seeks to examine instead the porous and contested 'boundaries' of the emerging Scandinavian welfare states over time, and to analyse how changes to social law, citizenship law and immigration law adopted between 1890 and 1940 reflected new understandings of citizenship and the state's role in the granting of social protection.

By 'boundaries' this project refers to the particular practices of inclusion or exclusion of groups of individuals in relation to different legal frameworks, first and foremost citizenship law and social law. It seeks to systematically uncover who could gain access to public welfare and citizenship on what conditions, and how citizenship and welfare provision interacted. In contrast to much existing scholarship on the emergence of the Scandinavian welfare states, this study therefore shifts its focus to the periphery of early welfare legislation.

In order to examine the many dimensions of the contested and changing boundaries of the Scandinavian welfare states, the project focuses on groups of individuals whose citizenship status or access to various forms of social assistance or protection was either ambivalent or con-

tested. One focus is on 'internal' groups such as indigenous populations, including the Sami and the Inuit. Another focus is on 'external' groups, by which are meant migrant groups crossing nation-state borders. These include migrant groups first entering the national territory, such as migrant labourers or refugees, as well as returning national citizens, foreign spouses and multi-national families.

The project examines the legal frameworks governing access to citizenship and various types of public welfare as well as the discourses, debates and practices concerning the status of these groups within Scandinavian citizenship laws and welfare systems between 1890 and 1940. In doing so, it takes a multi-level approach: it looks, firstly, at the rationales of policy makers for either granting or denying access to social welfare within a Danish context. Secondly, it assesses how access to citizenship and welfare interacted, meaning in what ways changes in one field of law influenced the other. Thirdly, it examines the role of emerging Nordic cooperation in the field of social policy and to third party states concerning the regulation of these legal regimes.

The significance of studying the boundaries of early Scandinavian citizenship and social legislation is threefold: First, it allows us to examine the status of individuals on the 'margin' of the 'national community'. These groups, first and foremost minorities and migrants, tend not to be examined systematically in more 'centralised' accounts of Nordic legal and political history. In studying the 'boundaries of welfare', we can therefore expand our understanding of the status of these groups, both within the national community generally and in the specific context of social policy. Secondly, the regulations and practices adopted concerning groups on the 'margin' can potentially yield new insights into guiding principles and premises of nation state formation and social provision, in particular if a deliberate choice was taken concerning the status of specific groups. It also allows us to analyse how laws and conceptions concerning immigration and citizenship changed as a result of growing social legislation. Thirdly, a focus on 'bound-

aries' offers a distinct perspective through which to study Scandinavian and international social policy cooperation. The inclusion and exclusion of foreign citizens in welfare schemes can allow for insights into the role of social policy in diplomacy, as well as the emergence of a transnational responsibility of states for social risks.

Methodologically, the project combines political and legal history with conceptual history. It draws on a wide range of archival and published primary sources. The main source base comprises legislative documents, commission reports, statistical materials, ministerial archives and parliamentary debates. In addition, the project looks at various non-state publication formats, including academic and policy journals, media sources and publications, by key political thinkers in the Nordics. Finally, in order to understand how ideas traversed national borders and how access to welfare systems was coordinated across Scandinavia, it examines the archives of Scandinavian social policy cooperation during the interwar period.

The study is intended to result in a book-length monograph on what is presently an understudied period of Scandinavian welfare state formation. The potential of this project has been recognised with an Early Career Grant from the Danish Centre for Welfare Studies, where I am planning a research stay of eight weeks' duration in early 2021 (initially planned for March 2020, but delayed by the COVID-19 pandemic). I have also established links to legal historians across Europe working on similar questions and themes and will be presenting initial findings of this research project at workshops and conferences in Odense and Berlin in early 2021.

## 2.4 HEALTH LAW

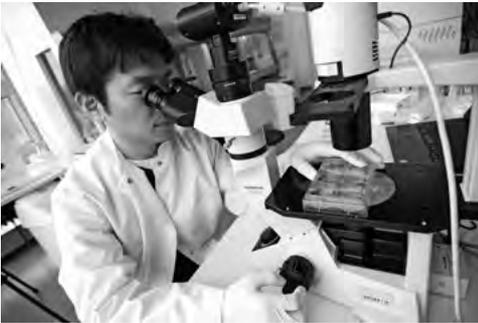
### 2.4.1 INTEGRATION OF INNOVATIVE IN-VITRO DIAGNOSTICS IN HEALTHCARE

*Ulrich Becker*

Since the decoding of the human genome, the genomes of cancer cells, too, can be analysed ever more rapidly. This knowledge has the potential to improve treatment, which can be tailored more specifically to genetic and molecular biological causes. In-vitro diagnostics (IVDs) are an indispensable component of personalised medicine. These include diagnostic laboratory tests that make it possible to tailor therapy to the specific tumour. They are among the medical innovations from which also patients with statutory health insurance should be able to benefit as quickly as possible. However, this must not be at the expense of quality and safety and must also take into account economic aspects.

Based on the observation that there is still no legal regulation in German law that is oriented by these normative principles, the project pursued the goal of finding out whether special regulations exist in other legal systems to solve the access question, and to propose reforms based on this. Every comparative law study faces a difficult initial problem, namely to focus specifically on those legal systems that promise a gain in knowledge. To address this, we took advantage of the fact that IVDs are marketed worldwide. Therefore, we started from a case study, namely the dissemination of a specific gene expression test for breast cancer, on which more detailed information is available as an application example of diagnostic laboratory tests in numerous countries. Among these countries, three European countries (France, Sweden and England as part of the United Kingdom) and three countries that are not part of the harmonised European healthcare market but have significant independent markets for IVDs (America, Japan and Australia) were selected.

The comparative legal analysis has brought to light a number of noteworthy approaches. In France, the promotion of medical innovation is considered crucial for the development of the healthcare system. In addition to the establishment of several procedures for the early financing of innovative IVDs, which include different



Diagnostic laboratory tests make it possible to tailor therapy to genetic and molecular biological causes.

financing mechanisms and timeframes, a special annual budget is made available for research and innovation. Sweden, too, has a number of approaches to rapidly introduce innovations into healthcare. These include a kind of government model project for complex care provision (*nationellhögspecialiseradvård*); in addition, patient participation in the decision-making process is strong.

England is characterised by a large number of special programs to introduce innovative services and products into the healthcare system. For IVDs in particular, there is the possibility of launching a novel test on the market relatively quickly (after 63 weeks). An intensive cost-benefit assessment of all health technologies is carried out within the framework of the Health Technology Assessment (HTA) with regular 'follow-up' checks to filter out any inefficient products. For the U.S., it is mainly the aspects of access to the general market that are of particular interest. During this phase, there is a close exchange between the regulatory authority (FDA) and industry. This promotes predictability, short approval periods for tests and, consequently, the readiness of manufacturers to innovate. After the market launch of innovative IVDs, how-

ever, 'Medicare' and 'Medicaid' are reluctant to assume the costs.

Cost aspects also seem to limit openness to innovation in Japan. Although the Japanese government published the 'Strategy of Sakigake' in 2014 with the aim of promoting innovation in the medical device sector, the instruments provided for this purpose are hardly used. The Australian access procedure is characterised by a high level of transparency and extensive participation rights. This increases acceptance, especially of decisions that are undesirable in terms of health policy. However, an Australian quality assessment is required, which on the one hand means that innovations are sometimes only accepted into the system after years, but on the other hand also reduces the risk of ineffective innovations being introduced prematurely.

This brief overview shows that there are various approaches that can be used to put the inclusion of IVDs in the German healthcare system on a regulatory footing of its own. In most cases, this does not depend on a specific institutional design corresponding to the national legal culture; moreover, individual advantageous regulations can be combined. What remains decisive, however, is a normative evaluation when it comes to answering the questions as to how much secured knowledge must already be available upon first access and how further possibilities for knowledge generation can be created through shortened examination processes in the initial phases and through subsequent control procedures.

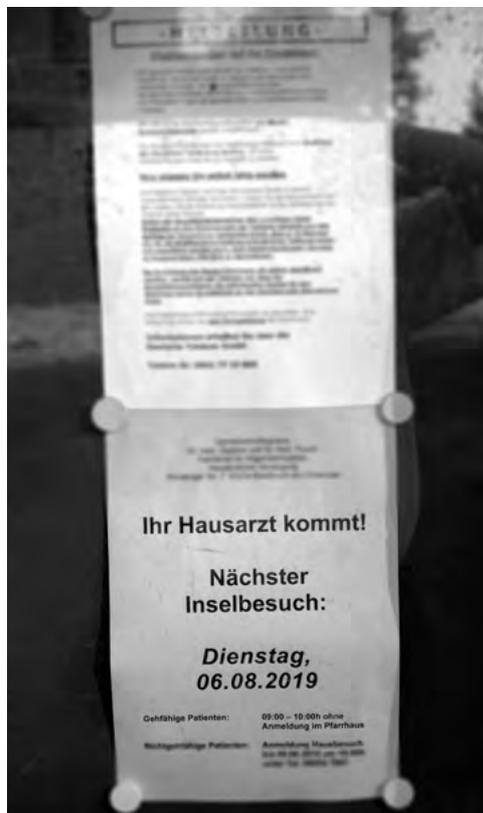
## 2.4.2 ADVANCEMENT OF DEMAND PLANNING IN GERMAN OUTPATIENT CARE

*Ulrich Becker*

### Investigation Mission and Results

For a long time now, the German statutory health insurance scheme (*Gesetzliche Krankenversicherung* – GKV) has been trying not to leave

the distribution of contract physicians to the market, but to control it by means of demand planning. However, the instruments intended for this purpose are apparently not very effective to this day. With the aid of the 'Law to Strengthen Care in Statutory Health Insurance', the legislator has put the task of ensuring improvements into the hands of the Joint Federal Committee (*Gemeinsamer Bundesausschuss* – GBA). The GBA is the central player in the neo-corporatist negotiation and regulation arrangement that still characterises the German healthcare system today. It is responsible for issuing the Demand Planning Directive, which specifies all relevant and very openly defined legal provisions for demand planning. The GBA was obliged to 'make the necessary adjustments to ensure that demands are met' with effect from 1 January 2017. Yet, it was not before January 2017 that it



The German legislator commissioned the Joint Federal Committee to adjust demand planning for contract physicians to patients' needs.

commissioned an external evaluation regarding the implementation of changes to a consortium that includes researchers from the Max Planck Institute for Social Law and Social Policy, as well as researchers from Ludwig Maximilian University Munich, the University of Bonn, the University of Greifswald and the Scientific Institute for Health Economics and Health System Research in Leipzig. The evaluation was completed in the first half of 2018.

On the basis of this evaluation, the GBA revised the Demand Planning Directive and fulfilled its legal mandate to adapt it with resolutions of 16 May and 20 June 2019. Major innovations result from the changed morbidity factor, which also leads to systematic changes in the ratios through the introduction of so-called basic ratios (§§8 and 9 of the Demand Planning Directive (*Bedpl-RL*)). The GBA took up the suggestions of the experts insofar as the billing data of SHI-accredited medical care is used for the calculation, but the calculation as such has been changed. This is based on the assessment that a sufficient increase in accuracy can also be achieved with a simpler procedure. The consideration of the social structure required by law in §101 Para. 2 No. 3 Social Code Book V was not implemented. However, regarding its restraint the GBA could refer to the external evaluation according to which, in view of the current data situation, the inclusion of 'aggregated socio-economic variables in the proposed modelling' was not recommended.

### Investigation Steps and Significance

The legal part of the evaluation deals with three main topics: (1) the description, systematisation and analysis of existing instruments and steering options resulting from Social Code Book V, the Medical Practitioners' Authorisation Regulation and the Demand Planning Directive, (2) the elaboration of the legal requirements for the positive legal design of demand planning and their concrete significance; (3) the legal assessment of possible reform options as they result from the other parts of the evaluation dealing with the



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supply-policy-related, geographical, medical and economic aspects.

Since their inclusion in Social Code Book V, the regulations on demand planning have undergone numerous and far-reaching changes. They illustrate the changes in the legislator's objectives from the former attempts to avoid oversupply ('glut of doctors') to the fight against undersupply in rural areas. To this end, a number of parameters are defined with a view to demand planning. However, the actual goal to be achieved, namely 'demand-oriented care provision', is not defined by law. This is left to the two-tier process of demand planning. In a first step, the Demand Planning Directive determines the uniform ratios specific to each physician category, and forms the physician categories relevant to planning as well as the planning areas. In a second step, the planning specifications are implemented. First of all, the responsible actors have to determine a shortage or an oversupply in order to effect medical licence restrictions (§103 Para. 1, Sent. 2 Social Code Book V) and further steering instruments. The steering instruments can be systematised in various ways, namely in relation to (1) steering intensity, steering programmes and modes; (2) the players involved, differentiated according to actors and addressees; (c) legal structures, forms of action, and effects.

The maintenance of an effective health care system is a social, welfare state obligation and is therefore a constitutionally prescribed task that is to include adequate medical care provision. In fulfilling this obligation, both the basic rights of insured persons and those of service providers must be observed. In line with decisions made by the Supreme Court, it is permissible to intervene to a reasonable extent in order to enforce demand planning, whereby the GBA shall be given discretion as to defining the conditions to be observed for this purpose. However, its decisions do not only require substantiation, but must also be based on a sound foundation of sufficient data and expertise. In addition, its role in demand planning has also been called into question by two recent decisions of the Federal

Constitutional Court, in which constitutional limitations of the GBA's involvement as a standard setter are pointed out. All of this is related to the density of legal requirements, whose configuration and interpretation are essential for the legal assessment of development options.

The legal part of the evaluation contributes to the further development of demand planning at several levels. Systematisation, analysis, and assessments help to understand existing instruments and steering options for outpatient medical care in the overall context of demand planning. At the same time, it sets out the legal framework in which the proposals for the further development of medical requirements planning drawn up in the other parts of the evaluation can operate. It is ultimately intended to contribute to further improving the basis for the decision making of the GBA and to developing steering instruments for better requirements planning regarding the distribution of contract physicians in order to ensure a comprehensive supply of contract physician services throughout Germany that is accessible to all insured persons.

### 2.4.3 FAST AND FLEXIBLE? – REGULATING ACCESS TO COVID-19 VACCINES AND MEDICINES

*Nikola Wilman*

The COVID-19-pandemic presents society with an unprecedented global challenge, testing our health systems and institutional response: COVID-19 has disrupted normal life and has massively impacted human health globally, with nearly 60 million cases and more than 1.4 million deaths worldwide until late November 2020. Preventive public health interventions such as diagnostic testing, widespread use of masks, social distancing and contact tracing have helped to reduce community transmission and have therefore mitigated the pressure on health care systems. However, to minimise the risk of resurgence and enable a return to 'normal' life, immunity is required against SARS-CoV-2, the

virus that causes COVID-19, for the majority of the population. The quick achievement of herd immunity in an ethically acceptable manner likely requires the development of safe and effective vaccines. It is also hoped that advances in therapeutic medicines might shorten the length or mitigate the severity of the disease. In particular, medicines previously developed to treat other viral infections are being tested for efficacy in treating patients with COVID-19.

Against this backdrop, the scientific and medical communities are working with unprecedented speed to develop therapeutic products as well as vaccines that can treat and prevent infection with SARS-CoV-2. Vaccines typically require years of research and testing before regulatory approval. However, the first COVID-19-vaccine safety trials in humans started in March 2020, and by mid-November 55 such vaccines were in clinical trials on humans, including 13 which had reached the final stages of testing. On 8 November, US-based Pfizer and the German company BioNTech presented preliminary data indicating that their coronavirus vaccine was around 90 percent effective (later corrected to 95 percent). Ten days later, Moderna made a similar announcement about their own vaccine, followed by the British-Swedish company AstraZeneca and the University of Oxford. On 20 November, Pfizer/BioNTech submitted a request for emergency use authorisation to the Food and Drug Administration (FDA), the designated competent authority in the US. Pfizer announced that the vaccine could be made available to high risk populations in the US by the end of December 2020.

The unprecedented scale of the COVID-19 health crisis requires an exceptional degree of flexibility from regulators who play a critical role in every health system's effective emergency response. As increasing numbers of COVID-19 candidate medicines and vaccines are being investigated, there is an intense clinical, economic and political pressure on regulators to take urgent but at the same time informed and contextually risk-based decisions concerning clinical trial and marketing authorisations as well as post-authorisation commitments. Regulators are faced with

the difficult task of assuring fast and flexible patient access while maintaining their core risk assessment and public safety functions.

This project examines the key regulatory thresholds that determine whether a COVID-19 vaccine or therapeutic treatment will reach marketing authorisation and will be made routinely available to patients. It explores the relevant regulations in two of the leading global pharmaceutical markets concerning development, production and sale: the US and the EU respectively. The EU operates a harmonised regime for the regulation of medicines. In view of the forthcoming conclusion of the Brexit transition period further focus will be on the UK regulatory regime. The research focuses on how the respective regimes regulating access to vaccines and medicines are adapting to the current crisis and whether their emergency regulatory mechanisms are fit for purpose. It does this by examining the regulation of clinical trial and marketing authorisations as well as pharmaceutical reimbursement and post-market surveillance. It does not cover, however, the related and equally important topic of the regulation of supply distribution and procurement of vaccines and medicines.

As a first step, this project provides an overview of the current regulatory framework for access to vaccines and medicinal products (i.e. (a) clinical trial authorisation, (b) marketing authorisation, (c) reimbursement and (d) post-market surveillance) in the respective jurisdictions. The description of the regulatory framework forms a base for understanding how regulations support and contextualise responses to the COVID-19 pandemic.

As a second step, the project focuses on how the regulatory frameworks are adapting to the COVID-19 public health crisis, thereby examining and categorising (a) existing instruments that can be drawn upon by regulators in their emergency response as well as (b) new mechanisms. The former include, for example, mechanisms of accelerated assessment or unauthorised use (e.g. off-label and compassionate use). Most regulatory authorities have existing mechanisms

to authorise medical interventions in emergencies. For example, the European Medicines Agency (EMA) can provide a conditional marketing authorisation, and the FDA has a well-established authorisation process for emergency use, both of which can be quickly modified as more data become available during a health emergency. However, new regulatory instruments and mechanisms are also being developed and deployed as a response to the COVID-19 crisis. Guidance by the COVID-19 Pandemic Task Force, established by the EMA in April 2020, explains the different mechanisms that ensure that the EMA can respond ‘within timelines that are appropriate for the public health emergency situation’ whilst ‘respecting regulatory requirements and established review principles’. These mechanisms include providing ‘rapid scientific advice’ to medicine developers, free of charge and on an ad hoc basis. In addition, the guidance explains how the EMA may make use of an emergency ‘rolling review’ procedure, by which data will be assessed as it becomes available, on a rolling basis and while development of a given vaccine is still ongoing. Pfizer and BioNTech initiated a rolling submission to the EMA for the review of their COVID-19 vaccine in October 2020. Similarly, at a domestic level, the Medicines and Healthcare Products Regulatory Authority (MHRA), the designated competent authority for the UK, has published guidance on its ‘regulatory flexibility arising from coronavirus’.

In a final review, this project assesses, within the limitations of a legal science approach, whether the applied regulatory instruments constitute an effective emergency response, i.e. whether they are flexible and fast, but contextually rigorous and risk-based.

#### 2.4.4 THE FRAGMENTED NATURE OF PANDEMIC DECISION-MAKING: COMPARATIVE AND MULTILEVEL LEGAL ANALYSIS

*Irene Domenici, Franciska Engeser,  
Christian Günther, Kristine Plank and Lauren Tonti*

The unfolding of the COVID-19 pandemic sheds light on the role that multiple legal instruments play during such events, whether at the international, regional-European, or national levels. Countries the world over have been confronted with the pandemic’s impact on all aspects of their societies and they face the corresponding challenge of responding within the aegis of their respective legal systems. While the need for international coordination has only increased, a variety of legal issues have also arisen distinctly depending on the national setting. It is against this background that the current project aims to assume a simultaneously comparative and multilevel perspective to evaluate the different layers of pandemic decision-making.

One such example is provided by the legal underpinnings of the information-sharing system of disease surveillance. The system is defined by an overlap of public international law (managed by the World Health Organization), European law (focused on the European Centre for Disease Prevention and Control), and national comparative constitutional and administrative law (regarding the collection and dissemination of epidemiological data by public authorities).

Furthermore, the adoption of restrictive public health measures, such as individual or community-level quarantines (a.k.a. lockdowns), also depends on the public law framework of any given country. Particularly, the distribution of powers in the field of healthcare (and public health more generally) plays a crucial role in determining which institutions will make specific decisions and on what legal basis. In a similar vein, a closer examination of the social law components shaping healthcare service provision illustrates how access to these services may be guaranteed. Similarly, other areas of the



Dr. Constantin  
Hruschka

law at stake during the COVID-19 pandemic warrant a multilevel and comparative analysis. How a nation regulates and promotes innovation will impact the emergence of medical technologies that can respond to the spread of the disease. The debate on how law tackles the ethical concerns raised by the development of new technologies has been reinvigorated. This includes concerns about the potential invasion of individuals' privacy and the risk of misuse, as well as the tragic choices that are associated with the allocation of scarce resources.

The current project aims to explore all of these dimensions, as well as others which may also be relevant for the assessment of decision-making in times of pandemic within the framework of the rule of law. Ultimately, the challenges posed by the COVID-19 pandemic cannot be overcome by remaining within 'silo thinking,' including in the legal field. An integrative legal approach, involving several perspectives is patently necessary.

Addressing these noteworthy issues, legal scholars from both the Max Planck Institute for Social Law and Social Policy in Munich as well as the Max Planck Institute for Comparative Public Law and International Law in Heidelberg are brought together by the Max Planck Law Network (<https://law.mpg.de/>), under whose umbrella the project was founded. On 11 December 2020, an online workshop took place in which the participating scholars presented and extensively discussed their projects together with the two directors Prof. Dr. Ulrich Becker and Prof. Dr. Armin von Bogdandy. Next steps will be to plan a publication strategy while continuing the individual research.

## 2.5 MIGRATION

### 2.5.1 LEGISLATIVE HYPERACTIVITY

*Constantin Hruschka and Tim Rohmann*

In the framework of the interdisciplinary science initiative 'The Challenges of Migration, Integra-

tion and Exclusion' of the Max Planck Society the project investigated the role of law-making in the course of and after the summer of migration in 2015. It examined the legislative measures taken by Germany from 2014 to 2019 to manage the 'refugee crisis' and analyzed the potential effects on the rights and the well-being of asylum seekers and persons with protection needs at large. While there have been numerous publications commenting on single changes in migration legislation, comprehensive legal studies that contextualize those amendments in the aftermath of 2015 and provide an analysis of the effects on the overall legal framework are scarce.

By taking a closer look at the reasoning given in respective proposed and adopted laws the project carved out the close link between the recent changes in asylum and migration law and the underlying migration management framework. Moreover, the research looked at the effects of the wave of federal legislation with over 35 amendment laws being adopted within a period of five years. This legislative hyperactivity of the German legislator was mainly a reaction to the standstill of the negotiations on the reform of the Common European Asylum System (CEAS) at EU level and to the rapid increase of asylum applications in the 'EU+' in general and in Germany in particular. The reasoning behind most of the issued amendment laws – comprised in the explanatory remarks of the legislative proposals – relates to the overall public discussion on asylum and returns and to its inherent crisis logic in two ways:

Firstly, the legislator, triggered by singular events, often picked up on perceived legal gaps and amended the respective laws incrementally in view of specific practical problems. Secondly, the research identified five main features that were used to explain the necessity of legislative changes, namely the reduction of perceived pull factors and abuse, the facilitation of deportations, integration support, administrative modification to enhance efficiency, as well as the reduction of security threats.



Tim Rohmann

For each of those objectives, distinctive legislative measures could be identified. For instance, the access to integration courses and to the labor market for ‘welcomed migrants’ such as Syrian protection seekers were substantially improved. For persons from so-called ‘safe countries of origin’, by contrast, the reduction of pull factors prevailed, and they were mostly excluded. Along those lines, social law provisions and in particular the Asylum Seeker Benefits Act were perceived as a crucial instrument to reduce pull factors. Following the trend of intertwining migration law, criminal law and security issues (‘cimmigration’ and ‘securitization’), several amendments to deportation and expulsion rules as well as penal provisions were identified that enable executive authorities to more swiftly punish, detain and deport persons who are perceived to pose a risk to public security. While navigating the highly politicized field of migration, the crisis-driven German legislator created an incoherent and fragmented legal framework. For instance, former clear-cut and therefore stable statuses such as ‘asylum seeker’ or ‘persons holding a toleration’ (‘Duldung’) have been disintegrated by introducing new categories, e.g. the prospect to remain (‘Bleibeperspektive’), and hyper-complex sub-categories, e.g. in Sections 60a, 60b, 60c, 60d Residence Act that all describe different types of the formerly unified ‘Duldung’.

Another trend was identified by the project: with dropping numbers of arrivals the focus of the asylum and migration governance has over time shifted from the mastery of an acute factual reception crisis to a (perceived) crisis of the rule of law, which eventually also changed the reasoning of the legislator. The amendment laws were still presented by the legislator as part of an ongoing attempt to gain control over migration at large in a time of crisis, but the nature of the crisis transformed. Although the political aim still was to increase the overall efficiency of administrative procedures the focus shifted significantly over time. Ever since 2015, the German state aimed at faster asylum procedures including registration and accommodation, but eventually moved to an understanding of efficiency

as delivering deportations in order to more efficiently exclude persons that are perceived as trying to ‘abuse the system’. With this focus and the number of persons that are obliged to leave Germany after an asylum procedure still being at a stable level, the persisting crisis mode has not ended with the considerable decrease of asylum applications, and the hyperactivity of the German legislator continues.

Moreover, the project states – in line with research findings on law-making in the multi-level European system – that the complex norm structure of international, European and national law, the decentralized implementation of European regulations by the Member States, and the executive federalism existing in Germany, exacerbate the fragmentation of the law, which is detrimental to both systemic coherence and legal certainty. This legal ambiguity (consciously or unconsciously) generated by the legislative hyperactivity limits the chances for integration, determines the reality of the lives of persons seeking protection and has severe repercussions on the functioning of the protection system as a whole. This crisis-driven hyperactive legislation pursuing heterogeneous objectives is not suitable for meeting the challenges of flight-related migration and stretches the legal limits in a questionable manner. Eventually, the hyperactive legislation evokes implementation gaps and unintended transfers of discretionary powers to the executive branch. This transfer of responsibility to the local level limits the steering power of the law, hinders its homogenous application and, in the end, risks undermining minimum standards in place to protect the rights of migrants. One example where this risk has been actually realized are the lately introduced AnKER centres, which are highly problematic from a legal and a practical point of view. With regard to the latter, the researchers in the project provided a detailed analysis of the challenges in several articles and one expert opinion for the Bavarian Parliament.

The main research output consists of a paper submitted to a special issue of the journal ‘International Migration’. It concludes that Germany has seen a shift from a management to a secu-

ritization approach, the latter entailing a special emphasis on deportation ('return turn') rather than focusing on accommodation and integration of those seeking protection. Acting in a 'crisis mode' the German legislator has implemented an exclusion paradigm that incrementally substituted the prior (partially) inclusive policies over time.

The mere number of amendment laws also undermines the ambit of international human rights law and European law in the German context as it is already difficult to keep up with the current legal situation in national law. Therefore, the fragmentation resulting from the legislative hyperactivity threatens to crumble the achievements that have been fueled by the (at least partial) human rights turn in refugee law and exposes migrants to the risk of exclusion from access to basic rights.

## 2.5.2 GLOBAL ASYLUM GOVERNANCE

*Constantin Hruschka*

Regional cooperation in the field of asylum governance is often seen as a progress that is furthering international cooperation with a view to refugee protection. However, existing regional systems have often been undermined by claims of national sovereignty and the perceived need to 'take back control', in particular by states in Europe, Africa and in the Americas. This applies, for example, to the plans of the 45th U.S. President to build a wall between the United States of America and Mexico as well as to the 'Pacific solution' employed by Australia. Such claims are detrimental to a regional approach to international protection as they often give rise to national measures to deter potential refugees and therefore externalize responsibility to other states or regions. Due to the tensions between regional and national 'solutions' the aspect of international cooperation that is at the heart the refugee protection system established by the 1951 Refugee Convention is often neglected.

The detrimental effect on the cooperation across regions is currently particularly visible within the Schengen and Dublin area, where the internal disputes on the distribution of responsibility for asylum seekers have led to a considerable joint externalization effort but also to the partial reinstatement of internal border controls. The research project aims to better understand and investigate this 'deterrence angle' of regional protection systems in order to identify from an international asylum governance point of view the structural weaknesses of such systems and their consequences for the protection of refugees at a global level. To do so, the project identifies the particularities and commonalities of the (creative and often illegal) ways states use to exercise control at the regional and national level in order to circumvent international protection obligations or the responsibility for assessing asylum applications under regional cooperation frameworks.

The cooperation of the Schengen states with countries like Turkey, Libya and Morocco have already been partly studied by different scholars. The same is true for the cooperation with third countries in the context of the Canada-U.S. Safe Third Country Agreement (STCA) and other regional allocation systems. This project takes these case studies as well as other studies (including studies on Australia, Brazil, Ecuador, Kenya, Morocco and South Africa) in order to identify common challenges and particularities of the responses of important destination countries to large numbers of arriving and residing persons with international protection needs.

The research is based on the hypothesis that not only national approaches but also regional governance approaches to international refugee protection are detrimental to the protection of refugees worldwide. The rising share of refugees in developing countries and the increasing number of refugees in a protracted situation suggests that regional protection systems and the existence of only a few safe and legal channels of access to some regions or countries have led to fewer refugees being able to access their full rights under the 1951 Convention.



Given that only a few safe and legal channels exist to access Europe, many refugees are risking their lives.

In the course of the project, studies were conducted during a research visit at the Max Planck Institute for International Law in Heidelberg in summer 2019 that served as a basis for the analysis of the international law aspects of the project. A research stay at the University of Michigan Law School in fall 2019 – as a Grotius Research Scholar – furthermore allowed to conduct a comparative study of European and American safe third country systems. The structures, effects and outcomes of the Regional Responsibility Sharing System ('Dublin System') in Europe have been compared to the system established by the Agreement between the Government of Canada and the Government of the United States of America for cooperation in the examination of refugee status claims from nationals of third countries ('Canada-United States Safe Third Country Agreement' – STCA). The timing of the research stay in Michigan proved to be very fortunate as in November 2019 the court case against the STCA was held in the Federal Court in Toronto, which provided the project staff with the possibility to attend and observe the hearing. Moreover, during the same time, the externalization efforts established by the U.S. administration with the Migrant Protection Protocols (MPP) (known as 'Remain in Mexico' policy) were taken to a new level by the signing of a third country agreement with Guatemala allowing for a nearly unconditional return of irregular migrants including refugees from the U.S. to Guatemala even though the two countries do not share a common border.

The comparative work analyzes the systems in place along different themes in order to better understand the impact and outcome of their applications. The research is structured around several analytical categories including the spatial dimension with a focus on externalizing effects and the construction of tangible and intangible borders; the internal effects and the role of controls in the systems; human rights, administrative efficiency and procedural guarantees; the role of and the effect on family unity in the systems; the practicalities of access to refugee protection as well as the general construction of exceptions and rules within the responsibility allocation mechanisms. These (preliminary) areas of comparison allow for a structured understanding of both systems and an analysis of their similarities and divergences. The analysis seeks to understand and carve out the underlying factors for the proven practical ineffectiveness of both systems. The analysis of the functioning of the systems is coupled with an analysis of the legality of the systems (with a specific focus on the compatibility with the 1951 Refugee Convention). As cross-regional studies on refugee protection mostly use comparative methods that are not cross-cutting through functional categories but only regarding outcomes, the method of functional comparison is innovative and breaks new ground in this field of refugee studies.

The comparison on the regional cooperation in Europe and North America conducted so far led to the preliminary result that the externalizing effects of these systems as well as the focus on the internal functioning constitute a barrier for

more cooperation at the global level. The studies conducted so far are supposed to lay the ground for the development of a model for global asylum governance that is at the same time in line with the international legal standards and practically feasible.

### 2.5.3 EU FREE MOVEMENT AND NATIONAL WELFARE SYSTEMS

*Constantin Hruschka*

In the context of a broader comparative project carried out by Prof. Dr. Francesco Maiani and Dr. Angie Gago at the University of Lausanne the research analyzes the political discussions and legal developments with regard to the access to welfare for Union citizens in Germany. The broader project looks at five countries in two stages (United Kingdom, Switzerland, Germany, Denmark and Austria) and places a particular focus on the implementation of Directive 2004/38 that allowed governments to refuse access to social benefits to inactive EU migrants. It analyzes the national legal developments within the debate on 'welfare tourism' of Union citizens that emerged in the context of the EU enlargement in 2004 and gained considerable strength with the Eurozone crisis and the end of mobility restrictions to citizens of Bulgaria and Romania in 2013. In the first stage (2019–2020), the project focuses on 'most likely cases', which means the cases in which – based on the preliminary analysis of the public discussions on the theme – welfare changes regarding the access of EU nationals to social benefits are expected: the United Kingdom, Germany and Switzerland.

In Germany, legislation has been very active with the most important legal act on the Freedom of Movement for EU citizens, the *Freizügigkeitsgesetz/EU*, having changed 18 times since its adoption in 2004, and the related *Residence Act (Aufenthaltsgesetz)* 78 times within the same period. These figures underscore how central the fear of 'welfare tourism' has been in Germany, and how complex the legal situation proves to be already on the surface. Whereas a lot of studies

focus on external factors to explain the persistence of welfare tourism ideas – e.g. the expansive position of the Court of Justice of the European Union (CJEU) – the research in this project is based on the assumption that the endurance of these ideas can be explained not only by European factors but also by looking at the conflicts between different levels of national authorities.

As a first step, a thorough analysis of the legal and political context and content was undertaken that allowed for a deeper investigation of the interlinkages between law and politics in one of the core Member States of the EU. In the German debate, countering migration into the welfare system ('Migration in die Sozialsysteme') has been topical during the whole period (2000–2018) covered by the project. Thus, limiting access to the welfare system for EU citizens has been an important aim of legislation over the past decade (and is also reflected in jurisprudence). Two key judgments of the Court of Justice of the European Union (CJEU) on the restriction of social benefits for persons entitled to the freedom of movement (the cases *Dano* and *Ali-manovic*) originated from preliminary requests put to the CJEU by German judges.

Among the many benefits of this collaboration is the possibility to study in-depth national jurisprudence before and after the CJEU judgements as well as their effects on the political debate and the legislation. The federal structure of Germany adds a further element of complexity that makes it necessary to conduct a fine-grained analysis at the level of the federal states and even locally. Within the German national legal framework, access to social rights and the welfare system falls within the remit of the federal states (*Bundesländer*). As a consequence of their administrative discretion, the implementation practice developed under the evolving federal legal framework can be expected to be divergent. The project analyzes the historical and current legislation and its implementation in jurisprudence.

The research demonstrates that, in Germany, domestic actors at different levels had diverging preferences regarding the access of EU nation-



Sergio Mittlaender  
Leme de Souza, PhD

als to social benefits and used national litigation processes to signal the CJEU with their respective positions. The Federal Social Court (FSC) opted for an expansive position that aligned with past German constitutional case law to guarantee the access to minimum benefits for every person residing on German soil. To the contrary, the German legislator, in agreement with other domestic actors such as lower courts and municipalities, attempted to exploit to their maximum the opportunities afforded by Directive 2004/38 to restrict legal conditions and reduce costs. These tensions laid the ground for diverging practices and different interpretations of the legal situation at the local level that is analyzed in detail by the project.

Beyond investigating on the national developments in Germany, the research carried out in cooperation with the University of Lausanne allows for a comparative perspective, so that the functioning of the German system is analyzed in the broader European context as regards the access to the welfare system by EU nationals. On the German level, the research is expected to yield a fine-grained analysis of the mechanisms that steer the access to the welfare system for Union citizens and its legal and political framework. The research will also give insights into the effects of the 'migration crisis' on German law, policy and society with a view to Union citizens but also with a view to access to welfare systems for foreign nationals in general.

Due to the coronavirus lockdown measures, the Visiting Fellowship at the University of Lausanne forming part of the project was postponed from spring 2020 to fall 2020, and the writing phase has been shifted to 2021. The postponement, however, allowed for additional research on the German debate on the guarantees for access to welfare emanating from the principle of human dignity under the German Constitution. The arising questions have been and are currently litigated before the German Federal Constitutional Court. The research in this area is highly topical and – looking at the jurisprudence of the CJEU – also very relevant at the European level. Therefore, the jurisprudence of the CJEU with a

view to human dignity as well as additional elements of the German and European constitutional order with regard to the general question of access to welfare from a constitutional point of view have also been researched and analyzed. Some results were already used for the article 'Die europäische Dimension von Leistungseinschränkungen im Sozialrecht für Asylsuchende' on the reduction of social benefits for asylum seekers in case of non-cooperation in the *Zeitschrift für ausländisches und internationales Arbeits- und Sozialrecht* (ZIAS), a theme that is under German law highly relevant also for Union citizens. The joint research led to the conceptualization of two joint articles with the project team at the University of Lausanne on (1) constitutional perspectives on the access to welfare from a European and a German point of view and on (2) 'Welfare Tourism and Welfare Closure: Restricting EU Migrants' Access to Social Benefits in Germany', which will be published in 2021.

## 2.6 LAW AND SOCIAL SCIENCES

### 2.6.1 FAIRNESS IN THE PENSION SYSTEM

*Sergio Mittlaender Leme de Souza*

A differentiated and more beneficial treatment, dispensed only to certain individuals in the social security system, needs a justification in order to comply with the principle of non-discrimination or with the constitutional right of equal treatment. Governments have often provided special pension benefits to certain types of workers, conferring a benefit on one class of workers to the exclusion of the other, and thereby leaving future generations with rights and benefits with dubious legal justifications and socio-economic consequences. In fact, most countries provide special benefits to workers in arduous or hazardous jobs based on the grounds that they *compensate* workers for the hardship of the job, *protect* workers from the hazards of the work, or, more rarely, are required to *realize equality* and implement proportional justice. Differentiated benefits have been advanced as a fair and ade-

quate measure to counterbalance the trend of increasing the retirement eligibility age for workers, which imposes a disproportionate burden on those whose health suffers due to arduous or hazardous work. These individuals are the ones who are most at risk with the current policy shift towards longer working lives.

While recent reforms introduced a full-fledged system providing special benefits to such workers in Italy and France in order to create just rights, other countries such as Germany and Japan have reformed their systems and cut those benefits in order to eliminate unjust privileges. In Brazil, China, and Russia, the norm that allows workers in arduous or hazardous jobs to retire earlier is understood to perform a crucial social role and has remained virtually intact throughout all recent reforms. The specification of the functions that such differentiated treatment truly performs in reality and its legal justification are relevant not only for legal theory and public policy, but also for constitutional adjudication. The French Constitutional Council, for instance, recently had to decide whether a more beneficial treatment of workers in arduous or hazardous jobs violated the principle of equality, and thereby whether or not its introduction through the recent pension reform proposal was constitutional. The Council considered how not only workers incapable of working, but also workers who were *exposed* to hazards in their jobs were not in the same position as other ones, and could therefore, in principle, be granted special treatment with no violation of the principle of equality.

Still, several crucial questions remain. In what dimensions are workers different? This depends, as explained below, on the current amount of effort and energy workers spend on their work as well as on the risks they are exposed to: the present risk of injury and accident as well as the future risks of incapacity, illness, and reduction in quality and expectancy of life that arise due to the type of work these workers perform. The suitability of special pension benefits to compensate workers for or protect them from each of these harms depends on the structure of the

market in which they intervene. This determines to what extent workers are already compensated through wage premiums for some of those harms, whether and to what extent they still need to be compensated for other harms, and whether there are other branches of the social insurance system that already provide such compensation. Moreover, at what cost should their situation be equalized? This answer determines the extent to which the norm should be shaped to foster the prevention of arduous and hazardous working conditions by providing incentives for employers to invest in technologies that can avert the hazard and who should pay for the costs of the special benefit. In the end, the most relevant question that needs to be addressed is: *What kind of equality, if any, should be offered, and to whom and when?* It determines to which extent the statutory retirement age and the contributions rates owed by employers and employees should differ depending on the hazards that workers are exposed to.

This project analyses the functions and justifications advanced by scholars, courts, and legislators for differentiated and more beneficial treatment of those workers by applying the proportionality test: any legal norm that infringes a fundamental right such as equal treatment or non-discrimination needs to be legally justified. For that to happen, the norm must pursue a legitimate goal, be apt to achieve it and also be necessary in the sense that it is the least intrusive means. Moreover, it shall not be out of proportion, given the intensity of the interference and its negative consequences, on the one hand, and the pursued goal and its positive consequences, on the other hand.

Proportionality is an adequate scholarly and judicial device pervasive across the globe to manage conflicts of rights or interests because it considers, in the aptitude and necessity subtests, the causal effect of legal norms. It is hence concerned with efficiency and optimization in the use of means and considers what is factually possible to achieve. Lastly, if the norm has a legitimate goal, is apt to achieve it, and is necessary for it, then the test calls for an empiri-

cal assessment of the harm to each of the conflicting interests – optimization relative to the legal possibilities, or ‘balancing’ – in the last step rather than attempting to establish what is right or wrong, something that is complicated in divided and plural societies.

This project further associates economic analysis with the proportionality principle and applies it in the analysis of the aptitude and necessity of the norm to achieve different potential goals and to perform functions that scholars claim and allege it performs. The norm does not operate in a vacuum, but rather in the labor market, and it will affect equilibrium wages as well as levels of employment in different sectors in a systematic and predictable manner. It benefits not only those employees entitled to more beneficial treatment but also, if it is fully or even only partially subsidized, employers that hire them. In this manner, it often fosters the very type of arduous and hazardous jobs that it attempts to compensate for, or to avert, multiplying the evil it must then seek to redress.

Results provide insights into *why* the norm that provides special pension benefits is in place, and *how* special pension benefits should be designed to realize legitimate goals. Therefore, the project is normative and does not refrain from arguing that special pensions should not be completely eliminated because there is the need to realize legitimate legal goals and principles. Moreover, in specifying the negative consequences of the norm, and comparing them with alternative policies, the project specifies when special pensions could and should be substituted for alternative policies, what the main threats are to their implementation and, consequently, to achieving legitimate legal goals.

The analysis also reveals how the norm is not apt to achieve compensation and prevention concomitantly, and how which one will be furthered depends crucially on who pays for the benefit. Moreover, the norm is only necessary to compensate or to protect workers in very rare and specific cases, and even in these ones, it is not *strictu sensu* proportional to the nega-

tive consequences it imposes on the economy. In the end, the justification for the norm lies in the requirement of equal treatment and in the need to treat unequals unequally in the measure of their inequality when establishing taxes and benefits that groups of workers pay and receive from the social security system.

## 2.6.2 RETALIATION, REMEDIES, AND CONTRACTS

*Sergio Mittlaender Leme de Souza*

An award of damages for breach of contract fulfills different economic functions. Most importantly, damages impose a cost upon those who breach their contracts, and are hence apt to deter breaches of contract. Another purpose in the giving of those damages, although one that has not been considered in traditional economic models, is to substitute private for public redress. Individuals tend to retaliate against acts they perceive to be wrong and immoral, and breach of contract, in violating the norm of keeping promises or of *pacta sunt servanda*, can be perceived as a wrong in need of redress. In the absence of a legal remedy, the aggrieved party will do her best to redress her own wrong, with all of the resulting harm it creates to the welfare of society.

In fact, one of the main functions of remedies for breach is to keep the peace in society. An award of expectation damages compensates the victim and is thus apt to crowd out the human tendency to punish those who break contractual promises, preventing a waste of resources and thereby contributing to the maximization of social welfare. Compensation is therefore fundamental in the law of contracts not only because it induces socially efficient levels of performance by promisors, but also because it minimizes socially costly forms of private redress by promisees. Since compensation is a monetary transfer, and consists only in redistribution of money from the promisor in breach to the promisee, it does not cause the same deadweight loss that retaliation

creates, which imposes losses for the person punishing as well as for its victim.

Retaliation is not restricted to acts of revenge and personal vendettas, being instead common also in contractual and business relationships. There are, in fact, uncountable manners through which disappointed promisees can retaliate even in modern legal systems that, in general, prohibit the use of violence. These can still always harm the breacher's reputation in the market and withhold future cooperation with that party. They may further 'shade on performance', depending on the type of relationship they are in, and whether they are contractors, employees, or buyers by cutting quality in the provided service or good, 'working to rule' by not putting effort on the job, delaying payment after receiving the good from the seller, giving a bad reference as a client, or quibbling about details of performance.

This project investigates, firstly, under what circumstances promisees tend to retaliate against the promisor in the breach in situations in which circumstances change and impose an exceptional cost or profit on one of the parties. Whenever a contingency that is not explicitly addressed by the contract materializes, a contractual dispute arises in which each party will feel entitled to the best outcome permitted by the contract for herself and, in case she does not receive it, be tempted to retaliate. The question that emerges is what factors determine this behavioral reaction. Parties' aggrievement might well be caused by the monetary loss they endure because of breach, with the first prediction that disappointed promisees will retaliate whenever they do not receive the promised performance but still feel entitled to it because of the incompleteness of the contract.

Promises, however, create a bond between the parties in which norms of fairness and of joint surplus maximization can mediate feelings of entitlement and retaliation. Promisees might consider that if breach is committed to avoid an unfair or inefficient outcome, then it is justified, and they will not feel aggrieved or retaliate. If the promisor breaches to achieve higher profits

only for herself, or in a situation in which breach is socially inefficient, then promisees might perceive the breach as inappropriate and feel entitled to the promised performance, finally retaliating if they do not receive it.

The implemented experiment investigates this type of behavior in incomplete contracts that are, in a first treatment, not enforceable, and hence, when disappointed promisees cannot claim damages. It does so in different types of contingencies that disentangle the inefficiency and the unfairness of the breach, and compares promisees' reaction in relation to the two main paradigms considered in the economic analysis of law: the loss and gain paradigms, or unfortunate and fortunate contingencies.

The project examines, secondly, the function of damages to crowd out retaliation by victims of breach in a second treatment, in which the agreement is enforceable and the promisee can recover expectation damages from the promisor in breach. Expectation damages put the victim in the position she would have been in had the promisor performed, thereby minimizing the victim's level of aggrievement and potentially crowding out retaliation. In substituting private for public redress, compensatory remedies are apt to avoid the social loss of resources that result from acts of retaliation.

This article makes three main contributions. Firstly, it contributes to the empirical literature that studies the effects of promises on individual behavior. However, instead of focusing on the effect of promises on the behavior of the promisor, the effect of promises on the behavior of those who receive the promise is studied. The article provides evidence that victims tend to retaliate more often in the presence of promissory commitment than in its absence, and that this type of behavior is responsible, in single interactions, for a loss of social welfare as it imposes losses for the person retaliating and for the victim, who might receive performance of poor quality, delayed payment, bad references, or be stuck in endless discussions and arguments concerning who is right and who is wrong, and

that create no value for society. In other words, it reveals that for the same payoffs, and hence for the same amount of inequality or inefficiency in the outcome, rates of retaliation are roughly twice as high when the person received a promise than in its absence.

Secondly, this article sheds light on the circumstances under which disappointed promisees tend to retaliate against the promisor in breach. The results of the experiment show that promisees do not punish breach of promise in and of itself, indiscriminately and independently of its consequences, for in the contingencies in which the breach was efficient and fair, there was no punishment of breach. Retaliation was widespread when the promisor profited from the breach, and virtually inexistent when the promisor avoided high losses through breach. This indicates that punishment of breach is driven mostly by the unfairness of the outcome, and not by the violation of the moral norm of keeping promises or by the loss of expectancy endured by the victim.

Thirdly, this article reveals that, at least with respect to the human tendency to retaliate to perceived wrong in breach of contract, monetary compensation indeed provides an adequate substitute for the promised performance. An award of expectation damages substantially reduced observed rates of retaliation. There seems to be no need for legal remedies to force the promisor to make good on her word, and to keep promises even when circumstances change. In legal theory, this article adds that monetary remedies provide adequate satisfaction for disappointed promisees, and that the relative freedom to break contracts that goes along with the widespread freedom to make them is justified as long as the promisee can recover fully compensatory damages.

### 2.6.3 MORALITY, COMPENSATION, AND THE CONTRACTUAL OBLIGATION

*Sergio Mittlaender Leme de Souza*

While legal scholars and philosophers have long studied and discussed the reasons that make an act a moral wrong, little is known about how individuals perceive, in reality, the moral value of an act. Does this perception depend on the fact that the act violated a moral norm, or does it depend on the consequences of the act? Among these consequences, does it depend on the inequality the act may create, or on the possible inefficiency it engenders? Moreover, while the law often attempts to rectify wrongs by providing compensation for the victims, little is known about the extent to which ex post compensation is apt to alter victims' perception that a wrong has been done. If the perpetrator must fully compensate the victim and there is no negative consequence for the victim of the wrong, do laymen perceive this act that, in the absence of compensation, is considered a moral wrong, as an act that is not considered a moral wrong? This project attempts to provide empirical evidence to those questions in the specific case of intentional breaches of contract.

For this, predictions from different theories of the contractual obligation are contrasted to real answers from participants in different surveys implemented online. Participants read a real-life scenario in which one of the parties could breach or perform a contract in different cases, and with different consequences for the promisor and promisee in each of them. In one type of contingencies, promisors breach a contract in order to profit from a posterior higher price offer, thereby disappointing the original promisee while reaping the profits from the breach all for themselves. In some of these cases the breach is efficient and increases social welfare by avoiding that the promisors incur exceptionally high costs to provide a good or service that has just a small value to the promisee; in other ones, it is inefficient and decreases social welfare by imposing on the promisors mildly higher costs to provide a

good or service that has a very high value to the promisee. In contrast, in the other type of contingencies, promisors breach in order to avoid incurring exceptionally higher costs of performance, thereby disappointing the promisee while avoiding a very unequal outcome in which they would bear all losses by themselves. Again, in some of these cases the increase in costs is very high and the breach efficient; in the other ones, it is small and the breach is inefficient. The experiment investigates the individual's perception of the morality of breach in each type of contingency, both when the promisor did not have to pay compensatory damages to the promisee and when the law obliged her to do so.

Results reveal, first, that breach of promise is not always perceived to be morally wrong even in the absence of compensation. In fact, whenever breach is fair in avoiding an unequal outcome, then only a minority of subjects think it is immoral. It is when breach is unfair in creating an unequal distribution that the majority of subjects perceive it to be immoral. Second, when breach is followed by payment of fully compensatory damages, it is not perceived as immoral by most of the subjects. This did not depend on the realized contingency, on the consequences of the breach, or on the motives that led the promisor to breach. The majority of subjects believed breach was not immoral in all different types of contingencies in which the promisor decided to breach but compensated the promisee for all of her losses, including loss of profits.

This does not imply that individuals understand that the contractual obligation creates no moral duty, and that breach is, for them, an act that has no moral value. Quite the contrary, results reveal that individuals perceive breach to be a wrong in need of redress. However, with no loss for the victim, and in the absence of other harms (such as loss of benefit or loss of reliance) and wrongs (such as a violation of fiduciary duty or of proprietary interest), breach is not perceived as wrong, for the majority of subjects, if the promisee is fully compensated.

These results suggest different implications for the law. First, observed interpersonal morality does not require promisors to keep bargained-for promises independent of the consequences. It allows them to breach and walk away from the deal in certain circumstances, such as when the promisor would incur high losses by performing, and the promisee would lose no more than promised gains from trade because of breach.

Second, legal enforcement and the recognized grounds for rightful discharge closely resemble observed moral beliefs. While defenses including impossibility, impracticability, and frustration of purpose are all allowed in case of breach for the purpose of avoiding exceptional losses or difficulty, there is virtually no excuse that can release the promisor from the secondary duty to pay damages in case of breach for the purpose of profiting from a higher price offer made by a third party after the contract had been made. While courts might rescind the contract in the first case, and put parties back in the position that they were in before the making of the contract, they will almost inevitably enforce the contract in the second case, and put the disappointed promisee in the position he would have been in had the promisor performed.

Third, substitutive relief, and the measurement of damages according to the expectation interest, seem adequate to enforce the promisor's moral obligation. They allow promisors to breach a promise at their own discretion, and without the need to obtain the consent of the promisee but, at the same time, they require the promisor to compensate the latter, thereby turning an act that was perceived as immoral in the absence of compensation into an act that is not perceived as immoral in its presence. Substitutive relief creates a right and a duty compatible with promissory rights and responsibility as understood by the majority of individuals.

## 2.6.4 HEALTHCARE INSTITUTIONS & PUBLIC OPINION: DO INSTITUTIONS MATTER?

Simone M. Schneider

Knowing the public opinion on healthcare is essential when assessing healthcare system performance. Public ratings of healthcare services provide policymakers with relevant information on the functioning of healthcare systems and serve as an important indicator of approval of healthcare reforms. Moreover, research suggests that perceptions of healthcare services influence the utilisation of those services and, consequently, health outcomes. Against this background, this project is concerned with the institutional structure of healthcare systems on the one hand, and with what people think of healthcare services in the respective country on the other hand. Specifically, it investigates whether the public's opinion on healthcare varies systematically across European countries or over time; and whether this variation can be explained by the institutional setting of healthcare in the respective country.

The research questions posed by the project are the following: Can differences in healthcare evaluations between Eastern and Western European countries be explained by differences in the *current* institutional design of healthcare systems? Do individual attitudes about the unfairness of potential inequalities in healthcare vary systematically with a country's institutional environment? How do the foreign-born rate health services in the country of residence compared to the country of origin? And do evaluations depend on the healthcare services experienced in these two countries? To what extent were austerity-oriented measures introduced in the Portuguese health sector on the basis of the Memorandum of Understanding after 2011 associated with changes in the public opinion on healthcare in Portugal? And what difficulties in accessing medical services did the public experience in Ireland in times of economic growth and the subsequent economic recession that started in 2008? The results have been published in collaboration

with distinguished social scientists specialising in the field of healthcare in various peer-reviewed journals, such as *Social Science and Medicine*, *PloS ONE*, *Journal of Social Policy*, *Journal of European Social Policy*, *Health Policy*, and *The Economic and Social Review*.

Striving for a better understanding of the quality and availability of, and access to, healthcare services, this project consults and combines different research approaches from the fields of social policy, sociology, and social psychology. The results are based on large-scale cross-country comparative survey studies as well as administrative data on healthcare services. In addition, time-comparative case studies are used to examine changes in healthcare institutions and public opinion.

The key research findings are the following:

- *Healthcare Evaluations in Eastern and Western Europe*: Studying healthcare evaluations in Eastern and Western Europe, we found support for our hypothesis that differences in the *current* institutional design of healthcare systems between the two socio-political regions, specifically health institutions' lower financial resources, higher out-of-pocket payments, and lower supply of primary healthcare services in Eastern compared to Western European countries, can explain East-West differences in healthcare evaluations. We also found that healthcare evaluations follow a coherent cognitive reasoning as they are clearly associated with perceptions of the performance of healthcare systems (i.e. efficiency, equality of treatment, health outcomes), expectations of the government's role in providing healthcare, and reflections on demographic pressures (i.e. aging populations). Contrary to the general assumption that normative expectations are responsible for explaining East-West differences in healthcare evaluations, we found differences to be largely due to a more negative perception of the performance of healthcare systems within Eastern compared to Western European countries.

- *Perceived Unfairness of Inequalities in Healthcare Worldwide:* Studying the relationship between healthcare institutions and the perceived unfairness of inequalities in healthcare revealed the following key findings: Firstly, we found that higher cost barriers correlate with lower levels of perceived unfairness in healthcare inequality, suggesting that those exposed to greater levels of inequality tend to be more accepting of inequality. Secondly, greater public financing of healthcare correlates with higher perceived unfairness, indicating that greater public financing enshrines access to healthcare as a universal right, and hence provides an ideational framing that delegitimises unequal opportunities for purchasing better healthcare. Thirdly, higher unfairness perceptions of lower income and educational groups are more strongly associated with greater public financing than those of their respective comparison groups suggesting that the normative right to healthcare is of particular importance to the disadvantaged.
- *Healthcare Evaluations by the Foreign-Born in Europe:* For Ireland, we found that the foreign-born have a more positive opinion than the native-born of the Irish health services. This positive attitude is most pronounced in the first years after their arrival and decreases with time spent in Ireland. Studying the opinions on healthcare by the foreign-born across European countries, our empirical results show that the institutional characteristics of healthcare services in the country of residence play a significant role in the evaluations of healthcare of the foreign-born, in particular if healthcare services are compared to those in the country of origin: the better healthcare institutions perform relative to those in the country of origin, the higher the healthcare ratings. The foreign-born tend to evaluate systems more positively if these systems are sufficiently well financed and place less financial burden on the public compared to systems in the country of origin, and if they are primarily funded by compulsory contributory health insurance schemes. Further, when



Can variation in the public's opinion on healthcare be explained by institutional settings?

there is a higher density of primary care and inpatient services in the host country than in the country of origin, and when regulations provide access to medical care freely and without restrictions as to provider, approval rates go up. This suggests that knowledge and experience of different healthcare institutions change perspectives and evaluations of healthcare.

- *Healthcare Evaluations and Access to Healthcare during the Economic Crisis:* Studying healthcare evaluations in Portugal over time, we found that they improved until 2010 but declined with the implementation of comprehensive austerity measures after 2011. Healthcare evaluations of vulnerable social groups – older and retired individuals, individuals with poor health, low income and education – dropped particularly strongly. In addition, differences in healthcare evaluations between more and less vulnerable social groups were more pronounced after 2011. Interestingly, healthcare evaluations of the general population and of some of the most vulnerable groups ‘recovered’ in 2015, when most of the austerity-oriented measures had been implemented.

When exploring access to healthcare before and during the economic crisis in Ireland, we found that the number of individuals reporting difficulties in accessing healthcare, especially difficulties with the financial costs of covering doctor's appointments, had started to increase even prior to the economic crisis –

specifically for higher income groups. These results correspond with administrative data showing significant increases in hospital charges, outpatient fees, doctor's fees and dental fees already in the context of strong economic growth. During the economic crisis, as residents experienced increasing levels of co-sharing and the reduction of entitlements to public healthcare supports, cost-barriers continued to grow.

### 2.6.5 WHY INCOME INEQUALITY IS DISSATISFYING – A PROJECT ON THE CONSEQUENCES OF ECONOMIC INEQUALITIES

*Simone M. Schneider*

Economic disparities often have detrimental consequences for the individual and his/her wellbeing. In fact, when comparing wellbeing and inequality indicators across European countries, scholars often find individuals residing in more equal societies to be more satisfied with their lives than individuals living in societies with higher inequalities. Importantly, economic inequality is harmful for all – not just for those at the bottom of the income ladder. As such, individuals do not necessarily need to earn less than others to see their own lives in a more negative light, they may merely be surrounded by higher disparities than others. As economic inequalities continue to rise in many European countries, knowing the consequences of income inequality becomes increasingly important. Within this context it is essential to understand *why* income inequality should be dissatisfying after all.

This project builds on prior research, which I conducted during my pre-doctoral career, and is concerned with the relationship between rising economic inequalities on the one hand and the person's subjective wellbeing on the other. Thereby, the project follows a clearly functionalist perspective by judging inequality on its outcomes for the individual. This view needs to be clearly distinguished from normative philosophical approaches that analyse the circumstances

in which inequalities may seem justified, as well as empirical approaches that analyse and judge inequalities by policy standards or observations on the acceptance or tolerance for inequality in society.

Specifically, the project investigates the *mechanisms* that explain *when* and *why* individuals are less satisfied when being exposed to more inequality. In this context, I recently examined whether subjective social status – a person's perception of his/her standing in the social hierarchy—is an important *psychological mechanism* that drives the inequality-satisfaction link. I proposed two paths whereby income inequality becomes an important contextual factor in self-evaluation. In the first, income inequality may lower an individual's social status perception by providing referential standards for social comparison. This, in turn, may reduce the individual's subjective well-being and would suggest that subjective social status functions as an important *mediator* linking income inequality with life satisfaction. In the second path, income inequality functions as a *moderator*, enhancing the salience of social comparison and increasing the importance of social status characteristics for the production of life satisfaction. In this case, subjective social status will have a stronger effect on life satisfaction if income inequalities are high. Using data of the European Social Survey for 2012/2013, I find for Europe that subjective social status is indeed related to both: the degree of income inequality in a society as well as the life satisfaction reported by the individual. Importantly, individuals living in more unequal societies perceive themselves, on average, to have a lower social status than individuals living in more equal societies. I also find income inequality increases the importance of social status for the production of life satisfaction. While individuals with a high social status are generally more likely to also report a higher life satisfaction, this relationship is even more pronounced when inequalities in a society are high.

Although this study is only a first step of a larger research enterprise, it clearly indicates the rele-

vance of self-evaluation processes for research on the consequences of income inequality. Future research will have to show whether evidence for the proposed hypotheses can also be found outside of Europe and what role other *psychological* as well as *institutional mechanisms* may play. Here, social justice theory may provide further insights. While self-evaluation processes are clearly limited to the individual and his/her self-perception, justice theory also points to the importance of perceptions and evaluations of distributive processes. Further, institutional mechanisms may provide valuable insights into how inequalities are transformed and become apparent in society. Institutions may buffer or excel their negative consequences depending on the distributive rules they entail. In this regard, country-comparative research on tax regulations as well as other redistributive social security measures may provide further insights on the question when and why economic inequalities may matter for the individual.

The present study has been published in the *European Sociological Review* in 2019 (Schneider, S. (2019): Why Income Inequality is Dissatisfying – Perceptions of Social Status and the Inequality-Satisfaction Link in Europe. *European Sociological Review*, 35(3): 409–430). Further publications on this subject are planned in the near future.

## 2.7 SPORTS LAW

### 2.7.1 JUSTICE IN SPORTS

Rule number 12 of the International Football Association Board (IFAB) states that ‘if a player deliberately touches the ball with their hand/arm’ a handball offence takes place. The emphasis on intentionality induces the question repeatedly discussed among soccer fans in Germany: When does the ball touching hand or arm constitute a breach of the rules? A reform of the rule in 2019 includes case examples for a handball offence. However, the lack of clarity in terms of how to apply the handball offence rule still tends to leave fortune to decide over success in sports

– and its economic consequences. The question whether this is fair preoccupied the participants of the 15th Sports Law Symposium in Hamburg on 11 November 2019. The symposium is organized annually in joint efforts by Prof. Dr. Dr. h.c. mult. Reinhard Zimmermann, Director at the Max Planck Institute for Comparative and International Private Law, and Prof. Dr. Ulrich Becker, Director at the Max Planck Institute for Social Law and Social Policy.

After Director Zimmermann had introduced the topic by elaborating on the disequilibrium between justice and chance in soccer, keynote speaker Prof. Dr. Hans Christoph Grigoleit from Ludwig Maximilian University Munich pointed to the cause for the handball offence rule and its main problem: the fine-motor potential of the hand that can only have an effect in play if the use of the hand is intentional.

Intentional use can only be identified on the basis of direct evidence, which is however often missing. Grigoleit inferred that a rule was needed that allowed for a simple, quick and reliable decision. In legal terms, this means that it has to contain typifications and assumptions, on the basis of which the decision-maker could regularly infer the subjective attitude of the player from objective circumstances. Grigoleit identified such typifications in the positive and negative case examples provided in the recently reformed rule. He argued that, on the one hand, those typifications allowed the criterion of intentionality to become more easily accessible. On the other hand, defining the contact between hand/arm and ball as a handball offence if it leads to a goal or to a goal-scoring opportunity was merely based on the assumption that an intention existed. Grigoleit thus questioned the feasibility of the reformed rule and pleaded for an easier wording while putting more emphasis on the definition and identification of intentionality.

Felix Brych, referee of the German Football Association, commented on the difficulty to identify intentionality from a practical perspective. He added to Grigoleit’s analysis that the introduction of the video assistant referee (VAR) and

wide-spread live broadcasts increased the pressure on the decision of the referee. Brych therefore appreciates the reformed rule since it seeks to simplify the practical difficulties of deciding on a handball offence. Particularly the definition according to which any contact between hand/arm and ball is a foul if it leads to goals or goal-scoring opportunities was set intentionally in order to have an unambiguous rule when it comes to crucial moments for the outcome of the game.

Legal scholar Christian Deckenbrock, at the same time hockey referee and board member of the German Hockey Federation, focused on the question of justice in sports and the introduction of the VAR in soccer. He highlighted the referee's margin of judgment and agreed to Zimmermann's notion that absolute justice in sports was not possible. Deckenbrock argued that the introduction of the VAR had helped to decrease cases of unquestionably wrong decisions, even though its potential for intervention remained limited. He also pleaded for a clarification regarding the set of rules. More justice could be achieved by higher

transparency, for instance in terms of communication between the referee and the VAR.

Gunter Gebauer, professor of philosophy of sports, provided a linguistic and philosophical analysis of the reformed rules. He emphasised that the rules of the hand were rules of the game and not legal norms. For this reason, the legal methodology could only be applied to a limited extent when interpreting them. Grigoleit, however, replied that soccer rules were also – functionally – norms. While the specific context of the sport must be taken into account in their interpretation, this can nevertheless be done with the instruments of legal interpretation.

Furthermore, Gebauer enlarged the perspective to the coming about of soccer by the ban of the hand/arm use: The handball offence rule differentiated soccer from other sport disciplines and was thus constitutive for soccer. In accordance with Bruno Latour's actor-network theory, Gebauer stated that contact between the hand/arm and the ball was against the rules if the hand thus becomes an actor of the game.



The participants of the 12th Symposium on International Sports Law discussed rule number 12 of the International Football Association Board, the so-called 'hand rule': Prof. Reinhard Zimmermann, director at the MPI for Comparative and International Private Law; Prof. Hans Christoph Grigoleit, Ludwig Maximilian University Munich; referee Dr. Felix Brych; Dr. Christian Deckenbrock, Member of the Executive Board of the German Hockey Federation; sports scientist and philosopher Prof. Gunter Gebauer and Prof. Ulrich Becker, director at the MPI for Social Law and Social Policy (from left).

The philosopher argued that by differentiating between active participation and being passively 'made-to-participate', referees could decide on handball offences more intuitively.

In 2020, the IFAB revised the respective rules and introduced a clearer definition of the boundary between hand/arm and shoulder. Moreover, the point in time was specified: An unintentional handball by a player of the attacking team is now penalised only if it occurs immediately before a goal or a clear goal-scoring opportunity.

### 2.7.2 EQUALITY IN SPORTS

In competitive sports individual performances are made comparable by the provision of equal conditions. Ever since antiquity, dominant traits that are conventionally held as unequal have been deciding upon differentiation and the formation of categories. For example, people of a different age and gender as well as disabled persons make up for different categories, which are taken as a prerequisite to equal conditions. It was the notion that not primarily physical performance decides upon those categories but rather cultural habits and social stereotypes that directed the 14th Sports Law Symposium that took place on 19 November 2018. The participants sought to question conventional categories in sports against the background of the normative principle of equality as it is prominently held in human rights treaties and national constitutions. The symposium is organized annually in joint efforts by Prof. Dr. Dr. h.c. mult. Reinhard Zimmermann, Director at the Max Planck Institute for Comparative and International Private Law, and Prof. Dr. Ulrich Becker, Director at the Max Planck Institute for Social Law and Social Policy.

Zimmermann introduced the 2018 Sports Law Symposium by reformulating its fundamental question: When do categories in competitive sports serve the provision of equality of opportunity, when do they exacerbate inequality? He referred to the ruling of the German Constitutional Court of 10 October 2017 on the intro-

duction of the third sex into civil status law that reinforced the need to question conventional categories in sports: Transgender and intersexual persons do not fit into the categories 'men' or 'women', for instance.

Keynote speaker Prof. Dr. Michael Sachs, who holds the Chair of Constitutional and Administrative Law at the University of Cologne, first examined the constitutional basis of equality in sports. He drew on the general principle of equal treatment (Art. 3 (1), German Constitution), as well as the principle of non-discrimination (Art. 3 (3), German Constitution). Sachs concluded that it was rightful to have separate categories for persons with disabilities, since – according to Art. 3 (3) Clause 2 of the German Constitution – they may be favored, but not disadvantaged.

Due to the state authority's commitment to the Constitution (Art. 1 (3)), various questions of equality arise in this respect. Sachs took the *Bundesjugendspiele* (German national school championships) as a good example for discrimination against individuals and questioned the lawfulness of the respective championships: discrimination can be derived from the fact that male students need to perform better than female students in order to receive a certificate of honour.

Constitutional concerns can also be raised with regard to indirect state action, notably the public funding of top-level sports. Sports associations distribute these funds according to gender-specific guidelines and thus violate the principle of equal treatment. Sachs argued that in the area of private action, however, a different standard of assessment applies. Although the state fulfilled its duty to protect the principle of equal treatment also outside its sphere of influence with the introduction of the *General Equal Treatment Act* (AGG – Allgemeines Gleichbehandlungsgesetz), a broader leeway in decision-making is possible: Assuming that women in sports tend to perform less well in comparison to men is sufficient to justify unequal treatment in this case.

Christoph Becker, sports journalist of the *Frankfurter Allgemeine Zeitung* (FAZ), reported on the

case of Caster Semenya, a gold winning intersexual runner from South Africa. He stated that international sports was still struggling with adapting to transgender and intersexual sports-persons: The International Association of Athletics Federations (IAAF) has recently as recently granted permission to run distances between 400 metres and one mile in cases of hyperandrogenism only if the testosterone level had previously been lowered by taking hormones. However, this regulation was suspended in the course of the complaint of an intersex athlete from India before the Court of Arbitration for Sport (CAS). Becker criticised that the discussion about transgender and intersexual sportspersons marginalized other problems such as doping and pleaded for questioning the separation of the sexes in motorsports.

Prof. Dr. Anne Jakob, attorney for sports law who has worked in national and international sports associations, also criticised the IAAF for their treatment of transgender and intersexual persons. Jakob argued that firstly, the level of testosterone did not have an impact in all athletic disciplines. However, if different testosterone levels may indeed lead to different performances within a certain discipline, a mandatory interference with a person's hormone balance was still not justified. From a constitutional point of view, intersexual athletes should be granted unrestricted eligibility.

Paralympics winner in wheelchair basketball and captain of Germany's national wheelchair basketball team, Mareike Miller, reported on the preconditions set to participate in championships of her discipline. Eligible sportspersons needed to provide medical proof of permanent disability of the lower extremities. The severity of the respective disability was levelled by the severities of other players in a team. Individual disability severities were categorised in a point system. To achieve equality, a certain level of severity (number of points) was set that each team needs to comply with when adding up the severities of its players. German leagues even refrained from the separation of the sexes and instead granted women extra points in order to make up for verified phys-

iological differences. Miller suggested to consider wheelchair basketball as a role model for more inclusion in the world of sports.

Dr. Petra Tzschoppe, Vice President for women and equality of the *German Olympic Sports Confederation* (Deutscher Olympischer Sportsbund) and sociologist of sports at the University of Leipzig, pointed out that equality in sports needed to be established in terms of the right to participate in the first place. Tzschoppe referred to the exclusion of women from certain disciplines in the past and informed that some rowing clubs still did so today. Therefore, she called for improved chances of access for persons with disabilities as well as for children of socially vulnerable families and of migrants.

Subsequently, a lively discussion unfolded, moderated by Prof. Dr. Ulrich Becker, Director of the Max Planck Institute for Social Law and Social Policy. The debate assessed, among others, whether a gender-specific way of differentiation could be derived from the differences in male and female maximum performances. Ulrich Becker concluded that the participants of the symposium basically agreed on the utility of categories in sports. At the same time, greater efforts to integrate people with a wide range of physical conditions would be needed. The example of wheelchair basketball showed that there were many ways to create comparability in sports.

### 3 PROMOTION OF JUNIOR SCIENTISTS

#### 3.1 DOCTORAL GROUP 'HEALTH LAW'

Health law is a research area that covers not just the individual interactions between patients and doctors but extends to encompass the more fundamental aspects of structuring healthcare provision and the manner in which the welfare state guarantees the health and wellbeing of its citizens. The doctoral group on health law, which



Irene Domenici

was founded during the reporting period, investigates the legal framework and the implications of these aspects and in particular addresses the increasingly important ethical, technological and economic dimensions that arise in their wake.



The PhD candidates of the department at a retreat in Benediktbeuern, benefitting from advice of senior researchers: Irene Domenici, Hung-Sheng Shan, Christian Günther, Dr. Anika Seemann, Kristine Plank, Franciska Engeser, Teodora Petrova, Lauren Tonti, Tim Rohmann and Dr. Linxin He (from left).

Several doctoral research projects are dedicated to examining the challenging questions that arise in health law: *Irene Domenici* investigates ethically controversial health technologies and state neutrality in the public healthcare system; *Lauren Tonti* compares legal determinants of telehealth quality across international jurisdictions; *Franciska Engeser* explores uncertain subjective rights in the organ allocation system; *Kristine Plank* examines whether and how the supply of innovative pharmaceuticals within the German public health insurance system can be ensured; and *Christian Günther* undertakes a comparative legal analysis of the use of artificial intelligence in medicine.

In the framework of their research, the doctoral candidates at the department organise regular health law meetings for mutual exchange and additionally benefit from the guidance of former senior researchers of the Institute, namely Dr. *Simone von Hardenberg* and Dr. *Roman Grinblat*. The group also actively engages in hosting events and establishing connections with international academics and practitioners. For instance, it organised a scientific roundtable on the legal and ethical challenges of uncertainties in health law and is a contributor to the Max

Planck Law project 'The Fragmented Nature of Pandemic Decision-Making: Comparative and Multilevel Legal Analysis' (see II.2.4.4).

### 3.1.1 ETHICALLY CONTROVERSIAL HEALTH TECHNOLOGIES IN THE PUBLIC HEALTHCARE SYSTEM

*Irene Domenici*

The inclusion of new health technologies in the benefit basket of the public healthcare system is the result of an assessment process characterised by uncertainty. Key aspects such as clinical effectiveness, safety and cost-efficiency are often unclear and need to be evaluated in advance. In this regard, ethically controversial health technologies harbour additional uncertainty, for before regulators make reimbursement decisions, they need to be well aware of the potential effects of a new technology on the ethical values of a society and its moral implications. Moreover, the choice to include ethically controversial medical procedures in the public healthcare system has a strong symbolic significance and an impact on the technology's acceptance by the community. This was also recognised by the German Constitutional Court in its second abortion decision of 1993, in which the Court pointed out that the inclusion of abortion services in the benefit basket of the healthcare system may shape the perception of the members of the public towards abortion. In fact, the granting, or vice versa, the denial, of public funds in the form of social benefits implies that the legislator takes a positive or negative stance towards the medical procedure at stake.

It can therefore be argued that coverage decisions by national healthcare systems should be open to moral reflection and guarantee compliance with ethical standards. Nonetheless, the consideration of ethical concerns during the decision-making process can become problematic. In fact, the rather wide discretionary power granted to state institutions in the composition of benefit baskets entails the risk that decisions are made on the basis of particular ethical, reli-

gious or ideological convictions. As a result, the ideologically justified opposition of the majority of the decision makers towards a technology may manifest in the refusal to fund it. If so, choices primarily based on ethical considerations entail a problem of legitimacy in modern democratic societies. These are characterised by broad ethical pluralism, meaning that their members have different axiological beliefs and conceptions of the moral good. In this regard, the adoption of a position of ethical neutrality is considered imperative for the state and displays one of the constitutive elements of a pluralistic society. Ethical neutrality is intended to guarantee that the justification of the state's actions is based on grounds that can be accepted by society as a whole, and does not simply reflect ideological or religious convictions shared by the political majority. According to this principle, it is illegitimate for the majority group to enforce and protect its ethical or religious position by regulatory means.

As a result, coverage and reimbursement decisions on ethically controversial technologies aim at meeting two contradicting demands. On the one hand, there is the need to include ethical evaluations in the decision-making process in order to address moral uncertainty. This might, however, entail the promotion of one particular ethical standpoint. On the other hand, modern democratic societies require state authorities to reach a decision that is acceptable for individuals with different, and often opposite, moral stances and ethical principles. A reflection on the balance between those conflicting driving forces is all the more needed in light of health technology innovations to be expected in the near future.

Against this background, this dissertation inquires to what extent ethical concerns are taken into account in reimbursement and coverage decisions and whether the state obligation of neutrality shall be respected in this process. The choice of the principle of ethical neutrality as a normative criterion for the analysis is explained and justified from a legal theoretical and constitutional perspective. In doing so, the thesis aims

at clarifying whether this principle has a more limited scope in a field of state action characterised by the exercise of wide legislative discretion, such as the implementation of the social right to healthcare.

The investigation also seeks to demonstrate that the various ways in which healthcare systems are shaped and regulated, together with the involvement of different actors and institutions can strongly influence the decision-making process and thus limit the scope for ethical considerations to play a role. For this purpose, the thesis adopts a comparative method and analyses the healthcare system's reaction to the emergence of ethically controversial technologies in three selected countries (Germany, Italy and the United Kingdom). The country selection took into account the existence of different healthcare system models and of diverse conceptions of health and disease. Moreover, the countries have been singled out according to how 'restrictive' or 'permissive' their legislation on ethical matters in healthcare tends to be.

Valuable insights shall be gained by investigating the decision-making processes leading to the reimbursement of some of the recently most debated health technologies, such as non-invasive prenatal testing or preimplantation genetic diagnosis. The cases are drawn from the fields of reproductive medicine and genetic technology, which carry a whole variety of moral implications and can, therefore, be considered emblematic of ethical concerns in healthcare. The case-study approach allows an in-depth consideration of the role that ethical concerns play in coverage decisions and contributes to drawing conclusions on the possibility to cope with ethical uncertainty in an ethically neutral state.



Christian Günther

### **3.1.2 HEALTH CARE AND ARTIFICIAL INTELLIGENCE: A COMPARATIVE LEGAL ANALYSIS OF A SOCIO-TECHNICAL PHENOMENON**

*Christian Günther*

This thesis examines how different legal systems are beginning to respond to the utilisation of artificial intelligence in medicine (AIM). Specifically, the focus is on conducting a comparative analysis of the jurisdictions of England and Wales and the United States and, by evaluating their responses, generating insights into how this phenomenon ought to be regulated. These jurisdictions were selected, *inter alia*, because they find themselves at relatively advanced stages of AIM development and implementation and because they provide an ideal opportunity for contrasting the legal implications of such implementation in two very different healthcare systems.

An important starting point for this investigation is the wider dissemination of artificial intelligence (AI) within our societies. Indeed, what is particularly interesting for our purposes is that this development has reached a stage where several instances of non-medical AI have already become the subject of arbitration and/or litigation proceedings. That is, a stage where the practical legal implications of this new technology are now manifesting themselves. Such instances have involved AI systems that support autonomous driving, guide decision-making in the criminal justice system and undertake employee performance assessments. As such cases illustrate, our legal systems must be prepared to deal with the fundamental problems of AI safety, algorithmic bias and individual participation in AI decision-making.

It would be naïve to believe that the field of medical law will remain unaffected by these developments. AIM applications have already been integrated into the clinical practices of the two selected jurisdictions and health care is emerging as one of the most profitable AI markets,

with both the private and public sector scrambling to implement AIM-based diagnostic, therapeutic and administrative support tools. Moreover, it can be expected that AI-related problems, analogous to the ones already outlined, will manifest themselves in relation to AIM. Concerns surrounding transparency, safety, discrimination and shared decision-making are intimately connected with the nature of AI and, as such, can be expected to arise wherever this technology finds application. Consequently, it appears almost inevitable that medical law will soon have to grapple with these new entities, which are already demanding judicial and legislative responses in other areas.

At the same time, it is a central hypothesis of this dissertation that the solutions that the law may develop in response to similar difficulties elsewhere will not be readily transferable to the use of AIM. Several factors – including the unique context of the doctor-patient relationship, the fundamental values that are persistently at play in clinical decision-making and, particularly, the distinct normative and regulatory environment that has grown up around different aspects of medical practice – all point to the need for an approach that is tailored to these specific demands. This thesis takes these demands as its central starting point, structuring its analysis around the prominent bioethical theory of principlism (as propounded by Beauchamp and Childress) and developing the constituent elements of autonomy, justice, beneficence and non-maleficence as focal points, around which the impact of AIM and the law's response to it can be organised. Concretely this entails a legal specification of these principles (i.e. an assessment of the nature and shape of their influence on pertinent aspects of medical law in the two respective jurisdictions) and a determination of the existing legal mechanisms that are engaged in their protection; mechanisms that range from the regulation of medical devices to the tortious obligations imposed on medical professionals.

Where relevant this analysis will be augmented with the insights offered by AI-related developments in other areas of law, but it is primar-



Kristine Plank

ily an understanding of the mechanisms that have evolved in the sphere of medical law and their relationship to the bioethical principles that informs the description and evaluation of the legal systems' response to AIM. Such an approach focuses squarely on the peculiarities of our chosen subject matter, health care.

In addition, drawing a connection between specific rules and more abstract principles also constitutes one method for anticipating the flexibility of the common law – enabling one to reach well-founded interpretations of how pre-established doctrines may find application in novel scenarios. To adduce just one example, if AIM recommendations were to exert an inappropriate influence on an individual patient's choice, or if the opacity of AI decision-making undermined the possibility for informed decision-making, then this may engage the tort-law doctrine of 'informed consent' and call for a certain application of it to AIM in light of the legally recognised value of patient autonomy.

Lastly, it is also acknowledged that differing specifications of the abovementioned principles and the availability of different, or divergently shaped, legal mechanisms in the chosen jurisdictions will likely demand, and indeed only allow for, differing responses. The suitability of these responses will be evaluated. At this stage, the extra-legal understanding of the bioethical principles can be drawn upon to provide a yardstick that transcends the individual jurisdictions and yet enables a systematic, comparative assessment of how satisfactorily the respective legal systems are able to deal with the emerging technology of AIM.

### 3.1.3 ENSURING THE SUPPLY OF INNOVATIVE PHARMACEUTICALS WITHIN THE GERMAN PUBLIC HEALTH INSURANCE

*Kristine Plank*

For many decades, innovative medicines have made a decisive contribution to medical pro-

gress and the associated increase in life expectancy. Ensuring the supply of innovative medicines is consequently crucial for health care systems in all highly developed countries. Nevertheless, recent years have shown that the security of supply is threatened by different scenarios. First of all, a large number of medicines principally available at the global market, for example simple analgesics, have become unavailable, sometimes for months, due to supply bottlenecks and failures caused by the dependence on fragile global supply chains and the



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It is an increasing challenge for the German legislator to improve and safeguard pharmaceutical supply, while at the same time maintaining the financial stability of the public health insurance.

concentration of production in a few locations worldwide. On top of that, an increasing unmet medical need, arising from, on the one hand, companies primarily focusing their Research and Development (R&D) on financially promising diseases of affluence, like for instance cancer and cardiovascular diseases, and on the other hand, antibiotic preparations used to combat transmissible bacterial diseases losing their effectiveness in the face of increasing antimicrobial resistance, poses a health risk to a growing number of people. Beyond standard care, this lack of pharmaceuticals might, in the worst case, give rise to pandemics such as the current corona outbreak, which obviously is only able to unfold its fatal effects due to the total absence of vaccines or medication.

Against the background of these developments, it is an ever-growing challenge for the German legislator to improve and safeguard pharma-



Lauren Tonti

ceutical supply, while at the same time maintaining the financial stability of the public health insurance. The creation of new effective laws is further complicated by the rota in which several amending laws, especially the *GKV-Arzneimittelmarktneuordnungsgesetz* (SHI Pharmaceutical Market Restructuring Act) and, most recently at the beginning of 2020, the *Fairer-Kassenwettbewerb-Gesetz* (Act on Fair Competition among Health Insurance Funds) have been imposed over the last couple of years, making it difficult to examine the exact legal status of drug supply. Beyond pharmaceutical law however, drug supply also contains a constitutional dimension. The current debate is dominated by the exceptional subjective constitutional claim of the insured individual to receive a specific drug following the renowned so-called *Nikolaus-Beschluss*. Apart from that, there is a subjective constitutional claim to a constitutional design and an interpretation orientated towards basic rights of the statutory health insurance benefits law as well.

Consequently, this doctoral thesis, first and foremost, seeks to examine how law safeguards a needs-based supply of pharmaceuticals within the German public health insurance. In order to answer that question, constitutional, European, international, pharmaceutical, and social law relevant to pharmaceutical supply shall be the subject of this work. Since the topic of law safeguarding supply of any health good touches on questions of the extent to which the state should and is effectively able to intervene in the healthcare market in order to safeguard public health, findings from health economics are also included in the research.

In the first part of the treatise, the legal obligation of the German public health insurance to ensure the supply of innovative pharmaceuticals will be investigated. To this end, judgments and the state of research in the realm of constitutional rights but also European and international legal rights regarding pharmaceutical supply are analysed. On that basis, a new framework for the obligation to ensure pharmaceutical supply is developed. In a second part, the

dissertation examines how the *Deutsche Sozialgesetzbuch* (German Social Security Code) and the *Deutsche Arzneimittelgesetz* (German Medicines Act), the two being the most important regulatory structures with regard to pharmaceutical supply within the public health insurance, protect the security of pharmaceutical supply. Firstly, the general regulatory environment of these law regimes is explained. Secondly, after having systematised the different rules ensuring pharmaceutical supply, it is investigated what level of supply the different norms provide and whether they meet the constitutional requirements developed in the first part. Finally, the thesis concludes by presenting an outlook on a possible future regulation of pharmaceutical supply with regard to upcoming EU initiatives like the EU Health Union, indicating that security of supply can only be guaranteed through cooperation rather than a new sort of 'health nationalism' brought forth by the corona crisis.

### 3.1.4 FROM WILD WEST TO WUNDERKIND: COMPARING LEGAL APPROACHES TO TELE-MEDICINE QUALITY ACROSS JURISDICTIONS

Lauren Tonti

As nations incorporate digital health practices into healthcare systems, each jurisdiction has taken a different approach to regulating its practice. Contemporary telemedicine regulation in many nations consists of a patchwork of vastly differing regulatory tactics implemented in response to the ever-evolving nature of the technology. Indeed, regulators have moved beyond questioning the technology's utility or permissibility, toward ensuring its maximum efficacy, efficiency, and safety – the very dimensions of health care quality. Quality, an essential component of the human right to health, in telemedicine practice is necessary to ensure optimal health of all populations. While today's regulators are at the nascence of focusing on quality, the more pressing question for health systems is how to best leverage digital health innovations like tele-

medicine to address exigent social needs. By evaluating how quality controls on telemedicine manifest among differing jurisdictions, this thesis drives at the heart of this question.

Specifically, the central research question investigates how legal systems ensure quality in access to telemedicine practices that meet exigent health needs. In pursuit of this main inquiry, this thesis analyzes the normative standards considered in a health system's decision to permit and finance telemedicine practice in national public insurance schemes. Specifically, it asks what quality-inducing legal structures and devices governments use to remunerate telemedicine practices, and how they embody established norms. The thesis also asks how quality criteria differ for specialized sectors, particularly mental health care (telepsychiatry), if at all. Recognizing the distinction between the law's approach to emergent and non-emergent disease, this thesis further scrutinizes what changes in telemedicine practice regulation prompted by exigent health needs, such as SARS-CoV-2 ('Coronavirus'), reveal about countries' approaches to quality. Such sub-analyses examine the role of perceived emergency in dictating quality control, thus scrutinizing digital health practice delivery's transformation at the expense of quality. Combined, these questions shed light on the relationship between nations' regulatory approaches and normative aspects of quality reflected in the law.

To operationalize these questions, this dissertation devises an innovative framework for evaluating healthcare quality dimensions in legal structures. The framework employs a public health law-informed approach, combining key principles from the fields of law and public health. Such an approach has not been taken before in existing digital health scholarship. Whereas significant research has assessed whether telemedicine interventions successfully engender positive clinical health outcomes, seldom does scholarship hone in on the dynamic, upstream relationship between quality norms and legal instruments influencing health outcomes in this field.

Likewise, this relationship was so far not operationalized for systematic analysis.

Understanding the relationship between quality norms and the law is integral to the framework, along with the theoretical basis of this work. An indelible link exists between law and quality, an important healthcare norm. The dynamic relationship rests upon the foundation that law is used as a tool and instrument to establish norms in society. Law is also a critical determinate of health, for it provides a legitimate and effective tool to maintain standards, financing, accountability, and safety to name just a few functions that construct the health environment.

The framework reflects the contention that norms are operationalized by laws. It combines normative considerations, derived from the health care quality scholarship and models, with aspects of the legal determinants of health. The normative considerations primarily include healthcare quality dimensions such as safety, efficacy, equity, efficiency, affordability, and patient-centeredness.

Based on understandings of these normative standards, the framework links quality dimensions to quality dimension indicators. The indicators are then linked with categorized legal tools that further or promote the dimension in practice, resulting in assessment questions. The assessment questions can be applied to codified laws with specific applicability to telemedicine. For example, the norm of safety, a key quality dimension, is linked to the indicator of clinical professional competence. The competency indicator is linked with the legal tool of licensing. The resulting question that can then be applied to code analysis is whether a jurisdiction requires telemedicine practitioners to hold special telemedicine licensing. In connecting norms with legal instruments, this framework makes normative components accessible to empirical evaluation.

This thesis then applies the framework to compare telemedicine regulation in four distinct jurisdictions: France, Germany, Sweden, and the



Franciska Engeser

United States. The study looks at high-income countries where digital health services can meet a high social need, namely exigent health needs. Of countries that both have public health insurance systems and permit telehealth practices, this study analyzes countries with diverse regulatory cultures to enrich the comparison. The selection of comparison countries was based on specific criteria consisting of four main selection categories: Country-Level Income Status, Health Need, Telehealth Practice, and Regulatory Structure.

The evidence generated from this novel comparison contributes to a discussion of how jurisdictions strike a balance between innovation and regulation. This study also furthers the conversation regarding the merits and challenges to international harmonization of telehealth standards. In its analysis of how law enshrines and promotes dimensions of quality, this dissertation seeks to protect against the perils that can befall unregulated innovation and help translate technology into positive health.

### 3.1.5 SUBJECTIVE RIGHTS OF THE POTENTIAL RECIPIENT OF AN ORGAN TRANSPLANT

*Franciska Engeser*

Looking at the German organ transplant system, the first observation that can be made is that it contains a very fragmented structure of decision-making and a variety of institutions holding competences within the allocation process. Key agents here are the doctor or transplant centre, the German Medical Association (*Deutsche Ärztekammer*) and the German Organ Transplantation Foundation (*Deutsche Stiftung Organtransplantation*). The main regulation can be found in the federal Organ Transplantation Act (*Transplantationsgesetz (TPG)*); details are concretised in guidelines laid down by the German Medical Association. Additionally, and of high significance, there is the Dutch foundation *Eurotransplant*. It is here that the allocation decisions of eight European countries collaborating in the

organ exchange system '*Eurotransplant*', including Germany, are made.

Legal scholars have been researching into this quite unique structure during the last 20 years and have found constitutional limitations arising from the principle of democracy, the rule of law and the fundamental rights of the patient. Exploratory interviews showed, however, that access to transplantation treatment is not harmonised in German hospitals and given subjective rights of patients are not well-known. This PhD project seeks to elaborate whether and to what extent the eventual recipient of an organ has subjective rights during the allocation process and how concrete legal claims can be formulated in this field.

A core feature is the right to participate in the allocation system deriving from Art. 2 II 1 and Art. 3 I GG (German Basic Law). This right is acknowledged in fields which are monopolised by the state and where participation is a necessary condition for the citizen in order to realise a fundamental right that is here fulfilled by the organ transplant system. The statutory law is therefore interpreted in respect to this right, which leads to a general acceptance of a subjective right of the patient to be put on the waiting list. More disputed, but coherently accepted as well, a right to be accepted as transplant patient and a right to stay on the waiting list also ensue from the derivative right of participation, given the medical indication.

Beyond that, the subjective rights of the patient are still vague. The project identifies several other, discussable subjective rights. The first to name is the right to receive an organ. As the right to participation includes protection against arbitrary allocation of an organ to another person, it could be – and is by a couple of scholars seen as – the logical consequence, namely that the patient who meets the parameters of a donated organ best is entitled to receive it in the form of a legal claim. In respect to the high significance of legal protection for patients competing over the right to life and bodily integrity with other patients on the waiting list, it might not

be acknowledged as legitimate for this to be the consequence. First, it is unclear if it is even medically possible to identify one single, perfectly matching patient for each donated organ. Second, as soon as a (different) person has been selected, possibly under application of unconstitutional criteria, that person obtains a protected legal position, supported by her right to life and bodily integrity. It does not appear legitimate to restrict this legal position in favour of another person's right to life and bodily integrity. Subsequently, there might at least be obstacles to enforce such kind of right.

The project will also investigate subjective rights that might impact the procedure of organ allocation. The derivative right to participate requires a system of distribution. But to what extent does it grant a legal claim to changes in the system? Or can this claim be derived from other dimensions of the fundamental right of Art. 2 II 1 GG? Indeed, in principle it is seen as part of the decision-making power of the legislator to change a legislative system – or not to. Legislative omission has been the subject of many unsuccessful court procedures. Yet, organ transplant law could serve as a proper example to show the limits of this principle and the cases where an exception is legitimate. Statistical evidence of a possible increase of the number of donor organs, as for instance seen for the opt-out solution, might not be enough to create a substantive claim against the legislator. Eventually, major scientific innovations could be a way to fulfil the strict preconditions. Remarkable success has been reported from the field of research on organoids. Could such a kind of revolution form an exception with respect to the high relevance of the impacted fundamental rights of patients? According to the current statutory law, organoids must not be used to help reduce organ scarcity. In the extreme case of such scientific innovation, could a subjective right to a certain change of the procedure be accepted in a parliamentary democracy or at least create an obligation of the legislator to address the innovation in some way?

Moreover, it will be analysed to what extent those subjective rights are supported and protected

by the right to damages. The latter could serve as compensation for infractions of the primary subjective rights and also as a controlling procedure in cases in which enforceability is limited. The substantial challenge in this regard is to find access to the *Eurotransplant* foundation as – at first glance – there is no legal relation between the potentially damaged patient and the Dutch foundation. Being contracted according to §12 I TPG, the implementation of the treaty is controllable under German law. It must be analysed whether the patient is included in the contract in a way that protects him from misallocation or false information.

Subjective rights to information should also be considered to round off the legal situation of the patient. Being unaware of illegal allocations or other rights infractions to the patient's disadvantage will make it almost impossible to enforce any of the named subjective rights. Indeed, the assumption is that a right to a certain level of information can be seen as a serving right accompanying the right to participation. This right must not be confused with the obligation to inform deriving from the right to patient autonomy and the principle of informed consent. The quite different obligation to provide information shall be delineated from the former, and interactions or conflicts between these rights might be disclosed.

### 3.2 DOCTORAL GROUP 'ADJUDICATION OF SOCIAL RIGHTS'

Having a right does not necessarily mean to get a right. This requires institutions and a legally regulated procedure which guarantees access to these institutions and determines their actions. In order for substantive law to be enforced, legal proceedings must be pursued. Accordingly, the procedure is a necessary prerequisite for legal enforcement. It is therefore crucial to deal with the respective institutions and their procedures. The enforcement of social rights in particular, with a view to its fundamental importance for citizens, is a very significant and challenging topic.



Andreja Krzic Bogataj

In their dissertation projects, the members of the PhD group founded in September 2015 investigated various aspects of the enforcement of social rights: *Ya-Chu Tsai* focused on access to social rights in Taiwan; *Nina Schubert* researched social-legal opposition proceedings from an empirical perspective; *Francisca Salih-Sánchez del Hierro* explored the question of the enforcement of social rights in Latin America from a comparative legal perspective; *Andreja Bogataj* investigated, also in a comparative analysis, the peculiarities of social court disputes in Germany and Slovenia; and *Yifei Wang* examined the legal protection in case an employer does not comply with the duty to pay social security contributions in China. All dissertations are either finished or in their final stage.

### 3.2.1 JUDICIAL ENFORCEMENT OF SOCIAL RIGHTS: THE PRINCIPLE OF PLAINTIFF-FRIENDLINESS FROM A COMPARATIVE LAW PERSPECTIVE

*Andreja Krzic Bogataj*

'What is the point of well-meaning laws that explicitly aim to protect the socially vulnerable if those for whom they are made do not claim them for themselves?' The question raised by Blankenburg in 1995 is still relevant today, especially in social law disputes. On the side of the law-seeking citizen, the variety of social problems resulting from unemployment, illness, need for care, an accident at work, reduced earning capacity, death of the family breadwinner, or maternity, often aggravated by the neediness of the persons concerned, is expressed therein. Accordingly, the subjects of the proceedings touch on highly personal and sensitive areas of life, which often have existential significance for the individual plaintiff, because materially worse-off citizens participate to a much greater extent in social law procedures than in other court proceedings. Furthermore, social rights require the intervention of the state and its institutions. Therefore, the basic constellation of social law disputes in which a citizen brings an action

against a sovereign is characterised by a structural imbalance. Due to the financial and human resources at its disposal, the highly specialised social security administration has an advantage over the often technically and legally uninformed individual.

If those seeking justice in the social court trial are unable to assert their claims due to procedural obstacles, social rights remain merely a theoretical construct that does not meet the materially conceded needs of the people. In order to implement substantive social law, it must therefore be ensured that those seeking justice can obtain effective legal protection through access to institutions and an appropriately designed procedure.

In order to give preference to the structurally disadvantaged and ensure effective legal protection, special procedural rules must be applied in social law disputes. The initial thesis of this dissertation project is based on the assumption that, due to the special features described, court procedures in social law matters take greater account of the plaintiff's interests than other procedural rules, thereby supporting the structurally disadvantaged and securing effective legal protection. Such procedural rules are to be regarded as an expression of the principle of plaintiff-friendly procedure and are at the centre of this work. The principle of plaintiff-friendly procedure manifests itself in procedural rules that allow for deviations from mandatory formal requirements in favour of the citizen or the 'mending' or correction of faulty procedural actions on the part of the plaintiff. Furthermore, the court procedure in social security matters is characterised by the fact that it is, on principle, free of charge. The second hypothesis of the dissertation is that the principle of plaintiff-friendly procedure is a common principle of fundamentally different judicial proceedings in social law matters.

In a systematising examination, it is possible to differentiate between two contradictory models for the organisation of judicial remedies in matters of social law. On the one hand, legal protection may be granted through a special adminis-



Nina Schubert



Institutions and legally regulated procedures are prerequisites for rights to be enforced.

trative jurisdiction. Germany is investigated as a prototype of this model. As opposed to this, some legal systems assign social law disputes to the same courts as labour law disputes. The analogue country, Slovenia, stands for the model of the assignment of social law disputes to labour courts. Therefore, the work focuses on the comparison between Germany and Slovenia as prototypes of two contrary models.

The judicial proceedings of the two selected countries are examined on the basis of the principle of plaintiff-friendly procedure as a *tertium comparationis*. The method of functional legal comparison (functional principle) is used to search for the rules that fulfil the same function in all selected procedures. The comparative method represents a systematic sequence of steps to determine the similarities and differences between the procedures to be compared. Therefore, the procedure of the two countries studied is presented in terms of the three relevant phases: access to justice, trial before the court, and termination of the trial. For each country studied, a comparison of national laws is also carried out with a view to the General Code of Civil Procedure and the General Administrative Court Rules in order to ascertain whether and to what extent the procedural rules investigated constitute a deviation from the general procedural rules and whether the judicial proceedings in social law actually take greater account of the plaintiff than other judicial proceedings. The thesis, which was submitted in 2019, concludes that, despite the differences of both systems,

they share the principle of plaintiff-friendliness in social court proceedings.

### 3.2.2 BETWEEN ACCEPTANCE AND RESIGNATION: THE FUNCTIONS OF SOCIAL LAW PRE-TRIAL PROCEEDINGS FROM THE OBJECTOR'S PERSPECTIVE

*Nina Schubert*

Catchwords like 'modernisation' and 'bureaucracy reduction' characterised the administrative policy debate in the 1990s. Opposition proceedings also came under fire in this context. They were deemed to lack the necessary system consistency, to be inconvenient in terms of political control, and to inadequately fulfil their functions in any case. Efforts to abolish them, based on this criticism, led to a patchwork of federal regulations concerning administrative opposition proceedings. In some federal states (*Länder*), these opposition proceedings were completely abolished, while in others they were – with a few exceptions – retained in their entirety. Many *Länder* have steered a middle course.

Legal protection in social law, too, is traditionally guaranteed not only by the courts but also within the administration in the form of opposition proceedings. These are of immense socio-political importance. Every year, some 2.2 million appeals are recorded centrally for statistical purposes. As a rule, legal recourse to the social courts is



Ya-Chu Tsai

only possible if an appeal has been lodged prior to taking legal action. Objection proceedings are intended to provide legal protection, serve in terms of self-regulation, and aim at relieving the burden on the courts, thereby focusing simultaneously on those seeking legal protection, the executive and the judiciary.

But can the ideal and reality be reconciled? This dissertation is dedicated to the perspective of objectors to proceedings. On the basis of a survey of objectors at Deutsche Rentenversicherung Bund, the functions of the objection proceedings that are directed at the objectors have been analysed.

Already when looking at the data made available by the Federal Ministry of Labour and Social Affairs on the incoming and outgoing cases and the results of opposition proceedings in social insurance, it becomes clear that the procedures in the various insurance branches differ considerably. The proceedings at Deutsche Rentenversicherung Bund are characterised by a particularly high rate of redress and thus also by a particularly high success rate.

However, the results of the investigation at Deutsche Rentenversicherung Bund show a disparate picture overall. While the courts are likely to be relieved, at least in part, due to the high rate of redress, they are not sufficiently relieved by opposition proceedings with a view to acceptance. Those who accepted the decision, however, reported this as an important reason not to take legal action. The appeals committees deployed in social insurance matters also do not appear to play a significant role in the acceptance of decisions. A large proportion of respondents were not even aware of the existence of appeals committees.

Overall, about a quarter of unsuccessful appellants went to court. Chief reasons for the decision not to take legal action were alleged obstacles such as duration, costs and efforts required. Resignation and fears of difficulties also deterred many opponents from taking legal action. Disability pension proceedings played a

special role. Opponents found these proceedings less fair, accepted them less often and lodged claims more often.

The main determinant for the acceptance of a decision was trust in the institution of Deutsche Rentenversicherung Bund and the extent of their own influence on the proceedings as perceived by the objectors. Those who felt that they were heard and taken seriously also had a positive attitude towards the result. In contrast, contact with assessors had little influence, although this was often felt to be insufficient.

Opposition proceedings are largely able to fulfil their legal protection function. The vast majority of respondents considered the thresholds involved in this context to be much lower than for court procedures. Accordingly, considerably more opponents had representatives act on their behalf in court than in opposition proceedings.

From the point of view of the respondents, opposition proceedings thus offer the opportunity to pursue one's own interests independently without any major financial burden. At the same time, however, the procedure could be structured more profitably for those seeking legal protection, as well as the administration and courts. The provision of internal legal protection, designed as a fair and goal-oriented control instrument, is therefore justified in a modern administrative state.

### 3.2.3 ACCESS TO SOCIAL RIGHTS IN TAIWAN

*Ya-Chu Tsai*

Social law is highly important for people in their daily lives, as their existence is ensured and enhanced in many ways by social benefits. The individual therefore needs access to social benefits in the first place. In order to be entitled to a certain social benefit, the legally regulated conditions for benefits receipt must be fulfilled. Therefore, these conditions act as 'guardians' for access to social benefits. However, if access



Francisca Salih-Sánchez del Hierro

is restricted or blocked, this has a corresponding effect on the individual's availability of social benefits.

Social legislation is divided into laws on benefit systems that have their own classification and pursue a specific benefit purpose, which is reflected in the design of access to the respective social benefits. There are two main types of access criteria in Taiwanese social law, one based on the type of system and the purpose of the benefit, and another that is neither system-related nor purpose-oriented. With the help of the latter, the entitlement to social benefits can be expanded or restricted. For example, a foreign spouse of a Taiwanese citizen who has been residing in Taiwan for many years is not allowed to join the national pension insurance system and therefore has no pension entitlement, although (s)he is not insured with any other statutory pension insurance system in Taiwan and his/her pension entitlement ought to be covered by this national pension insurance system. Membership as one of the criteria for access to national pension insurance benefits requires Taiwanese citizenship, and foreigners are therefore cast out. This example shows that certain people are excluded from social benefits in Taiwan as a result of the non-targeted eligibility criteria, even though they actually need social benefits. The disparity between status-related requirements and the need for social protection raises constitutional concerns. The laws with which the legislator created such exclusions must be in line with the constitution in order to be legitimate. The purpose of this study is therefore to examine whether the preconditions in social law created on the basis of criteria that are alien to the system or the purpose violate the constitution.

This doctoral thesis is divided into two main parts, one relating to the analysis of the access criteria to social benefits in Taiwan and the other to the examination of the constitutionality of these criteria. Firstly, the necessary institutional prerequisites for the enforcement of social rights in social law are discussed and serve as the essential basis for the study. Subsequently, an overview of the Taiwanese social law system is given.

For this purpose, labor law, alien's law, family law, and other legal frameworks in Taiwan related to the access criteria are studied. The subsequent examination of the different access criteria in Taiwanese social law carves out which access criteria are used in the social law system and what barriers result from them. Thirdly, the constitutional principles, especially the welfare state principle and the rule of law, are used to examine the extent to which access to social rights in Taiwan is protected under the constitution. Finally, this study will examine the constitutionality of the access criteria used in Taiwanese social law. This review is conducted by way of using the constitutional principles according to the categories of access to different types of benefits.

The investigation shows that some of the non-systemic or non-purpose oriented benefit conditions can be considered justified, whereas most of them are unconstitutional. The results make it clear, for example, that the access to benefits under Taiwanese social law, especially tax-financed benefits, is severely restricted or even blocked for foreigners. This can be attributed to the fact that the legislature misjudges the system of social law and neglects its purpose. If the legislature cannot give valid and cogent reasons for non-system-based or non-purpose-oriented benefit prerequisites, it must then change these prerequisites in the light of the constitutional requirements, since it must act within the constitutional framework of the social constitutional state.

### 3.2.4 JUDICIAL ENFORCEMENT OF SOCIAL BENEFITS PROVISION IN LATIN AMERICA

*Francisca Salih-Sánchez del Hierro*

In response to the increase in poverty and inequality in Latin America, social assistance programs for the direct support of poor households were introduced in the 1990s. Social assistance in this region is considered to be the primary instrument of social protection against poverty due to the low level of coverage of the working



In Latin America, a significant proportion of workers and their families are engaged in marginal and informal employment with no access to social benefits.

population through social security systems and the large differences in the access to basic services. In fact, a significant proportion of workers and their families are engaged in marginal and informal employment and have no access whatsoever to social benefits.

The development of social assistance schemes is an important issue in the current social law of Latin American states and has become even more important in the context of the corona pandemic. The focus is on the realization of what is the central goal of any social benefit system: to provide the individual with the necessary means to secure his or her existence. In fact, through international human rights conventions, all compliant states have committed themselves to the provision of basic social services that ensure a minimum subsistence level and a decent life. Even though these services differ in the various national legal systems of the region, many Latin American countries have expanded their social assistance policies since 2010 und have developed non-contributory schemes to provide services to ensure a decent standard of living for their nationals.

However, the structure of the current social assistance schemes exhibits obstacles with a view to the procedural mechanisms for the enforcement of social benefits. The special rules on accessibility and procedure in judicial enforcement may present barriers to effective legal protection. It is also controversial to what extent the traditional procedural mechanisms are appropriate for the enforcement of social benefits and whether the absence of concrete procedural instruments causes difficulties for the beneficiaries. In particular the question whether benefits to ensure a minimum subsistence level are legally

enforceable has only been researched to a limited extent for this region. Therefore, this dissertation focuses on the analysis of the legal claim to a minimum subsistence level in Latin America.

First of all, it clarifies historically and theoretically what is meant by the term 'minimum subsistence level' in order to illustrate its significance as an instrument of social protection and to provide a dogmatic basis for the investigation. The fundamental principles and meaning of this concept are discussed in depth in order to contribute to a better understanding of it in its historical, sociopolitical and legal context. Subsequently, the legal foundations at international and regional level that oblige states to guarantee a minimum subsistence level are explained as well as the way in which the Inter-American Court of Human Rights has understood this concept and the rights linked to it.

In addition, the foundations of the social protection systems in Latin America are elaborated, including the concept of social protection, the role of social assistance programs and the institutional structure. Furthermore, the existing social benefits in the Latin American legal systems to ensure a minimum subsistence level are presented and classified on a theoretical basis, whereby only tax-funded social benefits and nationally guaranteed benefits are considered. The dissertation provides a systematic overview of these benefits in 10 Latin American countries with the highest economic performance based on GDP, namely: Chile, Panama, Argentina, Uruguay, Mexico, Brazil, Costa Rica, Dominican Republic, Colombia and Peru.

The last part addresses the question whether these benefits are legally enforceable. Firstly, a



Yifei Wang

review of the instruments for the legal protection of subsistence benefits as well as the causes for its limited enforcement is given. In this context, an analysis of the argumentation lines of court rulings in regard to subsistence benefits is also carried out. On the basis of the case law in four countries where cases have been submitted to the competent courts and leaving aside social benefits on access to health services, a systematization of the enforceable claims is undertaken. The concluding analysis is intended to determine whether procedural means of enforcing these claims exist and, thus, whether there is a legal claim to a minimum subsistence level.

### 3.2.5 LEGAL PROTECTION IN CASE OF EMPLOYER'S NON- COMPLIANCE TO PAY SOCIAL SECURITY CONTRIBUTIONS IN CHINA

*Yifei Wang*

The social insurance for employees in the People's Republic of China (PRC) currently insures a large number of employees. A serious problem is that employers often fail to fulfill their obligation to pay social insurance contributions. Although many legal regulations have already been adopted, they have only limited effect. The refusal of employers to pay social insurance contributions is the most common case of impairment of the social rights and interests of the insured, because if contributions are not legally paid by the employer, employees will not be able to qualify for any corresponding social benefits. In 2018, a fundamental reform was planned to increase the effectiveness of the collection of contributions: From 1 January 2019, the social insurance contributions ought to be collected by the tax authorities (instead of by the social insurance executive organs). However, the reform plans met with broad resistance, especially from the economy sector. In reaction to this widespread opposition, in 2019, the State Council made it clear that the process of contribution collecting would 'in principle' remain unchanged and that the introduction of an obligation to pay

for contribution arrears should not become part of the reform. In addition, social insurance contributions should be reduced. These measures can be seen as a political concession granted to the opponents; yet, they are legally questionable.

The problem of the non-compliance of the employer's obligation to pay social insurance contributions is a good example of the difficulties that exist in the Chinese social insurance system. During the reform from the planned economy to the market economy, the roles of the state, of society, of enterprises and of individuals were fundamentally transformed. In times of the planned economy, social insurance benefits were granted mainly by the state enterprises. As 'work units' they were given resources directly from the state according to plans, and they provided their employees with all the means necessary for social, political, economic and cultural life. With the introduction of the market economy, the enterprises were freed from their extensive social tasks, and their provisionary tasks were transferred to the state-built, contribution-financed social insurance. Due to restructuring measures, Chinese social insurance has experienced fundamental structural problems. There is no clear understanding of the purpose and the legitimacy of social insurance. The content and function of social rights for citizens between the conflicting priorities of provisionary self-responsibility and state responsibility also requires a clear specification.

A noticeable phenomenon in China is that in cases of non-compliance of the employer's obligation to pay social insurance contributions, the state has withdrawn from its responsibility to collect the contributions; and in order to protect the rights affected and thus to ensure social security, the courts are mainly concerned with civil liability of employers for compensation to cover the damages. Such a design or institution is problematic, however, in that the primary claims under public law are replaced by secondary claims under private law. The goal of protection through social insurance and the specific responsibilities of the state for the implementation of social rights are thus not fulfilled.

This thesis argues that it is the legal responsibility of the state to ensure social security for its citizens, albeit the fact that social insurance is to a large extent structured within the framework of labour law. The main aim of this study is to refute two basic assumptions that strongly shape the discourse on Chinese social insurance law. The first basic assumption presupposes a general 'corporate social responsibility' and claims that an 'employer benefit system' based on this corporate responsibility stands alongside the social insurance system based on state responsibility, and that the former guarantees social protection if the latter fails. This assumption is invalid due to the state's obligation to protect, resulting from the fundamental right to social security as expressed in Article 45, Paragraph 1 of the Constitution.

The second basic assumption is that the state should only guarantee basic security through social insurance. Therefore, it is concluded that the collection of contributions based on a minimum assessment level should be sufficient for the state to fulfill its responsibility. However, first, the state must align its social responsibility with the specific mandate of the fundamental right to social security. Second, if the state has already set up a contribution-financed social insurance system, the structure of the social insurance system must meet the criterion of effectiveness, that is, its protective purpose must be achieved with sufficient effectiveness. The purpose of protection is, on the one hand, assessed by way of a systematic analysis of the Chinese social security system including social insurance and social assistance. On the other hand, the purpose of protection is defined by the mandate of the fundamental right to social security and thus is not limited to basic security, but demands full insurance protection.

Finally, this thesis will provide an answer to the question of how the legal responsibility of the state can be implemented. It is to be shown that the state's obligation to protect in respect of the social insurance system in the PR China can be effectively met on the basis of the existing legal institutions. The prerequisite for this would be for the state to be held directly liable if it does

not meet its obligation to collect social insurance contributions.

### 3.3 DOCTORAL GROUP 'SOCIAL LAW AS A SPECIFIC FIELD OF ADMINISTRATIVE LAW'

The fact that social law is a specific branch of administrative law is often neglected in scholarly debate due to the particular set of issues inherent to this field of law, the constant changes it is subject to and the often very detailed regulations it is based on. It is not only the study of social law, however, that may benefit from a reversion to general administrative law; general administrative law itself in its function to govern all administrative processes also – and even to a particular degree – feeds off the scholarly interaction with the mentioned specific form of administrative law. Only in this way can it evolve and meet new challenges.

This mutual interdependency was and in part still is investigated by the doctoral group focusing on 'Social Law as a Specific Form of Administrative Law'. *Annemarie Aumann* who investigated the delimitation of private and occupational risk spheres in the modern world of work successfully completed her doctoral examination procedure in 2018. In the context of the group's overarching subject, *Julia Peterlini* examines the implementation of the right to medical treatment on Germany and Italy.

#### 3.3.1 WORK ACCIDENT 4.0: DELIMITATION OF PRIVATE AND OCCUPATIONAL RISK SPHERES IN THE MODERN WORLD OF WORK

*Annemarie Aumann*

##### Work Accidents in the Home Office and in Other 'Modern' Constellations

In the modern working world, the spheres of work and private life are inseparably connected: not only is work increasingly seeping into the

**Arbeitsunfall 4.0**Die Abgrenzung privater und beruflicher Risikosphären  
in der modernen Arbeitswelt**Nomos**

previously privately connoted sphere of the employee, but conversely, more and more private matters are finding their way into the company sphere. Home office work, constant availability and mobile work have long been part of everyday working life.

The statutory accident insurance for employees in Germany, however, is still based on the values on which it was based when it was introduced in 1884 – presupposing a separation of the two spheres. Its insurance cover, which is higher than that of health insurance, is available to employees for accidents which qualify as occupational accidents because they occur ‘as a result’ of a professional activity. The resulting damage is part of the operational risk of the employer who has control over the safety hazards in the company, who therefore has to bear the costs of insurance premiums alone and who, in return, is released from liability claims on the part of the employee, also in order to keep the peace and prevent industrial disputes within the company.

The definition of ‘occupational accident’ in §8 (1) Social Code Book (SGB) VII depends *de lege lata* on the allocation of the work immediately preceding the accident to either the occupational or the private sphere. The delimitation of the two spheres of life has always led to difficulties – jurisprudence has always been concerned in particular with cases such as meals taken in the company canteen or personal hygiene at the workplace. The diffusion of the two spheres in the age of ‘Work 4.0’, however, poses a com-

pletely new challenge for the classification of risk spheres. The dissertation, published by Nomos publishing house on 8 January 2019, addresses this hitherto unsolved problem.

### **Blurring of Work-Life-Boundaries as a Challenge for Accident Insurance**

More recently, the problem of delimitation has become much more acute due to the tertiarisation and digitisation of the world of work. The traditionally relevant parameters for differentiating between professional and private life are the categories of working time and place of work. However, these are now in the process of dissolving due to the blurring of work-related boundaries – a social phenomenon affecting an increasing number of workers. Work without boundaries means the possibility of flexible work performance, such as not being tied to a fixed working time, to a specific place of work and/or to the obligation of strictly separating work and leisure time. Labour law structures such as teleworking, mobile working, constant accessibility or the permission to deal with private matters at the workplace make a separation of risk spheres in line with previous practice seem out of touch with everyday reality. Furthermore, it has to be debated whether it is still legally justified to base allocation mechanisms on the principles of the employers’ business risk and duties of care. Considering the employees’ growing autonomy, this is at least doubtful.

### **Dissertation Results**

Against the background of the situation described, the dissertation first of all elaborates the scope of insurance protection in the case of work with blurred boundaries and shows that the previously established allocation mechanism of §8 Para. 1 Social Code Book (SGB) VII is reaching its limits in view of the changed risk structures in society. When examining specific cases, it emerges that insurance protection is impaired for those gainfully active persons who perform their work beyond the classic basic definition of employment. Accident insurance law misses its purpose in the case of structures such as home



Julia Peterlini

office, permanent accessibility or mobile work: employees in modern employment relationships are less protected from the consequences of accidents in connection with their professional activity than employees in traditional employment relationships following the Fordist/Taylorist model of work organisation.

Against this background, the dogmatics of § 8 (1) Social Code Book (SGB) VII are being further developed on the basis of the basic principles of accident insurance in order to be able to meaningfully solve the resulting allocation difficulties under accident insurance law. The proposed solution is based both on considerations of the law on accident insurance for civil servants, in particular § 31 Para. 1 Sent. 1 BeamtVG, and the pension law for soldiers, in particular §§ 27 Para. 2, 81 Para. 1, and § 85 SVG, which are consulted in comparison with the dogmatics of accident insurance law. In addition, the legal figure of the ‘company ban’ as an alternative allocation regime – which has, so far, been too much neglected in the legal debate – is critically examined.

By dealing with the dogmatics of work accidents as well as occupational accidents of civil servants, the social and socio-political context of accident insurance and the circumstances of Work 4.0, the book further develops the dogmatics of occupational risk theory. In addition, a concrete proposal for the formulation of an amendment to the wording of the law is submitted which will enable risks to be allocated in a way that is fair to both employers’ and employees’ interests.

### **3.3.2 IMPLEMENTING THE RIGHT TO MEDICAL TREATMENT IN GERMANY AND ITALY**

*Julia Peterlini*

This dissertation project deals with the question of how the law selects, from a multitude of possible medical treatments, those an individual may claim at the expense of the general public. The aim is to show that the right to medical treatment,

in contrast to the traditional individual subjective legal positions, is enforceable and protected in a ‘special way’ in general administrative law.

The answer to the question comprises a stock-taking of the relevant legal situation and offers a doctrinal conclusion on the individual legal positions in general administrative law. The legal comparison and specific selection of countries make the elaboration of the research question particularly exciting for both aspects: On the one hand, because the legislators of two health care systems that are fundamentally different in their organisational structure are, due to the principle of benefits in kind and service provision inherent to both systems, faced with the same challenge to substantiate their range of medical care services. On the other hand, because the legal systems studied hold different subjective legal positions in general administrative law. The Italian legal system is the only one in Europe to distinguish between subjective rights and legitimate interests and is, at times, very critical of the German legal concept of subjective public law.

The first part of the work is based on a systematic presentation and analysis of the legal structures and regulatory mechanisms chosen by the legislator to specify the medical services that can be enforced on the part of the individual at the expense of the general public. While in Italy, legal enforceability is provided for all services of the national health service without distinction, in Germany only the provision of outpatient examinations and treatment methods at the expense of the health system are subject to legal enforceability. For this reason, the analysis to determine the scope of services for the German legal system is limited to the specification of specialist medical treatment and examination methods within the framework of the statutory health insurance, which, due to their particular impact, offer a sufficiently broad field of examination. This paper illustrates the differences and similarities between the regulatory decision-making processes with reference to statutory objectives and medical treatment requirements, the distribution of competences and the evaluation procedure for selecting the range of services.

The explanations presented serve primarily to prepare for the legal doctrinal research objective in the second part of this paper by drawing inferences from the findings of social law about general administrative law. To this end, this part of the work provides a brief introduction and presentation of the theories of subjective law in general administrative law, and points out the most important distinguishing features between the subjective public law of the German legal system and the legitimate interest of the Italian legal system. Based on this, the initial step is to work out for the respective country what distinguishes the doctrinal concepts in health law from the traditional individual subjective legal positions in general administrative law. It is striking that the case law in both countries compared makes peculiar and sometimes quite inventive attempts to assert the subjective right to medical treatment. Through the connection to general administrative law, the subjective legal positions in health law are compared against general legal doctrine. This comparison within the legal system makes it possible to identify the doctrinal peculiarities of health law.

In the third part of the paper, the constitutional protection is discussed, which in both countries of comparison represents an escape route for the judiciary and a lifeline for the literature with regard to the existence of a subjective right to medical treatment. For the sake of completeness, the constitutional prerequisites for the enforceability of medical treatment at the expense of the general public and the judicial cognitive processes in decision-making are illustrated and compared.

In the fourth and last part, the key points surrounding the specification and enforceability of medical treatment at the expense of the general public as analysed in the previous chapters are summarised and evaluated on a transnational basis. This comparison makes it possible to elaborate the legal and doctrinal problems and attempts to find solutions, and to better understand the nature of the respective legal system in its particularity.

### Doctoral Seminars

*13–14 Dec 2018*

#### Doctoral Retreat

Kloster Weltenburg

Participants: Ulrich Becker, Irene Domenici, Franciska Engeser, Constantin Hrschuka, Teodora Petrova, Kristine Plank, Tim Rohmann, Hung-Sheng Shan, Lauren Tonti

The PhD candidates received an overview on the basic principles of comparative social law. In addition, dissertation outlines were discussed.

*6–8 May 2019*

#### Doctoral Retreat

Schloss Ringberg, Kreuth

Participants: Ulrich Becker, Andreja Krzic Bogataj, Irene Domenici, Franciska Engeser, Christian Günther, Teodora Petrova, Kristine Plank, Tim Rohmann, Francisca Salih-Sánchez del Hierro, Nina Schubert, Anika Seemann, Hung-Sheng Shan, Lauren Tonti, Ya-Chu Tsai, Yifei Wang

The focus of the seminar was on the presentation of the progress of the individual dissertation projects.

*2–4 Mar 2020*

#### Doctoral Retreat

Kloster Benediktbeuern

Participants: Ulrich Becker, Irene Domenici, Franciska Engeser, Christian Günther, Linxin He, Teodora Petrova, Kristine Plank, Tim Rohmann, Anika Seemann, Hung-Sheng Shan, Lauren Tonti

Presentation of individual dissertation projects and discussion on further procedure.



Dr. Jihan Kahssay

### 3.4 INDIVIDUAL DISSERTATION PROJECTS

#### 3.4.1 WHEN NGOS FULFILL STATE OBLIGATIONS

*Jihan Kahssay*

In Africa, a legal trend has been emerging that restricts civil society organizations, including non-governmental organisations (NGOs). Despite the significance of NGOs in service provision, African states that seek to maintain power and ward off political interference have been developing constraining regulatory environments primarily through the enactment or proposal of restrictive NGO laws. In addition to tightly monitoring and regulating the operations of NGOs, many of these laws create entry barriers for new NGOs through complicated registration requirements and limit operational capacity for registered NGOs by severely restricting access to foreign funding. Others forbid NGOs from engaging in human rights advocacy, and at least one state prohibits them from conducting any development work at all without prior state approval. Notably constraining laws have been enacted in Eritrea (2005), Uganda (2006, with amendments added in 2009), Ethiopia (2009), Sierra Leone (2009) and Egypt (2014). Likewise, Zimbabwe (2004), Angola (2007), Burundi (2009), Kenya (2013, 2014) and Uganda (2015) have attempted to pass similarly restrictive legislation.

Many express their concern that the cornerstones of a free civil society – namely the rights to associate and speak freely – are coming under attack. However, a less common concern that warrants more legal attention is that such state measures might also threaten the social rights of NGOs' beneficiaries. In this regard, the International Covenant on Economic, Social and Cultural Rights (ICESCR) imposes upon states a general obligation to take steps toward the full realization of social rights, with the view of achieving this aim progressively through the use of all appropriate means and to the maximum of their available resources. In this sense, the social rights obligation of states is a dynamic

concept that grows over time, as though it were an expanding horizon that depends on a country's given circumstances, especially its level of resource scarcity. How, then, should a state's social rights obligations be calculated when NGOs with external funding sources enter the picture?

This research was done in furtherance of a dissertation that was submitted in 2019. The PhD process has been successfully completed. The dissertation offers a systematic examination of the issues mentioned above from the perspective of the beneficiaries' social rights. It uses international human rights law as the normative framework for its analysis. To analyze the regulation of NGOs in Africa, the dissertation examines empirical evidence from constitutional, legislative and jurisprudential sources.

The ICESCR guarantees to each person social rights related to health, housing, education, nourishment, social security, and an adequate standard of living. Although states retain the primary obligation to bring about the realization of social rights, they often do not do so through direct state action. Rather, private actors are involved at every stage of the realization process. NGOs are particularly important actors for the realization of social rights in African countries due to their widespread presence and the low coverage of state-sponsored service provision, even if they do not enter into contractual or otherwise formal partnerships with the state.

The manner in which nonprofit activities can affect the state's social rights obligations depends on whether the nonprofit activities are essential for the realization or enjoyment of social rights, or for the fulfillment of the state's social rights obligations. When nonprofit activities are a critical means for people to realize or enjoy their social rights, nonprofit actors are pulled into a triangular relationship with the state and the beneficiaries. This triangular relationship has a legal character that shapes the duties of actors toward one another. The state owes social rights obligations to beneficiaries whose rights are in turn realized through nonprofit

activities. The task that remains is clarifying the terms of the legal relationship between nonprofits and the state.

If states do not adequately fulfill their social rights obligations, then there remains a gap in the realization and enjoyment of social rights. NGOs that close this gap are rather significant because they substitute for the state in the fulfillment of its own social rights obligations toward beneficiaries. Thus, the study concludes that the state is required not only to permit and facilitate nonprofit activities, but also to ensure their replacement if these activities were terminated. If, however, the nonprofit activities achieve a level of realization that lies beyond what the state is obliged to ensure, then the state is required only to permit and facilitate such NGO activities, without the additional requirement of ensuring their continuation or replacement. Finally, a state's duty to protect the rights of beneficiaries against third party interference requires that it takes rea-

sonable measures to ensure that NGOs are not harming their beneficiaries.

From a regulatory perspective, these findings indicate that while states must provide some oversight to ensure that beneficiaries are not harmed or exploited by unscrupulous NGOs or scammers posing as NGOs, they should not exert so much regulatory control that the beneficial effects of nonprofit activities are hampered or obstructed. There will undoubtedly be times when it is appropriate for states to restrict NGOs, even if doing so would limit the enjoyment or realization of social rights for their beneficiaries. For example, when doing so would protect the rights of other (non-beneficiaries) or the other rights of beneficiaries (non-social human rights). In these cases, the state's authority to limit the social rights of beneficiaries is subject to certain legal standards that can be construed from Articles 2 (1), 4 and 5 of the ICESCR, such as ensuring that limitations remain compatible with the nature of the rights.



In African countries, NGOs are particularly important actors for the realization of social rights, such as the right to health, due to their widespread presence and the low coverage of state-sponsored service provision.

### 3.4.2 POST-LICENSING ASSESSMENT OF MEDICINES TO INFORM COVERAGE DECISIONS – THE GERMAN SHI AND THE ENGLISH NHS IN COMPARISON

*Nikola Wilman*

The regulation of funding and access to medicines has been subject to major political and scientific debate in all modern healthcare systems. Pharmaceutical innovations contribute substantially to progress in medicine and hence to a rise in life expectancy and quality of life. At the same time, they represent a significant cost factor for modern (public) health care systems. Therefore, in many countries the assessment of pharmaceuticals as part of the licensing procedure is followed by an evidence-based evaluation informing reimbursement and/or pricing decisions (so-called post-licensing evaluation). Commonly, these national regulatory systems assess the innovative content and medical benefit of the pharmaceutical compared to routinely available interventions, an assessment which goes beyond that carried out by the licensing authority beforehand. Moreover, many regulatory systems provide for an assessment of cost-effectiveness (in terms of the cost-benefit ratio) either explicitly via pre-defined decision-making criteria such as threshold ranges (England) or implicitly via negotiations (Germany).

Two of the most renowned of these assessment systems can be found in the German Statutory Health Insurance (SHI) and the English National Health Service (NHS), respectively. The pre-eminence assigned to those systems can, among others, be explained by their repertoire of refined and well-documented methods and procedures, which, at the same time, predestines them for comparison. The National Institute for Care and Excellence (NICE) was established in 1999 as an independent organisation to carry out pharmaceutical benefit assessments to guide NHS reimbursement decisions. For the SHI, the medical benefit assessment of pharmaceuticals by the Institute for Quality and Efficiency in Health Care (IQWiG) was introduced in 2004. In addition, their

cost-benefit assessment became mandatory in Germany in 2007.

However, pharmaceutical assessment outcomes tend to differ between countries despite the same evidence in the form of randomised controlled trials (RCTs) being available. Therefore, at the international and European level, the varied national approaches to health technology appraisals (HTA) have led to calls for the harmonisation of methods and procedures in the name of reducing expenditure and producing internationally transferable results. However, this approach to the harmonisation of HTA outcomes could prove too narrow. The international divergence of HTA outcomes, despite an identical evidence base (particularly for pharmaceuticals), indicates that HTA is not purely technocratic or value-neutral. Instead, HTA represents complex decision-making procedures, in which normative and ethical aspects play a significant role in the assessment and interpretation of the relevant evidence. Therefore, the production of internationally transferrable results first requires the identification and analysis of the underlying normative principles before any attempt at harmonising processes and methodology can be made.

The project explores the question which (joint) normative principles inform pharmaceutical benefit assessment outcomes in the NHS and the SHI and how they are operationalised. This analysis is based on a systematic overview of HTA in England and Germany and their respective health care systems. This provides an indispensable background for understanding the operationalisation and weighting of the different principles. Especially the different mandates of HTA policy have to be kept in mind as the consequences of negative decisions in England and Germany differ. Whereas a negative decision by NICE will exclude a drug from reimbursement, in Germany, a negative decision will 'only' impact reimbursement prices.

First research results indicate that joint normative principles, which underlie both HTA systems, exist. These are of a procedural (e.g. transparency, stakeholder participation) as well as a sub-



Michael Schlegelmilch

stantive nature (e.g. non-discrimination, economic efficiency, scientific integrity). However, a partly diverging interpretation and weighting of those principles can have a significant influence on their operationalisation. The interpretation of the principle of scientific integrity, for example, has an impact on what constitutes admissible scientific evidence and on how to deal with evidential gaps and uncertainties. For example, in the absence of good quality RCTs, the German decision-making bodies seem more reluctant to consider other forms of evidence such as indirect comparisons or observational studies. It is also possible to identify hierarchies of principles within which joint principles are partly suppressed by principles unique to one system. The principle of patient relevance, underlying the SHI assessment system, for example, often counters the joint principle of economic efficiency. Due to these in part significantly diverging normative principles, the goal of achieving a higher degree of international consistency in HTA decisions seems at least questionable.

### 3.4.3 PRICING REGULATION OF REIMBURSABLE PHARMACEUTICALS IN SPAIN AND GERMANY

*Michael Schlegelmilch*

The regulations pertaining to the remuneration of services are among the core instruments of the state to govern service provision. The respective remuneration systems should be designed in a way to offer service providers incentives to render needs-based and economically efficient benefits and services. Regulated pricing that is not determined by supply and demand but by state regulation does not always produce best results, as expenditure developments in the area of public health care show. Especially the supply of pharmaceuticals has for years been considered to be one of the cost drivers in German statutory health insurance, with the structure of the drug portfolio and, related thereto, the prices demanded by the drug companies for new pharmaceutical products being one of the main reasons for the additional costs. Due to this

development, which is not limited to Germany, national legislators have been attempting to cut costs through various price regulation measures with respect to pharmaceuticals. In recent years, pricing based on the therapeutic (additional) benefit of pharmaceuticals has become increasingly important. In addition, contractually agreed price discounts as well as performance-based financing has come into use.

The aim of this doctoral thesis is, first and foremost, to systematically describe the instruments for regulating or controlling the ex-factory prices in the German statutory health insurance and the Spanish health care system and to evaluate them from a legal point of view. Pricing on the basis of service provision law is, in this context, seen as the generic term for all legal instruments, which serve to influence the price of reimbursable pharmaceuticals. Within the framework of the study the relevant regulations are grouped by instruments according to the respective economic pricing mechanism. The basic legal structures of the pricing regulation for pharmaceuticals are identified and, at the same time, insights will be gained into the extent to which pharmaceutical entrepreneurs are legally involved in the provision of drugs as social services. The study also serves to compare the legal limits of price control.

When comparing prices of pharmaceuticals, Spain is regularly found to have significantly lower price levels than Germany. For the legal comparison to be made here, however, Spanish service provision law is suitable because of its diverging approach in price regulation. For Spain, the manufacturers' selling price is predefined by the state for all reimbursable pharmaceuticals as soon as the products are authorised for marketing. Unlike in Germany, this price setting is one aspect of the central government's decision-making process for drug reimbursement (positive list) within the Spanish National Health System (SNS). In contrast, the criteria applied in setting prices are comparable to those established in German social law. Since a change in the law in 2011, the principle of the therapeutic

efficacy of a pharmaceutical has been essential for the determination of the Spanish drug price.

After analysing the problem in the general part of the dissertation, the legal situation in Germany and Spain is highlighted and then compared. The legal comparison shows that the regulatory instruments in the pharmaceutical sector feature a number of distinctive characteristics in both countries. They represent a special form of product law whose focus of regulation under social law is on the financing of pharmaceutical services through the health system and not, for instance, on the quality of service provision. Classification of the different instruments and subsequent comparative legal analysis provide an overall picture of the possible ways of pricing regulation under service provision law; this picture can, at the same time, be embedded in the general financing structures of service provision. However, there are also differences between the legal systems compared. These relate, in particular, to the state's scope for regulatory action, the transparency of regulation as well as the institutional design of decision-making processes and bodies in health care. In Spain, manufacturers' prices continue to be set unilaterally by the public authorities. In contrast to Germany, cooperative instruments of price control are still of secondary importance, even though negotiations play a central role before price decisions are taken.

The study will conclude with a comparative analysis of the constitutional limits of price control, drawn by the instruments made available to the legislator and the administration, and the fundamental economic rights of the pharmaceutical manufacturers. It will be shown to what extent there are common normative, constitutional notions of how the price of pharmaceuticals can be determined, especially when it comes to mandatory price setting imposed by the state. To this end, the characteristics of each national understanding of fundamental rights are identified and compared, in particular with regard to the freedom to conduct a business as a constitutional right.

### 3.4.4 VULNERABILITY AS A LEGAL CONCEPT

*Tim Rohmann*

'People who are vulnerable must be empowered', reads the first sentence of the 23rd recital of the introduction to the UN Agenda 2030 for Sustainable Development. What this empowerment should look like, and which actors have a duty to act in this respect, remains unclear. Although undefined, the concept of vulnerability is increasingly used in declarations of intent, binding legal acts, court rulings and scientific contributions in various disciplines. Since the 2000s, this notion has been taken up especially in the human rights discourse. In his essay 'Vulnerability and Human Rights', *Bryan S. Turner* uses vulnerability as a conceptual starting point for the universal validity of human rights. With a stronger focus on social justice issues, *Martha A. Fineman* in her essay 'The Vulnerable Subject: Anchoring Equality in the Human Condition' develops vulnerability as an alternative concept to the 'equal protection analysis' established in the United States of America.

The need for protection of vulnerable subjects and corresponding legal obligations to protect are by no means new in jurisprudence and are considered as one of the major permanent themes of every legal and social order. In addition to numerous studies dealing with the protection of specific groups, the 'juris database' contains 134 references to legal studies under the keyword '*Vulnerabilität*', ranging from labour law and social law over administrative law to civil procedure law. More recently, in the course of the COVID-19 pandemic, vulnerable groups even became the focus of discussions about the appropriateness of government responses to the virus.

The concept of vulnerability has not only been taken up by jurisprudence and legal policy discourse, but also by the law itself. The various sources of law, i.e. statutes and judgments, in which vulnerability is explicitly referred to contain different normative statements, pursue dif-



Teodora Petrova

ferent purposes and draw divergent legal consequences, even though they are based on the same terminology. Driven by the European Court of Human Rights, which has used the term in almost 1600 decisions, explicit references to vulnerability can also be found in the case law of the European Court of Justice, the German Federal Constitutional Court and the courts of instance. This development is closely linked to the fact that the legislature has also begun to include consideration for the needs of vulnerable groups in positive law. This can be seen, for instance, in Section 21 of Directive 2013/33/EU, which states that the 'specific situation of vulnerable persons' shall be taken into account by the Member States. In so doing, the legislator simultaneously introduces a term into the legal system that carries different, diverging meanings, which potentially poses a risk to legal certainty.

The concept of vulnerability is pushing its way into both the language of jurisprudence and positive law, even though its associated extra-legal prior understandings and internal legal functional mechanisms have not been sufficiently reflected and systematised so far. The dissertation project aims at closing this gap in the existing legal literature. The goal is to understand how vulnerability is processed within the legal system, what functions the term fulfils and what significance is attached to it in the internal legal sphere.

Therefore, the study, in a first step, draws from legal and linguistic theory and lays out the reasons why the legal system is dependent on concepts, how and under which conditions legal concept formation functions and which types can be distinguished. At the end of these considerations, a taxonomy of legal concepts is presented which subsequently serves to analyse the role of vulnerability in law. Within that framework, the thesis traces back the roots of the concept of vulnerability in other disciplines, such as sociology or ethics, to carve out the extra-legal contents that are transported by the notion. Based on that, the functions fulfilled by the concept within the legal order will be systematised to contour its specific legal meaning and implications.

To develop a better understanding of how the concept transcends the legal order, the study does not follow traditional distinctions such as International, European and national law or civil, criminal and public law, but rather identifies typical legal areas and fields in which vulnerability is operationalised. For instance, vulnerability is used to raise procedural standards or to determine the scope of well-established legal concepts, e.g. the best interest of the child or human dignity. Subsequently, the area of migration and asylum law will serve as a reference field for an in-depth analysis, intended to trace the incorporation of the concept of vulnerability in a specific area and to illustrate the problems associated with it in order to finally arrive at generalisable statements. At last, it will be investigated whether or not the concept of vulnerability can be integrated into or aligned with well-established legal doctrine and if this notion provides an added value.

### 3.4.5 SOCIAL PROTECTION IN BULGARIA: FUNCTIONAL SYSTEMATISATION AND INFLUENCE OF CONSTITUTIONAL AND INTERNATIONAL LAW

*Teodora Petrova*

Social protection systems are in a constant state of alteration and Bulgaria is no exception to this observation. Rapid ageing, demographic change and an overall fragile economic situation: these are just some of the challenges for the social protection system in the country. As answers to the pressuring dynamics, numerous reforms are undertaken that at times go as far as to introduce structural changes in key social protection branches such as old age pension regulation. Economic concerns are often debated in the course of such reforms due to the difficulties in the system's financing while the related legal questions remain either neglected or underdiscussed. However, since laws ultimately design the whole social protection system, legal concerns urgently need to be addressed in the course of reform measures.

For this to be done, this PhD research thesis engages in the two-fold goal of providing a functional systematisation of social protection in Bulgaria and assessing the constitutional and international law influences on the system. On the one hand, a fundamental understanding of the legal framework encompassing social protection is required. Arranging social protection in Bulgaria according to the functions of its different measures will allow not only for a thorough study of the system, but will enable its systematisation on the basis of the institutional hallmarks of the various measures.

On the other hand, apart from understanding the current state of the system, the legal influences on social protection will be unveiled. In particular, due to their nature of higher-ranking norms, constitutional and international law influences can unfold their significance by seeking to curb state intervention and by granting social rights or expanding the scope of already existing social benefits. The question of the significance of constitutional and international law for social protection represents a key issue, especially given the tendency for numerous reforms in the field in Bulgaria. The challenges facing social protection can only be addressed through a comprehensive approach which also takes account of the legal framework and the influence of constitutional and international law.

The research consists of two main parts which bear their own methodological approaches related to the respective aims. As stated above, one side of the research aims at the comprehensive examination of the system by carving out the functionalities behind its different social protection branches. The methodology followed in this part uses, as a starting point, the problem demanding a legal solution, rather than the legal solution given by social protection law itself. This exogenous approach aids the understanding of the rationale behind the different building blocks of the social protection system.

The second main part of the research proceeds with the legal influences on the social protection branches identified on the basis of the functional



The rapid ageing of the population is one of the key challenges for Bulgaria's social protection system.

systematisation carried out in the first part of the research. In this regard, higher-ranking norms, which potentially have the ability to influence the design of ordinary law, need to be considered. So far, no attention has been paid to the question of how constitutional or international law influence Bulgarian social protection. Nevertheless, constitutions are important for the enactment and design of law in general, and potentially also for social protection measures, as their function and content set the limits of the actions of authorities and strive to guarantee the rights of citizens. Constitutional and international law cannot stop the legislature from initiating diverse reforms, but rather call for their enactment through a proportionality test and the minding of certain restrictions. This part's methodology is based on the phases when constitutional or international law influence can be applied by the respective institutional actors. Namely, the research focuses on the phases of norm creation and norm control, when the legislature and the Constitutional Court respectively have bestowed influence upon the social protection system.

Generally speaking, the research about the influence of constitutional and international law on social protection could prove to be of value not only in relation to the concrete national con-



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text of Bulgaria, but could also contribute to larger-scale debates on the restructuring of the scope and expenditure of social protection measures. Many countries undertake social protection reforms in an effort to ease the pressure on public budgets and to attract investment activities. The more social protection becomes an argument in austerity practices and international competition, the more important it will be to uncover the role that the legal framework in general and constitutional and international law in particular play in the development of social protection.

### 3.4.6 COMMUNICATION BETWEEN ADMINISTRATION AND CITIZENS IN SOCIAL LAW PROCEEDINGS

*Hung-Sheng Shan*

Communication between administrative agencies and citizens plays an extremely important role in administrative proceedings – for agencies to fulfill their tasks appropriately and for citizens to assert their rights. Instead of having its own purpose, communication is widely captured in the literature as a tool to fulfill different functions of administrative proceedings. From a legal perspective, there are plenty of communicative instruments with different purposes, which are regulated in the Administrative Procedures Act and other specialised administrative codes.

Albeit being a special part of administrative law, social law has a variety of particular characteristics compared to other administrative fields, which may heavily affect the need for communication between agencies and beneficiaries. For example, since in most cases beneficiaries lack administrative/legal knowledge and are at the same time in urgent need for social benefits or services, their social rights can generally only be fully fulfilled when the agencies provide sufficient information in advance. Conversely, in order to determine the facts relevant for social benefits, administrations rely deeply on the statements of beneficiaries. To investigate these

peculiarities, this doctoral thesis addresses the following questions: Which legal requirements with regard to the communication between the administration and beneficiaries are needed in the course of social law proceedings? Are there substantial reasons for strengthening the communication between agencies and citizens after considering the particular characteristics of social law? Whether communication needs are taken into account appropriately in administrative proceedings will be investigated by looking at both the current legal systems of Germany and Taiwan. The Taiwanese administrative legal system was once mainly built according to the German model. However, it today reveals apparent discrepancies that can be ascribed to influences from American law. A comparison of both legal systems in this area is therefore expected to bring about fruitful results.

In both countries of investigation, social law is deemed a specialised field of administrative law, since most of the social benefits are granted by state agencies. However, special characteristics of social law can be found in the German system by way of a parallel legislation concerning social administrative procedure. While the framework of the Taiwanese Administrative Procedure Act is strongly influenced by the German federal one, as stated above, its procedural part has meanwhile been strongly affected by the American legal system, in which procedure regulations are more emphasised than in the German legislation. Moreover, US law is especially characterised by a high degree of flexibility as regards individual cases in the social benefits field, which is also widely accepted in Taiwanese legislation and legal practice. That way, different kinds of interests in a concrete case can be taken into consideration through the exercise of discretion by social administrative agencies. Therefore, it is possible to decide on the most appropriate communicative measures in a specific case.

In order to fully analyse the communicative relationship between agencies and beneficiaries in social administrative proceedings, the respective communication needs will be discussed in the following contexts: (a) the duty of the author-

ity to investigate the facts, which depends to a large extent on the citizen's duty to cooperate; (b) the recipient's participation in the procedure, the aim of which is to influence the decision on the benefits provision; (c) the administration's duty to inform citizens so that they can assert their social rights lawfully and appropriately; (d) the adjustment to new factual or legal conditions, which are caused or known by each of the parties. Moreover, the communication relationship between both sides will be examined in accordance with the time process, which ranges from the beginning of the procedure until the decision-making of benefits granting. As concerns decisions with long-term effect, communication between both sides could also occur even after decision-making.

In each part of the process, a variety of legal communicative measures serving different needs might come into question in accordance with the time course. For those measures, two aspects are particularly important, namely their legal requirements and the consequences if they are neglected. On this basis, it is possible to further evaluate whether the current legal requirements meet the needs of communication between agencies and beneficiaries in Germany and Taiwan. First results indicate that, on the one hand, special communicative needs between social agencies and beneficiaries are taken into account by the German legislation in an appropriate way. On the other hand, the legislation lacks flexibility to some degree with regard to different interests, namely when determining whether a specific legal communicative measure shall be undertaken. To the contrary, special communicative needs are less systematically addressed by the Taiwanese legislation. In conclusion, suggestions for future improvements in both countries will be provided.

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### Supervision: Ulrich Becker

#### 2020 Jihan Kahssay

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#### 2019 Annemarie Aumann

Arbeitsunfall 4.0. Die Abgrenzung privater und beruflicher Risikosphären in der modernen Arbeitswelt, Ludwig Maximilian University Munich

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Popic, Tamara; –: An East-West Comparison of Attitudes towards Healthcare Systems in Europe: Do Institutions Matter? In: Journal of European Social Policy, 28 (2018) 5, pp. 517–534

–; Devitt, Camilla: Accessing Health Care in Times of Economic Growth and Economic Downturn: Evidence from Ireland. In: *Journal of European Social Policy*, 28 (2018) 4, pp. 357–369

–; Popic, Tamara: Cognitive Determinants of Healthcare Evaluations – A Comparison of Eastern and Western European Countries. In: *Health Policy*, 122 (2018) 3, pp. 269–278

–; Devitt, Camilla: How do the Foreign-Born Rate Host Country Health Systems? Evidence from Ireland. In: *The Economic and Social Review*, 49 (2018) 1, pp. 45–71

#### **Seemann, Anika**

– ‘Mentalities of War, Mentalities of Peace’: Capital Punishment in the Norwegian ‘Treason Trials’, 1941–1948. In: Konrád, Ota; Barth, Boris; Mrňka, Jaromír (eds.), *Collective Identities and Post-War Violence in Europe, 1944–48 – Reshaping the Nation* [tentative title], London (in press)

– Zwischen individuellem Risiko und staatlicher Verantwortung: 20 Jahre schwedische Prämienrente. In: *Zeitschrift Deutsche Rentenversicherung*, (2020), pp. 529–545

Becker, Ulrich; He, Linxin; Hohnerlein, Eva Maria; –; Wilman, Nikola: Protecting Livelihoods in the COVID-19 Crisis: Legal Comparison of Measures to Maintain Employment, the Economy and Social Protection, *Working Papers Law*, Vol. 7, 2020

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– Aktuelle Themen in der skandinavischen Sozialrechtsforschung. In: *Zeitschrift für ausländisches und internationales Arbeits- und Sozialrecht (ZIAS)*, (2020) 1, pp. 171–184

– The Danish ‘Ghetto Initiatives’ and the Changing Nature of Social Citizenship, 2004–2018. In: *Critical Social Policy*, (2020), DOI: <https://doi.org/10.1177/0261018320978504>

– The Mandatory Handshake in Danish Naturalisation Procedures: A Critical Race Studies Perspective. In: *Nordic Journal on Law and Society*, 3 (2020) 1, pp. 1–32

– Citizen Outcasts – The Penalty of ‘Loss of Civil Rights’ during the Norwegian Treason Trials, 1945–1953. In: *Scandinavian Journal of History*, 45 (2019) 3, pp. 360–383

– Law and Politics in the Norwegian ‘Treason Trials’, 1941–1964, PhD Dissertation, University of Cambridge 2019

#### **Shan, Hung-Sheng**

– Legislative Discretion over Issues of Drug Injury Relief – An Analysis of JY Interpretation No. 767. In: *The Taiwan Law Review*, 293 (2019) 10, pp. 179–188

#### **Stegner, Stefan**

– Zwischen Souveränität und Ökonomie: Zugehörigkeitskonstruktionen durch die Sozialversicherung im deutsch-polnischen Verhältnis 1918–1945, Baden-Baden 2018

#### **Tonti, Lauren**

– The International Health Regulations: The Past and the Present, but What Future? In: *Harvard International Law Journal*: <https://harvardilj.org/2020/04/the-international-health-regulations-the-past-and-the-present-but-what-future/>, 9 Apr 2020

– COVID-19: Walking the Tightrope of Vaccination Obligations. In: *Verfassungsblog*: <https://verfassungsblog.de/covid-19-walking-the-tightrope-of-vaccination-obligations/>, 26 May 2020

– COVID-19 and the International Health Regulations: The Fallout of a Multinational Framework?

In: *Biolaw Journal – Rivista di BioDiritto*, Special Issue 'Un diritto per la pandemia', (2020) 1, pp. 521–526

– 'Insuring' Prioritisation and Parity: Comparing Approaches to Telemental Health in the Law. In: *The Futures of eHealth. Social, Ethical and Legal Challenges*, (2019), pp. 159–168

#### **Wien, Philipp**

Hardenberg, Simone von; Schneider, Susanne; —: Innovative Labordiagnostik in der GKV: Sozialrechtliche Qualitätssicherung am Beispiel der Liquid Biopsy. In: *Zeitschrift für das gesamte Medizinprodukterecht (MPR)*, 17 (2018) 4, pp. 120–127

#### **Wilman, Nikola**

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– Health Promotion and Preventive Healthcare in Germany – Gesundheitsförderung und Prävention in Deutschland – La promotion de la santé et soins de santé préventifs en Allemagne. In: Hohnerlein, Eva Maria; Hennion, Sylvie; Kaufmann, Otto (eds.), *Erwerbsverlauf und sozialer Schutz in Europa. Employment Biographies and Social Protection in Europe. Les parcours professionnels et la protection sociale en Europe*, Berlin 2018, pp. 235–250, 251–258, 259–266

## **5 PRESENTATIONS**

#### **Becker, Ulrich**

Moderation. Network of Legal Experts (MoveS) Annual Service Review meeting, Brussels (3 Dec 2020)

Europäische Sozialcharta: Zur geplanten Ratifizierung der revidierten Fassung. Deutscher Verein für öffentliche und private Fürsorge e.V., Fachausschuss: 'Internationale Zusammenarbeit und europäische Integration', Berlin (21 Oct 2020)

Social Security Rights of Non-Standard Workers in Selected Member States of the EU: Social Policy Responses to COVID-19 and Social Protection of the Self-Employed. Slovenian Days of Labour and Social Security Law, Ljubljana, Slovenia (28 Sep 2020)

Der Sozialstaat – Sozialrecht und Sozialpolitik unter dem Grundgesetz. Munich's Talks on Science and Public Law, Ludwig-Maximilians-Universität, Munich (13 Jan 2020)

Sozialstaat und Sozialrecht im Wandel. Music and Science, Elbphilharmonie, Hamburg (9 Jan 2020)

Social Security in the 21st Century. Conference: 'Social Law 4.0: New Approaches for Ensuring and Financing Social Security for the Digital Age', Max Planck Institute for Social Law and Social Policy, Munich (12 Dec 2019)

Der Einfluss Europas auf die gesetzliche Krankenversicherung. Law Symposium of the Gemeinsamer Bundesausschuss (G-BA): 'Der Einfluss Europas auf das Recht der gesetzlichen Krankenversicherung', Berlin (2 Dec 2019)

Das TSVG aus verfassungsrechtlicher Sicht. Symposium of the Deutsche Gesellschaft für Kassenartzrecht: 'Vertragsartzrecht reloaded – Die neue Welt nach dem TSVG', Berlin (19 Nov 2019)

Coordination of Family Benefits: Export of Family Benefits, Recent Case Law, Perspectives. Network of Legal Experts (MoveS) seminar: Coordination of Family Benefits, Bucharest, Romania (5 Nov 2019)

Aktuelle sozialpolitische Entwicklungen in Gesetzgebung und Rechtsprechung in Deutschland. Symposium of the Friedrich-Ebert-Stiftung: 'Die aktuelle dynamische Entwicklung von Gesetzgebung und Rechtsprechung im Bereich der Sozialen Sicherung in Deutschland', Berlin (18 Oct 2019)

Zugang und Erstattung von Companion Diagnostics in der GKV (with Roman Grinblat). Information Meeting on new PARPi Admissions for Ovarian and Breast Cancer, Universitätsklinikum Regensburg (25 Jul 2019)

70 Jahre Grundgesetz: Wissenschaftsfreiheit in Gefahr? Max Planck Forum: '70 Jahre Grundgesetz – Wissenschaftsfreiheit in Gefahr?', Bayerisches Nationalmuseum, Munich (11 Jul 2019)

Verfassungsrechtlicher Schutz sozialer Rechte in Deutschland. Law Faculty, Saint Petersburg State University, Russia (21 Jun 2019)

Social Security and Social Risks: The Emergency of a New Concept for the 21st Century. International Science Conference: 'Die Rolle des sozialen Risikos als Voraussetzung der Gestaltung der Leistungssysteme im Rahmen der sozialen Sicherung (berücksichtigend die ökonomischen und gesellschaftlichen Herausforderungen des gegenwärtigen Staates)', Fakultät für Recht, Verwaltung und Ökonomie, Wrocław, Poland (7 Jun 2019)

Soziale und gemeinsame Selbstverwaltung stärken, aber wie? Conference: DGB-Selbstverwalter-Fachtagung: 'Soziale Selbstverwaltung zwischen Anspruch und Wirklichkeit', Bildungszentrum Erkner e.V., Erkner (17 May 2019)

Einzelfallgerechtigkeit versus Gemeinwohlinteresse? Joint Conference of the Deutscher Sozial-

gerichtstag e.V. and Deutscher Sozialrechtsverband e.V., Kassel (5 Apr 2019)

Labour Mobility in the Baltic Sea Region. 12th Baltic Sea Region Forum: Future Challenges of the Baltic Sea Region, Turku School of Economics, Turku, Finland (25 Mar 2019)

Right to Health in Germany. 2nd South-East-African and European Conference on Refugees and Forced Migrants: 'Health in Diversity, Diversity in Health?', Pwani University, Kilifi County, Kenya (12 Mar 2019)

Grundrechte der Arbeit im europäischen Mehrebenensystem. 12th Hans Böckler Forum on Labour and Social Law, Berlin (1 Mar 2019)

Mindesteinkommenssysteme in Europa. Expert Committee: 'Internationale Zusammenarbeit und europäische Integration', Deutscher Verein für öffentliche und private Fürsorge e.V., Berlin (6 Feb 2019)

Personalisierte Medizin für Kassenpatienten? (with Simone von Hardenberg). Max Planck Institute for Social Law and Social Policy, Munich (5 Feb 2019)

Was können wir von anderen lernen? Reformbeispiele aus Europa. Conference: 'Die Rente ist eben nicht sicher!', Evangelische Akademie Tutzing (9 Dec 2018)

Die Bedeutung der Teilhabe – Entwicklung und Einordnung des verfassungsrechtlichen Teilhabebegriffs. Conference: 'Wem 'gehört' die Teilhabe? Nutzen, Bereitstellung und Verfügbarkeit von Teilhabe als Allgemeingut', Max Planck Institute for Social Law and Social Policy, Munich (6 Dec 2018)

Teilhabe aus rechtshistorischer Perspektive. Conference: 'Wem 'gehört' die Teilhabe? Nutzen, Bereitstellung und Verfügbarkeit von Teilhabe als Allgemeingut', Max Planck Institute for Social Law and Social Policy, Munich (6 Dec 2018)

Chair and moderation, Network of legal experts (MoveS) Annual Service Review meeting, Brussels (29 Nov 2018)

Mindestsicherung, Sozialhilfe und Co. – Mindesteinkommenssysteme in Europa. Peer Review on 'Minimum Income Benefits – Securing a Life in Dignity, Enabling Access to Services and Integration into the Labour Market', Berlin (15 Nov 2018)

Chancen und Risiken von Erwerbsmigration: Was bringt ein Einwanderungsgesetz? Munich's 18th Science Days, Munich (13 Nov 2018)

Pflegesystem: Ein Vergleich zwischen Deutschland und Taiwan. Academia Sinica, Taipei, Taiwan (9 Nov 2018)

Die Entwicklung der Pflegesysteme in den EU-Ländern. Law Faculty of the National Taiwan University, Taipei, Taiwan (9 Nov 2018)

Labor Mobility and Social Security. Chengchi University Taipei, Taiwan (8 Nov 2018)

Rentenreform, Eigentumsschutz und Vertrauensschutz. Judge Academy Taipei, Taiwan (7 Nov 2018)

Sustainability and Social Security from a Legal Perspective. Venice, Italy (9 Oct 2018)

Social Rights and Mobility. Network of legal experts (MoveS) seminar: 'Free Movement of Workers and Social Security', Nikosia, Cyprus (28 Sep 2018)

Mehr Brüssel oder mehr Berlin? Steuern und Sozialleistungen in Europa von Morgen. Max Planck Day, Max Planck Institute for Tax Law and Public Finance, Munich (4 Sep 2018)

Die Europäische Säule sozialer Rechte. Georg August University, Göttingen (19 Jun 2018)

Comment on James Hathaway: 'Assigning Protection: Can Refugee Rights and State Prefer-

ences be Reconciled? JITE Conference, Florence, Italy (7 Jun 2018)

Principles and Reforms of German Old Age Pension Insurance. Tsinghua University, Beijing Shi, China (25 May 2018)

Social Self-Government as Decentralised Administration in German Social Insurance. Beijing University (Beida), Beijing Shi, China (24 May 2018)

Financial Crisis and Social Security Reforms in Germany. Renmin University, China (23 May 2018)

Financial Crisis and Social Security Reforms in Germany. China University of Political Science and Law (CUPL), China (22 May 2018)

Asylrecht und Asylpraxis. Studies Day: 'Asyl: Politik und Praxis im Konflikt', Tutzing, Evangelische Akademie (18 May 2018)

Mindestsicherung, Sozialhilfe und Co. – Mindesteinkommenssysteme in Europa. Deutscher Fürsorgetag: Fachforum 1.9 'Mindestsicherung, Sozialhilfe und Co. – Mindesteinkommenssysteme in Europa', Stuttgart (16 May 2018)

Die soziale Sicherung Selbständiger in Europa. Cologne's 16th Social Law Day, Cologne (13 Mar 2018)

Medizinische Innovationen als Aufgabe des Sozialrechts am Beispiel der Companion Diagnostics in der GKV (with Simone von Hardenberg). University Hospital, Tübingen (29 Jan 2018)

### **Chesalina, Olga**

Коронавирус как вызов наиболее уязвимым группам занятого населения [Coronavirus as a Challenge to the Most Vulnerable Employed Persons]. Online Conference: IV Siberian Legal Readings: 'State and Law in the Conditions of Global Restrictions', Tyumen State University, Russia (30 Oct 2020)

Последствия цифровой трансформации для сферы труда и ее правового регулирования [Implications of Digital Transformation for the World of Work and its Legal Regulation]. Online Workshop: 'Effective Protection of Employees in the EU: Experience and Prospects for Borrowing European Experience', National Research Nizhny Novgorod State University, Russia (28 Sep 2020)

Platform Work in Russia: Implications for Labour and Social Law in Russia (with Tatiana Korshunova). Reshaping Work Novi Sad Conference, Serbia (28 Feb 2020)

Platform Work in Russia and in EU Countries: A Comparative Study. International Seminar: 'Labour Relations in the BRICS Countries in the Conditions of Precarization of Employment', Tyumen, Russia (20 Feb 2020)

What is Really New? Critical Assessment of Empirical Studies and Implications for Social Security. Conference: 'Social Law 4.0: New Approaches for Ensuring and Financing Social Security for the Digital Age', Max Planck Institute for Social Law and Social Policy, Munich (12 Dec 2019)

Grundrente in Deutschland (with Linxin He and Nikola Wilman). Scientific Discussion, Max Planck Institute for Social Law and Social Policy, Munich (11 Dec 2019)

'Glass Employees' vs. Platform Workers: Are There Any Differences? ADAPT Conference: 'Labour is not a Commodity' Today, Bergamo, Italy (29 Nov 2019)

Транснациональные аспекты работы посредством платформ: трудовые и социально-правовые аспекты [Transnational Aspects of Platform Work: Labour and Social Law Aspects]. International University MITSO, Minsk, Belarus (1 Nov 2019)

Social Security of Platform Workers – Cross-Border Dimension: Legislative Measures Inside and Outside of Social Law. 'Labour 2030', II Inter-

national Congress: 'Work Innovation. Are We Ready?', Porto, Portugal (20 Sep 2019)

Rethinking the Notion of Employer for the Gig-Economy (on the Example of Platform Work in the Transportation Sector): Russian and EU Experience Compared. ILERA European Congress, Düsseldorf (6 Sep 2019)

Employees vs. Self-Employed – The Importance of the Status Determination Procedure in Germany. Russian-German Workshop: 'Judicial Protection of Social Rights in Russia and Germany', Saint Petersburg State University, Russia (21 Jun 2019)

Information and Algorithmic Control in Case of Standard and Non-Standard Employment. International Scientific-Practical Conference: 'Standard and Non-Standard Employment: Research and Regulation Perspectives', Kutafin Moscow State Law University, Russia (31 May 2019)

Social Law 4.0: New Approaches to Ensuring and Financing Social Security for the Digital Age. BMBF-Forum International: 'The Future of Work', Berlin (21 May 2019)

Уничтожение рабочих мест в результате роботизации и автоматизации. Изменение подходов к переобучению в России и Европе [Destruction of Jobs as a Result of Robotization and Automation. Changing Approaches to Retraining in Russia and Europe]. Videoconference: 'New Trends in Labour Regulation and their Reflection in European Law', Nizny Novgorod State University, Russia (23 Apr 2019)

Экономика будущего: тенденции развития и человек [Economy of the Future: Development Trends and People]. International Youth Labour Forum, Saint Petersburg, Russia (27 Feb 2019)

Platform Work as a New Form of Employment: Implications for Labour and Social Law. Conference: 'New Forms of Employment. Current Problems and Future Challenges', Rzeszow University, Poland (26 Nov 2018)

Природа правоотношений между платформой, заказчиком и исполнителем [The Nature of the Relationship between the Platform, the Customer and the Service Provider]. Workshop: 'Оказание услуг исполнителями через интернет-платформы: вызов классическим представлениям о правоотношениях [Provision of Services via Online Platforms: Challenge to Classical Ideas about Legal Relationships]', Saint Petersburg State University, Russia (22 Nov 2018)

Вызовы цифровой экономики для права социального обеспечения [Challenges of the Digital Economy for Social Security Law]. IX Perm Legal Congress: 'Legal Regulation of the Digitalization of Society: Priority Tasks', Germany (27 Oct 2018)

Transformation of Work and Labour Relations without Transformation of Labour Law. Current Problems in Russia. Industrial Relations in Europe Conference: 'Employment Relations in the 21st Century: Challenges for Theory and Research in a Changing World', KU Leuven, Belgium (10 Sep 2018)

Перспективы регулирования работы на основе интернет-платформ на европейском и международном уровнях [Prospects for Regulation of Platform Work at the European and International Levels]. VII Summer School: 'Social and Labour Relations with the Participation of Foreign Subjects', Saint Petersburg State University, Russia (24 Jun 2018)

Social Protection of Digital Platform Workers: a Comparative Study. International Conference: 'Labour and Employment in the Era of Platform Capitalism', Dauphine University, Paris, France (6 Jun 2018)

Категории занятого населения в трудовом праве и праве социального обеспечения в условиях цифровой экономики [Employment Categories in Labour Law and Social Security Law under the Conditions of Digital Economy]. International Scientific-Practical Conference: 'General and Special Legislation on Labour and

Social Security', Kutafin Moscow State Law University, Russia (24 May 2018)

#### **Domenici, Irene**

The ECtHR in the Case of Grimmark v. Sweden. When the Healthcare System's Organisation Trumps Freedom of Conscience. 'Aktuelle Stunde', Max Planck Institute for Social Law and Social Policy, Munich (6 May 2020)

End-of-life Cases in Italy: An Overturn of the Constitutional Order? 'Aktuelle Stunde', Max Planck Institute for Social Law and Social Policy, Munich (20 Nov 2019)

Bioethical Questions and the Public Healthcare Systems. Event: 29th World Congress of the International Association for Philosophy of Law and Social Philosophy, Lucerne, Switzerland (8 Jul 2019)

Tecnologie sanitarie innovative: il diritto di fronte all'incertezza etica e scientifica. Studies Day: 'Le (in)certezze del diritto', Trento, Italy (18 Jan 2019)

Italy's Proposed Pension Reform: The 'Quota 100' within the 'People's Budget'. 'Aktuelle Stunde', Max Planck Institute for Social Law and Social Policy, Munich (28 Nov 2018)

#### **Grinblat, Roman**

Zugang und Erstattung von Companion Diagnostics in der GKV (with Ulrich Becker). Information Meeting on new PARPi Admissions for Ovarian and Breast Cancer, Universitätsklinikum Regensburg (25 Jul 2019)

#### **Günther, Christian**

How the Rule of Law can Support an Effective Crisis Response in the United Kingdom. 'Aktuelle Stunde', Max Planck Institute for Social Law and Social Policy (29 Apr 2020)

The Long Shadow of Legal Aid Reforms in England and Wales. 'Aktuelle Stunde', Max Planck

Institute for Social Law and Social Policy, Munich (17 Nov 2019)

#### **Hardenberg, Simone von**

Personalisierte Medizin für Kassenpatienten? (with Ulrich Becker). Max Planck Institute for Social Law and Social Policy, Munich (5 Feb 2019)

Medizinische Innovationen als Aufgabe des Sozialrechts am Beispiel der Companion Diagnostics in der GKV (with Ulrich Becker). Tübingen (29 Jan 2018)

#### **He, Linxin**

Grundrente in Deutschland (with Olga Chesalina and Nikola Wilman). Scientific Discussion, Max Planck Institute for Social Law and Social Policy, Munich (11 Dec 2019)

Les droits sociaux fondamentaux comme source du droit. Studies Day: 'Les sources en droit', Université Jean-Moulin Lyon 3, France (20 Jun 2019)

Reform in stürmischen Zeiten: Frankreichs neue Arbeitslosenversicherung. Meeting of the Board of Trustees, Max Planck Institute for Social Law and Social Policy, Munich (12 Apr 2019)

Le système de sécurité sociale de l'UE constitue-t-il un modèle pour la Chine? Trans-European Experts, Colloquium: 'L'Union européenne vue d'ailleurs', Paris, France (5 Apr 2019)

Droit commun, Jus Commune, Common Law. Workshop: 'Jus commune', Collège du France, Paris, France (3 Dec 2018)

#### **Hohnerlein, Eva Maria**

Conceptos de Conciliación en Alemania – perfiles de la legislación social, prácticas de emergencia y perspectivas. [German Concepts – Social Law Basics, Practices during the Crisis and Perspectives]. 12th International Colloquium on Social Security, 'Conciliación de la vida laboral y familiar': 'Retos del derecho social para lograr

la conciliación de la vida familiar y laboral en tiempos del Covid-19', Universidad Autónoma del Estado de Morelos, Facultad de Derecho y Ciencias Sociales, Cuernavaca, Mexico (6 Oct 2020)

Discrimination on Grounds of Age in European Court of Justice Case Law. Seminar for the Members of the Judiciary: 'EU Anti-Discrimination Law', Trier (13 Nov 2019)

Prohibition of Age Discrimination under European Law: A Case for Affirmative Action? XVI International Seminar on Fundamental Rights: 'Políticas orientadas para a igualdade e ações afirmativas no direito internacional, no direito comparado e no Brasil', PUC, Porto Alegre (RS), Brazil (13 Aug 2019)

Discrimination of Women in the Labour Market – Persisting Challenges for Germany in Light of the European Union Framework. Escola Judicial, Porto Alegre (RS), Brazil (15 Aug 2019)

Cross-Border Child Benefits in Germany: Case Law and Current Challenges. Seminar on the current issues of coordination of family benefits in the EU, Rijeka University, Rijeka, Croatia (26 Apr 2019)

Transformation der sozialstaatlichen Architektur Italiens: Der lange Weg zu einem allgemeinen Recht auf Existenzsicherung. Internal presentation: 'Wissenschaftliches Gespräch', Max Planck Institute for Social Law and Social Policy, Munich (19 Dec 2018)

Dynamisierung gesetzlicher Renten im Vergleich – Entwicklungstendenzen und internationaler Rechtsrahmen. Conference of the Deutsche Rentenversicherung (DRV): 'Alterssicherung im internationalen Vergleich und europäische Sozialpolitik', Erkner (13 Nov 2018)

Aktuelle Fragen zum Kindergeld für EU-Ausländer/innen. 'Aktuelle Stunde', Max Planck Institute for Social Law and Social Policy, Munich (3 Apr 2018)

**Hruschka, Constantin**

Überschätztes Recht: Lösen neue Gesetze praktische Probleme im Migrationsbereich? Max Planck Forum, Munich (25 Mar 2019)

Excluded by Enhanced Migration Management? (with Tim Rohmann). Refugee Research Network, Eichstätt (6 Oct 2018)

Abschaffung des Rechts durch Gesetzesflut im Migrationsbereich? (with Tim Rohmann). 4th Congress of the German-speaking Associations for Legal Sociology, Basel, Switzerland (15 Sep 2018)

Asylrecht im Spannungsfeld von Migrationssteuerung und individuellem Schutz. (with Tim Rohmann). Policy Meeting Population Europe, Berlin (28 Jun 2018)

The German Legislator as an Actor of Exclusion in the Asylum Area since 2015 (with Tim Rohmann). Event: The Challenges of Migration, Integration and Exclusion, Halle (27 Feb 2018)

Jenseits der Praxis? Die aktuellen Vorschläge für eine Reform des Gemeinsamen Europäischen Asylsystems (GEAS) aus rechtlicher und praktischer Sicht. Max Planck Institute for Social Law and Social Policy, Munich (8 Feb 2018)

Aktuelle Rechtsänderungen und die Auswirkungen auf die syrischen Flüchtlinge in Deutschland – eine Untersuchung (with Tim Rohmann). Hohenheim Days on Migration Law, Hohenheim, Germany (27 Jan 2018)

**Petrova, Teodora**

Protection of Labour Standards in the Garment Supply Chains in Eastern Europe: A Study on the Interaction of Corporate Self-Regulation and the Law. 6th Regulating for Decent Work Conference, International Labour Office, Geneva, Switzerland (8 Jul 2019)

The Winding Development of the Bulgarian Pension Reforms: A Look at the Last 10 Years.

Event: 'ILO and Bulgaria: 100 Years and Looking to the Future', University of Sofia, Sofia, Bulgaria (28 Jun 2019)

**Plank, Kristine**

The State as an Actor on the Pharmaceutical Market. An Examination of the Legal Framework for State Subsidies for and Participation in Pharmaceutical Companies during the COVID-19 Pandemic. Online-Workshop, Project: 'The Fragmented Nature of Pandemic Decision-Making: Comparative and Multilevel Legal Analysis', Max Planck Institute for Comparative and International Law, Heidelberg, Max Planck Institute for Social Law and Social Policy, Munich (11 Dec 2020)

Innovationsverantwortung des Staates für Arzneimittel. Doctoral Candidates' Seminar held by the Deutscher Sozialrechtsverband e.V. and the Max Planck Institute for Social Law and Social Policy, Munich (9 Jul 2019)

Werbung für den Abbruch der Schwangerschaft. Reform des §219a StGB? 'Aktuelle Stunde', Max Planck Institute for Social Law and Social Policy, Munich (14 Nov 2018)

**Rohmann, Tim**

Vulnerability in the Case Law of the European Court of Human Rights. VULNER Workshop, Halle (20 Feb 2020)

Exklusionsmechanismen im Migrationsprozess. Hohenheim Days on Migration Law, Hohenheim (25 Jan 2020)

Ausgrenzung im Gesetz verAnkERn?! Rechtliche Rahmenbedingungen für die Unterbringung Asylsuchender. Day with Science of the Max Planck Society, Berlin (11 Oct 2019)

AnkER Centres. Meeting of the Research Initiative: 'The Challenges of Migration and Integration', Munich (17 Jun 2019)

German Hyperactivity. London, United Kingdom (4 Jun 2019)

Verfahrensrechte in der Krise – Anker-Zentren und die Beschleunigung von Asylverfahren. Hohenheim Days on Migration Law, Stuttgart (26 Jan 2019)

Excluded by Enhanced Migration Management? The Plans for Faster and More Efficient Asylum Procedures in Germany (with Constantin Hruschka). Refugee Research Network, Eichstätt (6 Oct 2018)

Abschaffung des Rechts durch Gesetzesflut im Migrationsbereich? (with Constantin Hruschka). 4th Congress of the German-speaking Associations for Legal Sociology, Basel, Switzerland (15 Sep 2018)

Asylrecht im Spannungsfeld von Migrationsteuerung und individuellem Schutz (with Constantin Hruschka). Policy Meeting Population Europe, Berlin (28 Jun 2018)

The German Legislator as an Actor of Exclusion in the Asylum Area since 2015 (with Constantin Hruschka). Event: 'The Challenges of Migration, Integration and Exclusion', Halle (27 Feb 2018)

Aktuelle Rechtsänderungen und die Auswirkungen auf die syrischen Flüchtlinge in Deutschland – eine Untersuchung (with Constantin Hruschka). Hohenheim Days on Migration Law, Hohenheim (27 Jan 2018)

### **Schneider, Simone M.**

Public Opinion on Healthcare: Policy Implications and Research Directions. European Commission, Brussels, Belgium (13 Sep 2019)

It's not just the Average Other! How the Distribution of Earnings at the Workplace affects Employees' Earning Expectations and Justice Evaluations (with Hawal Shamon and Stefan Liebig). ISA RC28 Spring Meeting, Frankfurt a.M. (21 Mar 2019)

Ungleich = Unzufrieden? Statuswahrnehmung und der Zusammenhang zwischen Einkommensungleichheit und Lebenszufriedenheit. Ludwig Maximilians University, Munich (28 Nov 2018)

Inequality and Life Satisfaction. University Vienna, Vienna, Austria (26 Nov 2018)

It's not Just the Average Other! How Income Inequality in the Workplace affects Employees' Assessment of Reward Justice (with Hawal Shamon and Stefan Liebig). LINOS-2 Workshop at the German Institute for Economic Research (DIW), Berlin (14 Sep 2018)

How Unfair are Structural Inequalities in Healthcare? The Role of Institutions (with Ellen Immergut). Biennial Meeting of the International Society for Justice Research (ISJR), Atlanta, USA (26 Jul 2018)

It's not Just the Average Other! How Income Inequality in the Workplace affects Employees' Assessment of Reward Justice (with Hawal Shamon). Biennial Meeting of International Society for Justice Research (ISJR), Atlanta, USA (28 Jul 2018)

Do Institutions Matter? Studying the Performance of Health Care Systems from a Migrant's Perspective. Norface Welfare State Futures Programme – Final Conference, Florence, Italy, (24 May 2018)

The Role of Health Systems in Legitimizing Inequalities in Healthcare (with Ellen Immergut). Norface Welfare State Futures Programme – Final Conference, Florence, Italy (25 May 2018)

Is Unequal Healthcare Unfair? The Role of Institutions and Societal Context in Health Justice Evaluations (with Ellen Immergut). International Conference of Europeanists, Council for European Studies, Chicago, USA (30 Mar 2018)

### **Schubert, Nina**

Effektiver Schutz sozialer Rechte? Eine empirische Untersuchung des Widerspruchsverfahrens

im Sozialrecht. Meeting of the Board of Trustees, Max Planck Institute for Social Law and Social Policy, Munich (12 Apr 2019)

Effektiver Schutz sozialer Rechte? Eine empirische Untersuchung des Widerspruchsverfahrens im Sozialrecht. Meeting of the Scientific Advisory Board, Max Planck Institute for Social Law and Social Policy, Munich (13 Apr 2018)

### **Seemann, Anika**

20 Jahre schwedische Prämienrente – Rückschau und aktuelle Reformvorhaben. Scientific Discussion, Max Planck Institute for Social Law and Social Policy, Munich (9 Sep 2020)

Arbeitsmarktpolitische Maßnahmen in Coronazeiten im Rechtsvergleich – Erste Informationen und Diskussion (with Ulrich Becker, Linxin He, Eva Maria Hohnerlein and Nikola Wilman). Scientific Discussion, Max Planck Institute for Social Law and Social Policy, Munich (8 Apr 2020)

The Boundaries of Welfare – Migrant Groups and National Minorities in Scandinavian Social Policy, 1918–1940. Danish Centre for Welfare Studies, Odense, Denmark (26 Nov 2019)

The Danish ‘Ghetto Initiatives’ and the Changing Nature of Social Citizenship, 2014–2018. Scientific Discussion, Max Planck Institute for Social Law and Social Policy, Munich (19 Oct 2019)

‘Mentalities of War, Mentalities of Peace’: Capital Punishment in the Norwegian ‘Treason Trials’, 1941–1957. Conference: ‘Reshaping the Nation: Collective Identities and Post-War Violence in Europe, 1944–48’, Charles University, Prague (16 May 2019)

Sozialrecht und Vergangenheitspolitik: Vom Umgang mit deutschen Renten für westeuropäische NS-Kollaborateure, 1950–2019. ‘Aktuelle Stunde’, Max Planck Institute for Social Law and Social Policy, Munich (13 Mar 2019)

The ‘Temporal Turn’ and the Study of Social Law. ‘Aktuelle Stunde’, Max Planck Institute for Social Law and Social Policy, Munich (7 Nov 2018)

The Concept of ‘Community’ in Scandinavian Social Law, 1919–1940. Scientific Discussion, Max Planck Institute for Social Law and Social Policy, Munich (21 Oct 2018)

### **Tonti, Lauren**

A Social Law Lens on Maternal Mortality in the U.S.: Lessons from Germany and the Netherlands. 16th World Congress on Public Health 2020, Rome, Italy (12 Oct 2020)

Femtech Fatale: Access to Femtech in Public Health Insurance Systems. 16th World Congress on Public Health 2020, Rome, Italy (12 Oct 2020)

The Law vs. The Virus: Comparing Legal Responses to the Coronavirus Pandemic. ‘Aktuelle Stunde’, Max Planck Institute for Social Law and Social Policy, Munich (18 Mar 2020)

### **Wilman, Nikola**

Grundrente in Deutschland (with Olga Chesalina and Linxin He). Scientific Discussion, Max Planck Institute for Social Law and Social Policy, Munich (11 Dec 2019)

## **6 TEACHING**

### **6.1 REGULAR COURSES**

*Winter Term 2020/21*

#### **Seminar ‘Grundlagenseminar zum Öffentlichen Recht: Rechtsfragen der Corona-Epidemie’**

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

#### **Seminar ‘Schwerpunktseminar zum Sozialrecht’ (elective subject areas 5 and 10)**

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Lecture 'Grundlagen des Sozialversicherungsrechts'** (elective subject areas 5 and 10)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Lecture 'Servizi sanitari e pandemia'**

Irene Domenici  
Università degli Studi di Trento, Trento, Italy

**Tutorial 'Propädeutische Übung zum Grundkurs öffentliches Recht AG 20/04'**

Franciska Engeser  
Ludwig-Maximilians-Universität, Munich (LMU)

**Tutorial 'Propädeutische Übung zum Grundkurs öffentliches Recht im ersten Semester AG 20/01'**

Franciska Engeser  
Ludwig-Maximilians-Universität, Munich (LMU)

**Lecture 'Recht und Migration'**

Tim Rohmann  
Duale Hochschule Baden-Württemberg

**Lecture 'Rechtliche Zugänge Flucht, Migration, Gesellschaft'**

Tim Rohmann  
Katholische Universität Eichstätt-Ingolstadt

**Lecture 'Introduction to Criminal Procedure in the United States'**

Lauren Tonti  
Ludwig-Maximilians-Universität, Munich (LMU)

*Summer Term 2020*

**Examinatorium** (elective subject areas 5 and 10)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Grundlagenseminar zum Öffentlichen Recht: Ausländer- und Asylrecht'**

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Schwerpunktseminar zum Sozialrecht'** (elective subject areas 5 and 10)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Lecture 'Sozialrecht im Unternehmen'** (elective subject area 5)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Area of Freedom, Security and Justice'**

Linxin He  
Université Panthéon-Sorbonne (Paris I), Paris, France

**Lecture 'Empirische Juristische Studien'**

Sergio Rubens Mittlaender Leme de Souza  
Fundação Getulio Vargas Law School, São Paulo (FGV Direito SP), Brazil

**Lecture 'Komplexe Verträge'**

Sergio Rubens Mittlaender Leme de Souza  
Institution: Fundação Getulio Vargas Law School, São Paulo (FGV Direito SP), Brazil

**Lecture 'Recht und Ökonomik'**

Sergio Rubens Mittlaender Leme de Souza  
Fundação Getulio Vargas Law School, São Paulo (FGV Direito SP), Brazil

**Lecture 'Introduction to Criminal Law in the United States'**

Lauren Tonti  
Ludwig-Maximilians-Universität, Munich (LMU)

*Winter Term 2019/2020*

**Lecture 'Grundlagen des Sozialversicherungsrechts'**

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Grundlagenseminar zum Öffentlichen Recht: Verfassungs-, Europa- und Sozialrecht'**

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Schwerpunktseminar zum Sozialrecht'** (elective subject areas 5 and 10)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Perceptions of Social Inequality in Comparative Perspective'**

Simone M. Schneider  
Universität Bielefeld

**Seminar 'Sozialstrukturelle Bedingungen und Folgen individuellen Handelns'**

Simone M. Schneider  
Universität Bielefeld

**Seminar 'The New Institutionalism – Theory and Application'**

Simone M. Schneider  
Universität Bielefeld

*Summer Term 2019*

**Examinatorium** (elective subject areas 5 and 10)  
Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Grundlagenseminar zum Öffentlichen Recht: 70 Jahre Grundgesetz – Vergangenheit und Zukunft grundlegender verfassungsrechtlicher Fragen'**

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Schwerpunktseminar zum Sozialrecht'** (elective subject areas 5 and 10)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Lecture 'Vertragsrecht'**

Sergio Rubens Mittlaender Leme de Souza  
Fundação Getulio Vargas Law School, São Paulo (FGV Direito SP), Brazil

*Winter Term 2018/2019*

**Seminar 'Grundlagenseminar zum Öffentlichen Recht: Verfassungs-, Europa- und Sozialrecht'**

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Lecture 'Grundlagen des Sozialversicherungsrechts'** (elective subject area 5)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

*Summer Term 2018*

**Seminar 'Aktuelle Fragen des Sozialrechts'**

(elective subject areas 5 and 10)  
Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Examinatorium** (elective subject area 5)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Grundlagenseminar zum Öffentlichen Recht: Recht des Überwachungsstaates'**

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

*Winter Term 2017/2018*

**Examinatorium 'Sozialversicherungsrechtliche Fallbesprechung'** (elective subject area 5)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Seminar 'Grundlagenseminar zum Öffentlichen Recht: Verfassungs-, Europa- und Sozialrecht'**

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**Lecture 'Grundlagen des Sozialversicherungsrechts'** (elective subject area 5)

Ulrich Becker  
Ludwig-Maximilians-Universität, Munich (LMU)

**6.2 GUEST LECTURES**

*11 Dec 2020*

**Lecture 'Удаленный/дистанционный труд как новая реальность [Remote Work/Telework as a New Reality]'**

Olga Chesalina  
N. I. Lobachevsky State University of Nizhny Novgorod, Russia

*16 Dec 2019*

**Lecture 'Macht Ungleichheit (un-)zufrieden? Die Bedeutung der persönlichen Statuswahrnehmung'**

Simone M. Schneider  
Hamburg University, Hamburg, Germany

31 Oct 2019

**Lecture ‘Защита персональных данных занятых лиц в условиях цифровой экономики [Protection of Employees’ Personal Data in the Digital Economy]’**

Olga Chesalina  
International University MITSO, Minsk, Belarus

10 Nov 2018

**Seminar ‘Harmonisierung und Koordinierung der Sozialleistungen in den EU Ländern’**

Ulrich Becker  
National Chengchi University, Taipei, Taiwan



Prof. Ulrich Becker held a seminar at the National Chengchi University in Taipei.

10 Nov 2018

**Seminar ‘Freizügigkeit und Sozialrechte der EU-Bürger’**

Ulrich Becker  
National Chengchi University, Taipei, Taiwan

10 Nov 2018

**Seminar ‘EU-Grundrechtencharta und die soziale Marktwirtschaft’**

Ulrich Becker  
National Chengchi University, Taipei, Taiwan

17 Sep 2018

**Lecture ‘Цифровая экономика как вызов для трудового права и права социального обеспечения [The Digital Economy as a Challenge for Labour and Social Security Law]’**

Olga Chesalina  
Higher School of Economics, Saint Petersburg, Russia

15 Sep 2018

**Lecture ‘Цифровая экономика как вызов для трудового права и права социального обеспечения [The Digital Economy as a Challenge for Labour and Social Security Law]’**

Olga Chesalina  
Saint Petersburg State University, Saint Petersburg, Russia

22–25 May 2018

**Lecture ‘Grundlagen des deutschen Sozialrechts’**

Ulrich Becker  
Renmin Law School, Beijing, China

25 Apr 2018

**Lecture ‘The Twofold Approach on Children’s Rights under European Law’**

Teodora Petrova  
Inter-University Centre Dubrovnik, Dubrovnik, Croatia

## 7 REFEREEING

### Schneider, Simone

*Journals:* European Sociological Review, Sociological Methodology, Acta Sociologica, International Journal of Social Welfare, Socio-Economic Review, Social Justice Research, Journal of Happiness Studies, Societies, British Journal of Health Psychology, Journal of European Social Policy, Psychological Reports, Applied Research in Quality of Life, Innovation in Aging, Perspectives on Psychological Science, Social Science Research

*International Projects:* ERC Consolidator Grant 2019 (European Commission), Fourth Political Economy Research Fellowship of the Independent Social Research Foundation, United Kingdom, 2020

*Other:* SOEP-Innovationsstichprobe 2018, DIW

## 8 MEMBERSHIPS, EDITORSHIPS AND AFFILIATIONS

### Becker, Ulrich

Honorary Professor at the Ludwig-Maximilians-Universität, Munich

#### *Editorships*

Neue Zeitschrift für Sozialrecht (NZS), Munich (co-editor)

Schriften zum Sozialrecht, Baden-Baden (co-editor) (until 2011: Schriften zum deutschen und europäischen Sozialrecht)

Studien aus dem Max-Planck-Institut für ausländisches und internationales Sozialrecht, Baden-Baden

Zeitschrift für ausländisches und internationales Arbeits- und Sozialrecht (ZIAS), Heidelberg (co-editor)

Zeitschrift für europäisches Sozial- und Arbeitsrecht (ZESAR), Wiesbaden (co-editor)

Kommentar zum SGB I (editor of the volume), editorial director: W. Noftz, Berlin

MPISoc Working Papers Law, Munich

Social Law Reports, Munich

#### *Committee Activities*

Executive Board (Chairman), Gesellschaft für Rechtsvergleichung

Executive Board (Chairman), Deutscher Sozialrechtsverband

\*

Research Advisory Board of the journal 'International Social Security Review' (ISSA)

Research Advisory Board of the journal 'Shehui Baozhang Yanjin' (Social Security Studies), Beijing

Research Advisory Board of the journal 'Vierteljahresschrift für Sozial- und Arbeitsrecht'(VSSR)

Research Advisory Board of the journal 'Revue de Droit Comparé du Travail et de la Sécurité Sociale', Bordeaux

Board of Trustees, Katholischen Stiftungshochschule München

Main Committee, Deutscher Verein für öffentliche und private Fürsorge e.V.

Board of Trustees, Institut für europäische Verfassungswissenschaften, FernUniversität Hagen

Expert Committee, 'Internationale Zusammenarbeit und europäische Integration', Deutscher Verein für öffentliche und private Fürsorge e.V.

Selection Committee of Alexander-von-Humboldt-Stiftung

Advisory Board, Forschungsnetzwerk Alterssicherung (FNA), Deutsche Rentenversicherung Bund (DRV)

Executive Board (Chair), Human Sciences Section, Max Planck Society (MPG)

Tenure Board, Universität Regensburg

\*

Academia Europea (The Academy of Europe), London, United Kingdom

Disciplinary Committee of the German Athletics Association (DLV)

Selection Committee for the conferral of the dissertation award, Gesellschaft zur Förderung der sozialrechtlichen Forschung e.V.

### Hruschka, Constantin

Editorial Board of the journal 'Asyl. Schweizerische Zeitschrift für Asylrecht und Asylpolitik'

Advisory Board of Equal Rights Beyond Borders e.V.

Advisory Board of the Refugee Law Clinic Munich e.V.

Advisory Board of the Refugee Law Clinics Deutschland e.V.

Advisory Board of AsylLex (Switzerland)

Fellow, McLaughlin College, York University (Toronto, Canada)

Senior Research Associate, School of Advanced Study, University of London

## 9 HONOURS, AWARDS AND APPOINTMENTS

### Grinblat, Roman

*Professorship* in the study programme Social Management, DHBW Heidenheim

**Hardenberg, Simone von**

*Professorship in Social and Health Law, Hochschule für angewandte Wissenschaften Munich*

**Schneider, Simone**

*Deputy Professorship in Social Inequality and Social Structure, University of Bielefeld, Winter Term 2019/2020*

**Seemann, Anika**

*Minerva Fast-Track Fellowship 2020, Max Planck Society*

*Early Career Grant 2020, Danish Centre for Welfare Studies, Syddansk Universitet, Denmark*

*Sign Up! Career Building Programme for Female Postdocs, Max Planck Society, 2019–2020*

**10 EXPERTISES****Becker, Ulrich**

Vergütung ambulanter ärztlicher Leistungen im Rechtsvergleich (in Zusammenarbeit mit L. Busatta, T. Gächter, K. Gerber, Z. de Jong, F. Kessler und G. Vonk), Gutachten im Auftrag des Bundesministeriums für Gesundheit [Reimbursement of Out-Patient Medical Treatment from a Comparative Perspective (with L. Busatta, T. Gächter, K. Gerber, Z. de Jong, F. Kessler and G. Vonk), Expert's Report Commissioned by the Bundesinnenministerium], 2019, available at: <https://www.bundesgesundheitsministerium.de/service/publikationen/ministerium/details.html?bmg%5Bpubid%5D=3372>)

Gutachten zur Weiterentwicklung der Bedarfsplanung i.S.d. §§99ff. SGB V zur Sicherung der vertragsärztlichen Versorgung [Expert's Report on the Further Development of Assessment of Demand in the Sense of §§99ff. SGB V on Securing Outpatient Care], Teil F: Juristischer Teil. In: Enderbericht 'Gutachten zur Weiterentwicklung

der Bedarfsplanung i.S.d. §§99ff. SGB V zur Sicherung der vertragsärztlichen Versorgung', 2018 (2018), pp. 621–699

**Hohnerlein, Eva Maria**

Gutachten vom 7. Juni 2020: für das OLG Frankfurt a. M., 5. Senat für Familiensachen, (Beschl. vom 28.2.2018) [Expert's Report of 7 June 2020: Oberlandesgericht Frankfurt am Main, 5th Senate for Family Issues, (Court Ruling 28.02.2018)], Oberlandesgericht Frankfurt am Main, 2020

**Hruschka, Constantin**

Stellungnahme des Sachverständigen Dr. Constantin Hruschka, Max-Planck-Institut für Sozialrecht und Sozialpolitik, München, zu den Anträgen der Fraktionen DIE LINKE. und BÜNDNIS 90/DIE GRÜNEN zur 'europäischen Flüchtlingspolitik' [Expert Opinion by Dr. Constantin Hruschka, Max Planck Institute for Social Law and Social Policy, Munich, on the Request of the Group of DIE LINKE. and BÜNDNIS 90/DIE GRÜNEN on 'European Policy on Refugees'] – BT-Drucksachen 19/22125 und 19/18680 – Ausschussdrucksache 19(4) 615 F, 2020, available at: <https://www.bundestag.de/resource/blob/801080/4a99363eccbd9aa210a92ae14c114a78/A-Drs-19-4-615-F-data.pdf>

Expertenmeinung zum Thema 'ANKER-Einrichtungen in Bayern' für die Expertenanhörung des Ausschuss für Verfassung, Recht, Parlamentsfragen und Integration des Bayerischen Landtags am 26. September 2019 [Expert Opinion on the Theme 'ANKER-Einrichtungen in Bayern' for the Expert Hearing of the Committee on Constitution, Legal and Parliamentary Affairs and Integration of the Bavarian State Parliament on 26 September 2019], available at: [https://pure.mpg.de/rest/items/item\\_3243648\\_2/component/file\\_3243649/content](https://pure.mpg.de/rest/items/item_3243648_2/component/file_3243649/content)

**Schneider, Simone**

Expert Opinion on 'Public Opinion Healthcare: Policy Implications and Research Directions' for

the European Commission, DG Health, 13 September 2019

## 11 EVENTS

### 11.1 SYMPOSIA, CONFERENCES, WORKSHOPS

12–13 Dec 2019

Workshop: **Social Law 4.0: New Approaches for Ensuring and Financing Social Security in the Digital Age**, Max Planck Institute for Social Law and Social Policy, Munich

**Ulrich Becker:** Welcome Address

- I. Starting Points: The Changing World of Work as a Challenge for Social Security  
**Ulrich Becker:** Social Security in the 21st Century  
**Olga Chesalina:** What is Really New? Critical Assessment of Empirical Studies and Implications for Social Security
- II. Ensuring Social Security: Employment Status Classification and Access to Social Security  
**Thomas Gächter:** Classification of Platform Workers – Implications for Social Security: The Swiss Example  
**Edoardo Ales:** (Mis)classification of Platform Workers – Critical Assessment of the Italian Experience  
**Philip Larkin:** Relationship between Employment Status and the Scope of Social Security Protection: The UK Example
- III. Ensuring Social Security: Innovative Solutions for Extending the Access to Social Security  
**Gijsbert Vonk:** Extending Social Insurance Schemes to ‘Non-Employees’ and Adapting Social Insurance Schemes to Hybrid Employment: The Dutch Example

**Natalie Videbæk:** Collective Agreements as an Instrument of Social Protection for Non-Standard and Platform Workers: The Danish Experience

**Annamaria Westregård:** Looking for the (Fictitious) Employer – Umbrella Companies: The Swedish Example

**Jan Drahoukoupil:** Looking for the (Fictitious) Employer – SMart Cooperative: The Belgian Example

- IV. Financing of Social Security: Experiences and New Approaches

**Borja Suárez Corujo:** The Influence of the Platform Economy on the Financing of Social Security: The Spanish Case

**Francis Kessler:** Social Security in the Platform Economy: The French Example – New Actors, New Regulations, Old Problems

**Gaabriel Tavits:** New Mechanisms of Calculating, Administering and Collecting Social Contributions and Taxes in the Platform Economy: The Estonian Case

- V. Transborder Perspective: The Future Role of the European Union

**Paul Schoukens:** Building Up and Implementing the European Standards

**Grega Strban:** Challenges to the Coordination of Social Security

**Aikaterini Pantazatou:** Taxation of the Platform Economy in the EU: What Are the Challenges and What Can We Learn for Social Security?

**Ulrich Becker:** Closing Remarks

17 Oct 2019

Second Panel of Experts: **In-Vitro-Diagnostics in the Public Healthcare System: Access, Evaluation and Reimbursement from an International Perspective**, Max Planck Institute for Social Law and Social Policy, Munich

**Ulrich Becker:** Welcome Address

**Roman Grinblat:** Presentation of the Research Project Market Access

**Sophie Meiser**, MedTech Europe, Brussels  
**Kerstin Wagner**, Siemens Health-  
 ineers, Frankfurt  
 Method Evaluation (HTA)

**Rebecca Albrow**, National Institute for  
 Health and Care Excellence, Manchester  
 Reimbursement

**Cédric Carbonneil**, Haute Autorité de  
 Santé, Saint-Denis La Plaine Cedex

**Gerhard Schillinger**, AOK-Bundesver-  
 band, Berlin

11 Nov 2019

15th Sports Law Symposium: **Gerechtigkeit  
 im Sport – Wann ist Hand ‘Hand’?**, joint event  
 of the Max Planck Institute for Social Law and  
 Social Policy Munich and the Max Planck Insti-  
 tute for Comparative and International Private  
 Law, Hamburg

**Reinhard Zimmermann**: Welcome Address

**Hans Christoph Grigoleit**: Gerechtigkeit im  
 Sport – Wann ist Hand ‘Hand’?

**Felix Brych, Christian Deckenbrock,  
 Gunter Gebauer**: Comments

**Ulrich Becker**: Chair of Discussion

8–9 Jun 2019

**Doctoral Candidates’ Seminar** held by the  
 Deutscher Sozialrechtsverband e.V. and the Max  
 Planck Institute for Social Law and Social Policy,  
 Munich

**Franziska Wolf**: Der elterngeldrechtliche  
 Einkommensbegriff

**Solveig Sternjakob**: Überindividueller  
 Rechtsschutz im deutschen Sozialrecht?

**Björn Christ**: Organmitgliedschaft und  
 Sozialversicherungspflicht

**Jan Labusga**: Kapitalanlage in der Sozial-  
 versicherung

**Christian Rink**: Die Regelung des ärztli-  
 chen Bereitschaftsdienstes in den Bereit-  
 schaftsdienstordnungen der Ärztekammer  
 und Kassenärztlichen Vereinigungen –  
 eine Bewertung aus öffentlich-rechtlicher  
 Perspektive

**Jasmin Haider**: Die Neuausrichtung des  
 Pflegeberufs an der Schnittstelle von  
 Berufs- und Sozialrecht: Ein Vergleich  
 der rechtlichen Rahmenbedingungen in  
 Deutschland, Österreich und der Schweiz  
**Marko Vraetz**: Ortsungebundene Digitalar-  
 beit – Arbeits- und sozialrechtlicher Schutz  
 neuer Arbeitsformen

**Mona Marie Vogt**: Die Auswirkung der  
 Qualität der Hilfsmittelversorgung auf den  
 Grad der Erwerbsminderung und damit  
 letztlich auf die Bemessung der Verletzten-  
 rente der gesetzlichen Unfallversicherung

**Kristine Plank**: Innovationsverantwortung  
 des Staates für Arzneimittel

**Juliane Ottmann**: Solidarität im Sozialstaat

**Jonas Ganter**: Mitwirkungspflichten und  
 Sanktionen im Aufenthalts- und Asylrecht

25 May 2019

Symposium: **Challenges to the ILO in the 21st  
 Century: On the Future Role of a 100-Year-Old  
 Organisation**, Max Planck Institute for Social  
 Law and Social Policy, Munich

**Andreas Hänlein**: Introduction

**Christian Walter**: Implementing Rights  
 at Work and Human Rights: A Compar-  
 ative Perspective on the Role of the ILO  
 Committee of Experts and Human Rights  
 Treaty Bodies

**Angelika Nußberger**: International Social  
 Standards and the Protection of Migrants

**Letlhokwa Mpedi**: The Influence of the  
 ILO on the Development of Social Secu-  
 rity and Labour Law in South Africa: A  
 Critical Review

**Ulrich Becker**: Social Protection in the 21st  
 Century: Potential Contribution of the ILO?

**Bernd Waas**: How to Ensure the Enforce-  
 ment of International Labour Standards in  
 the Future?

**Francis Maupain**: A Second Century for  
 What? The ILO at a Regulatory Crossroad

24 May 2019

Presentation: **Sozialrechtswissenschaft im  
 Dienste der Gesellschaft – zum Gedenken an**

**Bernd Baron von Maydell**, Max Planck Institute for Social Law and Social Policy, Munich

**Ulrich Becker**: Welcome Address

**Heinz-Dietrich Steinmeyer**: Bernd von Maydell in seiner Zeit in Berlin und Bonn

**Franz Ruland**: Bernd von Maydell in seiner Zeit in München

**Angelika Nußberger**: Bernd von Maydell als Brückenbauer zwischen Ost und West

7–9 Dec 2018

Conference: **Die Rente ist eben nicht sicher!**, Evangelische Akademie Tutzing, Tutzing

**Ulrike Haerendel**: Welcome Address and provision of historical background

**Hans Günter Hockerts**: Von Adenauers großer Rentenreform zu Riester: eine Geschichte in Zäsuren

**Tim Köhler-Rama**: Zum aktuellen Stand und zu den Reformpotenzialen der gesetzlichen Rentenversicherung

**Margarete Schuler-Harms**: Vom Lohngefälle zum Rentengefälle: Männer und Frauen in der gesetzlichen Rentenversicherung

**Rudolf Zwiener**: Arbeitsmarkt, demografischer Wandel und Rentenentwicklung

**Eckart Bomsdorf**: Die Rente im Sog des demografischen Wandels: Fakten, Folgen, Vorschläge

**Wolfgang Gründinger**: Generationengerechtigkeit fühlbar umsetzen!

**Udo Philipp**: Gute Ergänzung statt schlechter Ersatz: private Vorsorge nach schwedischem Modell

**Eckart Bomsdorf, Wolfgang Gründinger,**

**Udo Philipp, Franz Ruland**: Reformvorschläge in der Diskussion (Moderation: Ulrich Becker)

**Ulrich Becker**: Was können wir von anderen lernen? Reformbeispiele aus Europa

**Martin Staiger**: Wenn die Rente nicht zum Leben reicht – ein Vorschlag zur Reform der Grundsicherung

19 Nov 2018

14th Sports Law Symposium: **Gleichheit im Sport**, joint event of the Max Planck Institute for Social Law and Social Policy, Munich, and the Max Planck Institute for Comparative and International Private Law, Hamburg, Germany

**Reinhard Zimmermann**: Welcome Address

**Michael Sachs**: Gleichheit im Sport

**Christoph Becker, Anne Jakob, Mareike Miller, Petra Tzschope**: Comments

**Ulrich Becker**: Chair of Discussion

## 11.2 GUEST PRESENTATIONS

18 Nov 2020

Prof. Dr. **Carina Schmitt**, Universität Bremen: 'Kolonialismus und die Entstehung von Sozialpolitik im Globalen Süden: eine Nord-Süd-Geschichte'

27 May 2020

Dr. **Carolyn Moser**, Max Planck Institute for Comparative Public Law and International Law, Heidelberg; **Prof. Dr. Berthold Rittberger**, Ludwig-Maximilians-Universität, Munich: 'The CJEU and the (De-)Constitutionalization of EU Security Policies – An Interdisciplinary Inquiry'

13 Mar 2020

Prof. Dr. **Yves Jorens**, Director of IRIS (International Research Institute on Social Fraud), Ghent University, Belgium: 'Social Dumping: How Does the European Union React?'

12 Feb 2020

Prof. Dr. **Hirofumi Konishi**, Meiji University, Tokyo, Japan: 'Vorstudie zum Verständnis der integrierten Pflege- und Behindertenpolitik in Japan'

21 Nov 2019

Prof. **Dr. Paola Bozzao**, Università degli Studi di Roma, Italy: 'Guaranteed Minimum Income in Italy: Income Support, Work Proactivity and Social Inclusion'

31 Oct 2019

Prof. Dr. Dr. **Philipp Plugmann**: 'Innovationsumgebungen im Gesundheitswesen gestalten – eine multidimensionale Perspektive'

17 Jul 2019

Prof. Dr. **Shangyuan Zheng**, Tsinghua University, Beijing, China: 'The Evolution, Current Situation, Problems and References of the Legal System of Occupational Injury Insurance in China'

17 Jul 2019

Prof. Dr. **Tung-Jui Chang**, National Chengchi University, Taipei, Taiwan: 'Reform der Beamtenversorgung in Taiwan'

19 Jun 2019

**Franca Zadra**, Freie Universität Bozen, Italy: 'A Generous Law is Not Enough'. Networks of Practitioners for Migrants' Access to Healthcare: A Case Study in South Tyrol'

10 Apr 2019

Prof. Dr. **Ho-Geun Lee**, Chonbuk National University Law School, South Korea: 'Digitalisierung der Arbeitswelt – Herausforderungen und sozialrechtlicher Regulierungsbedarf – im Hinblick auf die soziale Sicherheit von 'Plattformbeschäftigten'

6 Mar 2019

Prof. Dr. **Akiyo Uozumi**, Josai-Kokusai International University, Togane, Japan: 'Mehrgenerationenhäuser als 'demografische Gestalter': Vorbild für japanische Kommune?'

13 Feb 2019

**Tiago Fensterseifer**, Pontificia Universidade Católica do Rio Grande do Sul, Porto Alegre, Brazil: 'Comparing the 'Fundamental' Right to Health Mitigation in Brazilian and German Judicial Systems: The Brazilian Judiciary's Dysfunctional Role in the Control of Public Health Policies?'

19 Dec 2018

**Michaela Lexer**, Karl-Franzens-Universität Graz, Austria: 'Grenzüberschreitende Telemedizin im europäischen Kontext'

21 Nov 2018

Dr. **Neliana Rodean**, University of Verona, Italy: 'Right to Education of EU Migrants: Challenges of (Dis)Integration'

24 Oct 2018

**Eun-Sun Lee**, Associate at the Korean Constitutional Court, South Korea: 'Prüfungsmaßstab für die sozialen Grundrechte in den Entscheidungen des koreanischen Verfassungsgerichts'

25 Sep 2018

Prof. **Gabriel Katana**, Pwani University, Kenya: 'Emerging Tensions among Generations in Kenya: Need for the Life-Long Learning and Social Policy'

19 Sep 2018

Dr. **Pelin Tuac Yilmaz**, Dokuz Eylül University, Izmir, Turkey: 'Social Protection of Turkish Employees According to European Union Social Security Law: In Respect to Old-Age Pension, Invalidity Pension and Death Benefits'

10 Jul 2018

Prof. Dr. **Ingo Sarlet**, Pontificia Universidade Católica do Rio Grande do Sul, Porto Alegre, Brazil: 'Neue Entwicklungen des Rechts auf Gesundheit in Brasilien'

30 May 2018

**Studer, Melanie**, Universität Basel, Switzerland: 'Zumutbare Arbeit in der Sozialhilfe: Grundsätzliches und Grundrechtliches aus der Schweiz'

9 May 2018

Prof. Dr. **Yuri Matsubara**, LL.M., Meiji University, Tokyo, Japan: 'Die Einführung der Sozialversicherungs-Steuernummer ('My number') in Japan – Aktuelle Probleme und Hinweise'

24 Apr 2018

**Mathias Moschel**, PhD, Central European University: 'Law, Lawyers and Race: Critical Race Theory from the US to Europe'

18 Apr 2018

**Mari-Liis Viirsalu**, University of Tartu, Estonia: 'Sozialleistungen zwischen Markt und Staat: Verantwortungsstruktur im sozialrechtlichen Dreieck am Beispiel des estnischen Rehabilitationsrechts'

21 Mar 2018

**Marta Coimbra**, Universidade de Coimbra, Portugal: 'Parametric Pension Reform in the Light of Social Security Fundamentals: The Portuguese Case'

21 Feb 2018

Prof. Dr. **Peter Herrmann**, Istituto di Studi Politici Economici e Sociali (Eurispes), Rome, Italy: 'WYSIWYG (What You See Is What You Get) – Also for Big Data?'

31 Jan 2018

Dr. **Tineke Dijkhoff**, Utrecht University, Netherlands: 'Recommendation on Social Protection Floors: Basic Principles for Innovative Solutions'

18 Jan 2018

Dr. **Tania Bazzani**, Humboldt-Universität, Berlin: 'European Unemployment Benefit Scheme: A Legal Perspective'

## 12 GUESTS AND DELEGATIONS

### 12.1 GUESTS

2 Mar – 13 Mar 2020

Prof. Dr. **Daniel Eryck Lach**, Poland, Uniwersytet im. Adama Mickiewicza w Poznaniu: 'Ambulant betreute Wohngruppen für Pflegebedürftige als Beispiel der Deinstitutionalisierung von Pflegeleistungen'

16 Feb – 14 Mar 2020

Prof. Dr. **Yves Jorens**, Belgium, Ghent University: 'International Employment and Social Dumping' and 'Specific Aspects of Employment in Aviation'

1 Feb – 29 Feb 2020

Prof. Dr. **Ingo Sarlet**, Brazil, Pontifícia Universidade Católica do Rio Grande do Sul: 'Datenschutz und Persönlichkeitsschutz im Gesundheitswesen'

1 Jan – 28 Feb 2020

**Ramon da Silva Sandi**, Brazil, Pontifícia Universidade Católica do Rio Grande do Sul: 'Menschenwürde, Sozialstaat und Sozialrecht in Brasilien und in Deutschland'

20 Jan – 14 Feb 2020

Prof. Dr. Dr. **Ku-Yen Lin**, Taiwan: '25 Jahre soziale Pflegeversicherung in Deutschland'

28 Oct – 6 Nov 2019

Prof. Dr. **Daniel Eryck Lach**, Poland, Uniwersytet im. Adama Mickiewicza w Poznaniu: 'Die Frage der ungerechtfertigten Bereicherung des Arbeitnehmers, für die der Arbeitgeber die Beiträge für die sozialen Versicherungen aus dem gerichtlich festgestellten Arbeitsverhältnis bezahlen muss'

5 Sep – 19 Sep 2019

Prof. Dr. **Katsuaki Matsumoto**, Japan, Kumamoto Gakuen University: 'Reformen der sozialen Sicherungssysteme – Vergleich zwischen Japan und Deutschland'

5 Sep – 19 Sep 2019

Dr. **Yumi Matsumoto**, Japan, Oita University: 'Die Organisation der GKV – Vergleich zwischen Japan und Deutschland'

15 Jul – 10 Aug 2019

Prof. Dr. **Shangyuan Zheng**, China, Tsinghua University: 'Das System des Deutschen Sozialrechts'

15 Jul – 31 Aug 2019

Prof. Dr. **Tung-Jui Chang**, Taiwan, National Chengchi University: 'Künstliche Intelligenz als eine Herausforderung zum System der sozialen Sicherung'

8 Jul – 20 Jul 2019

Prof. Dr. **Nai-Yi Sun**, Taiwan, National Taiwan University: 'Studies on the Compensation between the Social Welfare Authorities and the Regress between the Social Welfare Authorities and Private Debtors Under the German Social Law Code X'

1 Jul – 31 Jul 2019

Dr. **Pangiota Xylaki**, Greece, National and Kapodistrian University of Athens: 'Kostendämpfung der gesetzlichen Krankenversicherung'

24 Jun – 28 Jun 2019

Prof. Dr. **Daniel Eryck Lach**, Poland, Uniwersytet im. Adama Mickiewicza w Poznaniu: 'Telemedizin und das System der Gesundheitsversorgung'

21 Jun – 1 Jul 2019

Prof. Dr. Dr. **Ku-Yen Lin**, Taiwan, National Open University Taipei: 'Die Auswirkung von PSG I, II, III im SGB XI auf die Soziale Arbeit'

5 Jun – 26 Jun 2019

**Roberta Nicolodi**, Italy, Freie Universität Bozen: 'The Challenges of Diversification for Social Services in South Tyrol: A Case Study of an Interorganizational Network in the Field of Early Childhood Interventions'

22 May – 29 May 2019

Prof. Dr. **Katsuaki Matsumoto**, Japan, Kumamoto Gakuen University: 'Der Wettbewerb in der GKV – Vergleich zwischen Japan und Deutschland'

22 May – 29 May 2019

Dr. **Yumi Matsumoto**, Japan, Oita University: 'Die Organisation der GKV – Vergleich zwischen Japan und Deutschland'

20 May – 15 Jun 2019

**Alberto Barrio Fernandez**, Netherlands, Tilburg University: 'Platform Work and Social Security'

14 May – 28 May 2019

**Mari-Liis Viirsalu**, Estonia, University of Tartu: 'Sozialleistungen zwischen Markt und Staat: Verantwortungsteilung und Rechtsstellung des Leistungsberechtigten im Wahlfreiheitsmodell am Beispiel des estnischen Rehabilitationsrechts'

23 Apr – 31 Jul 2019

**Franca Zadra**, Italy, Freie Universität Bozen: 'Practitioners' Networks of Social Innovation for Accessible Healthcare Services to Migrant Patients. Circulation of Knowledge and Adaptation of Practices in Bolzano's Main Hospital'

1 Apr 2019 – 31 Jul 2020

Prof. Dr. **Hirofumi Konishi**, Japan, Meiji University: 'Das Zusammenleben zwischen Pflegebedürftigen und Behinderten im japanischen Sozialrecht im Vergleich mit dem deutschen Rechtssystem'

18 Mar – 27 Mar 2019

Prof. Dr. **Katsuaki Matsumoto**, Japan, Kumamoto Gakuen University: 'Gesundheitsreform – Vergleich zwischen Japan und Deutschland'

1 Mar – 31 Aug 2019

Prof. Dr. **Ho-Geun Lee**, South Korea, Jeonbuk National University Law School: 'Die vierte industrielle Revolution (Industrie 4.0), das zu verändernde Beschäftigungsverhältnis und die Aufgaben in Sozialrecht und -politik'

1 Mar – 29 Mar 2019

**Prof. Dr. Yuri Matsubara**, Japan, Meiji University: 'Die Untersuchung der Rechtentwicklung des europäischen und deutschen Sozialrechts (und EstG, DBA)'

31 Jan – 28 Feb 2019

Prof. Dr. **Ingo Sarlet**, Brazil, Pontificia Universidade Católica do Rio Grande do Sul: 'Neue Entwicklungen bezüglich des Rechts auf Gesundheit als Leistungsrecht'

23 Jan – 16 Dec 2019

**Gun-Woong Lee**, South Korea, Supreme Prosecutors' Office of the Republic of Korea: 'A Comparative Study of German Law on Human Rights of Developmental Disabled – Focusing on Protection of Human Rights in Judicial Procedures and Remedies for Infringement of Rights'

14 Jan – 28 Feb 2019

Prof. Dr. **Maria Laura Böhm**, Argentina, Universidad de Buenos Aires: 'The Crime of Maldevelopment: Economic Deregulation and Violence in the Global South'

17 Dec – 20 Dec 2018

Prof. Dr. **Daniel Eryck Lach**, Poland, Uniwersytet im. Adama Mickiewicza w Poznaniu: 'Opferentschädigung als soziale Entschädigung'

1 Nov 2018 – 6 Feb 2019

**Michaela Lexer**, Austria, Karl-Franzens-Universität Graz: 'Grenzüberschreitende Telemedizin im europäischen Kontext'

15 Oct – 12 Nov 2018

**Luka Mišič**, Slovenia, University of Ljubljana: 'Social Justice as a Question of Eligibility of Redistribution in the Social Insurance System'

8 Oct – 9 Nov 2018

**Mattia Maestrini**, Italy, University of Trento: 'Der Befristete Arbeitsvertrag in Deutschland und Italien: ein Vergleich im Lichte des Unionsrechts'

1 Oct 2018 – 31 Jan 2019

Dr. **Neliana Rodean**, Italy, University of Verona: 'The Right to Education in Front of the European Challenges of (Dis)Integration'

1 Oct 2018 – 31 Mar 2019

Prof. Dr. **Akiyo Uozumi**, Japan, Josai-Kokusai International University: 'Studie über die Einflüsse der familienpolitischen Maßnahmen in Bezug auf ein 'Mehrgenerationenhaus' in der örtlichen Gemeinschaft' and 'Vergleich des Sozialsystems für die Unterstützung der alleinerziehenden Mütter zwischen Deutschland und Japan als ein Teil einer interna-

tionalen Studie (Deutschland, Frankreich, Niederlande, Korea und Japan)'

24 Sep – 30 Sep 2018

**Marián Mészáros**, Slovak Republic, Trnava University: 'Dependent Work and Influence of Modern Technologies on the Term of the Dependent Work in the Slovak Legal System, in International Law and Relations as well as in Legal Systems of Other Countries'

4 Sep – 19 Sep 2018

Dr. **Yumi Matsumoto**, Japan, Oita University: 'Die Prävention und Gesundheitsförderung – Vergleich zwischen Deutschland und Frankreich'

4 Sep – 19 Sep 2018

Prof. Dr. **Katsuaki Matsumoto**, Japan, Kumamoto Gakuen University: 'Der Wettbewerb in der GKV – Vergleich zwischen Japan und Deutschland'

3 Sep – 14 Sep 2018

Prof. Dr. **Daniel Eryck Lach**, Poland, Uniwersytet im. Adama Mickiewicza w Poznaniu: 'Die Organisation und Finanzierung der Pflegeversicherung'

3 Sep – 11 Nov 2018

**Verena Zwinger**, Austria, Wirtschaftsuniversität Wien: 'Koordination von Familienleistungen im Sinne der Verordnung 883/2004'

1 Sep – 16 Oct 2018

**Prof. Dr. Chan Wing Cheong**, Singapore, National University of Singapore: 'Elderly Law in Singapore'

1 Aug – 10 Aug 2018

Prof. Dr. Dr. **Ku-Yen Lin**, Taiwan, National Open University Taipei: 'Pflegerberufegesetz in Deutschland'

1 Aug 2018 – 30 Jun 2019

**Tiago Fensterseifer**, Brazil, Pontificia Universidade Católica do Rio Grande do Sul: 'Rechtsschutz, Zugang zu den Gerichten und alternative Konfliktlösungskonzepte im Bereich des Rechts auf Gesundheit'

23 Jul – 23 Oct 2018

**Pelin Tuac Yilmaz**, Turkey, Dokuz Eylul University: 'Social Protection of Turkish Employees According to European Union Social Security Law: In Respect to Long-Term Social Security Benefits'

19 Jul – 17 Sep 2018

Prof. Dr. **Dongmei Liu**, China, Central South University: 'Die deutsche Pflegeversicherung und ihre Übertragbarkeit auf das chinesische Sozialrecht'

1 Jul – 30 Sep 2018

**Sarah Hack-Leoni**, Switzerland, Universität Zürich: 'Der Adäquanzbegriff – Unbestimmtheit im Recht'

25 Jun – 31 Aug 2018

Dr. **Zeynep Özmen**, Turkey, Duzce University: 'Social Security System in Support of Women in Germany'

15 Mar – 27 Mar 2018

Prof. Dr. **Katsuaki Matsumoto**, Japan, Kumamoto Gakuen University: 'Der Wettbewerb und die Versorgungsstruktur in der GKV – Vergleich zwischen Japan und Deutschland'

15 Mar – 27 Mar 2018

Dr. **Yumi Matsumoto**, Japan, Oita University: 'Die Prävention und Gesundheitsförderung – Vergleich zwischen Deutschland und Frankreich'

1 Mar – 30 Jun 2018

**Melanie Studer**, Switzerland, Universität Basel: 'Der Begriff 'Zumutbare Arbeit' in sozialhilferechtlichen Beschäftigungsprogrammen in der Schweiz'

1 Mar – 31 Jul 2018

Prof. Dr. **Yuri Matsubara**, Japan, Meiji University: 'Die Steuerpolitik und Sozialversicherungspolitik in Japan und EU – Die Einführung der Steuer(identifikations-)nummer und die Diskussion der Theorie des 'Grundeinkommens' in beiden Ländern'

1 Mar – 30 Apr 2018

**Mari-Liis Viirsalu**, Estonia, University of Tartu: 'Die individuelle Rechtsstellung des Leistungsempfängers im sozialrechtlichen Dreieck'

1 Feb – 31 Mar 2018

**Marta Coimbra**, Portugal, Universidade de Coimbra: 'From Sustainability to the Emergence of New Responsibilities in the Financing of Pensions'

29 Jan – 27 Apr 2018

**Asiye Sahin Emir**, Turkey, Dokuz Eylul University: 'Protection of Women Workers in Labour and Social Security Law'

8 Jan – 15 Feb 2018

Prof. Dr. Dr. **Ku-Yen Lin**, Taiwan, National Open University Taipei: 'Aktuelle Pflegeversorgung in Deutschland'

8 Jan – 19 Jan 2018

Prof. Dr. **Daniel Eryck Lach**, Poland, Uniwersytet im Adama Mickiewicza w Poznaniu: 'Die Evolution des Begriffes der Pflegebedürftigkeit und des Leistungsrechts der Pflegeversicherung'

2 Jan – 31 Mar 2018

**Michael Meier**, Switzerland, Universität Zürich: 'Das Anrechnungsprinzip in der beruflichen Vorsorge'

2 Jan – 29 Nov 2018

**Eun-Sun Lee**, South Korea, Korean Constitutional Court: 'Studien zur praktischen Verwirklichung der sozialen Gleichheit im Rahmen des deutschen Verfassungs- und Sozialrechts'

15 Nov 2017 – 15 Jan 2018

Dr. **Szymon Pawlowski**, Poland, Uniwersytet Kardynała Stefana Wyszyńskiego w Warszawie: 'Verfassungs- und völkerrechtliche Grenzen der gesetzgeberischen Gestaltungsfreiheit des Rechts auf Altersrente – eine Vergleichsanalyse des deutschen und polnischen Rechtssystems'

1 Oct 2017 – 31 Jan 2018

Dr. **Tania Bazzani**, Germany, Humboldt-Universität zu Berlin: 'The Implementation of the EU Employment Policies in Germany, Denmark and Italy'

4 Sep 2017 – 8 Sep 2018

Prof. Dr. **Peter Herrmann**, Italy, Istituto di Studi Politici, Economici e Sociali (EURISPES): 'Wandel des Wirtschaftens – Wandel des Rechts'

26 Jan 2017 – 30 Jan 2018

Dr. **Yan Li**, China, South China Agricultural University: 'Research on the Housing Right' and 'Research on the Peasant's Citizenisation during the Urbanization'

## 12.2 VISITORS AND DELEGATIONS

17 Feb 2020

**Delegation from Brazil.** Participants: Prof. Dr. Draiton Gonzaga de Souza, Vice Rector und Dean of the Humanities School, Pontifícia Universidade Católica do Rio Grande do Sul (PUCRS), Porto Alegre, Dr. Jair Tauchen, Postdoc at the Faculty of Philosophy at PUCRS, Prof. Dr. Marcelo Bonhemberger, Vice Rector of Institutional Identity at PUCRS, Dr. Fabiano Kingeski Clementel, Attorney in Porto Alegre, Prof. Dr. Ingo Sarlet, Director of the Master and PhD Program in Law at PUCRS (also Guest Researcher at MPISOC), Ramon Bolsista, Master Student at PUCRS (and guest researcher at MPISOC)

Support: *Eva Maria Hohnerlein*

17 Jul 2018

**Taiwanese Judge Delegation for Germany**, judicial trip organized by Mr. Liang. Participants: Ming-Hung Wu, Judge and President of the Taipei High Administrative Court (Leader of the delegation), Prof. Dr. Chien-Liang Lee, Deputy Director and Research Professor at Institutum Jurisprudentiae, Academia Sinica, Professor at the College of Law, National Taiwan University, Prof. Nai-Yi Sun, Professor at the College of Law, National Chengchi University, Hsiu-Yuan Lin, Judge at Taipei High Administrative Court, Che-Wei Liang, Judge at Taipei High Administra-

tive Court, Jin-Chang Juang, Judge at Taichung High Administrative Court, Yao-Tsan Huang, Judge at Kaohsiung High Administrative Court, I-Chao Huang, Judge at Kaohsiung District Court, Administrative Litigation Division, Kun-Chiao Yang Judge at Judicial Yuan Department of Administrative Litigation and Discipline

14 Jun 2018

**Delegation from Switzerland**, organized by Melanie Studer, PhD Student at the University of Basel. Participants from the University of Basel: Prof. Dr. Kurt Pärli, Professor for Social Private Law, Elena Schneider, PhD Student, Georg Ranert, PhD Student, Laura Kunz, Student Assistant Prof. Pärli, Luca Vecchi, Student Assistant Prof. Pärli, Nicole Aghdami, Secretary Prof. Pärli

## 13 COOPERATIONS

### 13.1 SOCIAL SECURITY AND LONG-TERM CARE DEPENDENCY

This project describes and compares the coverage for long-term care dependency in 13 European countries, in particular with regard to the provision of services law.

#### Cooperation Partners:

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Hajdú, József*, University of Szeged, Hungary

*Kerschen, Nicole*, CNRS-Université Paris Ouest-Nanterre–La Défense, Paris, France

*Koldinská, Kristina*, Charles University, Prague, Czech Republic

*Landolt, Harry*, University of St. Gallen, Switzerland

*Pfeil, Walter*, University of Salzburg, Austria

*Reinhard, Hans-Joachim*, Max Planck Institute for Social Law and Social Policy, Munich

Štefko, Martin, Prague University, Czech Republic

Strban, Grega, Ljubljana University, Slovenia

### 13.2 COMPARISON OF BASIC SOCIAL SECURITY ISSUES IN CHINA AND GERMANY

The project focuses on reforms and further developments of the social security system in Germany and China, taking the particularities of both countries into account. Notably the transformation of the planned economy into a market economy in China raises many questions pursuant to insurance law.

#### Cooperation Partners:

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Zheng, Gongcheng*, Renmin University of China, Beijing, People's Republic of China

### 13.3 GENERAL PRINCIPLES OF SOCIAL SECURITY LAW IN EUROPE

In a comparative legal analysis, the project examines the basic principles for ensuring social security in the legal systems of various member states of the European Union, the EFTA States and the EU candidate countries. The test points relevant for the investigation were determined by the partners and are examined by the country rapporteurs for their respective legal systems and recorded in country reports. In addition to the Catholic University of Leuven, social law experts from 25 countries are also involved: Bulgaria, Croatia, Austria, Cyprus, the Czech Republic, Denmark, Estonia, Greece, Hungary, the United Kingdom, Iceland, Ireland, Lithuania, Luxembourg, Malta, the Netherlands, Norway, Poland, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland and Turkey.

#### Cooperation Partners:

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Pieters, Danny*, Research Unit on European Social Law (RUESS), Katholieke Universiteit Leuven, Belgium

*Schoukens, Paul*, Research Unit on European Social Law (RUESS), Katholieke Universiteit Leuven, Belgium

### 13.4 SOCIAL PROTECTION FLOORS

The project investigated new developments in social security in industrialised and developing countries, and examines their compatibility with international social standards.

#### Cooperation Partners:

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Dijkhoff, Tineke*, Max Planck Institute for Social Law and Social Policy, Munich (until 8/2018)

*Mpedi, George L.*, Centre for International and Comparative Labour and Social Security Law (CICLASS), University of Johannesburg, South Africa

### 13.5 SOCIAL LAW AND SOCIAL POLICY IN SOUTH AFRICA

The project conducts research on the coordination of social security systems in SADC and on the institutional framework for extending access to social security for non-citizens and informal sector workers in Germany and South Africa.

#### Cooperation Partners:

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Mpedi, George L.*, International Institute for Social Law and Social Policy, South Africa

### 13.6 LONGEVITY AND EMPLOYMENT BIOGRAPHIES: THE CHALLENGES OF SOCIAL PROTECTION IN EUROPE

The research project deals with the impact of increasing life expectancies on the conditions of labour market participation and career development over the life course, marked by discontinuities and changing professional activities. It analyses particular challenges of longer working lives for European social security systems. Based on legal, socio-political and empirical research, the relationship of different social protection mechanisms and the concept of 'work-ability' and specific instruments for the protection of senior workers are highlighted.

#### Cooperation Partners:

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Hennion, Sylvie*, Institut de l'Ouest: Droit et Europe, Université de Rennes I, France

*Hohnerlein, Eva Maria*, Max Planck Institute for Social Law and Social Policy, Munich

### 13.7 EMPLOYERS' RESPONSIBILITY FOR SOCIAL PROTECTION IN RUSSIA: COMPARATIVE LEGAL ASPECTS

From a comparative legal perspective, the study examines the interrelationship between the fulfilment of employers' social security obligations and the enforcement of an employee's entitlement to social benefits.

#### Cooperation Partners:

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Chernyaeva, Daria*, Chair of Labour Law and Social Security Law, University 'Higher School of Economics', Moscow, Russia

*Chesalina, Olga*, Max Planck Institute for Social Law and Social Policy, Munich

*Fedorova, Marina*, Chair of Labour Law and International Law, Perm State National Research University, Perm, Russia

*Filippova, Marina*, Chair of Labour Law and Safety at Work, Saint Petersburg State University, Saint Petersburg, Russia

*Gerashimova, Elena*, Chair of Labour Law and Social Security Law, University 'Higher School of Economics', Moscow, Russia

*Khokhlov, Evgenii*, Chair of Labour Law and Safety at Work, Saint Petersburg State University, Russia

*Kurennoy, Alexander*, Chair of Labour Law, Moscow State Lomonossov University, Russia

*Roik, Valentint*, Pan-Russian Scientific Research Institute for Labour of the Ministry for Labour and Social Security of the Russian Federation, Moscow, Russia

*Vasileva, Julia*, Chair of Labour Law and International Law, Perm State National Research University, Perm, Russia

### 13.8 FAMILY POLICY IN AN AGEING SOCIETY

The cooperation is part of a long-term comparative project on family policies in an ageing society, comprising Japan and Germany. The latest output is an article on the risk of poverty and integration into the labour market of single mothers in a new volume: Meier-Gräwe, Uta; Miyoko Motozawa; Annette Schad-Seifert (eds.): Family Realities in Japan and Germany. Challenges for a Gender-Sensitive Family Policy, Berlin 2018.

#### Cooperation Partners:

*Hohnerlein, Eva Maria*, Max Planck Institute for Social Law and Social Policy, Munich

*Motozawa, Miyoko*, University of Tsukuba, Japan

### 13.9 CRISIS MIGRANTS

On the basis of several countries in Europe, Latin America, Africa and the United States, the study investigates how national, regional and international law constructs specific groups of Crisis Migrants. In particular, the focus is on the property rights associated with the respective residence status. The project has an interdisciplinary orientation.

**Cooperation Partners:**

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Saucedo, Leticia*, UC Davis School of Law, University of California, USA

### 13.10 SWITZERLAND: VULNERABLE GROUPS AND MULTIPLE SOLIDARITIES IN A COMPOSITE STATE

The project brought together researchers and civil society practitioners from eight European countries: Denmark, France, Germany, Greece, Italy, Poland, Switzerland and the United Kingdom. It aimed at examining solidarity in Europe and addressed the following questions: How strong is solidarity amongst Europeans, after almost 60 years of European integration? What do we know about beneficial and detrimental factors? And what should be done to safeguard or enhance European solidarity at the level of citizens, non-governmental organizations and policies? They were tackled by way of looking at three categories of subjects, namely persons with disabilities, unemployed persons and immigrants.

**Cooperation Partners:**

*Abbate, Tania*, Max Planck Institute for Social Law and Social Policy, Munich

*Fernandez, Eva*, University of Geneva, Switzerland

### 13.11 REFORMING THE DUBLIN SYSTEM

The project investigates the proposals for a reform of the Dublin system. The cooperation partners publish joint articles on the subject, which also include viable alternatives to the current proposals.

**Cooperation Partners:**

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Maiani, Francesco*, University of Lausanne, Switzerland

### 13.12 DUBLIN REGULATION

The project includes an update of the legal commentary on the Dublin Regulation, contained in the commentary on migration law edited by Kay Hailbronner and Dabiel Thym.

**Cooperation Partners:**

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Maiani, Francesco*, University of Lausanne, Switzerland

### 13.13 DEVELOPMENTS IN THE FIELD OF EUROPEAN ASYLUM AND MIGRATION LAW

The project seeks to review relevant distinctive judgments of the European Court of Justice (ECJ) in the field of asylum and migration law.

**Cooperation Partners:**

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Progin-Theuerkauf, Sarah*, University of Fribourg, Switzerland

### 13.14 COMPARING SAFE THIRD COUNTRY SCHEMES

From a comparative legal perspective, the project examines the basic component of shared responsibility across the world.

#### Cooperation Partners:

*Hathaway, James C.*, University of Michigan, USA

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

### 13.15 STATUS IN EUROPEAN MIGRATION LAW

The project is preoccupied with legal and practical questions of granting status regarding third country nationals in European law.

#### Cooperation Partners:

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Salomon, Stefan*, University of Graz, Austria

### 13.16 COMMENTARY ON THE CONVENTION RELATING TO THE STATUS OF REFUGEES

The project examines the application of the Geneva Refugee Convention in Germany, Austria and Switzerland. The results are expected to be published in early 2021.

#### Cooperation Partners:

*Call, Leonhard*, Independent Expert, Austria

*Frei, Nula*, University of Fribourg, Switzerland

*Grodzielik, Teresia*, Federal Administrative Court, Switzerland

*Hinterberger, Kevin*, University of Vienna, Austria

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Klammer, Stephan*, Diakonie, Austria

*Kneer, Anne*, University of Zurich, Switzerland

*Peyrl, Johannes*, Arbeiterkammer Vienna, Austria

### 13.17 TERRORISM AND ASYLUM

The reciprocal effects of granting asylum and fighting terror were at the centre of this project and were investigated from the perspectives of legal and political sciences. The results were published in autumn 2020 at Brill/Nijhoff in the *International Refugee Law Series*.

#### Cooperation Partners:

*Frei, Nula*, University of Fribourg, Switzerland

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Simeon, James C.*, York University, Canada

### 13.18 SOCIAL LAW 4.0: NEW APPROACHES FOR ENSURING AND FINANCING SOCIAL SECURITY FOR THE DIGITAL AGE

How can we get from 'Work 4.0' to 'Social Law 4.0' and close existing gaps in social protection for digital workers? This project provides an analysis of the most innovative approaches in a variety of European countries and discusses the necessity to arrive at effective social protection systems and their coordination within the EU in a digitalised world.

#### Cooperation Partners:

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*Tavits, Gaabriel*, University of Tartu, Estonia

*Vonk, Gijsbert*, University of Groningen, Netherlands

*Westregård, Annamaria*, Lund University, Sweden

### 13.19 GERMAN-TAIWANESE LEGAL COMPARISON OF SOCIAL SECURITY

The project performs a legal comparative analysis regarding social security in Germany and Taiwan, and addresses topical issues of social administration law in the two countries.

#### Cooperation Partners:

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Lee, Chien-Liang*, Academia Sinica, Taiwan

*Sun, Nai-Yi*, National Chengchi University, Taiwan

### 13.20 IS EUROPE LOSING ITS DEMOCRATIC COMPASS?

This project examines the impact of populism on the constitution and on migration law in different EU countries from a comparative perspective.

#### Cooperation Partners:

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Smet, Stijn*, University of Hasselt, Belgium

*Stoyanova, Vladislava*, University of Lund, Sweden

*Wihl, Tim*, Free University of Berlin

### 13.21 GOING AGAINST THE GRAIN – THE ROLE OF THE COURTS IN EUROPEAN ASYLUM LAW

In a comparative analysis the project examines the impact of court rulings on legislative change to asylum law in different EU countries.

#### Cooperation Partners:

*Federico, Veronica*, University of Florence, Italy

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Moraru, Madalina*, European University Institute, Florence, Italy

*Pannia, Paola*, University of Florence, Italy

### 13.22 SCHENGEN AND DUBLIN – CURRENT DEVELOPMENTS

The project investigates current trends of court ruling and legislation with regard to the Dublin Regulation and the Schengen Agreement.

#### Cooperation Partners:

*Breitenmoser, Stephan*, University of Basel, Switzerland

*Hilpold, Peter*, University of Innsbruck, Austria

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Uebersax, Peter*, University of Basel, Switzerland

### 13.23 ON THE WAY TO A COMMON LAW

The idea of the *ius commune* originates in the Roman Empire and has seen a bloom in the Middle Ages. It is made up of two components: of the surviving, new-found documents of Roman law and of the canonical law of the Church. The hypothesis suggests that there will be a need for technical regulations as well as for spiritual factors to achieve success in the common law. To be more precise, this project seeks to find out if and to what extent the conflicts of solidarity in Europe partly reflect the conflict between European ordoliberalism and national solidarity in the field of social law.

#### Cooperation Partners:

*Delmas-Marty, Mireille*, Collège de France

*He, Linxin*, Max Planck Institute for Social Law and Social Policy, Munich

*Martin-Chenu, Kathia*, CNRS/Université Panthéon–Sorbonne, Paris, France

*Perruso, Camila*, Collège du France

### 13.24 A THEORY OF STRATEGIC DISCRIMINATION

This project studies how individuals account for other individuals' preferences when deciding whom to include or to exclude in a group or network, in the absence of any personal taste or statistical reason associated with the inclusion of a particular person. We examine three potential causes why individuals live up to the group composition preferences of their group members.

#### Cooperation Partners:

*Arvate, Paulo*, Fundação Getúlio Vargas (FGV) EAESP, Rio de Janeiro, Brazil

*De Souza, Sergio Mittlaender*, Max Planck Institute for Social Law and Social Policy, Munich

### 13.25 PENSION MAPS

This research project examines the legal foundations of old age security in 32 Europe and selected non-European countries with the objective of providing a comprehensive and systematic legal overview of the institutional landscape of national old age security in the form of a large-scale cross-country comparative analysis.

#### Cooperation Partners:

*Auer-Mayer, Sausanne*, University of Vienna, Austria

*Becker, Ulrich*, Max Planck Institute for Social Law and Social Policy, Munich

*Chesalina, Olga*, Max Planck Institute for Social Law and Social Policy

*Dewhurst, Elaine*, University of Manchester, United Kingdom

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*Dima, Elena-Luminița*, University of Bucharest, Romania

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*Hajdú, József*, University of Szeged, Hungary

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*Hietaniemi, Marjukka*, Finnish Centre for Pensions, Finland

*Hohnerlein, Eva Maria*, Max Planck Institute for Social Law and Social Policy, Munich

*Jorens, Yves*, Ghent University, Belgium

*Kombos, Constantinos*, University of Cyprus

*Križan, Viktor*, University of Trnava, Slovakia

*Kuitto, Kati*, Finnish Centre for Pensions, Finland

*Lach, Daniel Eryk*, Adam Michiewicz University in Poznań, Poland

*Loureiro, João Carlos*, University of Coimbra, Portugal

*Lutjens, Erik*, Vrije Universiteit, Amsterdam, Netherlands

*Mišič, Luka*, University of Ljubljana, Slovenia

*Mittlaender, Sergio*, Max Planck Institute for Social Law and Social Policy, Munich

*Petrova, Teodora*, Max Planck Institute for Social Law and Social Policy, Munich

*Petrylaitė, Vida*, Vilnius University, Lithuania

*Sánchez-Rodas Navarro, Cristina*, University of Seville, Spain

*Schneider, Simone*, Max Planck Institute for Social Law and Social Policy, Munich

*Seemann, Anika*, Max Planck Institute for Social Law and Social Policy, Munich

*Valcelaru, Alexandra*, Bucharest University, Romania

*Vidlund, Mika*, Finnish Centre for Pensions, Finland

*Viirsalu, Mari-Liis*, University of Tartu, Estonia

*Vukorepa, Ivana*, University of Zagreb, Croatia

*Wang, Yifei*, Max Planck Institute for Social Law and Social Policy, Munich

*Zajíček, Tomáš*, Charles University, Prague, Czech Republic

### 13.26 WORKFARE OR WELFARE? THE FLUCTUATIONS OF SOCIAL POLICY REGIMES FOR ASYLUM SEEKERS IN AUSTRIA, GERMANY AND SWITZERLAND

The project examines the development of social policy from a legal comparative and historical perspective in three German-speaking countries.

#### Cooperation Partners:

*Hruschka, Constantin*, Max Planck Institute for Social Law and Social Policy, Munich

*Stünzi, Robin*, University of Neuenburg, Switzerland

### 13.27 PERCEPTIONS OF INEQUALITIES AND JUSTICE IN EUROPE

The project aims (1) to describe how inequalities are perceived and evaluated across Europe, (2) to identify the socio-economic factors that lead people to consider inequalities as fair or unfair, and (3) to examine how these evaluations affect social, political, and policy outcomes (e.g., social cohesion, trust in democratic institutions, political engagement). The project is funded by Leibniz Collaborative Excellence.

#### Cooperation Partners:

*Auspurg, Katrin*, Ludwig Maximilian University, Munich

*Hinz, Thomas*, University Konstanz

*Jasso, Guillermina*, New York University, USA

*Kittel, Bernhard*, University of Vienna, Austria

*Liebig, Stefan*, German Institute for Economic Research, Berlin

*Sabbagh, Clara*, University of Haifa, Israel

*Schneider, Simone M.*, Max Planck Institute for Social Law and Social Policy, Munich

*Traub, Stefan*, Helmut-Schmidt-Universität, Hamburg

## 14 MEDIA IMPACT

### Media Coverage of the Department of Foreign and International Social Law (selection)

#### December 2020

*Broadcast:* Bayerischer Rundfunk – ‘Wir sind hier – auch wenn Deutschland uns loswerden wollte. Drei Menschen und ihr Kampf um ein Bleiberecht’

*News Agency:* epd Landesdienste – ‘Wissenschaftler fordern faktenbasierte Migrationspolitik – Forschungsprojekt zeigt Wege auf zur Bewältigung künftiger Herausforderungen der Zuwanderung’

*Online Magazine:* heise.de – ‘Covid-19: Die Gratwanderung mit der Impfpflicht’

*Newspaper:* WAZ – ‘Coronavirus: Kommt die Impfpflicht durch die Hintertür?’

#### November 2020

*Online Magazine:* Ito.de – ‘EuGH zum Schutzstatus von Syrern: Vorm Wehrdienst kann man flüchten’

*Broadcast:* Deutsche Welle – ‘Call to withdraw German police from Greek migrant ‘pushbacks’

*Online Magazine:* spiegel.de – ‘Deutsche Bundespolizisten in illegalen Pushback verwickelt’

*Online News:* tagesschau.de – ‘Illegale Frontex-Pushbacks: Deutsche Bundespolizisten verwickelt’

*Newspaper:* Osnabrücker Zeitung (NOZ) – ‘Corona-Impfpflicht für alle? Was der Staat rechtlich darf’

#### October 2020

*Broadcast:* Deutschlandfunk – ‘Familiennachzug: Wenn das Nachholen der Kinder zum Wettlauf gegen die Zeit wird’

*Newspaper:* Süddeutsche Zeitung – ‘Gegen die Gleichgültigkeit’

#### August 2020

*Broadcast:* NDR Info – ‘Wen macht Corona arm?’

*Broadcast:* Bayerischer Rundfunk – ‘Corona-Podcast: Sozialexperte fordert Reformen bei der Rente’

*Broadcast:* ARD Audiothek – ‘Wege aus der Krise – Ulrich Becker, Direktor des Max-Planck-Instituts für Sozialrecht und Sozialpolitik’

*Broadcast:* Bayerischer Rundfunk – ‘Reparaturen oder Heilung der Wunden? Namibia lehnt deutsches Angebot zur Entschädigung der Kolonialverbrechen ab’

*News Agency:* hdp – ‘Asyleinrichtungen, die Gesetze verletzen’

#### July 2020

*Television:* ZDF – ‘Zentren außerhalb der EU – Was Asylzentren so kompliziert macht’

*Online Magazine:* Ito.de – ‘EuGH zum Familiennachzug: Minderjährigkeit der Kinder bei Antragstellung entscheidend’

*Online Magazine:* cicero.de – ‘Es gibt ein Momentum’

### **June 2020**

*Online Magazine:* aerzteblatt.de – ‘Impfpflicht wäre rechtlich möglich’

*Online Magazine:* asu-arbeitsmedizin.de – ‘Impfpflicht wäre rechtlich möglich’

### **May 2020**

*Broadcast:* SWR – ‘Trotz Corona: Die Grundrente soll kommen’

### **April 2020**

*Online Magazine:* lto.de – ‘Schlussanträge des EuGH-Generalanwalts: Ungarns Transitlager für Asylbewerber ist rechtswidrig’

*Online Magazine:* lto.de – ‘Ideen zum Asylsystem: Mehr nebeneinander als gemeinsam’

*Newspaper:* Süddeutsche Zeitung – ‘Plötzlich Großfamilie’

*Broadcast:* Saarländischer Rundfunk – ‘Bilanz am Abend’

### **March 2020**

*Newspaper:* FAZ – ‘Rentenreform, radikal’

*Online Magazine:* knack.be – ‘Migratie-expert: ‘Wat Griekenland aan de Turkse grens doet, is ronduit illegaal’

*Broadcast:* Deutsche Welle – ‘Flüchtlingskrise: Asylrecht in Griechenland außer Kraft gesetzt’

*Broadcast:* Deutsche Welle – ‘Asylrecht in Griechenland außer Kraft gesetzt’

*Online Newspaper:* nzz.ch – ‘Was Griechenland an der Grenze zur Türkei tut, ist illegal’

*Broadcast:* Radio Bremen – ‘25 Jahre Schengen-Raum’

*Broadcast:* Radio Bremen 2 – ‘Am Morgen – Interview mit Dr. Constantin Hruschka zu 25 Jahren Schengen-Raum’

*Television:* Blick TV – ‘Das bedeutet die Flüchtlingskrise für die Schweiz’

### **February 2020**

*Online Magazine:* lto.de – ‘Europarecht nagt am deutschen Asylprozessrecht’

*Online Newspaper:* limmattalerzeitung.ch – ‘Nach Urteil von Strassburg: Konvertierte Asylbewerber hoffen auf höhere Bleibeance’

### **January 2020**

*Online Magazine:* deutsche-apotheker-zeitung.de – ‘Bühler: ABDA verweigert die Herausgabe von Gutachten zum Rx-Versandverbot’

### **October 2019**

*Newspaper:* Süddeutsche Zeitung – ‘Denken in Generationen’

### **August 2019**

*Newspaper:* Freie Presse – ‘Sozialgesetze stützen Ehefrauen besser als alleinerziehende Mütter’

*Online News:* tagesschau.de – ‘Deutschland muss Geflüchteten zurückholen’

*Newspaper:* Süddeutsche Zeitung – ‘Wenig Recht, viel Ordnung’

*Newspaper:* Westdeutsche Zeitung – ‘Alleinerziehende ohne Vorrang bei Kitaplatz-Vergabe’

**July 2019**

*Newspaper:* Saarbrücker Zeitung – ‘Forscher warnen vor steigendem Armutsrisiko unter Rentnern’

*Broadcast:* Deutsche Welle – ‘Sea-Watch 3: Fünf Fragen und Antworten’

*Online Magazine:* Ito.de – ‘Einheitliche Gefahrenprognose für Eltern und Kinder: Familie muss gelebt werden’

*Television:* SWR – ‘Report-Mainz: ‘Ist Seehofers Flüchtlingsdeal gescheitert?’

**June 2019**

*Online Newspaper:* elpais.com – ‘Alemania aprueba una polémica ley para agilizar el proceso de deportación de inmigrantes’

**May 2019**

*Online Magazine:* Ito.de – ‘EuGH verhandelt über Flüchtlingsverteilung in Europa: Kommen Polen, Tschechien und Ungarn damit durch?’

*Newspaper:* Süddeutsche Zeitung – ‘Grenzenloser Kummer’

*Newspaper:* Weilheimer Tagblatt – ‘Deutsche Sprache ist ein Problem’

**April 2019**

*Online Magazine:* europaticker.de – ‘Ratsempfehlung ist rechtlich nicht bindend und begründe keine neue sozialpolitische Kompetenz auf europäischer Ebene’

*Broadcast:* Bayerischer Rundfunk – ‘Geordnetes Rückkehr-Gesetz: Schießt Seehofer über das Ziel hinaus?’

**March 2019**

*Online Magazine:* baltic-course.com – ‘Baltic Sea Region: Attention to Mobility and Sustainability’

*Online Magazine:* Ito.de – ‘EuGH zu illegaler Einreise: Binnengrenze ist keine Außengrenze’

*Online Magazine:* Ito.de – ‘Trennung bricht nicht Aufenthaltsrecht’

*Newspaper:* Süddeutsche Zeitung – ‘Essen, waschen, wohnen’

*Broadcast:* Bayerischer Rundfunk – ‘Gesetzeswirrwarr im Migrationsrecht’

**February 2019**

*Online Magazine:* Ito.de – ‘Eine schlechte Antwort auf die falsche Frage’

**January 2019**

*Online Magazine:* Ito.de – ‘Maghreb-Staaten und Georgien als sichere Herkunftsländer: Migrationsrechtler kritisieren Bundestagsbeschluss’

**December 2018**

*Specialist Journal:* Deutsche Apotheker Zeitung – ‘ABDA-Gutachter: Rx-Versandverbot ist möglich’

*Broadcast:* detektor.fm – ‘Man hat keine einfachen Botschaften’

**November 2018**

*Online News:* tagesschau.de – ‘Einwanderung von Fachkräften: ‘Spurwechsel’ – aber nur halbherzig’

*Online Magazin:* handelsblatt.com – ‘Stimmen die Aussagen von Friedrich Merz zum deutschen Asylrecht?’

*Online Newspaper:* freiepresse.de – ‘Reizthema Migration’

*Online Newspaper:* huffingtonpost.de – ‘Grundrecht auf Asyl: Friedrich Merz argumentiert mit irreführenden Zahlen’

*Online Magazine:* bento.de – ‘Alles, was an Friedrich Merz’ Aussagen zum Asylrecht falsch ist’

*Online Magazine:* stern.de – ‘Weshalb Friedrich Merz’ Asyldebatte überflüssig ist – und warum es dabei eigentlich geht’

*Online Magazine:* handelsblatt.de – ‘Das stimmt so nicht’

*Broadcast:* Bayerischer Rundfunk – ‘Tagesgespräch: Debatte um den UN-Migrationspakt: Wie stehen Sie dazu?’

*News Agency:* dpa – ‘Merz im Faktencheck: Individualrecht auf Asyl nur in Deutschland?’

*News Agency:* dts – ‘Experten rücken Merz Aussagen zu Asylrecht gerade’

*Newspaper:* Süddeutsche Zeitung – ‘Gleichheit unter Ungleichen’

### October 2018

*Newspaper:* General-Anzeiger – ‘Starke Stimmung gegen Populismus’

*Online Newspaper:* lanouvelletribune.info – ‘Rabat: Débat autour du sort des femmes réfugiées [Rabat: Debate over the fate of female refugees]’

*Online Magazine:* Ito.de – ‘EuGH-Generalanwalt zu illegaler Einreise: Eine Binnengrenze bleibt eine Binnengrenze’

### September 2018

*Television:* ZDF – ‘Drehscheibe’

### August 2018

*Broadcast:* Deutsche Welle – ‘Spanien neues Hauptziel für Flüchtlinge in Europa’

*Online Magazine:* Ito.de – ‘Sami A. könnte trotz Einreisesperre zurückgeholt werden’

*News Agency:* dpa – ‘Ministerpräsident Weil: Rentenpaket ist nur erster Schritt’

### July 2018

*Television:* ZDF – ‘Was steht im Asylkompromiss?’

*Online Newspaper:* schwaebische.de – ‘Seehofer plant Gefängnisse für alle’

*Online Magazine:* Ito.de – ‘Kompromiss-Masterplan zur Migration: Das neue Grenzregime’

*Online Magazine:* handelsblatt.com – ‘Juristen zweifeln an der Rechtmäßigkeit von Transitzentren’

*Online News:* tagesspiegel.de – ‘Der Asyl-Kompromiss der Union bringt viele neue Probleme’

*Online News:* tagesschau.de – ‘Diskussion um ‘Transitzentren’: Wie soll das funktionieren?’

*Online Magazine:* Ito.de – ‘Der Masterplan Migration unter der Lupe: Ordnung muss sein’

*Online News:* tagesschau.de – ‘Behelfslösung Familiennachzug’

*Online Newspaper:* weser-kurier.de – ‘Transitzentren: Was sie bedeuten und wie darüber diskutiert wird’

*Online Newspaper:* badische-zeitung.de – ‘Schweiz darf Familie nicht überstellen’

*Broadcast:* Bayerischer Rundfunk – ‘Asylpaket: Rechtsexperte hegt Zweifel an schnellen Transitverfahren’

*News Agency:* dts – ‘Staatsrechtler: Transitzentren erfordern Grundgesetzänderung’

*Television:* ZDF – ‘Was bewirken ‘Transitzentren?’

**June 2018**

*Broadcast:* Bayerischer Rundfunk – ‘Abschiebungen: Wie weit darf Bayern mit seinem Asylplan gehen?’

*Online News:* tagesschau.de – ‘Söders Asylplan: Bayerische Abschiebeflüge – geht das?’

*Online Magazine:* Ito.de – ‘Vorrang von EU-Recht an der Grenze: Kein Raum für deutschen Alleingang’

*Online News:* tagesschau.de – ‘Seehofers Masterplan: Zurückweisungen sind umstritten’

*Broadcast:* Deutsche Welle – ‘Streit um Flüchtlingspolitik: Darf Deutschland Flüchtlinge an der Grenze abweisen?’

*Newspaper:* Süddeutsche Zeitung – ‘Irgendwo in Afrika’

*Online Newspaper:* welt.de – ‘Ich habe die Befürchtung, dass sich 2015 wiederholen wird’

*Online Newspaper:* huffingtonpost.de – ‘Maybrit Illner’: Jurist spricht von Rechtsbruch – Dobrindt holt Grundgesetz’

*Broadcast:* Bayerischer Rundfunk – ‘Sendung ‘quer’

*Broadcast:* SRF – ‘Europa ausser Betrieb: EU droht an Migrationsfrage zu scheitern’

*Television:* ZDF – ‘Sendung ‘Maybrit Illner’: Merkel kämpft um ihre Macht – letzte Hoffnung Europa?’

*Television:* ARD – ‘Tagesthemen’

**May 2018**

*Online Magazine:* Ito.de – ‘Pläne zum Europäischen Asylsystem: Verwaltungsmonster zur Abwehr von Flüchtlingen’

*Television:* Phoenix – ‘Ärger um Abschiebung – Sind Ankerzentren die Lösung?’

**April 2018**

*Online News:* tagesschau.de – ‘Asyldebatte: Rückführung um jeden Preis?’





### III MUNICH CENTER FOR THE ECONOMICS OF AGING (MEA)



Prof. Dr. h. c. Axel Börsch-Supan, PhD

## 1 OVERVIEW

*Axel Börsch-Supan*

MEA, the Munich Center for the Economics of Aging, was founded 20 years ago, in April 2001, as a research institute of Mannheim University. 10 years ago, in July 2011, it became part of the Max Planck Institute of Social Law and Social Policy (MPISOC). Both events are a reason to celebrate, and one purpose of this report is to look back and document what has been achieved over the past three years since the last review in pursuit of the mission that was set up 20 years ago (Section 1.3).

The other purpose of this report is to look ahead. It is still uncertain what MEA's future will look like after MEA's time as an MPISOC department has ended, as will be explained in Section 1.2 below. MEA's mission still covers fascinating research topics, and new questions have come up for our research. Hence, MEA is set to continue somehow, particularly since many projects are sufficiently funded beyond the formal end of MEA as a part of MPISOC. These plans are presented in Section 1.4.

### 1.1 MISSION

Demographic change is and remains one of the grand challenges of the 21st century. MEA's mission is to evaluate, anticipate and accompany the micro- and macroeconomic aspects of this challenge. The implications for our social systems (public and private pensions, health care, long-term care, and in a broader sense also social cohesion and intergenerational exchange) are complex and require formal analyses to be correctly understood, especially when policy implications should be drawn. While social, economic and health care reforms in Europe and elsewhere have addressed some of the implied challenges, the real test is yet to come when the babyboomer generation retires. Moreover, reform backlashes and new challenges such as the migration wave of 2015 and the current pandemic have occurred – and are important sub-

jects for analysis. Hence, MEA develops and administers models that predict the underlying developments and provide a scientific framework for analyzing policy measures that strengthen the positive and mitigate the negative aspects of these developments.

Empirical work is central for MEA. Our models are based on German, European and global data. They are to a significant extent collected by MEA itself. In this sense, MEA resembles more the Max Planck Institutes in the natural sciences than their sister institutes in the human sciences section. MEA's main telescope, synchrotron or bio lab, whatever you want to call it, is SHARE, the Survey of Health, Ageing and Retirement in Europe, a large research infrastructure to study the impact of economic, health and social policies over the life course. Models at MEA that use these data include overlapping generation models on the macroeconomic level, simulation models of the dynamics of pay-as-you-go pension systems and microeconomic models of economic, health and social behavior.

As MEA's name suggests, the Center's core analytical work is geared to economics. However, interdisciplinary collaboration with empirical sociology, cognitive psychology and public health has grown extensively since MEA was first founded. This interdisciplinarity was not only fostered by the development of SHARE but also by the insight how tightly economic, health and social issues are interconnected. This thinking has paid off well in our research on the COVID-19 pandemic. It also drives many aspects of our survey-methodological research. MEA and SHARE have intensified cooperation with the field of biology and medicine by analyzing dried blood spots, measuring mobility and studying cognition, which promise new insights into the social determinants of chronic illnesses.

Almost all work at MEA is driven by a life-course perspective and based on panel data. Moreover, a central research strategy of MEA is to exploit the international variation in policies and historical experiences in order to better understand the effects of social and labor market policies

geared at addressing demographic change. This is why MEA is designing SHARE as an international research infrastructure, and why MEA is a member of so many international research networks (Section 13). This strategy, summarized as

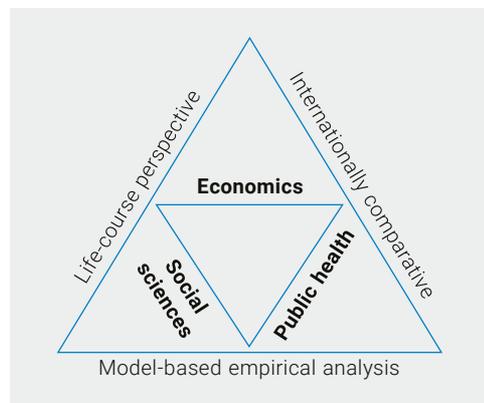


Figure 1: Research strategy

a double triangle in Figure 1, has given MEA great international visibility: MEA’s empirical methods are internationally comparative and based on a life-course approach to study the interactions among economic, social and public health challenges.

While the work at MEA is primarily targeted at scientific publications (listed in Section 4), its mission includes communicating its research results to the policy community and the public at large (Section 10). This includes substantial efforts of scientific consulting for governments in Germany, lately also in France, for the European Commission and international organizations such as the ECB, the OECD, the WHO and the World Bank.

## 1.2 STRUCTURE

MEA is currently one of the two departments of MPISOC. Unlike research institutions in the US, the Max Planck Society (MPS) enforces mandatory retirement of its directors, which implies that departments will be closed and re-dedicated to different topics. Hence, almost all MEA researchers’ labor contracts end in December 2022 and both MEA and SHARE have to look for new homes. The MPS’s president has voiced interest in continuing a small version of MEA but the institutional realization is unclear since the future plans of MPISOC do not foresee further cooperation with MEA. The plans for SHARE involve a consortium of the Berlin Social Sci-

<p><b>Social policy</b></p> <ul style="list-style-type: none"> <li>• Pension policy in Germany</li> <li>• International Social Security project sequence</li> <li>• Health, disability and retirement behavior</li> <li>• Inequality and precarious employment histories</li> </ul>	<p><b>Life-cycle decisions</b></p> <ul style="list-style-type: none"> <li>• OLG models with retirement choices</li> <li>• OLG models with inequality</li> <li>• OLG models with procrastination</li> <li>• Aging and inflation</li> <li>• Nativity wealth gap</li> <li>• Long-term care provision</li> </ul>	<p><b>Migration</b></p> <ul style="list-style-type: none"> <li>• Lost potentials of Syrian refugees</li> <li>• Expectations of Afghan migrants</li> <li>• Older migrants’ income, well-being, and cognition</li> </ul>	<p><b>Health econometrics</b></p> <ul style="list-style-type: none"> <li>• Econometric methodology</li> <li>• Analysis of dried blood spots</li> <li>• COVID-19: lockdown versus pandemic effects</li> </ul>	<p><b>SHARE</b></p> <ul style="list-style-type: none"> <li>• Infrastructure maintenance</li> <li>• Infrastructure development</li> <li>• Context data</li> <li>• Survey-methodological research</li> <li>• Substantive research</li> </ul>
<p>5.5 researchers</p>	<p>4 researchers</p>	<p>3 researchers</p>	<p>3 researchers</p>	<p>42 staff (4.5 research)</p>

Figure 2: Structure

ence Center (WZB), the German Institute for Economic Research (DIW), the Robert Koch Institute (the German equivalent of the Center for Disease Control) and Charité, the largest research hospital in Germany. This process is ongoing while this report is being written. The report thus represents a transitional status where some parts of its current structure reflect past developments and some parts already show where MEA and SHARE want to be after 2022. This is depicted in Figure 2.

MEA has four units which are purely devoted to research (social policy, life-cycle decisions, migration, and health econometrics) and SHARE which combines work on the research infrastructure and research. Figure 2 lists their main research topics; more details of their scientific tasks and past achievements are provided in the following Subsection 1.3. SHARE researchers contribute to the substantive research in the MEA research units. Moreover, SHARE data is used in many projects of the research units. This overlap is a crucial feature of the work at MEA and is indicated in orange in the above figure.

In the course of the transition process, MEA will become more focused on three areas: pension policy in Germany and elsewhere, long-term care provision, and COVID-19-related research. These research areas are marked by the blue circles in Figure 2 and will be detailed in Subsection 1.4.

SHARE will largely remain unaltered in its infrastructure tasks. Its scientific focal areas are currently under discussion with the four consortium partners in Berlin and the other European SHARE members as part of the 'SHARE 2.0' process, also detailed in Subsection 1.4.

Total staff at MEA is 59 persons, of which 42 belong to SHARE where most staff time is dedicated to infrastructure maintenance and development. There are currently 15.5 researchers in the four research units and an equivalent of 4.5 researchers in SHARE. 21 individuals are paid from third-party funds which come from the German Federal Ministry of Education and Research, the German Research Foundation, the EU Commission, the US National Institute on Aging, and other third-party funds, among them SHARE-ERIC as a separate legal entity. Moreover, four SHARE staff are employed at the Technical University of Munich, since the management of the German SHARE subsample is located there.

The key output of MEA's research is, of course, publications. They are listed in Table 1. We were able to increase our output substantially as compared to the last reporting period. Articles in peer-reviewed journals increased by 42%, mainly due to an increased publication output involving SHARE researchers. There is a distinctive shift from publications in edited volumes to journal publications. The number of discussion papers

	2015–2017		2018–2020		$\Delta$	% $\Delta$
Articles in peer-reviewed journals	45	(8)	<b>64</b>	<b>(38)</b>	+19	+42%
Articles in non-refereed journals	6	(2)	<b>7</b>	<b>(2)</b>	+1	+17%
Books, edited volumes and issues	4	(2)	<b>8</b>	<b>(7)</b>	+4	+100%
Articles in refereed volumes	26	(12)	<b>24</b>	<b>(15)</b>	-2	-8%
Articles in non-refereed volumes, other	35	(28)	<b>33</b>	<b>(30)</b>	-2	-6%
MEA Discussion Papers	27	(5)	<b>40</b>	<b>(6)</b>	+13	+48%
Other discussion papers	7	(3)	<b>14</b>	<b>(9)</b>	+7	+100%
<b>Total</b>	<b>150</b>	<b>(60)</b>	<b>190</b>	<b>(107)</b>	<b>+40</b>	<b>+27%</b>

In parentheses: involving SHARE staff

Table 1: Publications

also increased substantially; they are a good indicator of future publications. Counting all publications and calculated on an FTE basis, each research FTE wrote, on average, a bit more than three publications per year.

13 doctoral dissertations were finished between 2018 and 2020 (as compared to 8 between 2015 and 2018), 6 in economics, 6 in empirical sociology, and one in computer sciences. Since the Max Planck Society is not permitted to grant doctoral degrees, doctoral candidates need to seek a university for graduation. Three doctoral candidates were graduated in Munich (two at TUM, one at LMU) and 10 at other universities.

MEA has a flat hierarchy with the unit heads, the director and the academic coordinator meeting regularly to discuss progress. Management is facilitated by the strict project structure: every paper or major contribution is formulated as one of currently 114 projects (see list and details in Section 2).

### 1.3 RESEARCH UNITS AND THEIR MAIN ACHIEVEMENTS

#### 1.3.1 SOCIAL POLICY AND OLD-AGE PROVISION

The Social Policy and Old-Age Provision research unit is the closest to actual policy, especially to public pension policy in Germany. We study the reform process towards a demographically more stable multi-pillar public pension system and its recent backlashes in Germany. We use a detailed simulation model (MEA-PENSIM) to analyze policy reforms of the German public pension system. We also exploit multiple data sets (e.g., SHARE and the record-matched SHARE-RV data, SOEP) to monitor households' reactions to pension reforms, for example in terms of expectation formation, retirement behavior, adaptation of savings behavior, and the prospect of future pension adequacy.

A second pillar of this research unit is our work on international comparisons. We exploit the

SHARE data to study the interaction between employment and health trends, and to measure the extent of precarious work in the EU. MEA has also taken the lead of the International Social Security project, formerly led by Jon Gruber and David Wise, together with Courtney Coile, under the auspices of the National Bureau of Economic Research (NBER) in Cambridge, Mass., USA.

##### *(a) Pension policy in Germany*

MEA-PENSIM continues to be a central workhorse of research of the Social Policy unit. It is one of very few non-government pension simulation models that allows for the simulation of the future development of the German public pension system. MEA-PENSIM takes into account the current population structure and allows for different alternative demographic and labor market scenarios in the future. Despite the complexity of the model it is easy to handle so that reform options that are being discussed can be implemented in the model and their consequences be analyzed at relatively short notice.

During the reporting period, MEA-PENSIM has been continually updated with respect to changes in the underlying model parameters. For instance, we included the double stop line (*Doppelte Haltelinie*), which was introduced in 2018 and imposes a lower limit of 48% on the average pension benefit relative to average earnings and an upper limit of 20% on the contribution rate.

So far, MEA-PENSIM had been representing the average pensioner and the average worker. A major structural change of MEA-PENSIM has been to model the heterogeneity of the insured population along additional aspects such as, e.g., income.

Outcomes from MEA-PENSIM entered various projects, for example an analysis of the impact of productivity slow-downs on pension systems (Börsch-Supan and Rausch, 2019) or the German country studies that are part of the International Social Security Project (ISSP, see next subsection). Furthermore, we used MEA-PENSIM to investigate possible effects of the Corona crisis

on the German pension system (Börsch-Supan and Rausch, 2020). The results – a striking inter-generational imbalance of the financial burden due to the crisis – were published very timely in *Ifo Schnelldienst* in April 2020 (Börsch-Supan and Rausch 2020) and picked up prominently in the public media.

A hallmark of this research unit is the combination of policy consulting and academic research. MEA's Social Policy unit has continuously been an important consultant for pension reforms independent of the governing coalition. As such, Axel Börsch-Supan was appointed member of the grand coalition government's Pension Commission called 'Reliable Generational Contract' (*Verlässlicher Generationenvertrag*). The task of this Commission was to deal with the challenges of securing and further developing the statutory pension insurance and the other two pension pillars (occupational and private pension) for the time after 2025. MEA provided the scientific expertise. Moreover, MEA-PENSIM was the main simulation tool which we used to simulate and analyze different reform proposals. The Commission issued its report in March 2020. Based on the work for the Commission, four discussion papers were published (MEA Discussion Paper 02-2020, 03-2020, 06-2020 and 07-2020). Axel Börsch-Supan and MEA are furthermore involved

in three additional policy consulting projects: for the Federal Ministry for Economic Affairs on the effect of the Corona pandemic on the German pension system and resulting reform options; for the French President's 'Commission for Great Economic Challenges' on pension reform, health and integration of migrants; and for the US National Academies of Science, Engineering and Medicine on the employment of older adults.

Another area where MEA's scientific research has fertilized political decision making was in the implementation process of supplemental pension benefits (*Grundrente*). The political aim of this reform has been to target those who have earned more than the poverty threshold of social assistance but who only have 'a modest income'. Using the linked SHARE-RV data, we analyzed the potential targeting success of this reform proposal, i. e., to verify whether or not the individuals benefiting from the reform are those who policy makers claimed to target. We found poor targeting success. For instance, in a first reform proposal less than 40% of eligible individuals would have had a per-capita net household income in the lowest third of the income distribution. After publishing first results in a MEA Discussion Paper, a simple means test related to household income was introduced. This improves target quality but there are still more than a quarter of

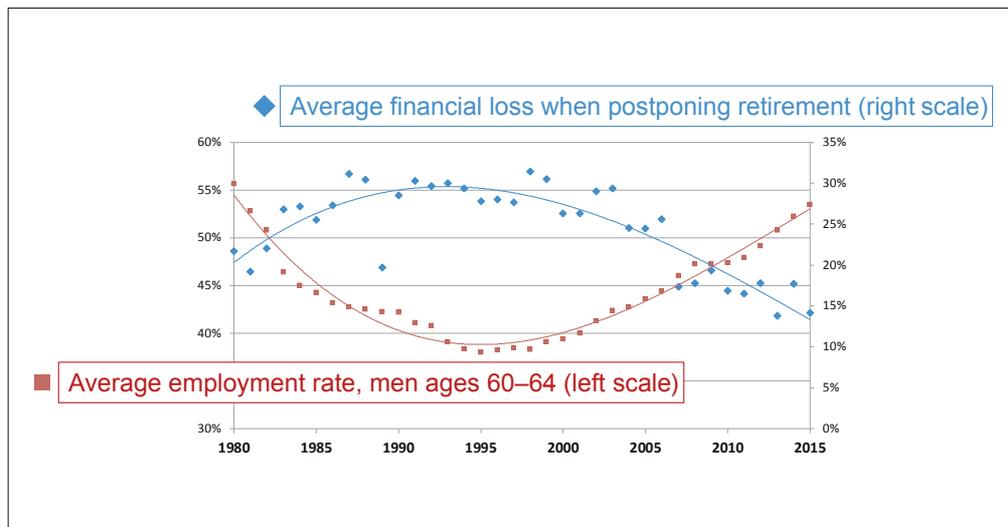


Figure 3: Incentives to work longer versus actual old-age employment

beneficiaries whose wealth is more than median. The paper is forthcoming in the *Journal of Pension Economics & Finance* and may be relevant for similar policy intensions in other countries.

*(b) The International Social Security Project*

The unit for Social Policy and Old-Age Provision is also the lead and German participant in the International Social Security Project (ISSP), formerly led by David Wise and Jon Gruber, now led by Axel Börsch-Supan and Courtney Coile. This work is funded jointly by the US Social Security Administration and the Sloan Foundation. The main focus of the last phases has been the striking trend reversal of labor force participation among older men and, overlaid by the secular increase, also among women. Phase 8 of the project ruled out most of the potential macroeconomic causes, such as increases in productivity or better health. Phase 9 focused on the role of public pension rules in explaining this trend reversal. We computed synthetic time series of incentive variables such as the implicit tax on working longer for the time horizon 1980–2015. We found that the changes in labor force participation correspond well with the changes in the incentive variables, see Figure 3.

For the micro-estimation in Phase 10 we used the SOEP data. SOEP data reaches back to 1984 and therefore covers a similar time horizon as considered in Phase 9. We find that for men in couple households the predicted and counterfactual retirement probabilities begin to diverge after about the year 2000 when actuarial adjustments were introduced in Germany. MEA is now in charge of Phase 10a in which the micro-estimations are repeated on the pooled data of all participating countries. Phase 8 and 9 have been completed during the reporting period, Phase 10 is still ongoing. Phase 11, which will focus on inequality, has just started, see Subsection 1.4.

*(c) Health and employment trends, disability and retirement behavior*

A second internationally comparative project, again funded by the Sloan foundation, looks at

the relation between employment and health trends of middle-aged individuals, motivated by the striking decline of employment and health in this age group in the US. As opposed to the US, we did not find any evidence for falling or stagnating employment rates in the EU, neither when using the European Labor Force Survey for the 45–55 age range nor when using SHARE data for the 50–60 age range. However, and in contrast to earlier findings from the literature, the SHARE data showed a stalling health trend for individuals from younger cohorts and even a slightly negative trend for men (Figure 4). Moreover, we detected large heterogeneity in health trends when stratifying by wealth and education. Hence, we did not find a similar correlation between health and employment trends as in the US. Our findings will be published in a chapter we wrote for a book edited by Lisa Berkman and Beth Truesdale (forthcoming, see Börsch-Supan et al., 2020, for the MEA Discussion Paper).

Our analysis built on earlier work that captured health in a single index. Since our results were not in line with those from other studies on health trends in Europe, we investigated the robustness of the applied health index in a second project (Börsch-Supan et al., 2021). We found that the correct choice of health variables included in the index was important. More specifically, we showed that earlier results of steadily improving health in the literature were due to longitudinal selectivity bias. We showed that a flattening health trend for younger cohorts in Europe is robust to many (and also random) choices of the variables included in the health index as long as the variables are included in all waves. Our findings have implications for future public and private costs of health care, and they are relevant for the ongoing discussion on how to achieve longer working lives.

As a second topic, we consider the determinants of work disability in an international perspective (Börsch-Supan et al., 2020, *Demography*). This study juxtaposes health measures of work disability (WD) with the uptake of disability insurance (DI) benefits in the US and Europe, based on an internationally harmonized data set assembled



Figure 4: Long-run health trends by cohort in Europe. The graph shows the year-of-birth estimates for women and men born between 1918 and 1964. A positive coefficient indicates that individuals born in a certain year have more health deficits than individuals born in 1934, which is the reference year, and vice versa. Source: Börsch-Supan et al., (2021).

from SHARE, ELSA and HRS. There have been incisive reforms to the DI systems in many of the countries, most of which significantly reduced the generosity of DI. In contrast to earlier studies based on cross-sectional data, we are able to exploit these policy changes thanks to the SHARE life history data. We find that while our large set of health measures explains a substantial share of the within-country variation in WD and DI, this is not the case for the variation across countries. Rather, most of the variation between countries is explained by differences in DI policies. We also find that health problems experienced over the life course even as early as childhood are important drivers of later-life working capacity and the need to rely on DI benefits.

*(d) Precarious labor histories*

The recent increase of precarious jobs (self-employed, gig economy) poses new challenges to the access to social protection at older ages. We took a closer look at this topic as part of a cooperation with the DG for Employment, Social Affairs and Inclusion of the European Commission. We evaluated the unique data of SHARE's Wave 7 with its life histories in order to assess who has access to social protection among precariously employed workers (especially the self-employed, part-time workers and persons

on fixed-term contracts). We created life-course sequences of employment by type of employment among retirees who were on precarious jobs and compared pension income and assets with that of formerly non-precariously employed workers.

We find that many individuals experience some inactivity during their working lives: 15% of men and 52% of women. Female working careers are also characterized by a broader dispersion, especially among older women. The reverse is true for males: younger males show a broader dispersion, probably attributable to the unemployment effects of the great recession following the financial crisis. At-risk-of-poverty rates are higher for individuals with a large share of inactiveness but decrease with the number of job spells. Furthermore, we found that formerly self-employed workers earn lower pension incomes than formerly traditionally-employed workers. They are, moreover, more at risk of poverty during retirement and rely more on financial assets outside the public pension systems. The work has been published as a report by the EU Commission.

### 1.3.2 LIFE-CYCLE DECISIONS

This research unit was created in 2019 in order to focus our research on the macroeconomic implications of an aging society which used to cover a very broad range of topics. We finished our research on age and productivity in which two large companies were studied, one in the automotive and one in the service industry. Neither study found evidence that productivity declines up to the age of 65, using high-powered econometric approaches to take care of the many selection effects that have marred earlier measurements of the age-productivity profile. We also decided to make the topic of migration a separate research unit, see Subsection 1.3.3.

The research unit for Life-Cycle Decisions is now focused on research on individual life-cycle decisions and how these decisions are interrelated with the population aging process and the institutional and macroeconomic context. An important workhorse for this unit is our OLG model which has many variants, can be used in partial or general equilibrium, and can be calibrated to micro and macro data. Our recent work has introduced elements from behavioral economics into these models such as households that are myopic, time-inconsistent or procrastinating,

which has far-reaching implications for pension policy and welfare analyses.

#### (a) Retirement and saving decisions

The research on life-cycle decisions followed the core ongoing work of MEA, mostly on retirement and saving decisions, and added new dimensions such as education and knowledge.

Several papers addressed the questions of pension policy and retirement decisions using our OLG model framework. For instance, a paper published in *Economics Letters* shows how flexibility reforms and the abolishment of earnings tests may worsen rather than improve the sustainability of public pension systems when benefit adjustments remain less than actuarial since such reforms produce earlier claiming ages (Figure 5).

A second paper discusses how different pension policies trigger endogenous reactions of individuals, which affect the effectiveness of reforms and may jeopardize the objective of a more sustainable pension system. The development of the OLG framework has also been used to explore country-specific questions that arise as demographic change looms. In particular, a collabora-

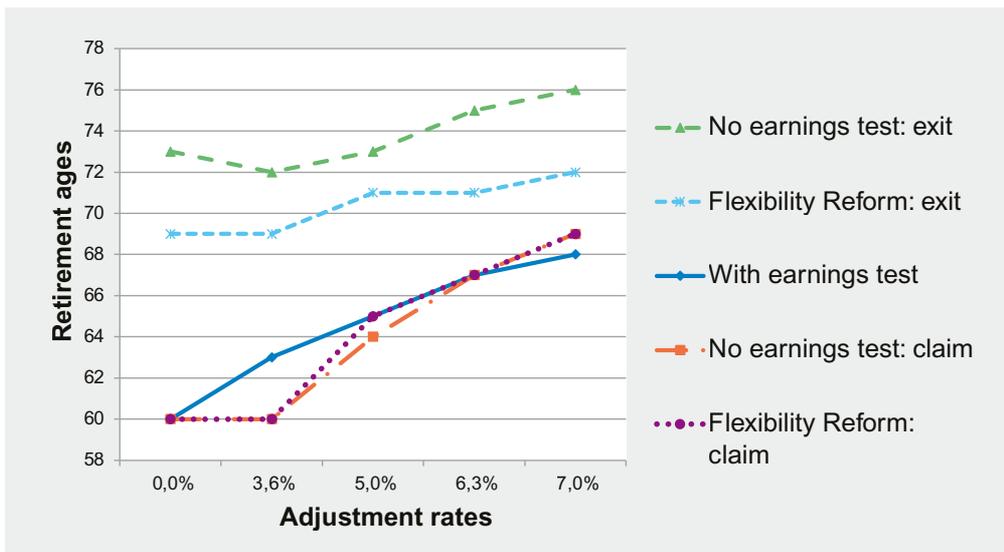


Figure 5: Claiming and labor market exit ages under 'flexibility reforms'

tion has been constituted and is ongoing to replicate the main mechanisms of the Portuguese pension system.

The third project initiated in this period seeks to provide a causal link between knowledge of pension rules and individuals' labor supply behavior. The results have important policy implications, as they suggest that informing individuals could considerably improve the effectiveness of pension reforms.

Finally, a paper currently in the revise and resubmit process at the *Review of Economics of the Household* has focused its attention on the Australian pension system and the effects of a reform that increased the age of retirement of women from 60 to 65. Using a specific empirical strategy to examine phased increases in pension eligibility age, it finds that the actual effects on female labor force participation are much weaker than those found in previous studies. In a follow-up paper, published as a MEA Discussion Paper, the effects of this same reform were studied in the perspective of an unequal impact on poorer households. We find that the negative effects on household incomes were concentrated among poorer households and inequality measures increased from 11 to 36 percent.

#### (b) *Inequality*

The results above show the need to explore more intensively the questions regarding inequality and the role policy reforms play for different income groups. Therefore, an ongoing project discusses the effects of pension policy reforms on welfare and different levels of inequality (between and within generations), showing the trade-offs emerging from each reform and the complexity to design a consensual policy. We use our OLG framework to represent the different alternative policy counterfactuals and SHARE data to define differences between income groups.

A second study, already published in the *Journal of Population Economics*, uses a matching method to provide an estimate of the nativity

wealth gap among older households in Europe. The results show that on average there is a positive and significant wealth gap between natives and migrants, although for households who migrated within Europe it holds that those who moved at younger ages rather than as adults, and those who are citizens of the destination country display a wealth gap that is consistently smaller over the entire distribution.

Several other papers published as MEA Discussion Papers have their core focus on inequality. One paper builds a quantitative model with a continuum of heterogeneous agents to analyze redistributive and macroeconomic effects of differential taxation of financial assets with different risk levels. The redistributive effect stems from the fact that various households hold portfolios with starkly different risk levels and, at the same time, equity and safe assets are often taxed at different rates in many tax codes. Quantitative results show that elimination of differential asset taxation leads to a welfare loss equivalent to a 0.3% permanent reduction in consumption. A second paper studies the effects of a change in firm leverage on wealth inequality and macroeconomic aggregates. It argues that the increase in firm leverage did not contribute to rising inequality in the U.S. in the 1980s, but rather the opposite and the reduction in leverage from the early 1990s to 2008 has contributed to rising wealth inequality.

#### (c) *Life-Cycle Decisions and Macroeconomics*

In the more macroeconomic strand of the unit, several papers were completed or are close to completion. They uncover some of the interactions of individual life-cycle decisions at the macroeconomic and institutional level. A project initiated at the end of the last triennium is now a MEA Discussion Paper (submitted to the *Journal of Money Credit and Banking*). It studies the long-term relationship between demographic change and inflation considering the life-cycle decisions of individuals. The results show how changes in population age composition play a fundamental role in dampening inflation dynamics and how aging has a negative impact on long-run inflation

dynamics. These results are also discussed in a book chapter published by the European Central Bank.

A project that will soon be published as a MEA Discussion Paper discusses the effects of demographic change on macroeconomic aggregates, taking into account the counteracting effects of college decisions for both developed and developing countries. Given the decisive decision in life that is to become skilled or not, it becomes essential to understand how such a decision influences the evolution of macroeconomic aggregates in countries that have an aging population, and in countries where the bulk of the working population is still growing at a rapid pace. This paper uses some of the insights on directed technical change of another paper from the unit which was recently published in *Economic Modelling*.

Finally, another dear topic in the unit, a paper on the impacts of hyperbolic discounting on savings, and consequently, on capital flows, was published in 2018. To further pursue this line of research, another project was initiated in 2018 whose main aim is to assess the share of time-inconsistent individuals. We successfully implemented a questionnaire to measure hyperbolic discounting behavior in the US Health and Retirement Study and the data will be available soon. Following this, decisions on retirement for time-consistent and inconsistent individuals will be evaluated.

Publications by the members of the research unit appeared in different journals such as *Macroeconomic Dynamics*, *Journal of Population Economics*, *Economics Letters*, *Economic Modelling*, *B.E. Journal of Economic Analysis & Policy*, among others. Our researchers have also contributed to many academic conferences, among them the annual NETSPAR Pension Workshops, the Verein für Socialpolitik Conference, the EEA Meeting and also to invited talks at the JRC Fiscal Policy Modelling Workshop or the 14th Viennese Conference on Optimal Control and Dynamic Games.

### 1.3.3 MIGRATION

The research area on migration and integration within the Macroeconomics unit was created in response to the huge immigration wave in 2014 and 2015. It was later expanded and established as a freestanding research unit ('Migration').

Its main research projects build on two unique data collection projects, for which the unit successfully acquired additional funding. The first, smaller study was conducted on Syrian migrants in Bavaria. The second, larger study was conducted on Afghan migrants in three large German cities: Berlin, Munich and Hamburg. Both studies complement the existing literature by addressing a number of important gaps in present research on the link between refugees' integration outcomes and their migration histories, abilities and expectations.

#### (a) *The 'Qualifications, potentials and life courses of Syrian asylum seekers in Bavaria' Survey*

This survey added to the literature on asylum seekers in several ways. First, in addition to collecting information on educational qualifications, it assessed human capital stock using aptitude tests, including two tests on crystalline and fluid cognitive abilities. It also gauged German language abilities using objective tests and interviewer assessments. Second, the survey assessed labor market capabilities by tracing migrants' work experiences with a special focus on evaluating skill levels and skill acquisition over the years. Moreover, it measured subjective expectations to understand the investments migrants undertake in the host country. Lastly, building on the experience of the SHARE Survey, it looked at traumatic events, which may hinder successful structural integration of asylum seekers. The main results of the survey were published as a MEA Discussion Paper at the beginning of 2019.

Taking advantage of this survey, one further project examined the role of traumatic experiences in the short-term integration of Syrian refugees in Germany. In contrast to the a priori assumption

tions in the literature, it found that there was a positive effect of traumatic experiences on cognitive-cultural integration, i.e., language acquisition, and close to zero effect on structural integration, i.e., employment and education enrolment. Due to possible higher motivation to remain in the new country, in the short run, Syrian refugees and asylum seekers seem to be integrating despite the added burden of having experienced traumatic events. The project was published in *Soziale Welt* in 2020.

(b) *The 'Survey on Migrant's Expectations in Germany'*

In contrast to Syrian asylum seekers, Afghan asylum seekers have a lower recognition rate (as of 2019, 66% compared to 96%). In fact, they form the largest group of asylum seekers with a rejected application who overstay.

The 'Survey on Migrant's Expectations in Germany' shed some light on the motives behind the decision to overstay. The survey collected more than 1,000 interviews on Afghan asylum seekers residing in Berlin, Hamburg and Munich, and elicited their subjective beliefs about the chance of obtaining the right to stay in Germany (RtS), the perceived risk of deportation and outcomes related to the legal status. It included a Rand-

omized Controlled Trial that provided information about the actual proportion of deportation to half of the population. Furthermore, it elicited the intention to overstay under different hypothetical scenarios. The main results of the survey were published as a MEA Discussion Paper at the end of 2020 and are under review at the *Journal of Economic Behavior and Organization*.

Using data from this unique survey, a further project estimated a structural model about the decision to overstay. This allowed decomposing the average ex-ante returns on overstaying in their pecuniary and non-pecuniary components. The non-pecuniary components include the perceived amenities if one eventually obtains the RtS (e.g., better access to education, social assistance, health care services), the perceived amenities even if one does not obtain the RtS (e.g., restricted access to education, social assistance, health care services), and the perceived cost of deportation to Afghanistan.

Figure 6 illustrates this decomposition. The x-axis represents different counterfactual values of the chance of becoming regularized, between 10 percent and 90 percent. The y-axis represents the average contribution to the ex-ante returns in monthly income, equivalent in EUR. The non-pecuniary amenities, with and without the RtS, and

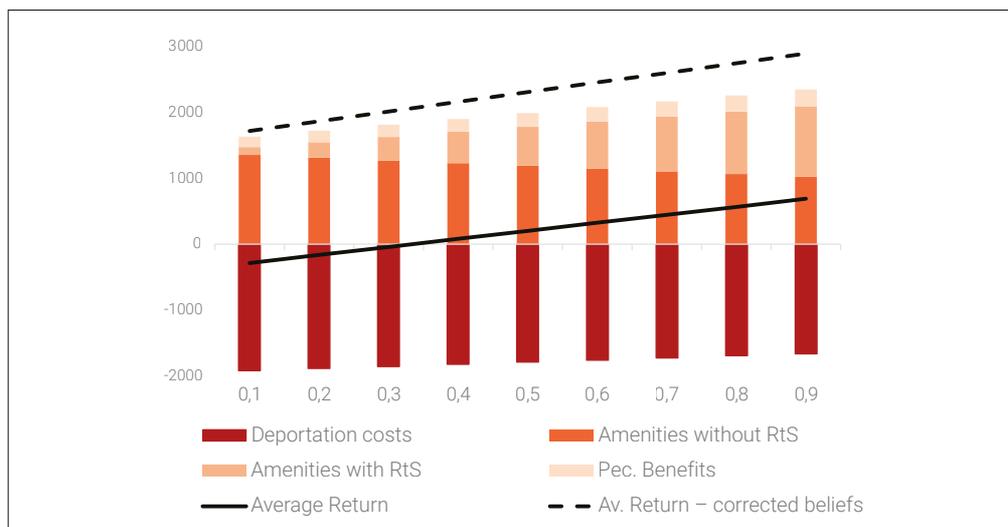


Figure 6: Average ex-ante returns on overstaying

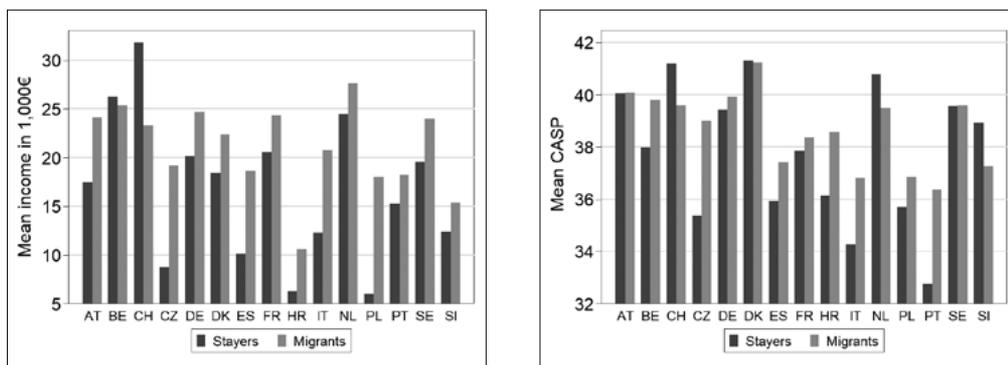


Figure 7: Average values of yearly income and CASP for stayers and migrants per origin country

the expected pecuniary benefits, contribute positively to the average returns and are represented by the stacked orange bars in the positive region. The risk of deportation contributes negatively to the average returns and is represented by the red bars in the negative region. The average surplus, which is the sum of all components, is represented by the solid black line. It varies from -285 EUR per month to 690 EUR per month.

The figure reveals that the risk of deportation represents an important disutility for asylum seekers. It is partly compensated by the amenities received without the RtS, when the chance of becoming regularized is low, resulting in negative returns, on average. The increased chance of becoming regularized raises the contribution of the amenities perceived with the RtS to the ex-ante returns. As the chance of becoming regularized exceeds 40 percent, the disutility associated with the risk of deportation is fully compensated by the amenities. The contribution of pecuniary benefits to the average returns is small.

Furthermore, the survey found that beliefs about the chance of being deported are higher than suggested by available official statistics (on average, 37 percent compared to 1.6 percent). If respondents' beliefs were corrected to match official statistics, this would almost eliminate the disutility associated with the risk of deportation and result in a significant increase of the ex-ante average returns, as represented by the dashed black line.

The findings highlight the importance of amenities perceived in the host country and subjective beliefs about the chance of becoming regularized or of deportation. The results of this project survey were published as a MEA Discussion Paper at the end of 2020. Peer-reviewed publication of this work is targeted at the *Review of Economic Studies*.

(c) Long-term effects of intra-European migration

Whether migration pays off both in terms of income and subjective well-being is explored in a study by Gruber and Sand (2020). They look at migrants aged 50+ who moved from one European country to another European country at some point in their life and are growing old abroad. Descriptive results show that in terms of average income, migrants are always better off than their native counterparts in the country of origin (i.e., stayers), except if they were born in Switzerland or Belgium. Looking at the subjective well-being measure CASP, migrants originating from countries such as the Czech Republic, Croatia, Italy, and Portugal have considerably higher mean values of CASP than stayers. There is no difference for Austria, Denmark, or Sweden. Stayers in the Netherlands, Slovenia, and Switzerland even have a small CASP advantage over their migrated counterparts (see Figure 7).

More profound analyses demonstrate that older migrants' well-being levels are considerably affected by the economic situation of their peers in the destination. A well-being advantage over

stayers is only achieved if migrants' income is equal to or higher than the reference income in the destination country.

Another study by Gruber (2020) raises the question about the long-term effect of intra-European migration on cognitive abilities in later life. In contrast to previous research that compares migrants to natives of the destination country, this study applies one important advantage of SHARE by using stayers in the European origin countries as reference group for migrants who moved to another European country earlier in life and are now growing old abroad. Selection into migration is addressed methodologically by applying an instrumental variable approach. Using the Global Bilateral Migration Database to generate the country- and time-specific share of emigrants as an instrument for migration, the results indicate that intra-European migration turns out to have a negative long-term effect on the baseline level of cognitive abilities.

*(d) The empirical content of the Roy model under stochastic monotonicity constraint*

Besides the empirical research aforementioned, the unit has also contributed to advances in econometric theory. Méango et al. (*Journal of Political Economy*, 2020) devised an innovative test of the Roy model, a widely applied model of earnings with sorting on sector-specific skills. The test is based on a monotonicity condition of the instrument and provides a fully nonparametric alternative to tests of the Roy model previously proposed. Further research is currently conducted on an extension to the original idea. This new project measures the minimum cost subsidy necessary to change sector choices and make them observationally indistinguishable from choices made under income maximization only. It is currently under review at the *Review of Economics and Statistics*.

### 1.3.4 HEALTH ECONOMETRICS

The focus of the research unit is on applying and advancing state-of-the-art statistical and econo-

metric methods to applied questions with focus on health and labor economics. Some research overlaps with the Social Policy unit and has been described there, see 1.3.1 (c). In most of our work, we combine empirical questions with theoretical contributions in terms of novel identification strategies or advances in econometric modelling.

*(a) Instrument validity tests with causal forests*

A perfect example of this is the development of an improved strategy to test the validity of instrumental variables (Farbmacher et al., 2020, *Journal of Business & Economic Statistics*). Producing credible estimates of causal effects in empirical research often entails a heavy reliance on instrumental variables. Instruments, however, have to meet strong assumptions to be valid. Discussions about threats to these identifying assumptions and approaches to checking their robustness constitute a crucial part of many empirical articles. Three tests have been proposed that allow the validity of instruments to be refuted based on necessary conditions in the data. These conditions are generated by the joint assumptions sufficient to identify local average treatment effects (LATEs), namely the exclusion restriction, randomization, and monotonicity. The unifying idea across these three tests is that, given a treatment status, the estimated density of compliers must be nonnegative at any point in the distribution of the outcome variable; compliers comprise the unobserved subpopulation of individuals whose treatment status is causally affected by the instrument.

The concept underlying our study is that the degree to which the LATE assumptions are violated may vary across subpopulations that can be defined by observed characteristics. For example, a direct effect of the instrument on the outcome variable may be large in a relatively small subpopulation but, in the entire population, watered down to the point at which it can no longer be detected by existing tests. By reformulating the necessary conditions into a form similar to that employed to learn the sign of treatment effects, we are able to leverage recent

progress in using machine learning to estimate heterogeneous treatment effects. This heterogeneity is conceptually restricted to nonnegative values if the LATE assumptions hold, but may take on negative values otherwise.

In the spirit of subgroup testing, we use shallow regression trees to split the sample along covariate values. Some of these splits form subgroups, which are promising for finding violations of the LATE assumptions. We apply a simple selection procedure to identify these. Then, we use the double machine learning framework combined with causal forests to estimate the magnitude of the violations in these promising subgroups. Lastly, we test for local violations of the LATE assumptions using Bonferroni-corrected critical values. Finding violations in at least one subgroup casts doubt on the instrument, because we cannot rule out further undetected violations. This test procedure can be easily implemented with existing software packages. Additionally, we provide the R package *LATEtest*. We evaluate the performance of our procedure in simulations and apply it in two different settings: parental preferences for mixed-sex composition of children and the Vietnam draft lottery.

*(b) Validation of biomarker analyses derived from dried blood spots*

SHARE has collected dried blood spot (DBS) samples from approximately 27,000 respondents in 13 countries. A disadvantage of DBS is that results from DBS assays cannot be directly compared to the results one would obtain from assays of venous blood using standard laboratory methods since both mean and variance differ, influenced by many laboratory and fieldwork-related factors. This project estimates conversion functions between DBS and venous blood samples (VBS) taking account of adverse fieldwork conditions such as small spot size, high temperature and humidity, short drying time and long shipment times. By simulating adverse fieldwork conditions in the lab, we were able to validate DBS collected under such conditions and established conversion formulae with high

prediction accuracy (Börsch-Supan et al., 2020, *American Journal of Human Biology*).

*(c) The obesity paradox*

Despite evidence that overweight and obesity is related to poor cognitive performance, a phenomenon called ‘obesity paradox’ is prominently discussed in the literature. It indicates a counter-intuitive positive relation between (over-)weight and certain health outcomes, particularly for mental and cardiovascular diseases, but also for cognitive development. Against this background, a study based on SHARE data employing asymmetric fixed effects regression that account for possible confounding variables such as age, grip strength, health conditions, and physical activity data shows that the positive relationship between bodyweight change and the development of cognitive functioning in older age is dominantly driven by BMI decrease instead of increase (Weiss et al., 2019; Kronschnabl et al. under review). Weight loss is hence typically associated with an increase in cognition, particularly at low levels of BMI and mainly due to health conditions negatively affecting both bodyweight and cognitive performance. In contrast, weight gain is, on average, not significantly related to cognitive performance. These findings challenge the notion of an obesity paradox in cognition and rather provide support for the assumption that the found association between weight change and cognitive performance in older age is instead based on weight changes being related to illness and recovery.

*(d) COVID-19*

The EU Commission granted a very large project entitled ‘Non-intended health, economic and social effects of the COVID-19 epidemic control decisions: Lessons from SHARE’ and coordinated by MEA. The overarching objective of the project is to understand the non-intended consequences of epidemic control decisions and to devise improved health, economic and social policies to make healthcare systems and societies in the EU more resilient to pandemics in terms of prevention, protection and treatment of the pop-

ulation 50+, a most vulnerable part of the population. The key concept of identifying cause and effect is to exploit (a) the cross-national differences in the extent of the COVID-19 pandemic, (b) the cross-national differences in the severity and stringency of epidemic control actions, and (c) the longitudinal variation of observations before, during and after the pandemic. Specifically, the grant will fund the additional SHARE Corona Telephone Survey in spring 2021 gathering information on longer-lasting health and socio-economic shocks from the pandemic, and support the extension of SPLASH, the Social PoLicy Archive for SHARE, an internationally harmonized database of relevant social policies in the SHARE countries. The project started in November 2020 and is part of MEA's future plans described in Section 1.4.

### 1.3.5 SURVEY OF HEALTH, AGEING AND RETIREMENT IN EUROPE (SHARE)

SHARE is by far the largest research unit of MEA and combines infrastructural work to collect and disseminate data, survey-methodological research, substantive research in domains covering economics, health and sociology, and policy support for the European Commission, the OECD and other international organizations. In the sequel, we summarize the main achievements in infrastructure development (a), the productivity of SHARE as infrastructure measured by user and publication numbers (b), and the scientific research done by SHARE staff (c).

#### (a) Infrastructure development

The reporting period from 2018 to 2020 has been characterized by an exceptional expansion in terms of SHARE's scientific breadth:

- Collecting and releasing SHARE data: SHARE has released Waves 1 to 7, which contain data of around 380,000 interviews of about 140,000 respondents.
- Data & Documentation Tool: SHARE has developed a new web interface for browsing and searching the SHARE (meta)data. Researchers can get an impression about content and case numbers before downloading the data and generate wave- and module-specific codebooks.
- SHARE has brought preparations for Wave 8 under way by streamlining and modernizing the questionnaire development process. To this end, a central Questionnaire Coordinator was appointed and an electronic project management tool was installed.
- SHARE has updated its questionnaire software to Blaise 5. Moreover, the design, the concept and the functionality of the Sample Management System (used by interviewers to document contact attempts and household composition) was updated and received a new name: Case Control. The Sample Distributor (used by survey agencies to organize the sample) was changed to a web-based platform and renamed to Sample Control.
- SHARE collected physical activity data using accelerometers. This measure allows us to validate self-reported physical activity across countries, to examine the differences in activity between retired and working panel members, and to study how physical activity and sitting time are related to health outcomes during ageing.
- The NIA-financed Harmonized Cognitive Assessment Protocol (HCAP) project aims to identify interactions of bio-medical and socio-economic conditions over the life course that affect cognition in later life. The understanding of such life-course pathways to first mild cognitive impairment and then, possibly, dementia, should help in developing preventive early interventions. With this new project, SHARE will join an international research network of other sister studies on aging that have implemented/plan to implement the HCAP.

- SHARE developed record linkage projects in several countries in order to supplement the survey data with administrative data. By the end of 2020, four successful record linkage projects have been established in SHARE: in Germany, Denmark, the Netherlands, and Austria. For Wave 8, two additional countries (Finland and Italy) are establishing a record linkage project.

These expansions presented exceptional challenges to the SHARE coordination and had already stretched the capacities of the internal administration when the COVID-19 pandemic brought the face-to-face fieldwork in March 2020 to a sudden halt. At this point in time, about 70% of expected longitudinal and 50% of expected refreshment interviews across countries had been done.

All SHARE stakeholders shared the opinion that data about the health and living situation of the 50+ population in Europe were needed more than ever to shed light on the short- and long-term economic, social, and health implications of the pandemic. We therefore developed the SHARE Corona Telephone Survey covering topics such as health and health behavior, mental health, infections and healthcare, changes in work and economic situation, and social networks. In April and May 2020, the questionnaire was developed, programmed, and translated into the 39 SHARE languages; software and monitoring procedures were adapted; the instrument was tested and distributed to the interviewers; the survey agencies and their interviewers received virtual training sessions; and advance letters were sent out to all eligible households. The change from CAPI to CATI fieldwork, questionnaire content, and fieldwork design required amendments to the existing contracts. From June to August 2020, the survey was fielded, yielding about 60,000 interviews. A follow-up CATI is planned for spring/summer 2021.

The infrastructure work for SHARE is structured by eight units.

Team members of the newly founded department **SHARE Questionnaire Development** designed Wave 8, the Corona Telephone Survey and Wave 9 during the reporting period. They also coordinated programming and translations into 39 SHARE languages. Fieldwork for Wave 8 and for the Corona Telephone Survey data collection was closely monitored and extensively managed by the department **SHARE Operations**, which is also responsible for the two-stage train-the-trainer program. Further, the Operations department also coordinated and managed all software updates for the questionnaire tool and organized the SHARE meetings held twice a year with all Country Teams. The **SHARE Data Base Management (DBM)** integrated all data from the new Wave 7 countries into the release programs. An updated scientific release of all SHARE data was prepared and made available for researchers. With this release, more than 80,000 new Wave 7 interviews were released, most of them life history interviews (SHARELIFE), but also new regular SHARE panel as well as end-of-life interviews. Team members of the department **SHARE Survey Methodology** coordinated the sampling process and documentation of the gross sample files, which both are crucial prerequisites for proper monitoring and interviewing of eligible respondents and hence the high data quality in SHARE. In this respect, the department coordinated several initiatives to increase survey response and to prevent selective bias in specific subgroups of the target population. Further, the department Survey Methodology also was involved in the implementation of the SHARE Interviewer Survey to explain interviewer effects that might affect substantial conclusions as well as the cleaning, validation and provision of objective health measures such as dried blood spots (DBS) to overcome the inherent biases associated with self-reported health measures and to improve the precision of health measurement in general. Survey Methodology was also responsible for mapping and improving European sampling practices including the institutional population within the EU-funded project SERISS. The **SHARE Germany country team** is responsible for the implementation of SHARE in Germany. It also serves as a test bed; e.g., fielded a drop-

off questionnaire to shed light on the interaction between refusal to answer questions on income and the tendency for respondents to drop out in subsequent waves. The results should aid the development of tailored measures to reduce the likelihood of panel dropout for specific high-risk groups. The **SHARE European Relations and International Management** coordinates the communication to the European Commission, other ERICs and the national ministries in their role as members of the SHARE-ERIC Council. In close cooperation with the **SHARE Financial Affairs** unit, it also carried out procurement and contracting for Wave 8 in most SHARE countries, based on a common model contract that is used to harmonize fieldwork across all SHARE countries. Due to the sudden outbreak of COVID-19 across Europe, all contracts had to be amended. SHARE has an annual budget of about €22 million from some 60 different sources (EU Commission, US NIA, national ministries and research councils). The SHARE Financial Affairs unit operates as administrative and financial coordinator for all supranational grants. Finally, **SHARE Public Relations** organized press conferences, provided newsletters for different target groups and maintains the SHARE website.

This large infrastructural effort pays off in two ways. First, and typical for a research infrastructure, it is a service for the research community. Its value is documented by the number of users and their publications. This is described

in the following subsection. Second, SHARE has become a major input also for MEA's own research, including SHARE staff. This has already been documented in the previous sections. In addition, survey-methodological research and projects of SHARE staff outside of MEA will be detailed in Subsection (c).

*(b) User uptake and publications*

As measured by user uptake, published scientific articles and policy reports, SHARE has been an even larger success than in the previous reporting period. Our expectations of the number of users, based on related surveys in the US and UK, have been surpassed by far. During the three years of this reporting period, SHARE has almost doubled its users. As of this writing (December 2020), SHARE has more than 12,000 registered users from all over the world and from a broad range of organizations and disciplines (see <http://www.share-project.org/share-publications/user-publications-statistics.html>). Moreover, it has done so at an increasing rate reflecting the potential of the data growing with the number of available waves (see left part of Figure 8).

SHARE is currently used in 82 countries (39 European, 6 North and Central American, 7 South American, 5 African, 23 Asian, and 2 Oceanian). The largest user groups are located in Germany, followed by the Netherlands, the UK and

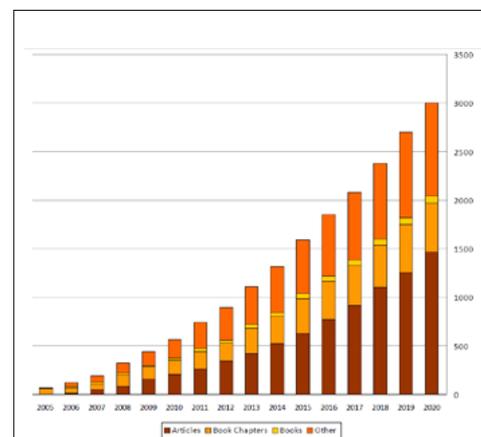
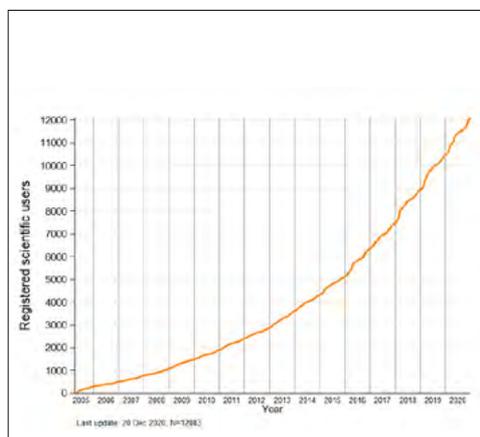


Figure 8: Increase in SHARE registrations and publications (as of 20 December 2020)

the US. It is remarkable that two non-SHARE countries (US and UK) are among the heaviest user nations of the SHARE data. Around 88% of users are affiliated to a university, around 6% to non-university research institutes, and around 6% to policy and other institutions, among them the European Commission and the OECD as single-largest users in the field of policy institutions (32 registrations each), and several central banks.

SHARE has led to a large number of fundamental and application-oriented research results (see right part of Figure 8). SHARE has by now generated almost 3000 publications (as of December 2020), again surpassing what could be expected when comparing SHARE to e.g. the US sister study HRS after having run for a similar time. Publications include contributions to leading international journals such as *Demography*, *the European Journal of Public Health*, *the European Sociological Review*, *Health Affairs*, *Health Psychology*, *the International Journal of Epidemiology*, *the Journal of Epidemiology and Community Health*, *the Journal of Health Economics*, *Occupational and Environmental Medicine*, *Proceedings of the National Academy of Sciences of the United States of America*, and *Social Science & Medicine*, many of them by MEA researchers. The multidisciplinary study on individual and population ageing has become a top scientific field in Europe, not least due to the rich multidisciplinary data provided by SHARE.

#### (c) Scientific achievements by the SHARE staff

All members of the departments SHARE Operations, SHARE Survey Methodology and all PhD students in the department DBM team managed to submit scientific papers to peer-reviewed journals. Most of these papers were accepted in the reporting period. Four dissertations were completed and one dissertation is scheduled to be finished at the beginning of 2021. The research is about evenly split between survey-methodological and substantive papers. Examples for survey-methodological papers are:

- Bergmann, Michael; Scherpenzeel, Annette (2020): 'Using Field Monitoring Strategies to Improve Panel Sample Representativeness: Application During Data Collection in the Survey of Health, Ageing and Retirement in Europe (SHARE)'. In: *Survey Methods: Insights from the Field, Special Issue: 'Fieldwork Monitoring Strategies for Interviewer-Administered Surveys'*.
- Bergmann, Michael; Schuller, Karin; Malter, Frederic (2019): 'Preventing Interview Falsifications During Fieldwork in the Survey of Health, Ageing and Retirement in Europe (SHARE)'. In: *Longitudinal and Life Course Studies*, 10, 4, pp. 513–530.
- Bristle, Johanna; Celidoni, Martina; Dal Bianco, Chiara; Weber, Guglielmo (2019): 'The Contributions of Paradata and Features of Respondents, Interviewers and Survey Agencies to Panel Cooperation in the Survey of Health, Ageing and Retirement in Europe'. In: *Journal of the Royal Statistical Society – Series A*, 182, 1, pp. 3–35.
- Friedel, Sabine; Birkenbach, Tim (2020): 'Evolution of the Initially Recruited SHARE Panel Sample Over the First Six Waves'. In: *Journal of Official Statistics*, 36, 3, pp. 507–527.
- Scherpenzeel, Annette; Axt, Kathrin; Bergmann, Michael; Douhou, Salima; Oepen, Andrea; Sand, Gregor; Schuller, Karin; Stuck, Stephanie; Wagner, Melanie; Börsch-Supan, Axel (2020): 'Collecting Survey Data Among the 50+ Population During the COVID-19 Outbreak: The Survey of Health, Ageing and Retirement in Europe (SHARE)'. In: *Survey Research Methods*, 14(2), pp. 217–221.

Substantive papers within MEA have already been described in the previous sections. In addition, SHARE staff have created several projects with colleagues outside of MEA, such as:

- Atzendorf, Josefine; Apfelbacher, Christian; Gomes de Matos, Elena; Lochbühler, Kirsten; Piontek, Daniela; Seitz, Nicki-Nils; Kraus,

Ludwig (2020): 'Do Smoking, Nutrition, Alcohol Use, and Physical Activity Vary Between Regions in Germany? Results of a Cross-Sectional Study'. In: *BMC Public Health*, 20, 277.

- Balz, Anne; Schuller, Karin (2018): 'Always Looking for Something Better? The Impact of Job Insecurity on Turnover Intentions: Do Employables and Irreplaceables React Differently?'. In: *Economic and Industrial Democracy*, online first.
- Massenot, Baptiste; Pettinicchi, Yuri (2019): 'Can Households See Into the Future? Survey Evidence from the Netherlands'. In: *Journal of Economic Behavior & Organization*, 164, pp. 77–90.
- Schuller, Karin; Weiss, Felix (2019): 'The Rise of Mental Health Problems, Inequality and the Role of Job Strain in Germany'. In: *Mental Health & Prevention*, online first.
- Wagner, Melanie; Brandt, Martina (2018): 'Long-Term Care Provision and the Well-Being of Spousal Caregivers: An Analysis of 138 European Regions'. In: *The Journals of Gerontology: Series B*, 73(4), pp. 24–34.

### 1.3.6 PUBLIC POLICY ADVICE

The 2018–2020 reporting period has been intense in policy advice at the German Federal level. We advised the German President, the office of the Chancellor, the Council of Economic Advisors, the Ministry for Economic Affairs, the Ministry of Labour and Social Affairs, and the Ministry of Health. The intensity was partially due to an attempt by the German grand coalition to make the German public pension system at the same time more sustainable and more generous, an obvious conflict. Some of this advisory work was formal and resulted in expertises and subsequent scientific papers as described e.g. in Subsection 1.3.1. In addition, there were many informal meetings, many of them relating to public pension sustainability and old-age poverty.

Formal advisory positions included the German Federal Government's Pension Commission called 'Reliable Generational Contract' (*Verlässlicher Generationenvertrag*), for which MEA did all actuarial calculations and simulations of reform proposals. Axel Börsch-Supan and MEA are furthermore involved in three additional policy consulting projects: for the Federal Ministry for Economic Affairs on the effect of the Corona pandemic on the German pension system and resulting reform options; for the French President's 'Commission for Great Economic Challenges' on pension reform, health and integration of migrants; and for the US National Academies of Science, Engineering and Medicine on the employment of older adults.

*In a sequence of discussion papers and informal meetings, MEA's scientific research has fertilized political decision making with a view to the new German supplemental pension benefits ('Grundrente') as described in Section 1.3.1.*

MEA has contributed to the EU Commission's 'Pension Adequacy Report' edited by the Directorate-General for Employment, Social Affairs and Inclusion (DG EMPL). SHARE is also intensely used by the Organisation for Economic Cooperation and Development (OECD) and the World Health Organization (WHO), with related advisory tasks.

Axel Börsch-Supan was a member of the Global Council on Aging and the Global Council on Social Security advising the World Economic Forum. He is a member of the Aging Societies Network (ASN), which is financed by the MacArthur and the Hartford Foundations. This network aims 'to help the [US American] nation prepare for the challenges and opportunities posed by an aging society.' He prepared a report on the implications of the recent productivity slowdown on pension adequacy and financial sustainability for the Peterson Institute for International Economics.

All of these public policy consulting activities have resulted in MEA Discussion Papers. Most of the Germany-related activities prompted aca-

demic publications in German-language journals (see Section 4). The international work was published in journals such as *Economic Policy* and *Journal of Economic Surveys*. Some of these studies precipitated a large media echo, especially those on old-age poverty and the recent pension reform package, see Section 10.

### 1.3.7 PROMOTION OF YOUNG RESEARCHERS

MEA takes great efforts to promote young researchers. We have developed a sophisticated strategy which encompasses several stages. An important part of the strategy is that we have given all researchers, pre- or post-docs, full contracts rather than stipends as a matter of principle and involve them immediately in the projects of the Institute. Exceptions are very rare and short-term only. This differs from other Max Planck Institutes.

Some PhD students in economics are supervised by MEA's director in his function as professor of the Technical University of Munich (TUM), but most PhD students at MEA have a supervisor at different universities.

We have established a two-pillar mentoring program for both junior and post-doctoral researchers. During the very first weeks at MEA, each junior researcher is assigned to a more senior researcher who acts as a mentor during the entire doctorate. Additionally, we have initiated a program to involve internationally recognized researchers to support the advancement of our team (see Subsection 3.1). Dissertations are usually tightly linked with one or several projects at MEA (Subsection 3.2). From the very beginning, all researchers present their work periodically in our weekly MEA Seminar (Subsection 3.3). Once a year, we all retreat for a couple of days to a quiet location to discuss and reflect on our research and to foster interaction between research units (Section 3.4). Unfortunately, the 2020 retreat had to be cancelled, as well as many other conferences planned by MEA, due to the pandemic.

In order to improve their research skills, we encourage our researchers to make use of the many courses offered at Munich's two universities (Departments of Economics, Social Sciences, and Statistics). We also co-organize the weekly research workshop 'Empirical Economics', together with the faculty from the Economics Department of Ludwig Maximilian University Munich (LMU), a further possibility for our researchers to meet other researchers, learn about related research and to discuss academic issues (Subsection 3.5).

Beyond Munich, we encourage our researchers to take part in courses that are offered elsewhere (Subsection 3.6), prompt them to present their work at international conferences and workshops (Section 5) and encourage them to visit other researchers abroad (Subsection 3.7). In turn, we have a guest program (Section 12) in which guests are explicitly prompted to interact with the young researchers and comment on their research. We also host internees from other universities and research institutes who perform, as part of their dissertation work, autonomous research projects at MEA and interact with MEA researchers (Subsection 3.8).

The success of our strategy has been documented, e. g., by awards and the excellent placements of researchers who leave MEA (Section 9). Three MEA researchers could accept professor positions during the reporting period. We are also proud that MEA has a balanced gender composition, has become more diverse with regard to its team members' nationalities and offers a family-friendly environment for young mothers and fathers.

## 1.4 RESEARCH OUTLOOK

MEA as a department of MPISOC has a finite life which is slated to end in December 2022. The Max Planck Society still believes in mandatory retirement, and while MEA has shown in several publications that mandatory retirement is not to the advantage of a society, unfortunately its internal persuasive powers have not been

enough to convince the MPS. As described in Section 1.2, we are currently working on alternative institutional arrangements to continue MEA's work past 2022. This is reflected in our research outlook which extends beyond 2022. We have made the following strategic decisions, symbolized by the blue circles in Figure 2:

- Analysis of social policy, especially pension reform, will remain the heart of MEA
- The unit on Life-Cycle Decisions will shift their focus on decisions involving the fourth phase of life, especially long-term care and intergenerational transfers
- Work on migration will phase out
- Health-related research will be focused on the implications of the COVID-19 pandemic
- SHARE will leave MEA and become a new self-standing institution in Berlin

This is detailed in the following subsections.

#### 1.4.1 SOCIAL POLICY AND OLD-AGE PROVISION

The Social Policy unit will keep monitoring German pension policies, commenting on the ups and downs of the pension reform process, and accompanying this process with new empirical and theoretical studies. This work will become especially interesting in Germany in the next 5–10 years for three reasons.

First, pension policy is currently backwards-oriented due to the so-called double stop line (*'Doppelte Haltelinie'*) which ends in 2025 and is untenable thereafter due to population aging. The Pension Commission *'Reliable Generational Contract'* failed to produce specific recommendations. Hence, further reform proposals will be generated and have to be evaluated.

Second, and related to this, it is worth noting that the baby boom is particularly sharp and pro-

nounced in Germany due to the postponement of births during the hunger years 1945–1949 after World War II. This decade will thus be a historically unique chance to observe a very sharp increase in retirement events with a much larger impact on pensions, health care and economic growth than in other countries.

Third, the Corona pandemic has put great strains on public finances; its impact will affect all areas of society. While the German pension insurance has proven to be quite robust against crises in the past, important equilibrating mechanisms have been suspended due to the double stop line. Moreover, expensive additions such as the supplemental pension benefits (*'Grundrente'*) and additional earnings points for mothers granted *ex post* (*'Mütterrente'*) will deplete the German pension system's reserves within the next few years. In addition, policy interventions such as, e.g., short-time employment aid (*'Kurzarbeit'*) will affect labor supply and the earnings history of workers, and thus potentially their retirement behavior. MEA with its analytical tools is well equipped to analyze these processes and to simulate policy responses.

As a second leg, the Social Policy research unit will continue its work on international comparisons. The Corona crisis will not only put pressure on the German social security system but also on the systems of other countries. International comparisons of the policy interventions will therefore become quite informative. Axel Börsch-Supan, in his position as NBER associate, will continue to lead the International Social Security Project together with Courtney Coile. Phase 11 of this project will be devoted to the effects of recent pension reforms on inequality. This comparative work will be based on SHARE data in Europe and data from associated aging surveys such as HRS, ELSA and JSTAR in the US, UK and Japan. For Germany, the linked SHARE-RV data may be a promising complement. We are particularly interested in how different social security reforms in different countries affected the redistributive characteristics of the policies and, in turn, inequalities in income. We are interested if these effects actually are reform-driven effects

*or due to certain groups not being able to adapt to pension reforms as intended by policy makers, e.g., by postponing retirement. This work is still funded by the Sloan foundation for the coming years. In the longer run, we plan to broaden the focus on this work to examine the relationship between social security reforms and inequalities in health, funded by US NIA (Phase 12).*

### 1.4.2 LIFE-CYCLE DECISIONS

Long-term care will be a growing challenge in the next decades as the baby boomers will reach an age where their need of care will increase. Baby boomers are starting to realize this now and make financial and housing decisions accordingly, which should be analyzed from a life-cycle point of view. This is the starting point of a project that will guide part of the research of the unit in the next years and in the years after 2022, as already mentioned. Some research papers will be initiated and completed until the end of 2022 but many will continue after 2022.

The overarching concept of this project will put special emphasis on informal care decisions of parents and children and how the cooperation between both evolve and are dependent on each other's preferences and expectations. Parents usually have a high preference for informal care, which depends on the willingness and availability of children to provide it. If not possible, they have either to rely on formal care provided by the social system, or on formal care paid by the long-term care insurance, which depends on whether they were enrolled in one when they were younger. The research unit is particularly interested in this bargain/cooperative game in which both parents and children are engaged. We want to understand the dynamics of the relationship between children and parents, their expectations regarding the provision of long-term care and the subjective probabilities of negative health and financial events, in a policy environment which aims to prevent an increasing burden for families and the social welfare system. In preparation of this project, we have designed a module for Wave 9 of SHARE, in which we created an exper-

iment to explore the reasons behind the widely observed failure to enroll in long-term care insurance.

Besides this particular project on long-term care, the unit will continue its work on other levels of life-cycle decisions, namely on its core focus – retirement and pensions –, relating it to previous questions concerning time inconsistency and inequality. This work includes the project exploring HRS data and time inconsistency, a model studying intergenerational wealth inequality, and two projects using Danish administrative data to first examine the role of housing wealth on the retirement decisions and health of the elderly and to study the impact of time transfers from individuals near the retirement age on the fertility and labor supply decisions of their children.

### 1.4.3 THE IMPLICATIONS OF COVID-19

The data set-up made possible by the EU Commission's 'SHARE-COVID19' grant will make SHARE an international and interdisciplinary observatory of the COVID-19 pandemic's societal implications. Wave 8 data (October 2019 – March 2020) provides data before, the two SHARE Corona Telephone Surveys during, and Wave 9 data (November 2021 – July 2022) after the – hopefully – most serious phase of the pandemic. Based on these data, the grant supports seven work packages to evaluate the effects of the non-intended consequences of the epidemic control decisions and mitigating policies such as income support programs for employees and employers. They include several specific research projects for MEA and the SHARE team:

- Short-time employment aid during the Corona lockdown: Evidence from the SHARE countries
- Pandemic lockdowns and economic inequality
- Financial hardship during the Corona pandemic

- Informal and formal caregiving and receipt of care across Europe during the COVID-19 pandemic
- Change and predictors of mental health in the older European population during the COVID-19 pandemic
- Behavioral risks factors and preventive COVID-19 measures amongst a high-risk population
- The triple A relationship in the COVID-19 pandemic: Being affected, anxiety and adherence to protective measures.

In addition, new PhD projects were started recently by SHARE staff members focusing on the effect of the pandemic on income inequality and welfare state robustness.

Some work is closely linked to the research program of the Life-Cycle Decision unit, which aims to study the impact of COVID-19 on labor force participation decisions in old age, e.g. retirement decisions. The key question here is how the different types of social welfare system responses to unemployment and the support of private businesses have contributed to a change in employees' future employment expectations and, hence, on decisions of continuing in the labor force. This will be embedded in a macro model to assess the heterogeneous impact of the COVID-19 epidemic and lockdowns on different segments of the population.

#### **1.4.4 SURVEY OF HEALTH, AGEING AND RETIREMENT IN EUROPE (SHARE)**

SHARE will remain a very labor-intensive data collection project with more than 40 scientists working on SHARE in Munich. Immediate tasks are to field the second SHARE Corona Telephone Survey in late spring 2021 (during the time of this evaluation), to field Wave 9 shortly after this in the fall of 2021, and to start developing the instrument for Wave 10.

In parallel, the SHARE-HCAP project will include the in-depth measurement of cognition and mild, moderate and severe cognitive impairment, following the Harmonized Cognition Assessment Protocol (HCAP) developed by the US Health and Retirement Study. The in-depth measurement, financed by a large NIA grant, will be devoted to two distinctive aspects:

- The decline of cognition at relatively early ages (age 50–70) and its relation to concurrent activities (e.g., work for pay, volunteer work, help for family and friends, physical activity), and
- The onset of dementia at later ages and its relation to early life characteristics, especially education and parental socio-economic status. This feature is important in the light of the large expected increase in the prevalence of Morbus Alzheimer and similar severe cognitive impairments.

This work will be done against the backdrop of SHARE's transition from Munich to Berlin. Due to the size and the complexity of SHARE, this transition has taken more time and turns than anticipated. In December 2020, a consortium of four large institutions signed a letter of intent to give SHARE a new home in Berlin. The consortium reflects the strong interdisciplinarity of SHARE, specifically the interactions between socio-economic and bio-medical research, and consists of the Wissenschaftszentrum Berlin (WZB), the Deutsche Institut für Wirtschaftsforschung (DIW) with its Sozio-Oekonomisches Panel (SOEP), the Robert Koch Institute (RKI), and the Charité. The consortium is supported by the Federal Ministry of Education and Research (BMBF) and the Land Berlin which took part in the signing procedure. In concrete terms, both the international coordination of SHARE and the national data collection in SHARE will assume their new seats in Berlin during 2022. The survey-methodological research of SHARE will be closely linked with that of SOEP and RKI, and the substantive research will be housed at WZB (sociology), DIW (economics), RKI and Charité (public health). While the design of Wave 9 is mostly finished at

the time of this application, the four consortium members are expected to influence the design of Wave 10 already in the course of 2021.

In addition, SHARE has initiated the so-called SHARE 2.0 process, which will define the scientific, survey-methodological, governance and financial future of SHARE after 2024. While this is past this application's direct time horizon, the long-term future plans will influence the design of Wave 10. At the beginning of 2020, the SHARE Management Board installed a 'Future SHARE Committee' which collected ideas and preferences for new scientific content and new survey methods among all SHARE users during spring 2020. The following long-run focal points emerged from this effort:

- The behavior of retired baby boomers who will shape the digitalized 'Silver Economy'. This includes subtopics such as flexible retirement, volunteerism, work of pensioners in the gig economy, changes in consumption and bequest patterns.
- The paradigm shift in public health from disease curation to health maintenance. This includes subtopics such as e-health, unequal healthcare access, the rise of Alzheimer's disease and related dementias, physical activity, nutrition, and the long-term consequences of COVID-19.
- The challenges of long-term care and potential changes in the wake of the COVID-19 pandemic. This includes changes in institutionalization patterns, the organization of formal and informal home care, and e-care.
- The growing inequality in terms of income, wealth, health and mortality and its striking differences in levels and trends across Europe.

SHARE will keep collecting and analysing data of the 50+ population but with less of a focus on gerontological aspects and more emphasis on a life-course perspective on public policy impacts,

evaluating public health, economic and social policies in a European comparative setting.

On the survey-methodological side, users emphasized the need to increase SHARE's flexibility and responsiveness to unforeseen events and societal change. This will be a major change in the operational modus of SHARE:

- Switch from face-to-face to multi-mode (phone, web), which has started in a very improvised fashion with the SHARE Corona Telephone Surveys but needs to be based on a new set of electronic tools, potentially in cooperation with SOEP. We are aware that the relative costs of face-to-face interviews are increasing, and that it is getting increasingly difficult in small countries to find suitable survey agencies.
- Flexible frequency: stable core every two years, much shorter topical modules at much shorter intervals, special methods at longer intervals (e.g., electronic devices, specific medical tests). The changes of mode, length and interval are also directed at combatting the increasing difficulties to convince survey respondents to participate in social surveys.
- The emphasis on hard data will remain. Users demanded more access to geo-coded data. The development of biomarkers from dried blood is quickly evolving, as are electronic devices beyond accelerometry. Measuring cognitive functioning with less effort than HCAP will be an important aspect of research on an aging baby boomer generation (together with Charité).
- Linkage to administrative and other process data, especially healthcare utilization, with the help of RKI.



Prof. Dr. Tabea Bucher-Koenen



Vesile Kutlu Koc, PhD

## 2 RESEARCH PROJECTS

### 2.1 OLD-AGE PROVISION AND SOCIAL POLICY

#### 2.1.1 DO YOU KNOW HOW MUCH PENSION YOU WILL GET? – A FIELD EXPERIMENT

*Tabea Bucher-Koenen*

Recent pension reforms in Germany have contributed to a shift in responsibility for a sufficient retirement income from the state to the individual level and the resulting task of pension planning is a new challenge for many households. Roughly ten years after the introduction of the pension reforms, the fraction of households without supplementary private or occupational old-age provision has decreased from over 70% to less than 40%. Annual statements that pension providers send to their clients informing them about the state of their pension savings are not standardized and in many cases unintelligible and full of small print.

FinTechs promise to reduce the information acquisition and processing cost for their clients. For this reason, studying the effects of FinTech companies for lowering the information cost in the context of pension planning is particularly relevant and interesting.

We conduct a large field experiment in Germany to test this conjecture in the area of pension planning. In a nutshell, we offer participants in the study to get an APP-based overview of their future pension claims from different state, occupational and private pension contracts to facilitate their pension planning.

For the purpose of our field experiment, we cooperated with a German FinTech company that offers online insurance management to its clients. We developed a Pension Dashboard that allows participants to get an overview of all their pension claims from different sources. Participants fill out a questionnaire and are then encouraged to upload all their available pen-

sion documents – either by photographing hardcopies of their pension records, by uploading electronic versions, or by sending us the hardcopies via postal mail. The back-office team enters the relevant data points from the user documents into the backend of the system, which then computes aggregate pension claims for each user based on actuarial algorithms. When users view their personal dashboard they are prompted to take a second questionnaire. Additionally, participants were recontacted after about 6 months to fill in a third questionnaire.

We cooperate with Andreas Hackethal, Christine Laudenbach, and Johannes Kasinger (Goethe University Frankfurt) and with two German banks that help us acquire participants for the study and provide us with pseudonymized account and transaction data on each participating client. Data from all phases of the project were collected during 2017 and subsequently analyzed. First results were published in a working paper in 2018.

Additional funding is received from Netspar via the project 'Preparing for Retirement: Tailoring, Literacy, and Effective Pension Communication'; the project members are Leo Lentz and Adriaan Kalwij (Utrecht University) and Rob Alessie (University of Groningen).

#### 2.1.2 IS THE ACCURACY OF INDIVIDUALS' SURVIVAL BELIEFS ASSOCIATED WITH THEIR KNOWLEDGE OF POPULATION LIFE EXPECTANCY?

*Vesile Kutlu Koc*

Previous studies have shown that, on average, individuals are pessimistic about their remaining lifetime, which could yield suboptimal long-term decisions. Using Dutch household survey data supplemented with death registry data, we found that individuals with a one-year better knowledge of population life expectancy had a significantly smaller difference of about 0.3 years, on



Irene Ferrari, PhD

average, between their predicted subjective and objective remaining lifetime. This finding was robust to whether socioeconomic status and health-related covariates were controlled for. Our findings suggest that a policy of informing individuals about population life expectancies for people of their age and gender can help them to make better long-term decisions through more accurate beliefs on remaining lifetime.

This project is conducted in cooperation with Adriaan Kalwij, PhD (Utrecht University, The Netherlands). The results were presented at a number of conferences and published as Netspar Discussion Paper No. DP 02/2017-004 and submitted to *Demographic Research* in November 2020.

### 2.1.3 THE COSTS OF FIRM EXIT AND LABOR MARKET POLICIES: NEW EVIDENCE FROM EUROPE

*Irene Ferrari*

This project explores the factors which shape the re-employment prospects of displaced workers who lost their jobs due to business closure. While the 'creative destruction' process – that is, the churning process of firms and jobs – is often welfare-enhancing, it will also necessarily entail some degree of job destruction, via the downsizing of inefficient incumbents and exit of failing firms, in order to accommodate the growth of productive firms.

Thus, a key question is what happens to workers who lose their jobs due to this process and what are the policies that minimize the costs of worker displacement? Accordingly, this paper exploits the SHARE retrospective panel of workers in 13 European countries over the period 1986–2008 to explore the factors that shape the re-employment prospects of workers displaced due to business closure. The results suggest that higher spending on active labor market policies (ALMPs) can aid the re-employment prospects of the unemployed, particularly those displaced by business closure. On the contrary, there is

evidence of a negative (and sizable) impact of passive labor market policies. Finally, the effectiveness of ALMPs is significantly enhanced by lower entry barriers in product markets, likely reflecting the stimulatory effects of such reforms on labor demand.

The project was successfully completed with a publication in the *B.E. Journal of Economic Analysis & Policy* in 2019. This paper has two external coauthors: Dan Andrews (Economics Department, OECD) and Alessandro Saia (Department of Economics, University of Lausanne).

### 2.1.4 FINANCIAL LITERACY, CONFIDENCE, AND GENDER

*Tabea Bucher-Koenen*

The literature documents robust evidence of a gender gap in financial literacy: Women consistently show lower levels of financial literacy than men do. The gender gap in financial knowledge persists even after taking into account education, income, and labor market participation. The objective of this project is to systematically examine the mechanisms that lie behind the gender differences in financial literacy for a representative set of adult women and link these differences to financial decision making.

We designed a set of questions that were added to the Dutch DNB household panel (DHS) to understand what is driving the gender gap in financial literacy, and in particular, what is driving the gender difference in the 'do not know' responses. For this purpose, we have devised two surveys to investigate whether this gender gap is the result of lack of knowledge or lack of confidence. We use the data from the two survey waves to disentangle knowledge and confidence and develop an empirical estimation strategy based on a latent class model to consistently estimate whether the respondent knows the correct answer.

Our findings show that women are less confident in their knowledge than men. However, about one

third of the gender gap is due to differences in confidence, i.e. women disproportionately more often answer 'do not know' even if they know the correct answer. The corrected measure of financial literacy is important for the explanation of important household financial behaviors such as stock market participation and planning for retirement.

This project is conducted in cooperation with Prof. Annamaria Lusardi, PhD (George Washington University, Washington, USA), Prof. Dr. Rob Alessie (University of Groningen, Netherlands) and Maarten van Rooij, PhD (De Nederlandsche Bank, Netherlands). It is financed by the European Investment Bank Research Sponsorship Programme on Financial Literacy. The results have been documented in a discussion paper and are currently being presented at seminars and conferences.

### **2.1.5 THE ROLE OF PENSION KNOWLEDGE IN LABOR SUPPLY DECISIONS: EVIDENCE FROM EUROPE**

*Yuri Pettinicchi with Tabea Bucher-Koenen and Irene Ferrari*

Many countries have recently increased retirement ages. The central question is, do individuals know about these new pension rules? And do they adjust their pension expectations and labor market behavior accordingly? In this study, we exploit time as well as cross-country variation in pension regulations in seven European countries to show that individuals have inaccurate knowledge of pension rules and that the effect of pension reforms on individuals' labor supply decisions is driven by individuals with a good knowledge of such reforms.

This is the first study able to separate information gathering from labor supply decision making, thus providing a causal link between knowledge of pension rules and individuals' labor supply behavior.

Our results have important policy implications, as they suggest that informing individuals – possibly quite a cheap policy – could considerably improve the effectiveness of pension reforms.

### **2.1.6 THE LONG SHADOW TO SOCIALISM: PUZZLING EVIDENCE ON EAST-WEST GERMAN DIFFERENCES IN FINANCIAL LITERACY**

*Tabea Bucher-Koenen*

We use the German reunification as a natural experiment to understand drivers of financial literacy accumulation. With the transformation from a planned to a market-based economy in 1990, the incentives to invest in financial literacy were changed exogenously for East Germans and remained the same for West Germans. Our results show that even 20 years after reunification there is evidence for a significant financial literacy gap between East and West. While some groups, for instance women and those who have migrated from the East to the West, show similar levels of financial literacy compared with their West German peers, others do not. Differences in financial literacy are present across all educational groups and at the top and the bottom of the income distribution. We decompose the financial literacy gap taking account of factors commonly integrated in theoretical models of financial literacy. Most of the gap remains unexplained. Thus, even if the socio-demographic differences between East and West were to vanish, differences in financial literacy would remain. Extending empirical and theoretical models by including differences in attitudes and values might improve our understanding of financial literacy acquisition.

The empirical results of the project were published in a special issue of *Economic Notes* 2018.



Dr. Felizia Hanemann

### 2.1.7 HEALTH EFFECTS OF EARLY RETIREMENT

*Axel Börsch-Supan with Felizia Hanemann*

Retirement is mostly seen as bliss after a long and arduous work life. For such individuals, early retirement should manifest itself in an improvement of wellbeing and, potentially, also health. On the other hand, however, there are many studies emerging that show that especially early retirement has harmful side effects. Retirees may lose a purpose in life, which decreases subjective wellbeing and mental health. Moreover, biological and psychological research has shown that an active life better maintains brain functions and slows down cognitive decline. Research on these issues is important because the willingness to change retirement institutions depends on a generally accepted assessment how much retirement adds to the wellbeing of retirees.

Such research is complicated because early retirees may report worse health in order to justify their early exit from the workforce, and because employers and workers may choose an early exit age because of bad health and declining cognition. Hence, cause and effect are entangled in many ways. It does not surprise, therefore, that research on these issues has produced controversial results, ranging from a dominance of positive effects (mainly in the US) on the one hand, to the other extreme that 'retirement kills' (results from Austria).

International evidence is very important in this respect. Some of the controversies may simply reflect differences among the countries, such as the social policy background. It would be important to understand why certain policies make retirement a good or a bad thing and for whom. Second, international variation helps to identify the causal pathways and in which direction they go, since the economic, social and political environment has changed at different times in different countries.

This project is designed to exploit the variation of cultures and policies represented by the 14 International Longevity Centers around the globe, encompassing developed as well as emerging economies, to better understand which effects retirement has on health and why certain effects dominate in one country while others dominate in another country.

The project is a cooperation with Ursula Staudinger, Columbia University. It was successfully finished with a publication in *Ageing & Society* in 2019.

### 2.1.8 ACCESS TO SOCIAL PROTECTION AMONG PRECARIOUS WORKERS IN THE EU

*Axel Börsch-Supan with Yuri Pettinicchi*

This project – in cooperation with the DG for Employment, Social Affairs and Inclusion of the European Commission – evaluated the unique data of the 7th wave of SHARE with its life histories in order to assess who has access to social protection (especially claims on public, occupational and private pensions) among precariously employed workers (especially self-employed, part-time and on fixed-term contracts). It creates life-course sequences of employment by type of employment among retirees who were on precarious jobs and compares pension income and assets with that of formerly non-precariously employed workers.

The project contributed to the Pension Adequacy Report of the European Commission, which was published in 2019.

### 2.1.9 INTERNATIONAL SOCIAL SECURITY PROJECT (ISSP)

*Axel Börsch-Supan*

This is actually a sequence of projects under the auspices of the National Bureau of Economic Research, (NBER) based in Cambridge, Massa-



Dr. Johannes Rausch

chusetts. This long-term international research program was initialized in the late 1980s and had originally been led by Prof. Dr. Jon Gruber (Massachusetts Institute of Technology) and Prof. David Wise, PhD (Harvard University). Since 2018, it has been led by Prof. Börsch-Supan and Prof. Courtney Coile (Wellesley College), with the aim of scrutinizing the interaction between reforms of the social security schemes in the 1990s and the 2000s and the recent increase in old-age employment. Researchers from altogether 12 western industrialized countries (nine EU states, the United States, Canada and Japan) are involved in the study, with MEA representing Germany. One of the venture's central objectives is to present comparable surveys for each of the participating countries. The project is structured into 'phases' of which Phase 8 and 9 have been completed during the reporting period, Phase 10 and 11 are ongoing, and Phase 12 is currently being designed.

### **2.1.10 ISSP8: OLD-AGE LABOR FORCE PARTICIPATION IN GERMANY: WHAT EXPLAINS THE TREND REVERSAL AMONG OLDER MEN? AND WHAT THE STEADY INCREASE AMONG WOMEN?**

*Axel Börsch-Supan with Irene Ferrari*

The aim of this subproject was to explain a common finding among most industrialized countries, namely the increase in older men's labor force participation since around the late 1990s, which is a stunning reversal from the long declining trend that had begun in the early 1970s. There are many factors that have been mentioned in the literature that may help explain this U-shaped pattern.

In the eighth phase of the project, we gave an overall assessment of the relative contribution of these factors. We first provide graphical evidence of the trends of various variables that may be relevant, with the aim of investigating the presence or absence of common patterns

between these factors and labor force participation. Then, through a decomposition analysis, we provide an empirical estimate of the contribution of some of the most prominent drivers – education, health and spouse's employment – to the overall evolution of labor force participation. Given the evidence presented in this work and the results of the previous papers in this series, we believe that, at least as regards Germany, much of the change in the trend of older men's labor force participation registered in the mid-90s may be explained by changes in public pension regulations, and in particular by the phasing in of actuarial adjustments for early retirement. In fact, even if many of the variables studied may have contributed to the overall level of labor force participation, their trend do not show the U-shape pattern observed for labor force participation.

The project was successfully completed with a publication in the NBER Book Series '*International Social Security*' under the name 'Old-Age Labor Force Participation in Germany: What Explains the Trend Reversal among Older Men and the Steady Increase among Women?' published at University of Chicago Press in 2019.

### **2.1.11 ISSP9: SOCIAL SECURITY REFORMS AND RETIREMENT INCENTIVES IN GERMANY**

*Axel Börsch-Supan with Johannes Rausch and Nicolas Goll*

The ninth phase of the project focuses on the role of public pension rules in explaining the trend reversal among older men's labor force participation. Starting point for the analysis is an inventory of all policy changes that occurred since 1980 and are salient for changes in retirement patterns, including changes in eligibility ages, closure of early retirement pathways, reduction of benefit generosity or the introduction of flexible retirement pathways and actuarial adjustments. Based on this development we calculate afterwards the course of the implicit tax, a well-known measure for the monetary incentive



Dr. Nicolas Goll

to postpone retirement by one year, representative individuals faced at retirement. The novelty of this project is that we cannot only do cross-national analysis for selected points in time, but also analyze longitudinal developments. We find that the changes in the labor force participation correspond well with the changes in the implicit taxes. For instance, the increase in the labor force participation falls together with a drop in the incentive to leave the labor market immediately. The drop itself results from the introduction of actuarial adjustments for early retirement. We even find signs for a strong relation between the changes of the relevance of certain pension claiming ages and the development of the implicit taxes. However, there are also changes which cannot be explained by the implicit tax's development alone like the quite large pension claiming rate at age 65 of women. The ninth phase started with a project kick-off meeting in September 2016. First results were presented in Venice in April 2017 and the presentation of the final drafts to the Social Security Administration took place in May 2018.

The project has been finished with the German contribution and the introduction which have been published as MEA and NBER working papers. The publication in the NBER Book Series on *'Social Security Programs and Retirement around the World'* is forthcoming at the University of Chicago Press, planned for December 2020.

### **2.1.12 ISSP10: RETIREMENT DECISIONS IN GERMANY: MICRO-MODELLING**

*Axel Börsch-Supan with Irene Ferrari,  
Nicolas Goll, Johannes Rausch*

The objective of the tenth phase of the International Social Security Project (ISSP) is to conduct an elaborate multivariate analysis of the effect of public pension policies on retirement and labor force participation choices later in life. We use survey data from the German Socio-Economic Panel (GSOEP). GSOEP was started in 1984 and

we use data from 32 consecutive years. This is particularly convenient for the project's analysis as this time span covers the striking reversal of labor force participation since around 2000. Furthermore, several pension reforms were implemented during these years which provide variation in pension incentives necessary for the identification of our retirement model.

We use the microdata and the exogenous policy changes to draw causal inference on the effect of public pension rules on employment choices at older ages. We construct, for each individual, time series of the implicit tax. These incentive variables, other macro variables and further determinants on the individual level then serve as explanatory variables in an econometric analysis. The outcome variable of interest is labor force status in old age. We calculate predicted retirement probabilities for each sample person and how they have changed from 1985 to 2015. Subsequently, we compute counterfactual retirement probabilities, i.e., how retirement probabilities would have changed if no reforms had taken place after 1985. The difference between these counterfactual retirement probabilities and the predicted baseline probabilities can be interpreted as the causal effect of the pension reforms that took place between 1985 and 2015. Our main finding is that for men in couple households the predicted and counterfactual retirement probabilities begin to diverge after about the year 2000. This coincides with the introduction of actuarial adjustments for early retirement as legislated in the 1992 reform.

The German contribution for this project has been finished and was published as MEA and NBER working papers. The introduction together with Courtney Coile will be finished by December 2020. The entire project's results will be published within the NBER Book Series on *'Social Security Programs and Retirement around the World'*, forthcoming from University of Chicago Press in 2021.



Dr. Elsa Perdrix



Luca Salerno

### 2.1.13 ISSP10A: A SUPPLEMENTARY CROSS-COUNTRY STUDY OF RETIREMENT INCENTIVES ON RETIREMENT BEHAVIOR

*Axel Börsch-Supan with Nicolas Goll*

In the previous working phases of the International Social Security Project (ISSP) to date, harmonization across countries was achieved by using an analytic template that rigorously applied the same methodology to country-specific databases. As a culminating contribution to ISS Project Phase 10, Phase 10a is a supplementary study that estimates the effect of retirement incentives on retirement behavior using consolidated data that has been pooled across all participating countries, taking advantage of the extensive work in database development already completed for the country studies in Phase 10.

In the project's previous work, we used only within-country changes of social security policies to estimate their effects on labor force participation in old age. In Phase 10a, the pooled data allows us additionally to exploit the international differences in social security policies across countries to pin down these effects. At the same time, we can account for international differences in other factors that may affect retirement behavior, including observable variations across countries (e.g., health, education, macroeconomic conditions) and unobservable variations (e.g. cultural factors). We will pool the data from all 12 participating ISS countries in order to construct a massive integrated database. MEA assumes the final assembly and pooling of the data set, and the estimation itself. If the results from this pooled approach confirm the effect of retirement incentives on retirement, this will provide an important validation of the work of the ISS Project over the past two decades.

First results were presented to the participating country teams in October 2020.

### 2.1.14 ISSP11: PENSION REFORMS AND INEQUALITY

*Johannes Rausch, Elsa Perdrix, Nicolas Goll, Axel Börsch-Supan and Luca Salerno*

The eleventh phase of the International Social Security Project (ISSP) starts to extend our previous analysis of the effects of social security reforms on labor market effects of the average worker by including inequality. We consider differences in income, wealth, and health. How did social security reforms in different countries affect the redistributive characteristics of policies and consequently our income, wealth, and health measures in old age? Can we explain differences in retirement behavior through inequality? The 12 countries participating in the ISSP cover a wide spectrum of social security systems with high and low progressivity and thus allow for a comparison of how the design of social security affects inequality in later life.

Using results from earlier phases, we will calculate pension benefits and retirement probabilities before and after reforms and update our pension calculator. This allows us to calculate the effects of pension reforms on inequality and to evaluate the effect of single reform elements.

The project will be published within the NBER Book Series on 'Social Security Programs and Retirement around the World', forthcoming from University of Chicago Press.

### 2.1.15 IS WORKING LONGER IN JEOPARDY? HEALTH AND LABOR FORCE PARTICIPATION OF MIDDLE-AGED EUROPEANS

*Axel Börsch-Supan, Irene Ferrari and Luca Salerno*

We use SHARE data from eight European countries to measure the evolution of health of middle-aged individuals over time. In contrast to earlier findings in Europe, we observe a stalling health trend for individuals of later years of

birth using an index measuring health deficits. We even observe a slightly negative trend for men and large heterogeneity when we stratify by wealth and education. The difference between cohorts is largest for males who spent relatively few years in education. All this reflects recent developments in the US where life expectancy is decreasing. Closely connected to health trends of middle-aged individuals we further investigate developments in labor market participation rates over time using the European Labor Force Survey. We do not find any evidence for falling or stagnating employment rates and thus no correlation between health and employment trends. Health does not seem to be a main driver in the decision whether to participate in the labor market or not.

Results from the project have been published in a MEA Discussion Paper that was updated in November 2020. A shortened version will be published in a book edited by Lisa Berkman and Beth Truesdale to appear in 2021.

### **2.1.16 SCIENTIFIC SUPPORT OF THE PENSION COMMISSION ‘RELIABLE GENERATIONAL CONTRACT’**

*Axel Börsch-Supan with Johannes Rausch, Nicolas Goll and Tabea Bucher-Koenen*

In parallel to the introduction of the ‘double threshold’, the grand coalition introduced the ‘pension compact’ in 2018 including the set-up of a new pension reform commission that should deal with the challenges of securing and further developing the statutory pension insurance and the other two pension pillars (occupational and private pension) for the time after 2025. Among other aims, the pension insurance should be brought into long-term balance and a proposal should be given as to which minimum reserve is required to ensure the annual liquidity of the statutory pension insurance. The commission included representatives from the social partners, politics and science. Among others, Prof. Börsch-Supan was a commission member. MEA

prepared various projections of the statutory pension insurance with MEA-PENSIM, providing the basis for several pension reform proposals.

The Commission issued its report in March 2020. In addition, four discussion papers were published based on the work for the Commission.

### **2.1.17 DANGEROUS FLEXIBILITY – RETIREMENT REFORMS RECONSIDERED**

*Axel Börsch-Supan with Tabea Bucher-Koenen, Nicolas Goll and Vesile Kutlu Koc*

Flexible retirement is supposed to increase the labor supply of older workers without touching the third rail of pension politics, the highly unpopular increase of the retirement age. While this may have an intuitive appeal, this paper shows that it might be wishful thinking. Economic theory tells us that flexible retirement policies can have a zero or positive effect on labor force participation while the effect on hours worked can be positive or negative depending on the distribution of leisure preferences. Thus, the overall effect is ex ante unclear. Empirical results from nine OECD countries show that the effect on labor force participation is ex post small and positive while the effect on hours worked is negative. Overall, there is no evidence of the desired positive effect on total labor supply. We conclude that the flexibility reforms enacted so far are dangerous instruments if one wants to increase total labor supply because they postpone or even replace the instalment of more effective policies and may, even worse, reduce total labor volume.

The project was successfully finished with a publication in *Economic Policy* in 2018.

## 2.1.18 CORONA AND PENSIONS

*Johannes Rausch with Axel Börsch-Supan*

The 2020 Corona pandemic is expected to result in the worst recession since World War II. It will therefore be more severe than the 2008 financial crisis and will leave a clear mark on the statutory pension insurance. In this project, we want to examine these traces more closely. Due to the pension adjustment formula, they occur with a one to two year delay and are strongly asymmetrical in favor of the pension recipients. The pension guarantee causes the security level of pensions to increase significantly in 2021. This effect will be stronger the deeper the recession will be. According to the old law, the catch-up factor ("Nachholfaktor") would have ensured that this effect is balanced out again after a few years. However, this is not the case due to the 2019 Pension Pact. As a result, the Corona pandemic can leave a lasting mark on the statutory pension insurance if the catch-up factor is not reinstated and the wage decline is significant. Among other things, the pension level is likely to remain higher, which – among other things – will have to be financed through higher contributions.

A first paper, based on preliminary projections of the economic effects of Corona, was published in *ifo Schnelldienst* in spring 2020 during the critical phase of the first Corona wave in Germany. The results will be updated on the basis of the actual effects of the shutdown on the German economy and the labor market. Originally, this had been planned for late fall 2020. However, due to the rise of the second wave and the unforeseeable development, we postponed the publication of updated results to a later date.

## 2.1.19 EXPERTISE FOR THE SCIENTIFIC ADVISORY BOARD OF THE FEDERAL MINISTRY FOR ECONOMIC AFFAIRS AND ENERGY

*Axel Börsch-Supan*

This project will deliver an expertise for the German Federal Ministry of Economic Affairs on the basis of several working papers which then should be published as scientific papers. The subject will be the state of the German public pension system and suitable reform options. Special attention will be shed on (a) the Corona pandemic and the changed situation of financial sustainability; (b) the intergenerational asymmetry of the changes in pension law made by the grand coalition and revealed by Corona; and (c) the failure of the Commission 'Reliable Generational Contract' (Komm VGV) and the associated stop-line/threshold policy. The project will deliver (a) projections of the demographic development and the resulting time horizon for necessary reform measures; (b) projections on employment development and the financial situation of the German Pension Fund (GRV); (c) a set of alternative reform proposals; and (d) discuss the causes for reform failures due to political economy and social psychology of pension reforms. Results will be published in April 2021.

## 2.1.20 THE COSTS OF THE 'DOUBLE THRESHOLD'

*Johannes Rausch with Axel Börsch-Supan*

In their coalition agreement of 14 March 2018, the parties of the newly established German government announced to establish fixed thresholds for the replacement rate and the contribution rate of the German Public Pension System ('double threshold'). Specifically, the net standard pension level before taxes will be legislated to not fall below 48% while, at the same time, the contribution rate must not exceed 20%. These thresholds shall apply at least until 2025. Since the number of pension recipients will strongly increase and the number of contributors will

decrease in the near future, a funding gap will emerge. The coalition agreement states that this gap shall be filled via taxes.

In this project, we want to quantify the financial gap and express it in terms of value-added tax points. The gap will remain relatively low until 2025 but will rise dramatically afterwards. In the following five years only, the value-added tax would have to be increased by 3 percentage points over and above the already expected rise in federal subsidy. In the long run, an even higher increase of between 6 and 7 percentage points would be necessary to finance the emerging gap.

The results of this project were published as a MEA Discussion Paper in April 2018 and in *ifo Schnelldienst* and precipitated a widespread media echo.

### **2.1.21 EXPERTISE ON AGING, HEALTH AND IMMIGRATION FOR THE EXPERT COMMISSION TO PRESIDENT MACRON**

*Axel Börsch-Supan with Elsa Perdrix*

In March 2020, French President Macron created a 'Commission for the Great Economic Challenges' in order to address the main economic issues that France has to deal with. In particular, this commission should provide advice regarding inequality, climate change and population aging. This project is anchored in the work for this commission, and focuses on pension and health issues as well as on labor market issues for older individuals and migrants.

The French context of demographic aging by the top (i.e., mainly generated by longevity increases), of high unemployment and the retirement of the baby boomer generation leads to sustainability issues for the pension and health insurance systems. In this context, the aim of this project is twofold. First, to provide a global overview of the French situation regarding the current situation of the labor market, retirement and health. This work is based both on previ-

ous publications (in particular by INSEE, IRDES, DREES, CNAV, and COR) and on available data in France and in Europe (EIR, CARE, SHARE, ESS...). Second, based on this analysis, the aim is to recommend reforms of the public pension system, the labor market for older French, the health delivery systems, and a better integration of migrants that will improve the French wellbeing and the sustainability of the social insurance systems.

A draft report was submitted in November 2020; the final publication is scheduled for spring 2021.

### **2.1.22 WILL LONG-RUN HEALTH TRENDS IN EUROPE TURN NEGATIVE?**

*Axel Börsch-Supan, Irene Ferrari and Luca Salerno*

Alarmed by the worsening health among middle-aged baby boomers in the US, we conduct a cohort analysis of health deficits similar to Abeliatsky and Strulik (2019) but focus on middle-aged individuals. As opposed to previous findings, we find that health among the middle-aged has stalled, and in some cases worsened, for the more recent birth cohorts. Our results are robust to different definitions of the health index. Our results are relevant for the ongoing discussion on how to achieve longer healthy working lives. They also have important implications in terms of expected future public and private costs of health care for middle-aged and older individuals.

A revised version of the paper resulting from this project was accepted for publication in the *Journal of the Economics of Ageing* in November 2020.

### **2.1.23 WHAT MOTIVATES RETIREMENT IN EUROPE? THE ROLE OF (IN)VOLUNTARY UNEMPLOYMENT ON THE WAY TO RETIREMENT**

*Nicolas Goll with Luca Salerno*

This project aims at investigating the individual motivation for retirement. As a special feature, we want to study the role of (in)voluntary unemployment before retirement. Becoming unemployed in old age and close to retirement, respectively, could be a serious problem for individuals. However, unemployment could also happen on purpose in some cases. We analyze the prevalence and consequences of unemployment before retirement. In addition, we focus on the question whether unemployment happens voluntary or involuntary.

### **2.1.24 TARGETS MISSED: THREE CASE STUDIES EXPLOITING THE LINKED SHARE-RV DATA**

*Axel Börsch-Supan with Tabea Bucher-Koenen,  
Felizia Hanemann and Nicolas Goll*

Targeting is an important aim for social policy. Three case studies in this paper reflect typical shortcomings in the targeting design of pension reforms. The first case study examines how well work disability and receipt of disability insurance match in Germany. We show that the 2001 reform has not systematically improved target quality. The second case study examines whether the 2014 introduction of a new pathway of early retirement without actuarial adjustments has reached individuals who are less healthy because they have worked a long time in an arduous job. We find that the target population is actually healthier than the comparison group. Third, a much discussed supplemental pension benefit for households in risk of poverty would miss its target population by far; less than 40% of individuals eligible for the benefit supplement have a per-capita net household income in

the lowest third of the income distribution. Since similar reforms are currently debated in many European countries, the three German case studies may serve as examples how to better target public pension policies.

The results of a first version of the paper have been summarized as a MEA Discussion Paper. A revised version has recently been accepted for publication in the *Journal of Pension Economics and Finance* in November 2020.

### **2.1.25 DANGEROUS FLEXIBLE RETIREMENT REFORMS – A SUPPLEMENTARY PLACEBO ANALYSIS ACROSS TIME**

*Nicolas Goll*

In the past decades, many governments have enacted flexible retirement reforms as a seemingly elegant way to increase older workers' labor supply. Börsch-Supan, Bucher-Koenen, Kutlu-Koc and Goll (2018) use the synthetic control method to evaluate the effects of flexibility reforms from nine OECD countries that came into effect between 1992 and 2006 in their paper 'Dangerous Flexibility – Retirement Reforms Reconsidered' (published in *Economic Policy*). To evaluate the significance of the treatment effects, the authors apply in-space placebo studies. This project scrutinizes these results by applying in-time placebo studies. Using the time dimension means an artificial reassignment of the flexibility reforms to placebo reform dates other than the actual reform year. The supplementary analysis reveals that the results found in Börsch-Supan et al. (2018) are valid to this robustness check. Overall, the supplementary analysis sustains the result that the reforms have produced zero to negative effects on total labor supply.

The study has been published as part of the author's dissertation and as a MEA Discussion Paper.

### 2.1.26 WORKING PENSIONERS IN EUROPE

*Nicolas Goll*

Over the past decades, combining pension benefits with work income has been made more accessible for pensioners in many European countries. The literature on working pensioners choosing a flexible transition into retirement is, to date, relatively sparse. This project adds to the few cross-country studies and explicitly investigates the role of pension systems in facilitating or hampering flexible retirement. By using data from the Survey of Health, Ageing and Retirement in Europe (SHARE), this project studies the within-country variation by analyzing variable sets which influence whether individuals choose to combine pension income with work income at the end of their working career. The results suggest that demographic variables as well as health variables, economic variables and the pension system may be important factors. To investigate the cross-country variation, I apply counterfactual simulations. The counterfactual simulations indicate that economic differences and differences in pension systems may be responsible for the variation in working pensioner proportions between countries.

The results were published as part of the author's dissertation and as a MEA Discussion Paper in 2020. For a revision of the paper, the analyses will be refined and prepared for journal publication.

### 2.1.27 WORKING CONDITIONS, RETIREMENT AND HEALTH – LONGITUDINAL EVIDENCE FROM EUROPE AND THE US

*Felizia Hanemann*

We provide new evidence on the effect of retirement on health by exploring the panel dimension of three major old-age surveys. We constructed a harmonized dataset using all available waves of HRS, ELSA and SHARE data, which enabled us to

conduct comparative cross-country panel analyses. Different health measures were constructed to assess physical and cognitive health during the transition from work to retirement. We further included harmonized measures of working conditions to examine the role of the quality of work within the framework of the health effects of retirement. By applying instrumental variable fixed effects regressions, we were able to control for individual heterogeneity and endogeneity of the retirement decision by using the statutory retirement ages for the respective countries as instrumental variables. Our results suggest that overall, retirement has a positive effect on physical health and a negative effect on cognitive health. Retiring from a job with low work quality intensifies the positive effect on physical health.

The study has been published as part of the author's dissertation and as a MEA Discussion Paper.

### 2.1.28 INFLUENCE OF SOCIAL NETWORKS ON THE EFFECT OF RETIREMENT ON COGNITION

*Felizia Hanemann*

This project examines the role of social networks as a potential mechanism in the relationship between retirement and cognitive decline. First, I analyze the effect of retirement on different social network characteristics using novel panel data of 19,999 respondents on social networks from Wave 4 and Wave 6 of the Survey of Health, Ageing and Retirement in Europe (SHARE). Second, I estimate the effect of retirement on cognition under consideration of changing social network sizes. Unobserved individual heterogeneity and endogeneity of the retirement decision can be controlled by applying instrumental variable fixed effects regressions based on country-specific statutory eligibility ages. The results suggest that retirement leads to an increase in the number of close family members named as confidants, indicating that the social network becomes more kin-oriented after retirement. However, adding close family members to

the social network does not have a significant effect on cognition. In turn, adding non-family members like friends or colleagues to the social network has a positive impact on the cognitive performance. Since I do not find that retirement impacts the number of friends or colleagues significantly, I cannot claim social networks to be the explaining underlying mechanism in the relationship between retirement and cognitive decline.

The study has been published as part of the author's dissertation and as a MEA Discussion Paper. The paper was submitted to a journal in March 2020.

### **2.1.29 POOR SURVIVORS? ECONOMIC CONSEQUENCES AFTER DEATH OF SPOUSE**

*Johannes Rausch with Felizia Hanemann*

The death of a spouse can translate into an economic downfall for the surviving household member. Survivor pension programs were originally designed as co-family insurances in an era where women were inactive in the labor market and where widows were unable to support themselves and their children. The relevance and justification of generous survivor pensions could be outdated as most women today work (full time) and build up own pension claims. Nowadays, widowed spouses could be better off than other single households thanks to the generous survivor pensions. Moreover, the provision of these pensions might create disincentives to continue work after the death of the spouse, which could lead to undesired negative side effects.

The purpose of this project is to evaluate the need for survivor pensions in old age and assess whether the social security systems are (over-)fulfilling their target of supporting survivors and whether generous survivor pensions create disincentives to engage in the labor market.

In more detail, we analyze how household income changes when one spouse of a house-

hold dies. Based on SHARE data we look at the change in the composition of the household income, e.g. survivor pensions, normal old-age pension, wages. We also consider financial assets of the deceased person as well as financial transfers from children to measure the financial situation of the surviving partner. In a next step, we consider the generosity of the social security programs in Europe and link it to the financial situation of the survivors. Further, the longitudinal data allow us to analyze the labor market status before and after the widowhood and to relate it to the financial situation.

The study has been published as a MEA Discussion Paper.

### **2.1.30 FINANCIAL INCENTIVES AND HETEROGENEITY IN RETIREMENT BEHAVIOR**

*Nicolas Goll with Felizia Hanemann*

Over the past few decades, different reforms have come into force which aim at keeping older workers in the labor market longer. We evaluate the 1992 pension reform in Germany, which gradually introduced actuarial deductions for early retirement between 1997 and 2004. This gradual introduction offers exogenous cohort-specific variation for the identification of the causal effect of financial incentives on the retirement decision. Our research question is whether individuals postpone benefit claiming as a reaction to the introduction of actuarial deductions. In addition, we want to study heterogeneous reform effects since the literature on the heterogeneity of reform effects is, to date, relatively sparse. In more detail, we study whether there are differences in the claiming responses for individuals working in physically demanding jobs in comparison to individuals in non-manual jobs. We estimate Cox proportional hazard models using SHARE-RV data, which offer a direct linkage of administrative data from the German public insurance with the survey data from the Survey of Health, Ageing and Retirement in Europe (SHARE). Results show that the introduction of

actuarial deductions in Germany led to a postponed pension benefit claiming date. Physically demanding jobs seem to be related to less flexibility in the reaction to the financial incentives.

The study has been published as a MEA Discussion Paper.

### 2.1.31 EARLY DETERMINANTS OF WORK DISABILITY IN AN INTERNATIONAL PERSPECTIVE

*Axel Börsch-Supan with Tabea Bucher-Koenen and Felizia Hanemann*

Work disability is the (partial) inability to engage in gainful employment due to physical or mental illness, resulting in early retirement and/or take-up of disability insurance benefits. This study juxtaposes health measures of work disability (WD) with the take-up of disability insurance (DI) benefits in the US and Europe. It is based on an internationally harmonized data set assembled from SHARE, ELSA and HRS. Particular attention is given to life-time health using life history data from SHARE and ELSA plus comparable early childhood and life-course data from HRS. The core of the paper relates reported WD status and DI benefit receipt to country-specific DI, pension and labor market policies. We also evaluate the DI systems' efficiency by comparing how well they provide benefits to individuals in need without being misused by individuals who are healthy. We find that while our large set of health measures explains a substantial share of the within-country variation in WD and DI, this is not the case for the variation across countries. Rather, most of the variation between countries is explained by differences in DI policies.

The project was funded by the US Social Security Administration. A paper was published in *Demography* in 2020, which successfully finished the project.

### 2.1.32 THE EFFECT OF DISABILITY INSURANCE ON HEALTH AND WELLBEING AFTER ENROLMENT

*Axel Börsch-Supan with Tabea Bucher-Koenen and Felizia Hanemann*

The purpose of disability insurance (DI) is to protect people who develop functional impairments that limit their ability to work. In this project, we evaluate the effectiveness of DI benefit programs in delivering this protection by following people's health and financial wellbeing after the take-up of disability insurance benefits. Since the mid-1990s, there have been incisive reforms to reduce the generosity of the DI systems in many countries. They mainly lowered DI generosity along two dimensions: stronger screening mechanisms with stricter eligibility rules aiming at reducing the number of DI claimants; and lower replacement rates aiming at decreasing the amount of DI payments. A key question is whether these generosity reductions have an impact on health and wellbeing.

This paper takes advantage of internationally harmonized panel data and the differences across DI programs in Europe and the United States, as well as their changes over time. For this purpose we harmonize data from three different surveys for the years 2004 to 2015: the Survey of Health Ageing and Retirement in Europe (SHARE), the English Longitudinal Study of Ageing (ELSA) and the US Health and Retirement Study (HRS).

The estimation of the causal effect of DI benefit receipt on physical and mental health as well as for psychological and financial wellbeing is challenging because of two underlying econometric problems. First, there is reverse causality due to the fact that DI benefits may not only change health and wellbeing but DI benefit take-up is also determined by health status. Second, even with modern microdata at hand, there are unobserved variables that influence both DI take-up and health. This creates a selectivity problem since the initial health status of those who receive DI benefits and of those who do not may

not be observed. We employ several econometric approaches, specifically instrumental variable estimation and fixed effects estimation, to account for the potential endogeneity of DI enrollment and sample selectivity.

We find that self-reported health stabilizes after DI benefit receipt. Mental health improves more for DI benefit recipients than non-recipients relative to the beginning of DI benefit receipt. This effect is stronger in countries with more generous DI systems. The effects on objective health measures are positive but largely insignificant.

The project was funded by the US Social Security Administration. A report was submitted in September 2017. Currently the paper is revised and will be submitted to a journal by the end of 2020.

### **2.1.33 THE HETEROGENEITY OF INCOME GROUPS AND ITS MEANING FOR THE FUTURE DEVELOPMENT OF THE GERMAN PENSION SYSTEM**

*Johannes Rausch*

Our pension simulation model MEA-PENSIM models the development of the statutory pension insurance on the basis of an average individual per cohort, whereby a distinction is made between East and West Germany, women and men, and specific labor market groups (e.g. the self-employed, civil servants, employees). In this project, we want to expand the relatively simple differentiation by splitting up the dependent employees by income groups. On the one hand, the aim is to demonstrate the importance of the different income groups for the pension insurance. For example, the different life expectancies of income groups may affect long-term pension projections. On the other hand, a finer breakdown allows for the study of more far-reaching pension reforms that, for example, soften the equivalence principle ('Äquivalenzprinzip').

So far, the first projections have been completed. However, the calculations will need to be redone due to the Corona pandemic. The introduction of the income groups lead only to minimal changes in the most important determinants of the pension system. However, it enables an analysis of redistribution effects of the pension system and an easier introduction of pension reforms aiming to soften the 'Äquivalenzprinzip'.

### **2.1.34 THE IMPACT OF A PRODUCTIVITY SLOW-DOWN ON PENSION SYSTEMS IN EUROPE**

*Axel Börsch-Supan with Johannes Rausch*

This project – carried out together with the Peterson Institute of International Economics – takes the productivity slowdown during the past decades and its direct effects on wages and interest rates as a given. From this somewhat pessimistic perspective, we analyze how pension systems will be affected. Key questions are whether declining wage growth and capital returns in the wake of declining productivity growth will undermine the financial sustainability of pension systems and/or the adequacy of pensions as an important social program.

The first part of the project uses the PENSIM simulation model to compute the quantitative impacts of a stylized productivity slowdown on the level of pension-benefit income for retirees and the balanced-budget contribution rates for workers. These trajectories serve as indicators of the financial situation of a pension system and the adequacy of pension benefits. The second part of the project is concerned with policy actions. While we do not cover policy actions that mitigate the causes of the productivity decline, we will analyze five types of adaptation based on increasing the quantity of labor and capital in order to offset the lower than previously expected value of labor and capital precipitated by the productivity slowdown.

A first version of the paper was presented at the Peterson Institute in November 2017. A revised

version was published in a book edited by Adam Posen and Jerome Zettelmeyer in 2019.

### 2.1.35 HEALTH AFTER WEALTH SHOCKS

*Luca Salerno*

Does wealth affect the health of the elderly in Europe? To answer this question, this project uses unexpected wealth shocks constructed from stock market fluctuations and households' stock market participation. We estimate the impact of the shocks on different dimensions of health and wellbeing. Our sample of elderly households drawn from the Survey of Health, Ageing and Retirement in Europe (SHARE) from 2004 to 2017 allows us to contribute to the literature by exploiting a wide variety of institutional settings, providing first estimates for households that were recently shown to differ strongly from their US-American counterparts with regards to their portfolio allocations. Moreover, in light of the demographic change and the shift of responsibility to households, the analysis contributes to the political debate in European countries by exploring the underappreciated channel of health consequences from an increasing reliance on retired households on the stock market.

### 2.1.36 THE PENSION SIMULATION PROGRAM MEA-PENSIM

*Johannes Rausch*

To be able to analyze the future course of the German pension insurance system, along with the effects of actual and/or prospective reforms, one requires a simulation model capable of imaging the system in line with its decisive determinants. In the process, a variety of potential demographic and economic developments must be taken into account.

MEA-PENSIM is a pension simulation program that is continually being advanced. It depicts the pay-as-you-go public pillar of the German

pension insurance scheme as well as selected aspects of privately funded retirement arrangements. Moreover, it contains modules to determine the development of statutory health insurance and long-term care.

MEA-PENSIM strives for realistic projections into the future of the German pension insurance system. It thereby focuses primarily on issues relating to the prospective effects of demographic change on contribution rates and the level of pension benefits. How serious are the consequences of a declining pension level – based on diverse reform scenarios – likely to be for retirees? Can the supplementary, government-sponsored Riester plan close the expected gap in statutory old-age provision? What share of retirees' pension income will eventually be provided by supplementary retirement arrangements?

With the aid of versatile model calculations, the simulation program moreover estimates the impact of various pension policy measures against the backdrop of differing assumptions about demographic and economic developments, and subsequently drafts appropriate reform proposals. Important questions here target the system's long-range stability, or the extent to which changes on the labor market are able to offset the repercussions of demographic change. In times of economic uncertainty due to the Corona pandemic, MEA-PENSIM also provides information about the consequences for the pension insurance.

Since 2017, MEA-PENSIM has been continuously updated with regard to changes in the underlying model parameters. For example, we have included – as far as possible and necessary – the pension reforms that have been approved. In addition, work is currently being carried out on a variant which, in addition to age, region and gender, also takes into account the income situation of the employees (Project 3.1.33). MEA-PENSIM is used in several projects. Among other things, MEA-PENSIM was the pension simulation model used by the Pension Commission (Project 3.1.16). In addition, the simulation results



Dr. Duarte Nuno Semedo Leite



Ivo Bakota, PhD

are used in the ISS Projects (Project 3.1.11, 3.1.12, 3.1.14).

### 2.1.37 SAVE

*Vesile Kutlu Koc with Luca Salerno*

SAVE is a representative, longitudinal survey on households' financial behavior with a special focus on savings and old-age provision. The SAVE panel (Sparen und AltersVersorgE in Deutschland) was started in 2001 and was completed with the tenth wave of data collection in 2013. SAVE was supported by the German Research Foundation (DFG) until 2010 and afterwards by the Max Planck Society. In addition, SAVE 2013 received funding from the German Association of Insurance Economics (DVFVW).

Various projects within and especially outside the Institute continue using SAVE data. In this project we deal with making the SAVE data accessible; this includes tailored user support.

## 2.2 LIFE-CYCLE DECISIONS

### 2.2.1 BUSINESS CYCLES AND RETIREMENT

*Duarte Nuno Semedo Leite with Ivo Bakota*

This project extends the standard neoclassical business-cycle life-cycle macroeconomic model by accounting for changing retirement age during the business cycle. The augmentation of the model is motivated by the documentation of the different average retirement ages during economic booms and recessions.

### 2.2.2 LONG-TERM CARE EXPECTATIONS

*Duarte Nuno Semedo Leite with Irene Ferrari*

Current forecasts show that over half of the 50 year-olds will live in a nursing home before they

die (Hurd, Michaud and Rohwedder (2014)), and that public expenditure on long-term care will grow considerably in the near future (Lipszyc et al. (2012)). Furthermore, ongoing social changes in family structures – more childless households, more working daughters, increased mobility of children – will require an increasing provision of formal care arrangements. Nevertheless, in Europe as well as in the US, purchase rates of private long-term care insurance (LTCI) policies are extremely low.

On the demand side, one largely unexplored reason for the low LTCI purchase rates is whether individuals ignore or underestimate the future risk of not being able to cope with basic activities of daily living (ADL) due to a reduced degree of physical or cognitive capacity. This is a crucial, policy-relevant question: if individuals have incorrect beliefs about their risk, they will make inefficient decisions, which ultimately will lead to a higher risk of poverty and social exclusion in old age, excessive burdens on families and higher fiscal pressure on the governments due to overstretched public LTC provision.

In light of this, we propose to investigate individuals' beliefs about their probability of developing ADL limitations sometime in the future, and their beliefs regarding the chances that their family and the public health care system will cover their needs in case they develop such limitations. Furthermore, we would like to perform an information experiment, where we randomly expose respondents with objective information about the current risk in the population of developing any ADL limitation. The aim is to assess whether the reason for such a low rate of LTCI purchase in the population is lack of information (or imprecise information) about the risk of actually needing LTC in the future.

This project has Joachim Winter (LMU) as a co-author.



Todd Morris, PhD

### 2.2.3 ANALYZING THE IMPACTS OF RETIREMENT DECISIONS AND THEIR TIMING ON WORKERS AND FIRMS USING LINKED EMPLOYER-EMPLOYEE DATA

*Todd Morris with Irene Ferrari*

In response to aging populations, many governments are raising the age at which people can claim retirement pensions. A key aim of these reforms is to encourage older workers to delay retirement. While numerous studies show that these policies are effective in reducing government expenditure and encouraging older workers to remain in the labor force, relatively little is known about the broader effects of these policies on firms and younger co-workers. The dearth of empirical evidence stems from the fact that studying these effects requires excellent data – large, representative datasets that link employers to employees – and sophisticated research designs that circumvent confounding relationships between workers' retirement decisions and the outcomes of their colleagues and employers. Our project addresses these challenges by using linked population register data to study the effects of major national retirement reforms on the affected workers and firms.

The project is in cooperation with Jan Kabátek (University of Melbourne).

### 2.2.4 HOUSING WEALTH, RETIREMENT AND HEALTH

*Todd Morris*

This project studies the impact of housing wealth on retirement decisions and health. Understanding these questions is important as housing wealth is the single most important component of wealth for the majority of households. In addition, the share of households that own a home is larger than the share of those that hold any other financial asset. Hence, housing wealth changes affect a more representative set of households

than is the case for other assets. Finally, housing markets have faced historic levels of volatility in recent decades. Understanding how this volatility affects the retirement decisions and health of the elderly is important and relevant in its own right. Empirical identification of the effects of housing wealth on retirement is complicated because wealth is not randomly assigned. We address this problem by investigating the impact of plausibly exogenous short-run home price fluctuations in Denmark on retirement decisions. The richness of the Danish register data allows us to control for a wide array of observable characteristics concerning the home owners (education, income, marital status, number of children, employment status). Additionally, we control for municipality by year fixed effects to take into account any unobserved year-specific municipality level shocks that may be correlated with home prices and retirement decisions (e.g., economic conditions), as well as age of home purchaser by year of home purchase fixed effects to account for the fact that those who have been in a house longer are more exposed to housing market changes and are more likely to retire as they age.

The project is in cooperation with N. Meltem Daysal (University of Copenhagen) and Michael F. Lovenheim (Cornell University).

### 2.2.5 INTERGENERATIONAL EFFECTS OF RETIREMENT DECISIONS

*Todd Morris*

A number of studies use statutory retirement ages as an exogenous source of variation in retirement behavior to examine effects on fertility decisions of the next generation as well as maternal labor supply. Our study adds to this growing literature using Danish administrative data. This data will allow us to extend the existing literature in several ways. First, our study will be the first to use administrative data to examine the intergenerational effects of retirement decisions. The richness of the data will not only allow

us to have more precise estimates but it will also allow us to exploit multiple sources of plausibly exogenous variation in retirement incentives. Second, we examine a broader range of questions than the previous literature. Specifically, we examine how parental retirement affects their children's health and economic decisions related to fertility and labor supply. Finally, to the best of our knowledge, our study is first to estimate the causal effects of grandparental availability on the health and cognitive development of grandchildren. This ambitious question requires linked data across three generations, which is rarely possible in survey data used in the previous studies.

The project is in cooperation with N. Meltem Daysal (University of Copenhagen) and Mircea Trandafir (Southern Denmark University).

### **2.2.6 RESPONSES TO TAX SUBSIDIES ON CONTRIBUTIONS TO PRIVATE RETIREMENT SAVINGS**

*Todd Morris*

As the population ages, governments are using tax incentives to boost private retirement savings, but such incentives may harm public finances if they have little impact on net savings. We shed light on this tradeoff in the context of contributions to individual retirement accounts, exploiting large and abrupt changes in limits on tax-preferred contributions in Australia. Using tax register data, we show that higher limits increase the retirement contributions of high earners. However, as around two thirds of this response is financed by positive income responses, with little crowding out of other savings, there is no significant cost to public finances.

The project is in cooperation with Mark K. Chan (University of Melbourne), Cain Polidano (University of Melbourne) and Ha Vu (Deakin University).

### **2.2.7 SHAPING THE HABITS OF TEEN DRIVERS**

*Todd Morris*

Governments often seek to modify teens' risky behaviors through targeted restrictions, especially in terms of their driving. In this paper, we examine an intervention in Australia that banned first-year drivers from carrying multiple passengers between 11 pm and 5 am. Using daytime outcomes as controls, we find that the restriction reduced late-night accidents with multiple passengers by 59% and deaths by 98%, with further reductions in earlier evening hours. The effects persist beyond the first year, suggesting that the restriction changed teens' driving habits. The spillovers result in a total impact larger than many broader restrictions, such as curfews and passenger bans.

The project is in cooperation with Timothy J. Moore (Purdue University).

### **2.2.8 RE-EXAMINING FEMALE LABOR SUPPLY RESPONSES TO THE 1994 AUSTRALIAN PENSION REFORM**

*Todd Morris*

Atalay and Barrett (Review of Economics and Statistics 2015, 97 (1): 71–87) study an Australian reform that increased women's pension age from 60 to 65. Using repeated surveys and a difference-in-differences design in which males form the comparison group, they estimate that the reform increased female labor force participation by 12 percentage points. I successfully replicate this estimate but show, using earlier data, that the parallel-trends assumption did not hold before the reform because of a female-specific participation trend across cohorts. Accounting for this trend, the estimated effect on female participation falls by two thirds and becomes statistically insignificant at conventional levels.

The paper was published as a MEA discussion paper in 2019, and was revised and resubmitted to the *Review of the Economics of the Household*.

### 2.2.9 THE UNEQUAL BURDEN OF RETIREMENT REFORM: EVIDENCE FROM AUSTRALIA

*Todd Morris*

As governments try to contain rising expenditure on retirement pensions by increasing eligibility ages, there are concerns that such reforms disproportionately affect poorer households. Using detailed longitudinal data, I examine this trade-off in the context of an Australian reform that increased women's pension eligibility age from 60 to 65. While this reform led to significant reductions in net government expenditure, the negative effects on household incomes were concentrated among poorer households. These unequal impacts meant that, among affected cohorts, the reform increased relative poverty rates by 20 to 37 percent and inequality measures by 11 to 36 percent.

Results from this project were published as a MEA discussion paper in 2019.

### 2.2.10 DECLINING INTEREST RATE AND RISING WEALTH INEQUALITY

*Ivo Bakota*

This project examines how the globally falling interest rate influences wealth inequality, including intergenerational wealth inequality. The main channel is through evaluation effects since a falling interest rate increases the valuation of housing and other assets which are primarily owned by older and wealthier households. The project motivates the macroeconomic model with data and shows the correlation between falling interest rates and wealth inequality.

### 2.2.11 CAPITAL INCOME TAXATION WITH PORTFOLIO CHOICE

*Ivo Bakota*

This paper analyzes redistributive and macroeconomic effects of differential taxation of financial assets with different risk levels. The redistributive effect stems from the fact that various households hold portfolios with a starkly different risk levels. In particular, poor households primarily make savings investments in safe assets, while rich households often invest a substantially higher share of their wealth in (risky) equity. At the same time, equity and safe assets are often taxed at different rates in many tax codes. This is primarily because investments in equity (which are riskier in relative terms) are taxed both as corporate and personal income, unlike debt, which is tax-deductible for corporations. This paper firstly builds a simple theoretical two-period model which shows that the optimal tax wedge between risky and safe assets is increasing in the underlying wealth inequality. Furthermore, I build a quantitative model with a continuum of heterogeneous agents, parsimonious life-cycle, borrowing constraint, aggregate shocks and uninsurable idiosyncratic shocks, in which the government raises revenue by using linear taxes on risky and safe assets. Simulations of quantitative models show that elimination of differential asset taxation leads to a welfare loss equivalent to a 0.3% permanent reduction in consumption. I find that the optimal tax wedge between taxes on equity and debt is higher than the one in the US tax code.

The paper has been published in the *CERGE-EI Working Paper Series* and as a MEA Discussion Paper. The manuscript is soon to be submitted to a peer-reviewed journal.

## 2.2.12 AVOIDING ROOT-FINDING IN THE KRUSELL-SMITH ALGORITHM SIMULATION

*Ivo Bakota*

This paper proposes a novel method to compute the simulation part of the Krusell-Smith (1997, 1998) algorithm when the agents can trade in more than one asset (for example, capital and bonds). The Krusell-Smith algorithm is used to solve general equilibrium models with both aggregate and uninsurable idiosyncratic risk and can be used to solve bounded rationality equilibria and to approximate rational expectations equilibria. When applied to solve a model with more than one financial asset, in the simulation, the standard algorithm has to impose equilibria for each additional asset (find the market-clearing price), for each period simulated. This procedure entails root-finding for each period, which is computationally very expensive. I show that it is possible to avoid this root-finding by not imposing the equilibria each period, but instead by simulating the model without market clearing. The method updates the law of motion for asset prices by using Newton-like methods (Broyden's method) on the simulated excess demand, instead of imposing equilibrium for each period and running regressions on the clearing prices. Since the method avoids the root-finding for each time period simulated, it leads to a significant reduction in computation time. In the example model, the proposed version of the algorithm leads to a 32% decrease in computational time, even when measured conservatively. This method could be especially useful in computing asset pricing models (for example, models with risky and safe assets) with both aggregate and uninsurable idiosyncratic risk, since methods which use linearization in the neighborhood of the aggregate steady state are considered to be less accurate than global solution methods for these particular types of models.

The paper has been published in the *CERGE-EI Working Paper Series* and as a MEA Discussion Paper. The manuscript was submitted to a peer-reviewed journal.

## 2.2.13 FIRM LEVERAGE AND WEALTH INEQUALITY

*Ivo Bakota*

This paper studies the effects of a change in firm leverage on wealth inequality and macroeconomic aggregates. The question is studied in a general equilibrium model with a continuum of heterogeneous agents, life-cycle, incomplete markets, and idiosyncratic and aggregate risk. The analysis focuses on the particular change in firm leverage that occurred in the US during the 1980s, when firm leverage increased significantly, and subsequently has been dropping since the early 1990s. In the benchmark model, an increase in firm leverage of the size that occurred during the 1980s increases capital accumulation by 5.38%, decreases wealth inequality by 1.07 Gini points and decreases government revenues by 0.11% of output. An increase in firm leverage increases average after-tax returns on savings, as firm debt has beneficial tax treatment. This increases the saving rates of all households, and disproportionately increases the saving rates of relatively poorer households. Consequently, the model implies that the increase in firm leverage did not contribute to rising inequality in the US in the 1980s, but rather the opposite; and that the reduction in leverage from the early 1990s to 2008 has contributed to rising wealth inequality. Furthermore, I show that if the model abstracts from beneficial tax treatment of corporate debt, the change in leverage has only minor effects on macro aggregates and inequality, despite having significant implications for asset prices. This is consistent with the previous result in the literature showing that the Modigliani-Miller theorem approximately holds in the heterogeneous agents model with imperfect markets.

The paper has been published in the *CERGE-EI Working Paper Series* and as a MEA Discussion Paper. The manuscript is soon to be submitted to a peer-reviewed journal.



Dr. Thorsten Kneip

### 2.2.14 THE NATIVITY WEALTH GAP IN EUROPE: A MATCHING APPROACH

*Irene Ferrari*

This project seeks to answer the question of how older migrants fare financially with respect to natives. The paper uses SHARE data and exploits a matching method to provide a first estimate of the nativity wealth gap between older native and immigrant (or mixed) households in Europe, across their wealth distribution. This approach does not require to impose any functional form on wealth and avoids validity-out-of-the-support assumptions; besides, it allows to estimate not only the mean of the wealth gap but also its distribution for the common-support subpopulation. The results confirm that the average gap may be misleading: although it is positive and significant, the distribution of the gap reveals that immigrant households in the upper part of the wealth distribution are better off, and those in the lower part of the wealth distribution are worse-off than comparable native households. The characteristics of the former group suggest a potential role of cultural and geographic vicinity, and of the rules for economic integration in the EU, in favoring the formation of a wealth advantage. However, the presence of a majority of households experiencing a positive gap suggests the existence of social and institutional factors dampening wealth accumulation, especially for those migrating from outside Europe and with a poorer family background. A detailed decomposition analysis is also proposed, which reveals the crucial role of early childhood conditions.

Final results of the project were published in the *Journal of Population Economics* in 2020.

### 2.2.15 A HOUSEHOLD PERSPECTIVE ON THE SOCIAL ORIGIN WEALTH GAP

*Thorsten Kneip*

This project aims to contribute to an emerging research agenda on the intergenerational transmission of wealth by theorizing and investigating which parental characteristics affect wealth accumulation of their children to which extent and through which mechanisms. A key contribution is to systematically account for the fact that wealth is largely produced in a setting of non-randomly formed couples, potentially amplifying social origin effects on wealth.

We use data from the Survey of Health, Ageing and Retirement in Europe (SHARE) to assess wealth gaps for different dimensions of parental background (relating to wealth, occupational status, cultural capital as well as migration background) when wealth accumulation reaches its supposed peak over the life course. We take a strict couple perspective, where household wealth is regressed on parental background and life-course variables for both partners. We employ mediation analysis to assess the relative importance of different channels for the explanation of the relation between each parental characteristic and wealth.

Preliminary results show that parental wealth, parental cultural resources, parental marketable human capital and income, and social integration are related to children's wealth after midlife. Assortative mating plays an important role in explaining these associations between parental characteristics and the wealth accumulation of their children. When not taken into account, the role of parental background for individual wealth accumulation – and particularly the role of mediating mechanisms, such as educational attainment and occupational placement – is strongly overestimated.

Accounting for assortative mating, we identify the mechanisms operating over the life course that link parental background to later wealth.

While status attainment processes via education and occupational placement are generally prominent, they were not always the most important. Parental wealth is most strongly linked to own wealth via bequests and gifts, while education and occupation play only a small role. Also financial sophistication, which has received little attention in the sociological literature, is strongly influential, pointing to the importance of specific financial knowledge over and above formal education. However, all considered channels only account for a rather small fraction of the social origin wealth gap.

The project is conducted in cooperation with Fabian Kratz (LMU Munich).

### **2.2.16 CHANGES IN THE PRODUCTION OF WELLBEING UPON FAMILY FORMATION**

*Thorsten Kneip*

Recently, the effect of fertility on parents' happiness has garnered much attention in scientific papers as well as in the media. One stream of research has investigated how life satisfaction of mothers and fathers evolves around the time of family formation and in the first years thereafter. Most recent studies employing advanced methods have found a bell-shaped pattern with life satisfaction increasing in anticipation, peaking immediately after childbirth and adapting to the baseline level of satisfaction. This finding is well in line with the notion of hedonic adaptation in life satisfaction.

An alternative, or additional, explanation relates to possible time-varying costs and benefits of children. We conceptualize overall life satisfaction as a compound measure of utility that can be disaggregated into domain-specific components, or intermediate goals, like stimulus, comfort, status, behavioral confirmation, or affection. Intermediate goals are 'produced', involving time and other means and may be substituted in order to maximize overall wellbeing. This leads us to expect permanent (time) costs of parent-

hood that are offset by the utility derived from children.

Using data from 10 waves of the German Family Panel (pairfam) and employing distributed fixed-effects models, we estimate the time-varying total effect of family formation on parents' life satisfaction as well as the indirect effects operating via interrelated mediating mechanisms. These comprise measures on health, stress and fatigue, relationship quality, social and leisure activities, working hours and income, including compensations and allowances.

We find evidence for both, hedonic adaptation with respect to overall life satisfaction as well as endogenous shifts in the sources of wellbeing. In the short term, particularly women profit from becoming a mother. But they also face high (opportunity) costs – mainly as labor, leisure, social contacts, and the relationship to the partner become less satisfying upon motherhood. For fathers, this is less pronounced as their labor supply is hardly affected. In the long run, both partners adapt to their baseline levels of life satisfaction. However, they face a significant and permanent drop in wellbeing generated in the considered domains, indicating a permanent gain in utility from children.

The project is conducted in cooperation with Gerrit Bauer and Josef Brüderl (LMU Munich). It has been presented at several international conferences and is close to completion with the final data analysis done and a manuscript in preparation.

### **2.2.17 HOW HAVING CHILDREN SHAPES WELLBEING IN OLDER AGE**

*Thorsten Kneip*

Previous research has widely addressed the gap in wellbeing between parents and non-parents. While cross-sectional studies have regularly reported lower wellbeing levels for parents compared to non-parents, more recent longitudi-

nal studies largely support a short-term positive effect with a back-to-baseline adaptation. However, whether, why and how the presence of children may affect how wellbeing evolves in older age is still largely unclear.

We propose to combine a holistic view on the development of wellbeing over the aging process with a transition-centered approach analyzing the effects of adverse life events. The aim is to uncover whether or to which extent possible differences in the trajectories of parents vs. childless can be accounted for by parents' different exposure to or coping with adverse life events or circumstances. For instance, developing a chronic illness or experiencing progressing health-related limitations will likely entail a decline in wellbeing – but possibly less so, if a child is around and supportive.

Using data from the Survey of Health, Ageing and Retirement in Europe (SHARE) and employing group-specific FE growth curve modelling, we investigate how wellbeing evolves over age, conditional on parental status and accounting for selection into parenthood and whether trajectories differ between parents and childless. We find that, from age 50 onwards, parents' life satisfaction develops somewhat less favorable compared to that of childless, but this difference is not significant. This finding remains unaltered when measures for health and related limitations are included. However, fathers react significantly less negatively to limitations than childless men. Accordingly, in the absence of children they would face a significantly steeper decline in life satisfaction.

The project is conducted in cooperation with Gerrit Bauer (LMU Munich) and Martina Brandt (TU Dortmund).

## **2.2.18 ASSESSING THE CAUSAL EFFECT OF CURBSIDE COLLECTION ON RECYCLING BEHAVIOR IN A NON-RANDOMIZED EXPERIMENT WITH SELF-REPORTED OUTCOME**

*Thorsten Kneip*

This project aims at identifying the causal effect of curbside collection on households' propensity to recycle by evaluating the implementation of a curbside recycling program for paper and packaging in Cologne, Germany. Using propensity score matching and difference-in-differences estimation with individual-level panel data we estimate the curbside effect, its variation between types of recyclables and sociodemographic background variables, and its elasticity with regard to the distance to collection containers in the prior bring scheme condition. We argue that, in our setting, DD may be systematically upward-biased due to the outcome variable being self-reported. While a triple-differences estimator effectively accounts for such bias, it may be systematically downward-biased due to over-control. Accordingly, we combine both estimators to derive upper and lower bounds of the true effect. We find that a curbside scheme increases recycling participation by up to between 10 and 25 percentage points, depending on type of recyclable and initial distance. The results of our analysis therefore have important implications for effective and cost-efficient implementation of environmental protection policies in urban areas.

The project was conducted in cooperation with Henning Best (University of Kaiserslautern). Findings were published in *Environmental and Resource Economics* in 2019.



Dr. Klaus Härtl

## 2.2.19 EVALUATION OF THE PORTUGUESE PENSION SYSTEM

*Duarte Nuno Semedo Leite*

In recent years, Portugal has implemented numerous (temporary and permanent) parametric pension reforms aimed at reducing public pension expenditures, with little margin for addressing income adequacy concerns in an already highly aged society. The main policy initiatives were driven by the short-term need for scale consolidation rather than by a long-term prospect for the design of pension systems. We propose to evaluate the implications of such reforms in the sustainability of the system and to project the future challenges given a fast change in the Portuguese demographic structure.

The project is in cooperation with Jorge Bravo, NOVA Information Management School, Lisbon.

## 2.2.20 INFLATION IN AN AGING SOCIETY: IMPACTS ON THE MACROECONOMY

*Klaus Härtl with Duarte Nuno Semedo Leite*

Declining fertility and mortality rates are changing the age structure of modern societies. In turn, this changes the distribution of wealth and the savings and consumption patterns within the economy. Since young and old cohorts respond differently to interest rates, the transmission mechanisms of monetary policy may depend on the age structure of the economy. The two channels, which we want to address in our study, are the interest rate and the wealth channel. The novelty of our study is the international dimension. When two economies with different age structures interact, monetary policy in one country may affect the transmission mechanisms and therefore also inflation in the other economy.

Our theoretical setup uses an overlapping generations (OLG) model with money supply. Following our earlier research, we juxtapose an aging and a young economy to model the different out-

comes arising from different age structures. Key questions are: How does the aging of an economy affect monetary transmission mechanisms and therefore inflation? Can monetary policy attenuate the effects of population aging? How does this work in an international setting and what are the spillovers between young and aging economies?

## 2.2.21 PENSION AND LABOR MARKET REFORMS, BEHAVIORAL ADAPTIONS AND MACRO-ECONOMIC IMPLICATIONS

*Axel Börsch-Supan*

*with Duarte Nuno Semedo Leite and Klaus Härtl*

The pressing demographic transition and the negative effects of early retirement urged countries to take reforms that could no longer wait to be implemented, given the risk of unsustainability and the financial crisis that undermined the budgets of countries in the last decade. Facing this challenge, numerous reforms have been put forward by policy makers to promote more active aging and a longer working life. We build a rich overlapping generations (OLG) model in order to quantify the effects of pension reforms on retirement ages and macroeconomic indicators in the face of demographic change. An endogenous retirement decision is explicitly modeled within a public pension system. Heterogeneity with respect to consumption preferences, wage profiles and survival rates is embedded in the model. By combining confluent strands in literature on micro-incentives for retirement, life-cycle behavior and OLG models with population aging, we examine the macroeconomic impact of different reform scenarios of the pension system. Besides the expected direct effects of these reforms on the behavior of households, we observe that feedback effects occur. Results suggest that individual retirement decisions are strongly influenced by numerous incentives produced by the pension system and macroeconomic variables: the statutory eligibility age, adjustment factors, the presence of a replacement rate and interest rates influence retirement



Dr. Christian Hunkler

decisions made by households. Those decisions, in turn, have several impacts on the macroeconomy which can create feedback cycles. Taken together, these reform scenarios have strong implications for the sustainability of pension systems. It is essential to understand reactions of households to pension reforms and the possible endogenous equilibrium effects to evaluate pension reforms. Because of the rich nature of our unified model framework, we are able to rank the reform proposals according to several measures and draw policy recommendations.

This project is conducted in cooperation with Alexander Ludwig and resulted in a MEA Discussion Paper in 2018. A substantially revised version was finished in November 2020 and is currently being circulated among researchers working on this topic.

## 2.2.22 AGE AND LABOR PRODUCTIVITY IN THE SERVICE INDUSTRY

*Axel Börsch-Supan with Christian Hunkler*

This project likewise employs empirical methods to investigate the relation between employee age and labor productivity. The *modus operandi* corresponds to that used in the study 'Age and Labor Productivity in Manufacturing', but is applied to the service industry instead. To that end, we approached a large insurance company for the collection of data appropriate to the subsequent statistical analysis.

To measure productivity, performance indicators are determined for 11,143 workers in 1,623 in-house task groups on 908 days (3 years, unbalanced). Examples for such performance indicators are the number of new policies entered into the system, the number of claims processed, or the number of phone calls made. These indicators are then linked up with personnel data. Preliminary results suggest that on average over the entire firm the age productivity profile is flat. If we look at the profile for different tasks separately, however, we find considerable differences: At workplaces with rather simple

tasks, productivity significantly declines with age while at workplaces with more complex tasks, productivity increases slightly (albeit not significantly) with age.

This project is in cooperation with Matthias Weiss (Regensburg). It is close to completion with the paper submitted and currently under review.

## 2.2.23 IMPLICATIONS OF HYPERBOLIC DISCOUNTING ON RETIREMENT DECISIONS

*Duarte Nuno Semedo Leite with Irene Ferrari*

When evaluating present and future plans we usually tend to enter into a conflict with our own selves. When looking at the distant future we promise to accomplish all the difficult goals previously established but when the time comes and we face our duties, we just tend to leave them until tomorrow and procrastinate just a little bit longer. Much research has been presented on the implication of hyperbolic discounting preferences on savings. These modeling approaches are by no means new but have only recently found widespread attention when they were applied to retirement saving. Nevertheless, retirement decisions themselves have not been subjected to such a thorough examination. Endogenous retirement decisions under hyperbolic discounting have only recently been the object of analysis and fail to lead to clear conclusions.

The myriad of outcomes left by the theoretical literature leaves this field of study with an increasing number of questions and few answers. And here is where our paper takes the stage and empirically tests the interplay between hyperbolic discounting and retirement decisions.

In order to detect hyperbolic discounting behavior, we will use the conscientiousness questions on the Big-5 questionnaire as a measure for the level of procrastination. In a first moment we will show that procrastination and conscientious-



Romuald Méango, PhD

ness are strongly inversely related, in order to make the case that a 'conscientiousness index' can be used as a measure for time inconsistency/procrastination to be used in the main model. From here, we depart to our main model that examines retirement expectations and actual retirement behavior in conjunction with savings behavior and old age poverty. To accomplish this, we will use the Health and Retirement Study data. Preliminary results show that average retirement age is lower for hyperbolic individuals who also tend to revise their age of retirement downwards as they get older. Savings tend to be lower for hyperbolics even if they retire earlier.

### **2.2.24 EARNINGS TEST, (NON-) ACTUARIAL ADJUSTMENTS AND FLEXIBLE RETIREMENT**

*Duarte Nuno Semedo Leite with Klaus Härtl*

In response to the challenges of population aging, many countries have introduced gradual increases of the statutory eligibility age and shut down pathways to early retirement. There are, however, many incentives left which create early retirement, in particular less than actuarial adjustment factors and earnings tests, both of which are still frequent in Europe. Making adjustment factors actuarial and abolishing earnings tests are therefore often proposed as policies to strengthen the sustainability of public pension systems.

This paper employs a life-cycle model of consumption and labor supply with an endogenous choice of retirement (better: labor force exit) and, separately from this, choice of benefit claiming age to study the interaction between earnings tests and actuarial adjustments during the window of retirement. Earnings tests force workers to exit the labor market when claiming a pension. After abolishing the earnings test, workers can claim their benefits and keep on working, potentially increasing labor supply. We show that the difference between exit and claiming age strongly depends on the preference for

consumption versus leisure and can become very large. Moreover, we show that abolishing an earnings test as part of a so-called flexibility reform is likely to reduce the average claiming age when adjustments remain less than actuarial, hence worsening rather than improving the sustainability of public pension systems.

This project has resulted in a MEA Discussion Paper and was published under the same title in *Economics Letters*.

### **2.2.25 THE INTERRELATIONSHIP BETWEEN EDUCATION AND AGING**

*Duarte Nuno Semedo Leite*

In this project we explore the dynamics of decisions on education and the impact they may have on hampering the negative effects of the process of demographic change. We first show how important is to incorporate education decisions for determining the right impact of an aging population in output and in the main macroeconomic variables in an economy. Then, we compare different countries at different stages of development and with different demographic structures and show where education and an increase in skilled labor among the population have a more decisive impact. Moreover, we show how the effects of policies targeting education decisions and changes in demographics differ according to the reaction of young individuals on whether to attend college or not.

The project is in cooperation with Uwe Sunde (LMU).

## **2.3 MIGRATION**

### **2.3.1 SHARP BOUNDS FOR THE ROY MODEL**

*Romuald Méango*

We analyze the empirical content of the Roy model, stripped down to its essential features,



May Khourshed

namely sector-specific unobserved heterogeneity and self-selection on the basis of potential outcomes. We characterize sharp bounds on the joint distribution of potential outcomes and the identifying power of exclusion restrictions. The latter include variables that affect market conditions only in one sector and variables that affect sector selection only. We analyze a Roy model of college major choice in Canada within this framework, and we take a new look at the underrepresentation of women in Science, Technology, Engineering or Mathematics (STEM).

The final version has been published in *the Journal of Political Economics*.

We are finalizing two extensions to the original idea. In the first, we measure the minimum cost subsidy necessary to change sector choices and make them observationally indistinguishable from choices made under income maximization only. In the second, we use information on available amenities in the selected occupation to make inferences on the marginal rate of substitution between income and amenities. Both publications are aimed at top-tier journals in 2021.

### 2.3.2 INVESTMENT IN HUMAN CAPITAL IN THE PRESENCE OF A MIGRATION OPTION

*Romuald Méango*

The economic literature has acknowledged the possibility that subjective prospects of migration could give additional incentives to invest in human capital. The paper 'Quantifying the Brain Drain: Evidence from Sub-Saharan Africa' measures the incentive, selection and net effects of emigration. The starting point is a generalized Roy model of schooling investment that emphasizes the distinction between migration attempt and actual migration. The model delivers a tractable approximation of the schooling investment in two counterfactual scenarios of restricted migration. The empirical analysis studies the effect of emigration from DR Congo, Ghana and Senegal to Europe. The most striking

result is that, in contrast with other households, poor households in Senegal exhibit negative incentives to invest in schooling because of the migration option. Thus, Senegal experiences a net decrease in the average schooling level as a consequence of migration. A working paper version has been published in *CESifo Working Paper Series*.

A second paper 'The Option-Value of Overstaying' explores the role of asylum seekers' subjective expectations about their outcome in Germany for their intention to overstay. This study takes advantage of a unique survey of 1,024 Afghan asylum seekers in Germany, conducted with colleagues at MPISOC. The proposed model sees the decision to overstay as a utility maximization problem and translates it into a generalized Roy model with uncertainty about the final sector choice. As an important contribution to the literature, the paper proposes mild conditions for nonparametric identification of several objects of interest, including population distribution of ex ante pecuniary benefits, non-pecuniary costs, surpluses, and option-value created by the chance of becoming regularized in the future. Estimation is conducted using a semiparametric estimation procedure. Ex ante surpluses of overstaying are predominantly positive but very heterogeneous in the population. The pecuniary benefits explain a modest part of these surpluses. In contrast, the option-value is an important component of the expected returns. Afghan asylum seekers are ready to spend a long time with a precarious status to eventually obtain the right to stay and the amenities associated with it. A final version of the paper will be submitted in 2021.

### 2.3.3 QUALIFICATIONS, POTENTIALS AND LIFE COURSES OF SYRIAN REFUGEES IN BAVARIA

*May Khourshed with Christian Hunkler*

This project aims to help fill the gap in present research on the potentials of refugees' integration outcomes in reference to their abilities and



Dr. Gregor Sand

expectations. The survey focuses on educational and labor market integration of Syrian refugees, including an assessment of starting conditions, i.e. potentials. Those being: basic demographic information, life history before migration to Germany (i.e. living arrangements, marital status, childhood situation), education, details on the actual flight out of origin country, future plans, health status, attitudes and beliefs, and traumatic experiences (witness to violent acts of terrorism or war). Potentials will be assessed by detailed life histories on past work experience, language skills, and work-related motivation and expectations of employment and educational outcomes. We cooperate with the Institute for Quality Development in Education in Berlin (IQB) and moreover include two of their tests on crystalline and fluid cognitive abilities in the survey. We also collect information on traumatic experiences that may affect the mental fortitude of an individual in their ability to fully integrate, or rather be able to take part in the social and economic life of the German society. Foreseeably, this is also the case in terms of health, education and other selected topics. We expect that the data collected will be used in academic and policy discourse.

### **2.3.4 THE IMPACT OF LARGE-SCALE IMMIGRATION ON THE WELLBEING OF OLDER NATIVES IN EUROPE – THE EXAMPLE OF THE REFUGEE CRISIS IN 2015**

*Gregor Sand*

In recent years, immigration has become a prominent topic on the political agenda in many countries, especially in times of large migration flows. The impact of migratory waves on the welfare of the native population is hard to assess and adequate data is hard to find. Most of the extant literature explores the impact of immigration on objective wellbeing indicators such as wages and employment; however, studies on how immi-

gration affects the subjective wellbeing (SWB) of natives are scarce.

The aim of this study is to explore the impact of the Europe-wide refugee crisis in 2015 on older people's personal wellbeing in several European countries and the potential implications for their social and political attitudes.

Drawing on set-point theory and data from the Survey of Health, Ageing and Retirement in Europe (SHARE), I use an experimental study design (i.e., difference in differences) by treating the refugee inflow as an external event that affected the SWB of people in several countries in Europe. The main interest is on how respondents' SWB levels change from the last interview to the interview at the time the refugee crisis was salient in the media. Respondents that were interviewed during the event serve as treatment group and those that were interviewed before as control group.

The main contribution of this work lies in my identification strategy, which is based on exploiting differences in media coverage across countries and temporal variation in SWB within individuals. The focus on the welfare of older people might be of special importance because they represent the social group with a critical outlook and the highest voter turnout

Overall, the first findings suggest that the SWB change from Wave 5 to Wave 6 does not differ between treatment and control group. However, a closer look reveals that the over-time change in SWB is significantly positive in countries with a 'favorable' media coverage and significantly negative in countries with an 'unfavorable' media coverage.

### **2.3.5 MIGRATION AND COGNITIVE FUNCTIONING**

*Stefan Gruber*

By investigating the long-term effect of migration for cognitive abilities in later life, this pro-



Dr. Stefan Gruber

ject combines two important developments, both with growing importance for Europe. The first one is intra-European migration. Of the more than 500 million inhabitants of the 28 EU Member States, 19.3 million persons were born in a different EU Member State than the one they are residing in (Eurostat 2016). This makes the European Union '[...] the world's best research laboratory on legal, transnational migration' (Migration Policy Institute 2017). The second one is cognitive aging as a fundamental aspect of the aging process. Cognitive ability levels are of growing importance especially in aging societies as they predict individual productivity better than any other observable individual characteristics (Skirbekk et al. 2011).

The classical comparison with the native reference group in the destination country does not allow for measuring the effect of migration itself. Therefore, this project compares migrants to stayers in the respective origin country. Using an index combining the different measures for cognitive functioning available in the Survey of Health, Ageing and Retirement in Europe (SHARE), an instrumental variable approach (IV) is applied to deal with endogeneity in the first analytical step. The instrument uses the exogenous variation in the outflow of emigrants between countries and across time. In the second analytical step I take advantage of the available panel data structure and apply an individual level fixed effects model (FE) to observe possible differences in the process of cognitive decline between migrants and stayers.

The results of the IV models indicate that in the long run, migration turns out to have a negative effect on cognitive functioning. The negative effect gets weaker but remains significant when excluding the language-sensitive verbal fluency test from the analysis. Running separate models for men and women brings effect heterogeneity to light: The negative effect of migration is larger for women. Regarding the process of cognitive decline, the individual fixed effects models do not show significant differences between migrants and stayers. Here, other factors seem to be more relevant.

The project was successfully completed with a publication in *Social Science & Medicine* in 2020.

### 2.3.6 PHYSICAL HEALTH AND MENTAL WELLBEING OF OLDER MIGRANTS IN EUROPE

*Stefan Gruber with Gregor Sand*

This project explores the differences in physical health and mental wellbeing between migrants and natives of the European destination countries. Using SHARE data, the study focuses on persons aged 50 and above. The results show that compared to natives, migrants are disadvantaged in terms of physical health and mental wellbeing. This is especially the case among female migrants from Southern European countries. Additionally, analyses for the subsample of male migrants reveal differences in grip strength according to employment status. The negative impact of migration is larger for employed than for retired respondents. To sum up, the findings of this study indicate that the health advantage of recently arrived migrants found in other studies diminishes in the long run and even becomes a health disadvantage in later life.

The project has led to a publication in a volume edited by Hendrik Jürges, Johannes Siegrist and Matthias Stiehler.

### 2.3.7 DOES MIGRATION PAY OFF IN LATER LIFE? INCOME AND SUBJECTIVE WELLBEING OF OLDER MIGRANTS IN EUROPE

*Stefan Gruber with Gregor Sand*

This study examines whether intra-European migration pays off in terms of income and subjective wellbeing (SWB) for migrants aged 50+ who are now growing old abroad, and in what way their SWB is associated with their relative income position. Using panel data from the Survey of Health, Ageing and Retirement in Europe (SHARE) allows us to go beyond the clas-



Dr. Helmut Farbmacher

sical comparison with the native reference group and draw on information about respondents who stayed in the place of origin ('stayers'). Our findings indicate that migration does pay off in later life. Compared to similar stayers, migrants have higher income and higher SWB levels. Since older migrants' SWB is positively associated with their relative income position in the destination country, our analyses suggest that their main frame of reference is the destination context many years after migration.

The project was successfully completed with a publication in *Social Indicators Research* in 2020.

## 2.4 HEALTH ECONOMETRICS

### 2.4.1 ON THE USE OF THE LASSO FOR INSTRUMENTAL VARIABLES ESTIMATION WITH SOME INVALID INSTRUMENTS

*Helmut Farbmacher*

We investigate the behavior of the Lasso for selecting invalid instruments in linear instrumental variables models for estimating causal effects of exposures on outcome, as proposed recently by Kang, Zhang, Cai and Small (2016, *Journal of the American Statistical Association*). Invalid instruments are such that they fail the exclusion restriction and enter the model as explanatory variables. We show that for this setup, the Lasso may not select all invalid instruments in large samples if they are relatively strong. Consistent selection also depends on the correlation structure of the instruments. We propose a median estimator that is consistent when less than 50% of the instruments are invalid, but its consistency does not depend on the strength of the instruments or their correlation structure. This estimator can therefore be used for adaptive Lasso estimation. The methods are applied to a Mendelian randomization study to estimate the causal effect of BMI on diastolic blood pressure using data on individuals from the UK Biobank, with 96 single nucleotide polymorphisms as potential instruments for BMI.

This project was conducted in cooperation with Frank Windmeijer, Neil Davies and George Davey Smith (University of Bristol). The resulting paper was published in the *Journal of the American Statistical Association* in 2019.

### 2.4.2 MAKING IT RIGHT? SOCIAL NORMS, HANDWRITING AND HUMAN CAPITAL

*Raphael Guber*

Can early childhood interventions compensate for innate deficits? In this paper, I study the forced right-hand writing of left-handed children ('switching'). While previous literature has found that, due to innate cognitive deficits, left-handers obtain less human capital and lower wages than right-handers, I find that switched left-handers perform equally well or even better in the labor market than right-handers. Only non-switched left-handers exhibit the deficits of left-handers found in earlier studies. To address potential selection bias, I employ a difference-in-differences approach, where I exploit the rapid decline of switching across cohorts. Cohort trends of the outcome variables of right-handers who were never switched are used as a counterfactual for left-handers. Using rich data from the German Socio-Economic Panel (SOEP), I show that the observed differences in outcomes occur due to differential human capital accumulation, rather than cognitive or noncognitive skills. My findings are consistent with switching compensating for the innate deficits of left-handers.

The project was successfully completed with a publication in *Labour Economics* in 2019.

### 2.4.3 GMM ESTIMATION AND INFERENCE

*Helmut Farbmacher*

Endogeneity is a common phenomenon in applied econometrics and generally prevents a causal interpretation of ordinary least squares



Dr. Raphael Guber

regressions. The availability of valid instruments can solve this problem. Instrumental variables are often used to estimate causal effects. While there are often lasting debates about the exogeneity of instruments, the relevance of the instruments is observable and thus the strength of the identification is unquestionable. The shortcomings of basic econometric techniques are also well understood. Many instruments and/or weak identification can affect the asymptotic properties of the usual 2SLS or two-step GMM estimator. Some identification robust techniques have been proposed in the recent years – among them the continuously updated estimator (CUE) and an appropriate variance estimator. In this project, I contribute to the literature in two fields. First, I show that the finite-sample properties of a recently proposed variance estimator for the CUE depend on the definition of the weight matrix. Second, I propose a modification of the CUE, which is consistent under usual and many weak moment asymptotics, and has a markedly smaller dispersion in Monte Carlo simulations. My application in political economy illustrates the importance of this issue in practice. Both contributions are more relevant in small samples, which make them particularly valuable for macroeconomic applications.

Collaboration partner in this project is Maurice Bun (University of Amsterdam). A part of the project was successfully completed with a publication in *Econometric Reviews* in 2020.

#### 2.4.4 THE LONG-TERM EFFECTS OF TWINS ON MATERNAL HEALTH

*Helmut Farbmacher with Tabea Bucher-Koenen and Raphael Guber*

In times of increasing female labor market participation and policy efforts to allow for easier combinations of work and family life, it is important to understand the consequences of actively raising children and simultaneously pursuing a career for mothers' health. A large literature exists on the relation of fertility and maternal education, working status, income, and health.

A central problem of this literature is the endogeneity of the fertility decision. In the context of health, maternal health might directly be related to family size or unobservables such as parents' preferences which may drive both fertility decisions and risky health behaviors or health care decisions.

In this paper we are interested in a specific aspect of fertility namely having twins at first birth on mothers' long-term health. In contrast to previous studies we are not using twinning as instrumental variable (IV) since it violates the exclusion restriction. Based on Swedish administrative data we document strongly increased old-age mortality rates among mothers that potentially experienced a double burden from working and raising children simultaneously. We use twins at first birth as an unplanned shock to fertility and proxy labor force attachment by stratifying the sample by education and pension income. In line with the double burden hypothesis, the effect of having twins is largest among highly educated mothers and those with above-median pension income. Deaths due to lung cancer, COPD and heart attacks, which the medical literature strongly associates with stress during life (e.g. from work-family conflicts, care-giving, and multiple role requirements of women) are over-proportionally increased.

Results from this project, conducted in cooperation with Johan Vikström (IFAU), have been summarized in a MEA Discussion Paper. The project was successfully completed with a publication in *Demography* in 2019.

#### 2.4.5 DOES INSURANCE MAKE OVERCONFIDENT?

*Raphael Guber*

Research on the role of behavioral biases in contract theory implicitly assumes that these are fixed. We show by the example of overconfidence that such biases may be endogenous to the incentives provided. Using a novel laboratory experimental design that allows to disentangle



Heinrich Kögel

gle selection from incentive effects, we find that having insurance against losses in a real effort induces individuals to overstate their performance relative to others. At the same time, we find no evidence that overconfidence plays a role in insurance choice.

This joint work with Joachim Winter and Martin Kocher (LMU) was successfully completed with a publication in *The Journal of Risk and Insurance* in 2020.

#### **2.4.6 CAUSAL MEDIATION ANALYSIS WITH DOUBLE MACHINE LEARNING**

*Helmut Farbmacher*

This paper combines causal mediation analysis with double machine learning to control for observed confounders in a data-driven way under a selection-on-observables assumption in a high-dimensional setting. We consider the average indirect effect of a binary treatment operating through an intermediate variable (or mediator) on the causal path between the treatment and the outcome, as well as the unmediated direct effect. Estimation is based on efficient score functions, which possess a multiple robustness property with respect to misspecifications of the outcome, mediator, and treatment models. This property is key for selecting these models by double machine learning, which is combined with data splitting to prevent overfitting in the estimation of the effects of interest. We demonstrate that the direct and indirect effect estimators are asymptotically normal and root-n consistent under specific regularity conditions and investigate the finite sample properties of the suggested methods in a simulation study when considering Lasso as machine learner. We also provide an empirical application to the US National Longitudinal Survey of Youth, assessing the indirect effect of health insurance coverage on general health operating via routine checkups as mediator, as well as the direct effect. We find a moderate short-term effect of health insurance

coverage on general health which is, however, not mediated by routine checkups.

#### **2.4.7 INSTRUMENT VALIDITY TESTS WITH CAUSAL TREES**

*Helmut Farbmacher with Raphael Guber*

Assumptions sufficient for the identification of local average treatment effects (LATEs) generate necessary conditions which allow to refute instrument validity. The degree of violations of instrument validity likely varies across subpopulations. In this project, we use causal trees to search and test for local violations of the LATE assumptions in a data-driven way. While existing instrument validity tests are unable to detect local violations, our procedure does -- as we also demonstrate in our simulations. We apply the proposed test in two different settings, namely parental preferences for mixed sex composition of children and the Vietnam draft lottery.

This project is in cooperation with Sven Klaassen (University of Hamburg). It is close to completion with the paper being conditionally accepted at *Journal of Business & Economic Statistics*.

#### **2.4.8 FINANCIAL SCARCITY AND HEALTH: EVIDENCE FROM THE FOOD STAMP PROGRAM**

*Helmut Farbmacher with Heinrich Kögel*

This project studies the effect of poor financial circumstances on health based on a sample of food stamp recipients whose financial resources vary over the monthly food stamp payment cycle. My identification strategy exploits the random interview day assignment in the American Time Use Survey and variation in food stamp issuance periods across states. I find that the financial scarcity food stamp recipients experience at the end of their monthly payment cycle has a significant and sizable negative short-run effect on their self-assessed physical health.



Dr. Johanna Bristle

The project is close to completion with the paper currently being revised and to be resubmitted at the *American Journal of Health Economics*.

#### **2.4.9 ESTIMATING GROUPED PATTERNS OF HETEROGENEITY IN REPEATED PUBLIC GOODS EXPERIMENTS**

*Helmut Farbmacher with Heinrich Kögel*

We revisit the role of social preferences and beliefs in voluntary cooperation. It is well documented that people exhibit heterogeneous patterns of behavior in public goods experiments. We estimate grouped patterns of heterogeneity in two such experiments by making use of recently developed methods to detect unobserved parameter heterogeneity in panel data. Our results suggest that, in the repeated game, a rather large proportion of players is willing to invest strongly in cooperation, matching their beliefs essentially one to one. Interestingly, this group of ‘in-game cooperators’ also includes some individuals which are classified as free riders by traditional player typologies.

This project is in cooperation with Sebastian Bordt (University of Tübingen). It is close to completion with the paper submitted and currently being revised and to be resubmitted at *Journal of Econometrics*.

#### **2.4.10 AN EXPLAINABLE ATTENTION NETWORK FOR FRAUD DETECTION IN CLAIMS MANAGEMENT**

*Helmut Farbmacher*

Insurance companies must manage millions of claims per year. While most of these are not fraudulent, those that are nevertheless cost insurance companies and those they insure vast amounts of money. The ultimate goal is to develop a predictive model that can single out fraudulent claims and pay out non-fraudulent

ones automatically. Health care claims have a peculiar data structure, comprising inputs of varying length and variables with a large number of categories. Both issues are challenging for traditional econometric methods. We develop a deep learning model that can handle these challenges by adapting methods from text classification. Using a large dataset from a private health insurer in Germany, we show that the model we propose outperforms a conventional machine learning model. With the rise of digitalization, unstructured data with characteristics similar to ours will become increasingly common in applied research, and methods to deal with such data will be needed.

This project is in cooperation with Martin Spindler (University of Hamburg). The project has been successfully completed with a forthcoming publication in *Journal of Econometrics*.

#### **2.4.11 CUMULATIVE DISADVANTAGE PROCESSES IN HEALTH – AN INTERNATIONAL PERSPECTIVE**

*Johanna Bristle*

Drawing from cumulative disadvantage and cumulative inequality theory we examine how childhood conditions and educational attainment interact in bringing about health inequality in later life. We examine the mediating and the moderating roles of education in explaining the link between parental socioeconomic status during childhood (childhood SES) and later life health from a longitudinal and cross-national perspective. For these purposes we use five panel waves covering more than ten years from 2004 to 2015 plus retrospective childhood information in 14 European countries and Israel from the Survey of Health, Ageing, and Retirement in Europe (SHARE). The results show that, first, childhood SES affects later life health both indirectly (via educational attainment) and directly (net of education); second, childhood SES and education health gaps vary little over the life course but heavily across countries; and third,



Dr. Melanie Wagner

while showing additive effects of childhood SES and education in most countries, some countries support resource multiplication and some show a compensating influence of education (resource substitution). We conclude by discussing theoretical implications of our results for the international, longitudinal assessment of mechanisms of cumulative disadvantage.

This project is conducted in cooperation with Fabian Kratz (LMU, University of Munich).

#### **2.4.12 WELLBEING AMONGST INFORMAL CAREGIVERS IN EUROPE**

*Melanie Wagner*

In this project we analyze the impact of the provision of informal care on the wellbeing of informal caregivers in a cross-European perspective using SHARE data Wave 5. We investigate whether caregivers are more burdened than non-caregivers and whether differences in life satisfaction, loneliness, and depression between caregivers and non-caregivers is smaller in regions with more formalized care arrangements. We find that spousal caregivers' wellbeing, measured in terms of life satisfaction, loneliness, and depression, is positively linked to the regional availability of formal care, which is partly due to higher perceived control in regions with more formal care provision.

The project is in cooperation with Martina Brandt. It was successfully completed with a publication in the *Journals of Gerontology Series B: Psychological Sciences and Social Sciences* in 2018.

#### **2.4.13 MARITAL BIOGRAPHY AND HEALTH IN OLD AGE**

*Johanna Schütz*

The project is motivated by the well-documented health and longevity advantage of mar-

ried persons over the unmarried. Population aging and changes in family norms make analyses of the marriage-health nexus in the older population relevant. The objective of this project is to gain more knowledge about health differentials by marital status in old and oldest age, using the broad spectrum of data provided by the Survey of Health, Ageing and Retirement in Europe (SHARE). Applying a life course perspective, differences in health outcomes in later life are not only examined by current marital status but by marital biography. Additionally, this study contributes to the literature by analyzing objective health indicators of physical and cognitive functioning (tests of grip strength, expiratory air flow, memory, verbal fluency). Possible self-selection effects of healthier individuals into a (stable) marriage are addressed by considering health differences in early life. The SHARE dataset allows to investigate cross-country differences of marital biographies as well as partnership biographies. The national variations in marital timing and trajectories are referred to the national marriage-related legislations. Additionally, the longitudinal dimension of SHARE is used to analyze the development of physical and cognitive health outcomes after widowhood.

Results show an association between current marital status and performance in the health tests. Compared to the never-married, married Europeans show better results for all tested health outcomes in old age. Adjusting for health status in childhood does not change results. Comparing different subgroups of married persons with respect to marital biography, the following factors are related to worse health test outcomes: marriage under age 20, frequent marital conflict, and for the physical tests, remarriage. There are no signs of a negative accumulation of years spent separated or widowed. Longitudinal analyses of health development after death of a spouse reveal a negative effect for cognition performance but not for grip strength. In case of memory performance, longer time spent in widowhood seems to aggravate the negative effect.

The project was conducted as a doctoral dissertation within the MaxNetAging Research School of the Max Planck International Research Network on Aging. Results of the project have been presented at several university seminars, interdisciplinary conferences and workshops. The final version was published as a monography in 2019.

#### 2.4.14 MEAT CONSUMPTION OF EUROPEANS 50+

*Johanna Schütz with Fabio Franzese*

Diet can be considered an important element of health behavior. As studies show, changes in lifestyle and strategies of prevention can positively affect age-related diseases. Nevertheless, up to now, research on diet in old age as an element of health behavior has been insufficient. To date, information about individual eating habits of older Europeans exists mainly in national surveys. However, comparison is limited due to different methodological approaches.

Employing data of the Survey of Health, Ageing and Retirement in Europe (SHARE), the aim of this project is to empirically describe the meat and fish consumption of the European population aged 50 and older and to present similarities and differences between countries.

Is meat a frequent or irregular part of meals? How do the different European countries differ in frequency of consumption? Furthermore, we pay close attention to the 'professed meat-eaters', aged people who eat meat on a daily basis – are there gender and age differences? On the other hand, we consider elders who eat meat very rarely and enquire whether they do so because of economic reasons.

In all of the 15 European countries under analysis, meat is being eaten on a regular basis and meatless nutrition is very rare. Daily meat consumption is more common among men. The share of older people who eat meat infrequently

due to financial restrictions is rather small in the majority of countries.

The project was successfully completed with a publication in an edited volume in 2019.

#### 2.4.15 SLIPPING INTO POVERTY: EFFECTS ON MENTAL AND PHYSICAL HEALTH

*Fabio Franzese*

The correlation of income and health has often been documented. The causality appears to operate in both directions. High income helps to keep you healthy, and healthy people are more likely to achieve higher positions in their job and hence higher income.

Longitudinal data of people aged 50 and older from the Survey of Health, Ageing and Retirement in Europe (SHARE) is used to analyze the effects on health of slipping into and out of poverty in old age. Short-term effects on different health outcomes such as subjective health and depression is examined. In addition, macro-indicators for inequality in income and wealth are used to explain country differences in the poverty-health relation.

This project resulted in a dissertation that was published as an open access monograph in 2020.

#### 2.4.16 LONELINESS, SOCIAL ISOLATION AND COGNITIVE DECLINE IN EUROPE

*Johanna Bristle, Tessa-Virginia Hannemann and Melanie Wagner*

Cognitive functioning is essential for successful aging and living a self-determined life in old age. We investigate if an increase in loneliness and social isolation results in cognitive decline and how these relationships vary across different cultural and social settings. Data come from



Dr. Fabio Franzese



Tessa-Virginia Hannemann



Judith Kronschnabl



Dr. Michael Bergmann

the Survey of Health, Ageing and Retirement in Europe (SHARE) and cover 16 European countries from 2011 to 2017. Preliminary results show that loneliness and social isolation are associated with cognitive decline. Loneliness, social isolation and cognition all show substantial cross-national variation, which is also reflected in the loneliness-cognition link.

### 2.4.17 SOCIAL NETWORK CHANGES THROUGH CAREGIVING

*Melanie Wagner*

The aim of this study is to analyze how social networks change after becoming a family caregiver. We explore the structural aspects of how social networks change in size, proximity, and in their composition regarding kin orientation, as well as emotional aspects like changes in emotional closeness and the overall satisfaction with the network. In doing so, we distinguish between the effects of caring for a close social network member and the effect of the caregiving task itself. We use data from Wave 4 and 6 of SHARE.

### 2.4.18 DISTANCE CARE

*Melanie Wagner*

In this research project, we analyze people providing care to their parents from abroad. The support of relatives living far away in terms of distance caregiving between children and their parents has gained in importance in Europe. At the same time, little is known about these care arrangements based on SHARE data. In collaboration with Annette Franke, we analyze the prevalence of persons caring for at least one parent from a geographical distance, which forms of support are provided and which other specific socioeconomic and health-related aspects characterize these care situations.

Project results were published in *Zeitschrift für Gerontologie und Geriatrie* in 2019.

### 2.4.19 IN-CARE (INEQUALITY IN CARE)

*Melanie Wagner*

The three-year ORA (Open Research Area)-funded project investigates if and how different long-term care systems, and recent long-term care reforms, are associated with socioeconomic disparities in formal and informal care use, health, and wellbeing in later life within Europe and Japan. Examining specific features of long-term care policies provides theoretical insights on family, health, and wellbeing inequalities in two ways. First, the project will explore which specific national policies implicitly or explicitly support family care, and empirically assess whether such policies contribute to socioeconomic inequalities in family care. Second, the project examines whether the health and wellbeing consequences of socioeconomic inequalities in care among older adults are related to key features of long-term care policies. A better understanding of the consequences of different care policies for inequalities in care, health and wellbeing in later life will inform debates on the potential impact of future policy decisions.

The team is divided into a German, Dutch, British, and Japanese team. The German team consists of Martina Brandt, Christian Deindl, Lisa Jessee, Judith Kaschowitz, Nekehia Quashie and Melanie Wagner.

### 2.4.20 BODYWEIGHT AND COGNITIVE PERFORMANCE IN THE OLDER POPULATION

*Judith Kronschnabl with Thorsten Kneip, Luzia Weiss, Michael Bergmann*

Preservation of cognitive function is one of the major concerns in contemporary aging populations. Overweight and obesity, the prevalence of which have been increasing in many countries all over the world, have been identified as risk factors for poor health development: they appear to be related to several diseases including diabetes

mellitus, hypertension, cardiovascular diseases, but also poor cognitive performance. At the same time, a phenomenon called 'obesity paradox' or 'jolly fat' is discussed in literature. It indicates a counterintuitive positive relation between (over-)weight and certain health outcomes, particularly for mental and cardiovascular diseases, but also for cognitive development.

This project examines the relationship between bodyweight change and the development of cognitive functioning in older age and challenges the notion of an obesity paradox in cognition. To this end, we use longitudinal data from the Survey of Health, Ageing and Retirement in Europe (SHARE) and employ asymmetric fixed effects regression, accounting for possible confounding variables such as age, grip strength, health conditions, and physical activity. Additionally, we investigate possible heterogeneity in the BMI-cognition relation.

We find a positive association between BMI change and change in cognitive performance, which is dominantly driven by BMI decrease. Weight loss is typically negatively related to cognitive decline, particularly at low levels of BMI and mainly due to health conditions affecting both bodyweight and cognitive performance. Weight gain is, on average, not significantly related to cognitive performance. However, respondents with preceding weight loss profit from small increases in BMI, while larger increases eventually become cognitively detrimental. Our findings provide no support for an obesity paradox in cognition. The association between weight change and cognitive performance in older age is based on weight changes being related to illness and recovery.

First results of this project have been published in the SHARE First Results volume 'Health and Socio-Economic Status Over the Life Course'. A full paper based on extended and refined analyses is available and is currently under review for publication.

## 2.4.21 IMPORTANCE OF SPOT SIZE MEASURING IN FIELDWORK COLLECTED DRIED BLOOD SPOTS SAMPLES

*Luzia Weiss with Rebecca Groh, Martina Börsch-Supan and Axel Börsch-Supan*

In its sixth wave, the Survey of Health, Ageing and Retirement in Europe (SHARE), implemented the collection of dried blood spots (DBS) samples in twelve of the SHARE countries as an innovative method to gather objective health data. Approximately 27,000 blood samples have been collected from respondents in those countries by trained interviewers. DBS collection is an efficient and feasible way to gather biomarker information in a large international population-representative survey like SHARE. The blood is taken by a simple prick into the respondents' fingertips, dropped on a filter card to create a blood spot and, after drying, is sent by standard mail services to a biobank for storage. In the lab, small discs are punched from these spots for subsequent biomarker analyses.

It has to be taken into account that the samples are not collected under controlled laboratory conditions, but during the survey in the home of the respondents. They are inevitably exposed to varying fieldwork conditions such as outside temperature and shipment time. In addition, the sample quality may be affected by shortened drying times, missing humidity protection during shipment, or failure to collect optimal blood volumes, the latter leading to small spots. It is known that these factors, environmental as well as collection-caused, influence the quality of the DBS and the herein measured biomarker levels. In SHARE, we collected information on these factors and DBS quality, so we can use them to adjust the measured raw biomarker values.

This project investigates the impact that the blood volume of each SHARE-collected and analyzed DBS has on the levels of different biomarkers. While we can observe and document many of the above-described quality factors, it was not possible for us to measure the blood volume



Rebecca Groh



Luzia Weiss

applied to the filter card at the time of the collection. Previously-described precise approaches measured the blood volume by weighing a punched disc or applying radio-isotopic methods. There are further approaches that use the spot size as a proxy for the blood volume. Hereby, a size estimate is gained by measuring the diameter by hand or dividing the spots into different size categories by eyesight. Yet, neither of these methods is suitable for the volume or spot size determination of huge amounts of field-collected DBS as they are available for SHARE.

We took advantage of the fact that all of the SHARE DBS samples were photographed during the punching process. We used the photographs to establish a new algorithm that precisely measures the blood-covered area of a spot for each DBS in an automated way suitable for large amounts of field-collected DBS. We have no knowledge of any other automated spot size measurement for such a large amount of DBS samples.

We show that the derived spot sizes as well as the other environmental and collection-caused factors explain part of the variability in the raw biomarker results (we control for respondents characteristics that influence these levels for biomedical reasons). We also compared the exact measures made by the new algorithm to mere size estimation, where the spots are divided into different groups depending on their sizes. Based on our findings, we state that (i) spot size measures have to be taken into account when working with biomarker data derived from fieldwork-collected DBS samples, and (ii) an exact measurement of spot size is better than a mere estimation of the size.

## 2.4.22 INFLUENCE OF FIELDWORK CONDITIONS AND SAMPLE QUALITY ON CYTOKINE VALUES MEASURED IN DRIED BLOOD SPOT SAMPLES

*Luzia Weiss with Rebecca Groh,  
Martina Börsch-Supan, and Axel Börsch-Supan*

During its Wave 6, SHARE collected blood in form of dried blood spot (DBS) samples at the home of the respondents as they can be collected by trained interviewers (Williams and McDade 2009, Brindle et al. 2014). In contrast to venous blood samples (VBS) collected during routine health checkups in a clinic or laboratory, survey samples are exposed to fieldwork conditions (such as outside temperature and shipment time) that may vary between samples. The biomarker values measured in these samples might be influenced by these conditions. Additionally, sample quality varies between samples and might also have an impact on the measured values. The SHARE DBS were analyzed for various blood markers. Assay results have to be corrected for the impact of field conditions before they are comparable to measurements gained from blood samples in a standard laboratory procedure. We conducted two separate marker-specific validation studies; the second is described in 2.4.23.

In the frame of the cytokine marker project, we designed and conducted a laboratory experiment to identify this impact. We created DBS samples from non-SHARE donors under controlled laboratory conditions, exposed them to simulated fieldwork conditions and analyzed a set of 10 cytokines, growth factors and apolipoproteins in the samples. The aim of this study is to develop marker-specific conversion formulae that can be used to recalculate the 'raw' value measured in fieldwork-collected DBS samples in SHARE. This way, we obtain biomarker values adjusted for the impact of the varying fieldwork conditions.

### 2.4.23 VALIDATION OF BIOMARKER VALUES ANALYZED IN DRIED BLOOD SPOT SAMPLES

Axel Börsch-Supan with Luzia Weiss and Martina Börsch-Supan

Collecting blood samples in international surveys is challenging. While venous blood samples (VBS) from blood serum are the reference values for clinical chemistry, the costs of VBS are prohibitive for a large international population-representative survey. The advantage of collecting dried blood spot (DBS) samples rather than VBS is that DBS can be collected by lay interviewers at much lower costs while VBS require nurses (Williams and McDade 2009, Brindle et al. 2014).

The disadvantage of DBS, however, is that laboratory results from DBS assays cannot be directly compared to the results one would obtain from assays of venous reference samples using standard laboratory methods (McDade et al. 2007, Crimmins et al. 2013; Karvanen 2015). While reference values have measurement variation, DBS values of, e.g., total cholesterol, which is known to be particularly difficult to measure in DBSS, have both a larger mean and a larger variance, influenced by many laboratory and fieldwork-related factors (Thomas et al. 2018; Crimmins et al. 2020; Bowen & Evans 2014. In: Li & Lee 2014). After applying parametric standardization (Karvanen 2015) or non-parametric normalization formulae (e.g. Crimmins et al. 2013), the DBS values fit the distribution of values obtained from venous blood quite well. This approach has been used with HRS data to produce adjusted values for a small set of analytes (Crimmins et al. 2013).

Recent work has shown that these adjustment formulae do not suffice to account for fieldwork conditions which may affect the quality of DBS taken in an international survey like SHARE (Weiss and Börsch-Supan 2019). This finding has been replicated in two field studies which collected both VBS and DBS (Weiss et al. 2019, Crimmins 2019).

This paper applies a systematic approach to validate DBS results in the laboratory by simulating SHARE fieldwork conditions. We call them 'structured validations' because our methodology is based on a structural model of the differences between VBS under laboratory conditions and DBS under fieldwork conditions. We use these validations to establish conversion formulae applicable to the SHARE populations, which estimate the value that we would have obtained had it been feasible to analyze a donor's venous blood with standard analytical methods (reference value).

The project was successfully finished with a publication in the *American Journal of Human Biology* in 2020.

### 2.4.24 WHEN WE KNOW MORE THAN OUR RESPONDENTS DO... EVALUATING HEALTH OF SHARE RESPONDENTS BASED ON SELF-REPORTS AND DRIED BLOOD SPOT SAMPLES

Luzia Weiss with Hannah Marie Horton

In times of population aging, health inequalities are of major concern to researchers and policy makers. In many surveys, differences in health status are assessed based on self-reported health information. One difficulty in this context is that different biases might influence the results. On the one hand, people may evaluate their own health status differently even when having the same objective conditions. On the other hand, people might not always know about their true health status and prevalent diseases may pass unobserved in self-reported data, especially if symptoms are only mild or unspecific.

Using SHARE data including information derived from dried blood samples, this project aims at answering the question whether there is the same socio-economic gradient in health, when using blood sample analyses to evaluate the



Dr. Diana López-Falcón

health status as compared to self-reported health conditions. Our analyses reveal a considerable amount of respondents showing blood parameter values out of the norm while at the same time not reporting the respective health status, i.e. suffering from diabetes or high levels of cholesterol. Thus, the second question this project focuses on is which factors drive the probability of knowing about prevalent disorders such as diabetes or risk factors like a high cholesterol level. Is this knowledge, for example, related to gender, education, age, income or working status?

Looking at diabetes mellitus, first results suggest that, surprisingly, the highest educated show the highest risk of passing undiagnosed. Is this because these people are more used to having control over everything that happens to them in their lives? Do they transfer this feeling even to chronic diseases like diabetes? There are several questions included in SHARE covering such feelings and the answers to these questions show a correlation to the fact of passing undiagnosed.

This project uses preliminary data from a pilot DBS collection in SHARE Wave 4. It is planned to be repeated with biomarker data from Wave 6, which have not been published yet.

## 2.5 SHARE-COVID

### 2.5.1 SHORT-TIME EMPLOYMENT AID DURING THE CORONA LOCKDOWN: EVIDENCE FROM THE SHARE COUNTRIES

*Axel Börsch-Supan with Vesile Kutlu Koc and Diana López-Falcón*

This project uses the new SHARE-COVID data to document the prevalence and understand the implications of short-time employment aid (or short-time working benefit, known as Kurzarbeit in Germany) in the SHARE countries. We combine the SHARE Corona Survey, which has information on individuals' working hours during the COVID-19 lockdown, with the Wave 8 data as well

as the previous waves of SHARE. We investigate who had to work shorter hours during the COVID-19 lockdown or, on the contrary, who was forced to work longer, like people in the health industry. We first plan to provide a descriptive analysis by country, gender, income and the type of industry which people are working in. In a second step, we will estimate the probability of reducing or increasing working hours by distinguishing the direct effect of the pandemic (measured by the prevalence & severity by country/region) from the indirect effect through epidemic control decisions (measured by the prevalence, duration and stringency of lockdown policies, e.g., the Oxford Stringency Index). We will also analyze if those who reduced their working hours during the lockdown had a previous unemployment history and if their earning loss was compensated by government subsidies.

### 2.5.2 PANDEMIC LOCKDOWNS AND ECONOMIC INEQUALITY

*Ivo Bakota*

This project acknowledges that there exists a great heterogeneity in the workers' ability to work from home and to exploit the advantages of online services. In addition, workers in different sectors have vastly different risk exposures to infection. This project aims to construct a model which distinguishes between different remote work abilities and infection risk in different sectors of the economy. To study the effects of lockdown policies, this model will be used to evaluate different pandemic lockdown strategies with regard to economic inequality and health.

### 2.5.3 INFORMAL AND FORMAL CARE-GIVING AND -RECEIVING ACROSS EUROPE BEFORE AND DURING THE COVID-19 PANDEMIC

*Michael Bergmann with Melanie Wagner*

The Corona crisis hit the European countries at the beginning of 2020. This has become particu-

larly problematic for those in need for care. While media attention mainly focused on the problematic situation of nursing home residents, a major part of care in Europe is provided to people at home. Home care is often provided by cohabitating family members, but also by family members from outside the household or by paid service providers. Social distancing measures installed in almost all European countries might have impacted the possibility to provide help and care to others and to receive care from people outside the own household.

Against this background, we want to explore in a first step the variations by older people's demography, socioeconomic status and (mental) health-related indicators in the use of informal and formal (home) care/help within as well as from outside the household across Europe. We will use multinomial logistic regression models to analyze determinants for the utilization of informal and formal care/help in the latest wave of the Survey of Health, Ageing and Retirement in Europe (SHARE) conducted in 2019 and 2020 until the suspension of fieldwork due to COVID-19. Our results will help to better understand the influencing factors of giving and receiving informal and formal care as well as the challenges we are facing with respect to population aging that has severe consequences on the provision of informal care to older persons in particular. We will discuss our results in relation to differences among countries at the beginning of the COVID-19 outbreak, which is important for deriving country-specific advice for policy makers and social organizations.

In a second step, we focus on how care recipients living at home (the non-institutionalized) dealt with the situation using data from the SHARE Corona Survey. Did they have problems receiving the care they need? How did informal carers react? Did they stop going to the care recipients, or did they, on the contrary, intensify their visits to help with more tasks than usual, like shopping for groceries? To answer these questions, we will analyze country differences on Corona-related changes in receiving help and care, in providing help and care, and in vol-

unteering. Further, we will check whether care recipients showed special protective behavior: Did they reduce their physical contacts more than others did? Did they reduce going out or did they postpone doctor visits? It is especially interesting to analyze if such protective behavior will lead to adverse health consequences due to missed treatments or lack of physical activity.

#### 2.5.4 CAREGIVER STRAIN AND COVID-19

*Melanie Wagner*

In this research project, we review the literature on social inequalities in informal caregiving strains, examine how these social inequalities can vary across European countries, and suggest future research questions and policy implications based on the potential cross-national variation in informal caregiving strains in light of the COVID-19 pandemic. It is in cooperation with Alina Schmitz, Judith Kaschowitz, and Nekehia Quashie.

#### 2.5.5 BEHAVIOURAL RISKS FACTORS AND PREVENTATIVE COVID-19 MEASURES AMONGST A HIGH-RISK POPULATION

*Maria José Mendoza Jiménez  
with Tessa-Virginia Hannemann  
and Josefine Atzendorf*

The focus of the study is to investigate the reaction to the threat of the COVID-19 pandemic of an already at-risk population, while considering other potential behavioral risks, such as smoking, obesity, physical inactivity and unhealthy eating. Using Wave 8 SHARE data to identify behavioral risk and data from the SHARE Corona Survey to identify engagement in preventative measures, we attempt to answer the following questions: To what extent are individuals of a risk group that engage in the aforementioned behavioral risks more or less likely to engage in different preventative measures as a consequence of



Maria José Mendoza  
Jiménez



Dr. Josefine Atzendorf



Alexander Schumacher



Dr. Arne Bethmann

the threat of the pandemic? In which way does this behavior differ across Europe? Answers to these questions will shed some light on the motivations triggering recent preventative behaviors as well as provide a foundation to study potential for behavioral change in future SHARE waves.

### 2.5.6 FINANCIAL HARDSHIP DURING THE CORONA PANDEMIC

*Alexander Schumacher with Arne Bethmann*

The Corona pandemic has had a substantial effect on the economies in the EU Member States and, consequently, on Europeans' financial wellbeing. Due to the selective economic effects of lockdown measures, we suspect that the downturn will affect some households disproportionately. This project will shed light on risk groups for financial hardship during the pandemic, using variables on both economic deprivation and poverty risk from the SHARE Corona Survey. Due to SHARE's design as an international panel study, these subjective and objective measures can be assessed to compare the financial situation of the 50+ population before and during the COVID-19 crisis as well as across countries.

First, we will analyze variables on the household level. The respondents' employment situation can illustrate income security – be it by the number of employed respondents in a household or their form of employment (full-time/part-time, dependent/self-employment, reduced working hours). Additionally, the kind of work the respondents do (e.g. white-collar/blue-collar) is relevant for their infection risk and job stability as well as for the availability of home office arrangements. Non-employment-based sources of income like pensions and government benefits can also contribute to a household's financial stability.

Second, we will use country-level independent variables to shed light on the economic effects of national COVID-19 responses. We will analyze the association of disease impact and

countermeasures with economic impact using infection numbers and death rates. Categorizing severity and length of lockdown measures will inform about the economic consequences of such measures. Further economic indicators help assess the countries' economic vulnerability and correct seasonal trends.

### 2.5.7 CHANGE AND PREDICTORS OF MENTAL HEALTH IN THE OLDER EUROPEAN POPULATION DURING THE COVID-19 PANDEMIC

*Josefine Atzendorf with Stefan Gruber*

As a reaction to the COVID-19 pandemic, most countries implemented epidemic control measures that aim at 'social distancing'. They should reduce the number of social contacts between persons who are not living in the same household. However, social distancing and loneliness impose an increasing risk for morbidity and mortality in the long term (Holt-Lunstad & Smith 2015). Especially older people who are considered as the ones most in need for protection against the COVID-19 pandemic and therefore belong to the central target groups of epidemic control measures, might be especially affected by social distancing policies as social interactions decline with advancing age anyhow. In this study we focus on the change in and the predictors for mental health in the population aged 50 and above in 26 European countries during the COVID-19 pandemic. The central research questions are (i) whether social distancing leads to an increase in the prevalence of depressive symptoms and loneliness among older persons and (ii) which factors help reduce the possibly negative consequences of social distancing. First results indicate that the large decrease of social contacts that can be observed in all European countries is not accompanied by a respective increase in the reported level of sadness/depression and loneliness. However, for those being affected social contact also via electronic means can help reduce feelings of loneliness.



Sabine Friedel

## 2.5.8 THE TRIPLE A RELATIONSHIP IN THE COVID-19 PANDEMIC: BEING AFFECTED, ANXIETY AND ADHERENCE TO PROTECTIVE MEASURES

*Johanna Bristle with Gregor Sand*

Mortality in the COVID-19 pandemic is highest among older people and other vulnerable social groups. They are more likely to be affected – both directly and psychologically. Protective measures against COVID-19 have polarized people and societies. This project uses SHARE data from Wave 8 (main survey and 1st SHARE Corona Survey) to investigate how older age groups, various social groups and countries differ in terms of being affected by the virus, feeling anxious, and protective behavior. The primary research interest is the role of being affected by COVID-19 and feeling anxious with regard to respondents' actions taken to protect themselves against the virus.

## 2.6 SHARE SURVEY METHODOLOGY

### 2.6.1 ITEM NONRESPONSE ON ASSET QUESTIONS AND INTERVIEWER EFFECTS

*Sabine Friedel*

This project focuses on income and asset item nonresponse rates in SHARE. This research is based on the SHARE Wave 5 refreshment sample from Germany. The first objective is to determine to what extent item nonresponse is subject to interviewer effects, for the different types of nonresponse ('don't know' and 'refuse to answer') to household income, bank balance, and interest and dividend income. The second objective is to examine which interviewer characteristics matter in this context. Preliminary results show that interviewers have a notable influence on both types of item nonresponse. Moreover, it transpires that interviewer expectations about

the respondents' reporting behavior are significantly correlated with item nonresponse.

The project was successfully completed with a publication in the *Journal of Survey Statistics and Methodology* in 2019.

### 2.6.2 THE CONTRIBUTION OF PARADATA TO PANEL COOPERATION IN SHARE

*Johanna Bristle*

Declining response rates are a well-known challenge in all survey-related fields. Especially for longitudinal studies, nonresponse or attrition accumulates over waves and could harm the panel dimension of the data. This project investigates panel cooperation in SHARE. Our outcome of interest is panel cooperation in the fourth wave, conditional on participating in the previous wave. Computerized survey tools allow researchers to collect additional information about the survey process. This additional information is usually called paradata. We focus on the contribution of paradata, related to fieldwork strategies, features of the (current) interviewer and variables describing respondents' prior interview experience.

Using a multilevel approach, we find that factors at all three levels (survey agency, interviewer and respondent) influence cooperation. At the highest level, we highlight the importance of everyday communication between survey agency coordinators and interviewers to gain cooperation. At the interviewer level we find that interviewers' quality of work and experience significantly affect cooperation propensity. And furthermore, respondents' prior interview experience and the interviewer-respondent interaction have a large influence on the cooperation decision overall. Knowing more about the underlying processes leading to non-cooperation can support fieldwork strategy decisions.

This project was conducted in cooperation with Martina Celidoni (University of Padua), Chiara



Dr. Annette Scherpenzeel

Dal Bianco (University of Venice) and Guglielmo Weber (University of Padua). It was successfully completed with a publication in the *Journal of the Royal Statistical Society – Series A* in 2019.

### 2.6.3 PANEL SAMPLE COMPOSITION DEVELOPMENT

*Sabine Friedel with Michael Bergmann and Tim Birkenbach*

In this project, we study the development of the panel samples in SHARE since the first wave regarding representativeness. Usually, an R-indicator to measure representativeness is calculated as the deviation of a net sample from a representative gross sample or target population, on a number of standard auxiliary variables. For SHARE, we use it in a slightly different way: Instead of taking a representative gross sample or population values as reference, we use the SHARE first wave net sample, after recruitment, as the standard and calculate the deviation of the remaining sample in each wave from that first wave sample. This allows us to include many more variables than only the simple demographics that are available for gross samples. The aim is to give a descriptive statistic of our panel sample selectivity over time and to estimate how our substantive research variables change over time as a result of change in the panel's composition over time.

Project results have been published in the *Journal of Official Statistics* in 2020.

### 2.6.4 READING FAST, READING SLOW: INTERVIEWER BEHAVIOR AND THE INFLUENCE ON SURVEY OUTCOMES

*Johanna Bristle with Michael Bergmann*

Standardized interviewing aims to reduce the interviewers' influence as deviations might bias the data and negatively affect data quality. This project contributes to the literature on deviant

interviewer behavior by analyzing the extent to which interviewers change their reading behavior across the survey's field period, and whether this has implications for the survey outcomes. Using item-level paradata from the Survey of Health, Ageing and Retirement in Europe (SHARE), we focus our analyses on introductory items in selected modules of the questionnaire. In contrast to previous research, this enables disentangling reading and response times between interviewers and respondents. In addition, the data source allows us to carefully control for confounding effects. Based on fixed effects regressions, our results show systematic changes in interviewers' reading times. First, interviewers' reading times significantly decrease over the survey's field period, even after controlling for period effects, relevant respondent characteristics, and specific aspects of the interview situation. Second, a cross-national comparison that included 14 European countries plus Israel reveals that the decrease is uniform in almost all cases, suggesting its generalizability over a wide spectrum of conditions. Third, this decrease influences survey outcomes less negatively than expected and to a varying degree depending on the informational content of the item read by the interviewer. However, it is especially relevant for within-survey requests. On the basis of these findings, we discuss possible consequences for questionnaire design as well as interviewer training and fieldwork monitoring.

The project was successfully completed with a publication in *Journal of Survey Statistics and Methodology* in 2020.

### 2.6.5 EXPLORING THE ROLE OF INCOME ITEM NONRESPONSE ON PANEL ATTRITION IN SHARE

*Michael Bergmann with Arne Bethmann and Annette Scherpenzeel*

For the sixth wave of data collection, a responsive fieldwork design was implemented in the German substudy of the Survey of Health, Ageing and Retirement in Europe (SHARE). We moni-

tored several respondent characteristics, known from previous waves, in relation to response outcomes and implemented adaptations of procedures. However, the lowest response probability we observed was related to income item non-response in the previous wave. Respondents who gave no answer to the income question in the previous wave started with a much lower response probability than any other group and mostly remained low. Although it hence seems to be a group for which responsive measures are especially worthwhile, it is difficult to translate into effective measures during the course of the fieldwork or in preparation of a new wave of fieldwork without knowing more about the possible common cause of the income nonresponse in one wave and unit nonresponse in the next wave. For understanding more about the underlying common cause, we pursue three strategies:

First, we explore the extensive information available in SHARE about panel members and about the response process. By this, we tried to find out whether attrition is preceded by a pattern of never answering to income questions up to a certain wave, or whether the drop-out follows immediately after one wave of item non-response. Preliminary results show that the second assumption holds. Income non-responders drop out of the panel at an early stage.

Second, we thoroughly analyze the characteristics of this group of respondents to reveal a possible relationship with other types of item nonresponse and to answer the question to what degree the interviewer can be viewed as the common cause. Preliminary results show that it is not the oldest old or cognitively challenged sample members who do not report their income, but more the working population, home owners and respondents with good numerical abilities. The interviewer explains only a small part of the variance overall, but interviewer's own attitude and expectations about income questions do show significant effects.

Third, we interview respondents directly about their reasons for not answering the income questions. We therefore designed a questionnaire that

was pre-tested with respondents from an online panel and then fielded as drop-off questionnaire in the German sub-study of SHARE. After analyzing the data, the project will result in a proposal for better adapted strategies for this subgroup of respondents, to prevent them from dropping out.

Preliminary results of the project have been presented at several seminars, conferences and workshops.

### **2.6.6 POSSIBILITIES TO DEAL WITH UNKNOWN VITAL STATUS IN SHARE**

*Michael Bergmann with Tim Birkenbach and Rebecca Groh*

Longitudinal surveys aim to correctly represent the population of interest over time. In this respect, panel attrition, i.e. the systematic drop-out of sample members, is a major challenge for maintaining long-running panel surveys. A second problem might arise when some sample members die during the life of the panel. This holds in particular for panel surveys like SHARE that consider (mainly) older people, because here the overall mortality rate is higher than in studies including all age groups. Distinguishing between mortality and other forms of attrition hence is crucial, as the death of respondents in a longitudinal survey is a natural process that needs to be considered in order to maintain representativeness of the panel sample. If mortality is not taken into account properly, attrition analyses might overestimate the effect of systematic dropouts for variables that are highly correlated with mortality, such as age or health of the respondents. Therefore, lacking information on the reason why a former respondent cannot be contacted anymore and thus on the vital status is a huge problem in many longitudinal studies that further increases from wave to wave. Against this background, this project wants to shed light on the extent of missing death reports and presents possible solutions to deal with unknown vital status in SHARE, by using both external information from mortality registers and

internal information on the respondents' characteristics to determine which people are more likely to die.

### **2.6.7 KEEPING THE OLDEST OLD – A FRAMEWORK FOR SURVEY ADAPTATIONS TO IMPROVE PANEL RETENTION IN SHARE**

*Michael Bergmann with Johanna Bristle and Annette Scherpenzeel*

Panel attrition is and remains a major challenge for maintaining long-running panel surveys, especially for vulnerable groups. The oldest old are such a vulnerable group and at the same time are the fastest-growing group of the population, which makes them an important group of investigation in SHARE. With this project, we want to detect the most prominent events and changes in old age that lead to panel attrition, besides the physical death of respondents, and identify potential areas for interventions throughout the whole survey lifecycle. The overarching aim of the project is to develop survey adaptations that make SHARE more fitting for the oldest old and, by this, tackle preventable drop-out in a panel study. The project will consist of three steps: (1) identification of underlying causes of attrition regarding the oldest old; (2) identification of potential intervention areas; and (3) implementation of field adaptations.

### **2.6.8 FIELDWORK COST ANALYSIS ACROSS COUNTRIES IN SHARE**

*Michael Bergmann with Annette Scherpenzeel*

Costs for large scientific face-to-face surveys have risen a lot in recent years. Together with current political trends of re-nationalization, an increasing ignorance of scientific evidence and significant cuts in research budgets, this poses great challenges to the funding and operation of surveys ensuring scientific excellence by providing high-quality data as a basis for evidence-based policy-making. The Survey

of Health, Ageing and Retirement in Europe (SHARE) is a multidisciplinary and cross-national face-to-face panel study exploring the process of population aging that is strongly affected by this situation. One of SHARE's key features is its ex-ante harmonization across countries, which allows comparing the effects of different health and welfare systems on individuals and families. This cross-national harmonization also includes a harmonized and centrally coordinated procurement and tendering process, giving us the possibility to compare countries regarding their survey costs. Based on a common model contract including a standardized price sheet, we are in the unique situation to have detailed data on different aspects of fieldwork costs for more than 20 countries in SHARE Wave 8. Because these countries differ a lot regarding their socio-economic background, we adjust costs for the SHARE study in the participating countries by applying purchasing power parities that are widely used in the economic literature. This adjustment allows meaningful comparisons between countries with different price levels that previously were not possible and gives valuable insights into an area where information – especially in a comparative perspective – is scarce.

### **2.6.9 BENEFIT OF A CELEBRITY PATRONAGE IN SHARE GERMANY**

*Michael Bergmann with Annette Scherpenzeel*

For Wave 7 of SHARE Germany, we have invited a television celebrity, Nina Ruge, to be the study's patron and to write some special messages to the respondents. This measure is part of a larger response-stimulating program implemented in the German SHARE sub-study, which serves as a testbed for the other SHARE countries. The program implements motivational measures which have been proven to be most effective in stimulating response, i.e. incentives, as well as measures founded in very recent developments in survey methodology, which concentrate on specific adaptations of fieldwork procedures to respondent characteristics, i.e. tailored communication strategies and responsive design.



Dr. Elena Sommer

The celebrity project is part of the development of a tailored communication strategy. The idea behind such a strategy is to use a variety of communication materials that addresses the heterogeneity of the SHARE panel members, especially its large age range. Examples are a modernized website which might especially appeal to the online generation between 50 and 65; traditional paper leaflets to better reach the older generations; a results booklet which those who are interested in science can read, and a television celebrity who might also reach those potential respondents who do not have a large personal interest in research topics. These measures might not be uniformly effective, but the assumption is that the combination of different forms of communication could stimulate response rates across different target groups, thereby potentially also reducing nonresponse bias.

Preliminary results of the project have been presented at several seminars, conferences and workshops.

### 2.6.10 RESPONSIVE FIELDWORK DESIGN IN THE GERMAN SUB-STUDY OF SHARE

*Michael Bergmann with Annette Scherpenzeel*

The Survey of Health, Ageing and Retirement in Europe (SHARE) is a multidisciplinary and cross-national face-to-face panel study of the process of population aging. For the sixth wave of data collection, we applied an adaptive/responsive fieldwork design in the German sub-study of SHARE to test actual possibilities and effects of implementing targeted monitoring strategies during fieldwork. The central aim of this design was to improve panel sample representativeness by attempting to achieve more equal response probabilities across subgroups. However, our findings show that we only partly met this goal. Although our adaptive design (interviewer bonus incentives for 80+ respondents) indicated some positive effects, very old panelists still participated less than average in the end. Furthermore, our responsive design

measure (contact schedule optimization for young, still working respondents) during fieldwork appeared to be complicated to implement within the regular fieldwork conditions and therefore ineffective. Overall, our results are hence in line with Tourangeau (2015), who argued that respondent characteristics that are suitable for responsive fieldwork measures might in fact be of limited use for true bias reduction.

Project results were published in a special issue of *Survey Methods: Insights from the Field* in 2020.

### 2.6.11 CROSS-NATIONAL ONLINE SURVEY (CRONOS) PANEL

*Elena Sommer*

CROss-National Online Survey (CRONOS) panel was the first attempt to establish a cross-national probability-based online panel following a harmonized approach – from the recruitment stage to data processing. It was a pilot study to evaluate the effectiveness of panel recruitment on the back of an existing cross-national survey in terms of costs, sample representativeness, participation (and attrition rates) and data quality. CRONOS was designed and implemented alongside ESS Round 8 in 2016, as part of the larger SERISS project. After completing the ESS face-to-face interview, respondents in Estonia, Great Britain and Slovenia aged 18 or older were invited to participate in six 20-minute online surveys over a time period of twelve months. The CRONOS panel also served as a platform for research on survey panel participation and question pre-testing. The research focused on incentives and contact mode experiments to enhance higher participation, experiments seeking to motivate respondents to be as accurate as possible when completing the surveys, experiments on translation approaches and numerous question wording experiments.

## 2.7 SHARE INFRASTRUCTURE

### 2.7.1 SHARE GLOBAL HARMONIZATION

*Axel Börsch-Supan*

The global network of aging surveys consists of 'parent surveys' and 'daughter surveys' with respect to SHARE. The 'parent surveys' were started earlier than SHARE and have strongly influenced the design of SHARE, namely the US Health and Retirement Study (HRS, now in its 9th wave) and the English Longitudinal Study of Ageing (ELSA, now in its 7th wave). In addition, HRS, ELSA and SHARE have sparked 'daughter surveys' currently being developed in Brazil, China, India, Japan, Korea, and Mexico.

This project will strengthen the cooperation with the 'parent' and 'daughter' surveys through three mechanisms: (1) The principal investigators from HRS and ELSA have been asked and have accepted to serve in the SHARE Scientific Monitoring Board and to participate in all plenary meetings of the project. (2) The SHARE coordinator will attend all meetings of the international harmonization project initiated and funded by the US National Institute on Aging and led by the RAND Corporation in Santa Monica, California. (3) The coordinator will attend the annual design and data monitoring meetings of HRS and ELSA. The coordinator is a member of the advisory/steering committees of the 'daughter surveys' in Latin America and Asia. He will attend the respective advisory and steering committee meetings of the emerging new surveys.

### 2.7.2 THE SOCIAL POLICY ARCHIVE FOR SHARE (SPLASH)

*Diana López-Falcón with Axel Börsch-Supan*

The Social Policy Archive for SHARE (SPLASH) supports policy-oriented research. SPLASH offers contextual data, which highlights cross-national differences linked to particular welfare states in Europe. The macro data offered

on SPLASH facilitates the analysis of environmental factors in-conjunction with SHARE's micro data.

With these objectives, SPLASH's content has been selected and organized in two substantive sections: Data and Policy. The Data section offers contextual quantitative indicators in the research domains covered by SHARE and based on official statistics and research outcomes. In terms of content, SPLASH is focused on resources covering European countries organized by the following topics:

- Education
- Family & Children
- Health
- Migration
- Living Conditions
- Work & Retirement

Macroeconomic and Demographic Indicators are also provided.

In the framework of the SHARE-COVID19 Project, data related to the COVID-19 pandemic has been collected. The indicators address, for instance, the severity and stringency of the epidemic control actions and the employment-related measures implemented as response and support the analysis of the SHARE-COVID19 special questionnaire. All the associated resources are identified with the keyword 'SHARE-COVID19'.

The Policy Section provides a repository of the qualitative data collected until 2016 by the Max Planck Institute for Demographic Research in PER FAR. It highlights changes in the social policies for 19 European countries in the fields of family, education, health, migration and retirement. Moreover, this section includes comprehensive information on the supporting legislation and additional background details on the specific policy context.

SPLASH thereby substantially enriches the analytical potential of the SHARE data, combining micro-level data on individual heterogeneity with

macro-level data on the heterogeneity of the different welfare regimes.

The integration of MEA research outcomes and the contextual data for SHARE will continue to enhance the coverage of the Data Section. For instance, this will allow integrating additional indicators on retirement, social security entitlements and the availability and use of health care in the future.

### 2.7.3 INTEGRATION OF SPECIAL DATA MODULES

*Tim Birkenbach*

Special Data Modules are created for the scientific release in collaboration with other SHARE teams and experts. They require additional coordination, communication and data processing before being integrated by a separate process into the public scientific release of SHARE data. Among the data sets are imputations, weights, the Job Episodes Panel, exchange rates, harmonized income measures and social security wealth measures, register data and administrative data (in order to identify the vital status of the sample members), the interviewer survey and more.

### 2.7.4 AUTOMATIC TRANSLATION VERIFICATION

*Yuri Pettinicchi*

Our aim is to perform translation verification efficiently within the constraints of budget and limited manpower. This project describes our approach to translation verification. Starting from January 2019, it is part of the SSHOC project (WP 4.3c).

We build up a program that reads the outcome provided by translators, stores translation and metadata, performs sanity checks, i.e. empty field or wrong indexation, and a content-related check.

For the latter we rely on the use of bilingual word embedding technique to rate translations. The bilingual word embedding allows us to compare the source and the target language. The final outcome is a report with flagged text to be re-checked.

Our approach processes a high volume of data/text efficiently. In this paper we measure the incidence of the false positives, i.e. flagged items that were translated properly. This program still needs further improvement to be reliable for long sentences and out-of-the context situations. Using bilingual phrase embedding is the next step in order to improve the performance of our checking activity.

### 2.7.5 FROM ERIC NETWORK TO AN ERIC FORUM

*Andrea Oepen with Philipp Beck*

European Research Infrastructure Consortia (ERICs) are specific legal forms to facilitate the establishment and operation of research infrastructures with European interest. The Survey of Health, Ageing and Retirement in Europe (SHARE) became the first ERIC in 2011. This gives it legal personality and capacity in all EU Member States and other partner countries of the ERIC. Meanwhile, more than 20 of such ERICs have been established coming from completely different scientific domains, but sharing the same legal structure. The EC together with established and upcoming ERICs, representatives of involved Ministries and experts have started in 2015 to meet on a regular basis to have a well-structured exchange of experiences. During the 4th ERIC Network meeting in Amsterdam, CERIC-ERIC, SHARE-ERIC and BBMRI-ERIC were asked to draft a proposal for an even deeper collaboration as an ERIC Forum based initially on a Memorandum of Understanding. The ERIC Forum aims at giving the ERICs a common voice, and a structured approach for overcoming common problems and supporting new ERICs.



Philipp Beck

## 2.7.6 ERIC FORUM PROJECT

*Andrea Oepen with Julia Knobloch  
and Philipp Beck*

Being an established European Research Infrastructure Consortium (ERIC) since 2011, SHARE is part of the ERIC Forum. The ERIC Forum had originally been initiated by the European Commission as the ERIC Network and was implemented as the ERIC Forum with a Memorandum of Understanding in 2017. It was set up to speak with a common voice in Europe's political and scientific framework. In January 2019, the ERIC Forum Implementation Project officially started. As of June 2020, the ERIC community counts 21 established ERICs, as well as 11 organizations in the pipeline to becoming an ERIC. The strategic approach of the ERIC Forum will contribute to addressing critical challenges, developing best practices and sharing relevant know-how for the effective operation of ERICs and ERICs-to-be.

To achieve its goals, six thematic work packages have been assigned to different members of the ERIC Forum. SHARE-ERIC has taken over the responsibility to lead Work Package 2, i.e. analysis and development of the ERIC Forum's governance model. Andrea Oepen, Head of European Relations and International Management, is leading this work package. Until January 2020, she was supported by Philipp Beck. In February 2020, Julia Knobloch took over his tasks as European Relations Officer. The goal of Work Package 2 is to further solidify the Forum's governance through the addition of Rules of Procedure (RoP). These RoPs were signed in a meeting of all ERICs and ERICs-to-be together with EU and ESFRI representatives in February 2020. In the course of 2020, the RoPs were tested in practice. Within this reviewing process, the existing Rules will be evaluated and adapted to the Forum's needs.

## 2.7.7 SHARE COHESION PLAN

*Andrea Oepen*

This project will continue to strive for the integration of more countries as members of SHARE-ERIC. With two new accessions in 2018 and one in 2019, the number of SHARE-ERIC member countries has risen to 16 out of 28 countries participating in the survey. The formal integration of countries into the ERIC strengthens the long-term sustainability of the infrastructure. ERIC membership also leads to close interaction between national ministries, the Commission, central coordination, and affiliated research institutions, and facilitates the cross-national alignment of funding strategies. For those countries not yet able to become a SHARE-ERIC member, a mechanism to support them as Regional Partner Facilities/Nodes of distributed RIs will be implemented.

SHARE will continue to make political efforts vis-a-vis national ministries and the political DGs (Regio, EMPL) to better align structural funds for the operation of SHARE in countries in need. SHARE countries like Croatia, the Czech Republic, Poland and Greece have managed to obtain ESF funding for SHARE. The use of funding from the European Regional Development Fund (ERDF) linked to national roadmaps is still not possible for SHARE, however, insofar as the 'building' of panel waves by running surveys cannot be classified as construction costs eligible for ERDF funding. This failed classification prevents social science projects thus far from using ERDF funds that are supposed to support ESFRI research infrastructures by synergies. Therefore, this project will contribute to efforts described in the EU Reflection Paper on the future of EU finances that calls for 'a much more radical approach to simplifying implementation and allowing for more agile and flexible programming.' (EU Reflection Paper on the future of EU finances, June 2017, p. 17.)

The project will support initiatives like the introduction of national budget lines similar to the financing of international treaty organizations

or the synchronization of national roadmaps, at least as it concerns European coverage projects.

## 2.7.8 SHARE TRANSLATION PROCEDURES

*Yuri Pettinicchi*

This project handles the translation-related procedures utilized in the multi-disciplinary and cross-national Survey of Health, Ageing and Retirement in Europe (SHARE). In particular, the project deals with the questionnaire development, the translation phase, and the national computer-assisted personal interview (CAPI) building. SHARE utilizes an online translation management tool (TMT) that in a latter phase is used to create the national CAPI. In a first phase, the questionnaire is developed, which is coordinated internationally. An item glossary with background information for the translators and with interviewer instructions is generated. In a second phase (i.e., the translation process), SHARE differentiates between items of previous waves that only get revised, and new items that follow the TRAPD (translation, review, adjudication, pre-testing, and documentation) translation method (Harkness 2003). In the TRAPD, two independent translators, who belong to the country teams, produce a first draft. A second draft is developed based on the feedback of experts. A reviewer (i.e., the country team operator) then advances the optimal version, and an adjudicator (i.e., the country team leader) takes the final decision. The process is documented with the TMT.

Once the translation process has been finalized, the national CAPI is built on the basis of the TMT. Then the country teams test their national CAPI extensively. Once all the errors are corrected, the national CAPI is ready to go on-field. Two test-runs, named 'pre-test' and 'field-rehearsal', provide additional feedback on the quality of the translation. Country teams have a debriefing session after each test run with their national Survey Agency.

## 2.7.9 RITRAIN

*Andrea Oepen*

There has never been a greater need for skilled managers and operators of research infrastructure (RI). Europe must develop the workforce that will turn ~50 nascent RIs with sites in different countries into powerhouses of support for major projects comparable to understanding the blueprint of life or discovering new subatomic particles. For a detailed list of RIs in Europe please use the MERIL website.

Rltrain builds on the results of the RAMIRI2 project to provide high-quality training directed at the management of RIs, with a particular emphasis on distributed research infrastructures.

Rltrain will develop a flagship training program enabling RIs across all domains to gain expertise on governance, organization, financial and staff management, funding, IP, service provision and outreach in an international context. It will be designed and delivered by experts who have set up and managed RIs from concept to maturity. We will define competencies required by RIs through consultation with their senior managers.

The resulting competency framework will underpin a Bologna-compliant degree, the Master in Research Infrastructure Management, with three delivery routes.

Professionals working in RIs (or organizations representing them) can dip into the content, focusing on areas where there is most need.

Management teams can take the course as an organization, dividing modules between them to gain a certificate for the RI. This will flag the RI as an organization that values staff development, improving its attractiveness as an employer.

Recent graduates and others wishing to enhance their employability can take a full master's degree.



Andrea Oepen



Stephanie Stuck

Course content will include webinars led by senior managers of RIs. A staff-exchange program will catalyze exchange of best practice and foster cooperation to develop a mobile work force effective across many RIs. By the end of the project we will be delivering a master's curriculum funded through course fees. Others with an interest in adopting it will be encouraged to do so, providing a means of expanding the program. Europe's research community and global collaborators will gain from world-class facilities to support excellent, high-impact research to benefit humankind.

### **2.7.10 MEMORANDUM OF UNDERSTANDING BETWEEN SHARE-ERIC AND CERIC-ERIC (TRIESTE)**

*Andrea Oepen*

This project aims at a collaboration between CERIC-ERIC and SHARE-ERIC on managerial issues of research infrastructures (esp. ERICs).

### **2.7.11 EASYSHARE**

*Stefan Gruber*

easySHARE is a simplified HRS-adapted dataset for student training, and for researchers who have little experience in quantitative analyses of complex survey data. While the main release of SHARE is stored in many different single data files, easySHARE stores information on all respondents and of all currently released data collection waves in one single dataset. Moreover, for the subset of variables covered in easySHARE, the complexity is considerably reduced by: a) transferring information collected only from one person of a couple or in a household to all respective respondents, b) transferring time-constant information collected only in the first interview to all later interviews, c) enriching the coding of missing values to provide an easier understanding of the routing and filtering of the interviews and d) adding several ready-to-

analyze variables, such as health indexes, demographic information, or economic measures.

The Release Guide to easySHARE documents the data format and all variables included. It also provides a chapter that gives basic instructions on how to work with the data using the most common statistical software packages (Stata, SPSS and R). Both the easySHARE dataset and the Release Guide are constantly updated according to changes and new waves in the SHARE main release.

### **2.7.12 SHARE DATA BASE MANAGEMENT**

*Stephanie Stuck*

This project consists of the overall planning, coordination and organization of all aspects of SHARE data base management – from raw data extraction to scientific releases, integration of new countries, data documentation and the preparation of the preload for the next waves. It also entails the coordination with other SHARE units at SHARE Central. Furthermore, the project comprises the coordination of the collaboration with software developer and data providers at CentERdata, as well as university-based country and area teams with regard to SHARE tools, questionnaires and data.

### **2.7.13 INTERVIEWER REMARKS**

*Stefan Gruber*

The project comprises checks and corrections of interview data based on SHARE interviewer remarks in close cooperation with the country teams. It includes generating template files for country teams to facilitate checks and correction of interviewer remarks as well as integrating corrections based on interviewer remarks in the overall data cleaning procedure. Training sessions for country teams to ensure harmonized handling of interviewer remark data are held and questionnaire development is supported by

compiling interviewer remarks to module- and item-specific topics.

### 2.7.14 METHODOLOGY VOLUME

*Michael Bergmann*

The methodology volume documents the most important questionnaire innovations, methodological advancements and new procedures in SHARE, including the sampling design and weighting strategies as well as interviewer training, fieldwork monitoring and survey participation. Therefore, it complements and adds methodological details to the 'SHARE First Results Book' and gives users important background information with respect to the methodological challenges in SHARE.

### 2.7.15 HARMONIZED COGNITIVE ASSESSMENT PROTOCOL (HCAP)

*Salima Douhou with Axel Börsch-Supan,  
Nora Angleys and Anna Rieckmann*

The Harmonized Cognition Assessment Protocol (HCAP) involves in-depth measurement of cognition of SHARE respondents in a selection of European countries and a short interview with someone close to a respondent (family or friend).

HCAP is part of an ongoing international research collaboration funded by the National Institute on Aging to measure and understand which interactions of bio-medical and socio-economic conditions over the life course affect cognition in later life. Many ongoing longitudinal studies of aging around the world are part of this global initiative and have aimed to harmonize methods and content to facilitate cross-national comparisons.

The preparatory phase of the project, including questionnaire development, has started in 2020. Pretest and field rehearsal are scheduled for

2021. Data collection will take place in 2022 and data analysis in 2023.

### 2.7.16 SHARE ACCELEROMETER PROJECT

*Fabio Franzese with Nora Angleys  
and Luzia Weiss*

Physical activity habits often change with increasing age and after certain life events (e.g. retirement, divorce) and might also interact with economic and social factors in their impact on health. In Wave 8, the objective measures collected in previous waves in SHARE were extended with the collection of physical activity data by using accelerometers. A device for measuring physical activity facilitates comparison across countries and permits adjustments of self-reported measures of activity. Furthermore, it can reliably measure sedentary behavior, which is currently considered a major determinant of health and mobility in old age.

The study was planned for a randomly selected subsample of about 200 panel members in each of 10 SHARE countries. Respondents were asked in the SHARE Wave 8 interview for their willingness to participate in the accelerometer study. Subsequently, the device was sent to the respondents via mail. The physical activity data were collected using an accelerometer, which the respondent wears on the thigh for eight days. Due to the outbreak of SARS-CoV-2, the SHARE fieldwork had to be terminated early. Until then, over 800 valid measurements were collected. The release of the data is planned for 2021.

This project was coordinated by Annette Scherpenzeel until August 2020 and since then has been continued by Fabio Franzese. The study is funded by the NIA grant 'Enhancing the Comparability of SHARE with HRS and ELSA'.



Markus Kotte



Sabrina Zuber



Senta-Melissa Pflüger

### 2.7.17 USER SUPPORT

*Tim Birkenbach with Stefan Gruber and Josefine Atzendorf*

Due to its longitudinal, cross-national and multi-disciplinary nature, right from the start SHARE was a very large and complex research database requiring extensive documentation and user support. The provision of supplementary modules – as weights, imputations – and the SHARE-LIFE life history data further intensifies the complexity.

This project maintains the central user support services: Responding to researchers' questions regarding SHARE data within a short time, providing and explaining documentation material and assisting researchers with data access.

In addition, information and documentation material is provided for each country's national user support. This includes communicating questions and problems on special issues or on generated datasets to the appropriate team within the SHARE workgroups.

Moreover, the project includes engaging in direct contact with researchers at one of the frequent SHARE user workshops. The focus of these workshops is the assistance and education of experienced SHARE data users as well as the introduction to SHARE of potential future data users and beginners.

Stefan Gruber and Tim Birkenbach worked on this project for all of 2018–2020. Josefine Atzendorf joined this project on 1 July 2019.

### 2.7.18 DATA CHECKS AND CORRECTIONS

*Fabio Franzese with Markus Kotte and Josefine Atzendorf*

The project comprises checking the current fieldwork data for inconsistencies, e.g. concerning IDs, gender or year of birth between different

waves or data sources already during and after fieldwork. It delivers cases that require individual corrections to the respective SHARE country teams or survey agencies. It includes instructing and coaching country team operators on how to correct the data, reviewing these corrections and implementing them into the general data processing procedures.

Markus Kotte worked on this project until June 2019 and since then Josefine Atzendorf has been working on these tasks.

### 2.7.19 PRELOAD

*Sabrina Zuber with Senta-Melissa Pflüger, Josefine Atzendorf and Fabio Franzese*

For a longitudinal study like SHARE, a compilation of a preload database is essential. Preload data are data which come from a previous wave of data collection and are loaded into the Case CTRL to steer the survey instrument of a new wave. The preload database includes mainly demographic information, interview status, information on household composition, eligibility status and selected content information. This project is about the conceptualization and compiling of the preload file. Conceptualization is repeatedly necessary due to questionnaire changes affecting the set of variables to be preloaded. This needs to be done in close coordination with CentERdata. Thereafter, program routines have to be adapted accordingly to compile the preload data for all countries and all data collection phases (pretest, field rehearsal and main data collection). For this, we also need input from survey agencies: firstly, in order to check the match of the different data bases (agency info file) and secondly, to tag households who will drop out of the sample for next wave due to no consent (refusal remark checks), which also involves close cooperation with country teams. We process and include information provided by survey agencies and country teams in our correction routines and preload programs to generate a proper preload file. Senta-Melissa Pflüger

joined this project in April 2018 and Josefine Atzendorf in July 2019.

### 2.7.20 FIELDWORK MONITORING IN SHARE

*Karin Schuller with Gregor Sand, Jeny Tony Philip, Michael Bergmann and Tessa-Virginia Hannemann*

This project documents how monitoring of fieldwork is done during the main data collections of the Survey of Health, Ageing and Retirement in Europe (SHARE) by using the conceptual framework of total survey error as a guiding principle. Constant revisions are made to the technological background of monitoring and to managing fieldwork as software and governance keeps changing in SHARE. Findings on selected indicators are presented in each SHARE wave through fortnightly reports to contracted survey agencies during the entire data collection period.

### 2.7.21 IDENTIFYING VITAL STATUS USING REGISTER DATA

*Tim Birkenbach with Michael Bergmann*

This project aims at identifying the (sometimes unknown) vital status of SHARE sample members by linking to external data sources, typically national registers or administrative records. The project is limited to a subset of SHARE countries where this is feasible.

### 2.7.22 KEYSTROKES PROJECT

*Tessa-Virginia Hannemann with Michael Bergmann*

Keystrokes are a type of paradata, i.e. data collected as a by-product of the survey that gives insight on the processes of the survey. Keystrokes are documentations of any action administered on a laptop's keyboard. For the SHARE survey this means any action taken by an interviewer during the interview is recorded through

keystrokes. This includes the actual keys engaged and a timestamp of when the action was taken. The records of these actions and timestamps are prepared in separate datasets that indicate a respondent identifier, the name of the questionnaire item, the response recorded for this item (by the interviewer), the amount of times the item was revisited, and finally the amount of seconds spent on each item. This allows to reconstruct interviews in detail, especially with regard to the amount of time spent on each question, module, and the entire interview.

### 2.7.23 SAMPLING

*Michael Bergmann with Arne Bethmann*

This project, funded by the Federal Ministry of Education and Research (BMBF), coordinates all activities involved in the context of generating, processing, and administering baseline and refreshment gross sample data. This is particularly important in a study like SHARE, which is conducted in many countries and is thus facing different legal and administrative backgrounds.

In order to ensure participating countries to adhere to SHARE's standards and to maintain an overview of differing national sampling procedures, the project develops, revises, and distributes sampling design forms to all countries with baseline or refreshment samples. Technical assistance is provided to country teams throughout the process of generating proper gross samples. This includes the development and provision of a template file to be filled by country teams; the countries' input is then further processed for various purposes.

The significance for SHARE's central coordination to receive proper gross samples on files is manifold: Firstly, they are needed for the preparation of baseline/refreshment sample preload files for the computer-assisted interview. Secondly, without well-defined gross samples no meaningful computation of measures of fieldwork performance is possible. Thirdly, sampling



Dr. Karin Schuller



Jeny Tony Philip

information is needed to compute design and calibrated weights.

All relevant information related to sampling design is regularly published in the Methodology Volume accompanying each SHARE wave upon release. Survey participation, in terms of response and retention rates, is documented in a dedicated technical paper within the *SHARE Working Paper Series*.

### 2.7.24 GENERATED VARIABLES

*Stefan Gruber with Tim Birkenbach*

To assure an easy and fast entry into cross-national data and a high convenience while working with the data, it is necessary that certain variables are readily provided for the SHARE users, especially those that allow a valid comparison between countries, such as for example the International Standard Classification of Education (ISCED). Besides internationally standardized variables, there are further generated variables that ease or enhance working with the SHARE data. Generated variable modules are provided for the topics of health, housing and region, occupation, social networks, support, children and household composition.

### 2.7.25 DATA DOCUMENTATION

*Stefan Gruber with Tim Birkenbach*

Due to their cross-national and multidisciplinary nature, SHARE data are more complex than conventional survey data. This already holds for the first cross-section in 2004. With the start of the panel dimension in 2006 and retrospective life histories collected in SHARELIFE in 2008 and 2017, the complexity of the data increased substantially. Comprehensive documentation is necessary to minimize the challenges connected to the data complexity and to facilitate utilization of the SHARE data. Important documentation files are the release guides for the regular SHARE waves and SHARELIFE as well as con-

stantly updated answers to frequently asked questions (FAQ) that are available on the SHARE website. Another tool developed in cooperation with CentERdata, the institute for data collection and research, is the SHARE Data Archive. It is intended to be a fast, customizable, easy-to-use web interface for browsing and searching the SHARE (meta)data. One important feature of the system is that codebooks for all currently released SHARE waves can be generated.

### 2.7.26 LINKING SHARE SURVEY DATA AND ADMINISTRATIVE DATA – AN INTERNATIONAL PERSPECTIVE

*Imke Herold with Johanna Bristle*

As SHARE Germany has great experience in linking survey and administrative data within the German subsample (see: SHARE-RV), this project expands the procedure to other SHARE countries.

In the meantime, seven additional countries (Austria, Belgium, Denmark, Estonia, Finland, Italy and the Netherlands) decided to implement record linkage with the goal of combining the national SHARE data with administrative data. However, the status quo of the implementation of the record linkage project varies a lot between the participating countries. The actual linkage is still work in progress in most of the countries, as the exact procedures of how the data will be linked have to be documented and reviewed before the actual linkage is carried out. Besides, in Germany linked data sets are available for Denmark and for the Netherlands. In Denmark, Danish SHARE data are linked with register data from Statistics Denmark (sociodemographic and economic data) and the Danish Health Data Authority (health data). In the Netherlands, SHARE data is linked to administrative microdata from Statistics Netherlands (health, labor, and wealth data).

Johanna Bristle coordinated the project until September 2019. Since then, Imke Herold has

been coordinating the international record linkage project.

**2.7.27 COORDINATING THE LABORATORY ANALYSES OF DRIED BLOOD SPOT (DBS) SAMPLES COLLECTED IN SHARE WAVE 6**

*Luzia Weiss with Martina Börsch-Supan*

More than 27,000 dried blood spots (DBS) samples have been collected during Wave 6 of the Survey of Health, Ageing, and Retirement (SHARE). They will be used to gather objective information on the respondents’ health status and, therefore, will be analyzed for biomarkers correlated to certain health conditions that are typical for later life (e.g., cardiovascular diseases or cognitive decline) and/or are influenced by life style (such as diabetes).

Before starting the laboratory analyses, for each sample the availability of a consent form signed by the respondent has to be confirmed. Furthermore, each sample has to be linkable (via a bar-coded number) to the SHARE interview data. This work has been coordinated mainly by Sabine Friedel and Julie Korbmacher. All samples for which the two above-mentioned conditions are met (ca. 98%) are now being analyzed in two laboratories: at the Statens Serum Institute (SSI) in Copenhagen, Denmark, and at the Department of Laboratory Medicine of the University of Washington (UW) in Seattle, USA. Specific contracts have been drawn up with these laboratories. The selection, shipment, analyses and linkage of the results is tracked and coordinated centrally at MEA. The sample tracking is coordinated by Luzia Weiss. Marker selection and coordinating shipment and laboratory work is conducted in cooperation with Martina Börsch-Supan.

**2.7.28 SCIENTIFIC DISSEMINATION**

*Johanna Bristle with Verena Coscia, Stephanie Lasson and Veronika Máté*

This project focuses on the dissemination of scientific results of SHARE. This includes the coordination and organization of the First Results Books with an adjacent Book Release event, the *SHARE Working Paper Series*, Special Issues concentrating on a certain theme of research, and the SHARE User Conferences.

**2.7.29 SHARE FINANCIAL MANAGEMENT**

*Kathrin Axt with Corina Lica, Karl Riedemann and Renate Eggenreich*

The SHARE financial unit is planning and administering the overall SHARE budget, including the SHARE budget at the Max Planck Institute and the budget of the legal entity SHARE-ERIC. Funding sources are threefold. First, on the national level in each participating country: The national SHARE country teams and the SHARE survey are either financed by the national governments or other public research institutions, sometimes with the help of Structural Funds on the national level, or the European Commission through SHARE-ERIC. Second, the international coordination of SHARE which takes place at the Munich Center for the Economics of Aging in Munich is financed in common by the German Federal Ministry for Research and Education (BMBF) and the Max Planck Society. Further scientific area coordination outside Germany is financed by the European Commission. The US-American National Institutes of Health are funding further subprojects to enhance the comparability of SHARE with the US-American Health and Retirement Study HRS and the English Longitudinal Study of Ageing ELSA. The SHARE financial unit prepares and coordinates applications, scientific and financial reporting, fieldwork procurement and survey contracts for all countries, together



Verena Coscia



Stephanie Lasson



Veronika Máté



Kathrin Axt



Corina Lica



Karl Riedemann



Renate Eggenreich

with the respective SHARE country team in each of the participating countries.

### 2.7.30 COUNTRY TEAM SUPPORT

*Josefine Atzendorf with Fabio Franzese, Senta-Melissa Pflüger and Sabrina Zuber*

High standards are applied concerning cross-national comparability and harmonization in the SHARE data base management, which requires extensive coordination and training of country teams. Country team members need to be trained regularly, as personnel in country teams are subject to change and new countries join.

Coordination and training involves the preparation of meetings, the actual training (meetings), provision of manuals, support via email, telephone and web conferences. New country team members are invited to special training courses to learn about general processes in SHARE or to visit MEA in order to work on specific tasks and get more detailed instructions. Various special meetings are held to teach and integrate new countries into SHARE.

### 2.7.31 RAW DATA EXTRACTION

*Senta-Melissa Pflüger with Fabio Franzese and Markus Kotte*

The project comprises the regular weekly or biweekly download of SHARE fieldwork data for the pretest, field rehearsal and main survey in close cooperation with CentERdata and the fieldwork monitoring team. This includes integrating new countries or modules, checking the data for completeness, inconsistencies or opportunities for improvement in format or content. The aim is to provide usable data for fieldwork monitoring and further data processing steps.

This project was coordinated by Markus Kotte until June 2019 and since then has been continued by Senta-Melissa Pflüger.

### 2.7.32 SSHOC WORK PACKAGE INNOVATIONS IN DATA ACCESS

*Johanna Bristle with Luzia Weiss, Annette Scherpenzeel, Fabio Franzese and Daniel Schmidtz*

Social Sciences and Humanities Open Cloud (SSHOC) is a three-year project that aims to foster open science and to realize the SSH component of the European Open Science Cloud (EOSC). Work Package 5 of this project, called 'Innovations in Data Access' is coordinated by SHARE. The aim of the Work Package is to make data intelligently open and data access FAIR. SHARE is responsible for task 5.1. 'legal, ethical and technological issues of access to biomedical data', which develops strategies to provide access to biomedical survey data such as biomarker data retrieved from dried blood spot samples and accelerometer data.

### 2.7.33 GRANT REPORTING AND ASSISTANCE IN PROPOSAL WRITING

*Gregor Sand with Stefan Gruber*

This project was started in fall 2018 as an initiative to provide assistance in grant reporting and proposal writing to the financial department and principal investigator. It focuses on reporting, coordinating, and writing tasks related to grants awarded to the SHARE project by the European Commission, the Federal Ministry of Education and Research (BMBF), and the National Institutes of Health in the US. These grants comprise the financing of scientific innovation and development of the questionnaire and survey methods; harmonized and interdisciplinary research to study the effects of health, social, and economic policies in Europe over the life course of European citizens; and the necessary infrastructure work to manage the study in all SHARE Member States and provide research data to the scientific community.



Imke Herold

### 2.7.34 SCIENTIFIC RELEASES OF SHARE

*Tim Birkenbach with Stefan Gruber*

This project takes care of the conceptualization and further development of the programs for the scientific data releases of SHARE. It adjusts the release programs for new waves, countries and modules by including them in the overall data base management structure. This comprises writing programs to handle all the complex raw data, user-friendly re-coding of variables, harmonization of variables within and across waves, a comprehensive labelling of variables and, where necessary, adjustments for future waves in coordination with the respective country teams. In addition, this project encompasses the inclusion of generated harmonized indicator variables e.g. for health, education, housing, etc. and the integration of special data sets that have to be coordinated with external experts, as a means of support for SHARE data users.

### 2.7.35 THE SHARE INTERVIEWER SURVEY

*Maria José Mendoza Jiménez  
with Tessa-Virginia Hannemann*

Interviewer-administered data collection, such as personal or telephone surveys, may generate interviewer effects in different areas. Interviewers are apt to differ not only in the respondent numbers they reach, but also in the specific content-related measurement results they achieve. Thus, frequent deviations occur in the rounding of results or in nonresponse rates. Although many studies report interviewer effects, only few are able to explain them. One reason is that information about interviewers is usually confined to a small set of demographic characteristics. This project has set out to better understand and explain interviewer effects with the help of a questionnaire for interviewers participating in the Survey of Health, Ageing and Retirement in Europe (SHARE). The questionnaire was further developed in coordination with Antje Rosenbrock

(University of Mannheim) with regard to questions geared at interviewer burden, as well as those that assess ageism in interviewers. Furthermore, a row of questions that give insight into the impact of the Corona pandemic on the experiences of interviewers were added. The next data collection of the Interviewer Survey is planned for September 2021, during SHARE Wave 9 fieldwork.

This project has been coordinated by Maria José Mendoza Jiménez and questionnaire development by Tessa-Virginia Hannemann since 2019.

### 2.7.36 SHARE-RV: LINKING SURVEY DATA WITH ADMINISTRATIVE RECORDS OF THE GERMAN PENSION FUND

*Imke Herold with Arne Bethmann,  
Annette Scherpenzeel and Sabine Friedel*

SHARE-RV is the follow-up study of a pilot study which was implemented in the third wave of SHARE. Its goal is to create a database for interdisciplinary research on aging in Germany by linking SHARE survey data with administrative data of the German Pension Fund. Since the fourth wave of SHARE, the project SHARE-RV is funded by the 'Forschungsnetzwerk Alterssicherung' (FNA) and fully implemented in the German questionnaire. All new German respondents as well as all panel members who did not consent in previous waves will be asked for consent to link their survey data with administrative records of the German Pension Fund. The administrative data will be updated and published every year.

The project was led by Annette Scherpenzeel until summer 2019 and was then taken over by Arne Bethmann.

The project is conducted in cooperation with the Research Data Center of the German Pension Fund (FDZ-RV).



Julia Knoblechner

### **2.7.37 SHARE PUBLIC RELATIONS UNIT**

*Verena Coscia with Julia Knoblechner and Veronika Máté*

To strategically merge all PR efforts and to simplify collaboration with all other units, SHARE got its own Public Relations Unit. In August 2020, Verena Coscia, who had already been part of SHARE PR from 2015 to 2017, became Head of this new unit. She oversees and coordinates all PR activities for SHARE. Veronika Máté and Julia Knoblechner assist her in these tasks as PR officers. Julia Knoblechner is additionally strongly connected to the European Relations Department, as she is working as Public and European Relations Officer. The unit's outcome includes (but is not limited to) media relations, the development and maintenance of the SHARE website (including multimedia content production) and several social media channels; the production and distribution of printed information materials for researchers, the summary and distribution of SHARE-based research findings, the production of respondent materials to be provided to the SHARE country teams, the production and distribution of several newsletters and the organization of (international) press conferences. The PR Unit is further responsible for the documentation of SHARE-based publications and SHARE user statistics.

### **2.7.38 SHARE-ERIC EUROPEAN RELATIONS AND INTERNATIONAL MANAGEMENT**

*Andrea Oepen, Julia Knoblechner and Daniel Schmidutz*

This project aims at governing SHARE as the European Research Infrastructure Consortium (ERIC) in all relevant questions, especially coordination and communication with the SHARE-ERIC Council, the European Commission, the national ministries, the SHARE users and other interest groups. Furthermore, it secures compliance of SHARE activities with data protection

laws, ethics review requirements etc. Finally, it contributes to securing long-term funding for SHARE by overseeing political processes on the European and national level. The project is led by Andrea Oepen, Head of European Relations and International Management, and supported by Julia Knoblechner as European Relations Officer and Daniel Schmidutz as Data Privacy and Ethics Officer.

### **2.7.39 SHARE INTERNAL COMMUNICATIONS**

*Verena Coscia with Stephanie Lasson, Veronika Máté and Julia Knoblechner*

This project consists of the central coordination of measures in order to ensure flawless communication within the SHARE team and furthermore with other related MEA projects. For that reason, a SHARE internal newsletter has been introduced. Further – in order to ensure this exchange of information, address lists with different groups need to be updated on a constant basis. Additionally, the SHARE intranet serves as a communication hub that offers information as well as templates for new and current SHARE members. The organization of work meetings plays a central role in this context as well. This work is especially carried out by Stephanie Lasson, who is part of the SHARE Operations Unit. Since August 2020, Verena Coscia has been overseeing SHARE's internal communication as part of the new SHARE Public Relations Unit and they work closely together. In this context, an online exchange channel with the SHARE country teams has been established.

### **2.7.40 SHARE EXTERNAL COMMUNICATIONS**

*Andrea Oepen with Julia Knoblechner, Veronika Máté and Philipp Beck*

The relevance of public relation work for SHARE has continuously grown over the years. Since 2015, Andrea Oepen has been coordinating the

public relations activities of SHARE within the European Relations Unit. From the end of 2017 until February 2020, Philipp Beck joined the PR team as PR officer. Veronika Máté joined the team in January 2018, also as PR officer. In March 2020, Julia Knobloch followed Philipp Beck as member of the SHARE Public Relations team. In the online area, new communication measures were developed to optimally convey SHARE's content and competencies to defined target groups. A SHARE blog initiated in May 2018 features scientific contributions based on SHARE data and is explicitly targeted at the international research community, which can exchange ideas and information on this portal. The SHARE Impact Movie, produced in July 2018, explains the socioeconomic impact of the survey to politicians in a compact and understandable way. To bring together research and politics, the unit organized a press conference for the publication of SHARE's First Result Book for Wave 7 in Brussels. Furthermore, several printed documents for different target groups were developed, such as respondent brochures and flyers, conference booklets and the SHARE-ERIC Annual Activity Reports. The PR Unit was further responsible for the documentation of SHARE-based publications and SHARE user statistics.

### **2.7.41 SHARE OVERALL DATA PROCESSING**

*Senta-Melissa Pflüger with Markus Kotte*

The project comprises the conceptualization and programming of the general SHARE data processing programs. It processes SHARE data from all countries, waves and all different sources. Processing routines include harmonization of data, data corrections, the generation of variables for internal use as well as the inclusion of paradata, biomarkers and SHARE-RV data in the general routines. It provides the data input for the preload and the scientific releases of SHARE.

This project was coordinated by Markus Kotte until June 2019 and since then has been continued by Senta-Melissa Pflüger.

### **2.7.42 CAPI TESTING**

*Melanie Wagner with Tessa Loriggio, Afife Yasemin Yilmaz, Theresa Fabel and Elena Sommer*

This project focuses on testing the questionnaire (CAPI) software and the subsequent testing data. The aim of this project is to ensure content and technical changes made to the survey during the development phase are successfully implemented.

### **2.7.43 SHARE TESTING MANUALS**

*Melanie Wagner with Tessa Loriggio, Afife Yasemin Yilmaz and Yuri Pettinicchi*

This project aims to document the testing procedures of SHARE during the development phase. The latest SHARE Manuals, including MATE-SHA and the CAPI Testing Manual for Beginners, are designed to be distributed internally at SHARE Central and externally to area and country teams. The aim is to improve and guide the quality of testing of the parties involved in developing the questionnaire to ensure the software runs smoothly in the field.

### **2.7.44 TOOL DEVELOPMENT: SOFTWARE FOR THE COMPUTER-ASSISTED PERSONAL INTERVIEW (CAPI)**

*Melanie Wagner with Annette Scherpenzeel, Jeny Tony Philip, Afife Yasemin Yilmaz, Tessa Loriggio, Theresa Fabel, Yuri Pettinicchi, and Elena Sommer*

This project encompasses the compilation of input for questionnaire content and questionnaire improvements from the international group



Tessa Loriggio



Afife Yasemin Yilmaz



Theresa Fabel

of researchers and from interviewers before and during pretest and field rehearsal.

From May 2017 until April 2020, Professor Hendrik Jürges led the process as 'Head of questionnaire development'. Afterwards, Axel Börsch-Supan and Melanie Wagner took over. An important part of the work is the collaboration with software developers on the implementation and refinement of the questionnaire, which takes place in close cooperation with the testing team.

Analyses on item quality with internal data releases, checks of translation quality and analyses of interview and item duration are being conducted. The work progress is presented regularly at internal SHARE conferences. Documentation of the generic English CAPI in a cross-wave overview is another vital part of the work.

### 2.7.45 QUESTIONNAIRE DESIGN AND DOCUMENTATION TOOL (QDDT)

*Melanie Wagner with Elena Sommer and Afife Yasemin Yilmaz*

The aim of the Questionnaire Design and Documentation Tool is to provide an interactive and dynamic web-based tool which can be used to both document and retrieve information on the complex process of designing a cross-national survey questionnaire. It will provide a more streamlined and user-friendly replacement for the current paper-based word template used so far.

### 2.7.46 SHARE DATA ACCESS

*Daniel Schmidutz with Andrea Oepen and Diana López-Falcón*

The SHARE data are distributed by SHARE-ERIC (Survey of Health, Ageing and Retirement in Europe – European Research Infrastructure Consortium) to registered users through the SHARE Research Data Center.

This project is related to the provision of access to the data collected and generated in the SHARE projects for scientific research purposes. In accordance with the philosophy of sharing the data as soon as possible with the entire scientific community, the project aims to adopt a release policy that gives free, quick and convenient access to all scientific users world-wide subject to European Union and national data protection laws as well as the SHARE Conditions of Use.

Furthermore, this project ensures that the SHARE Research Data Center (FDZ-SHARE) complies with the criteria of the German Council for Social and Economic Data (PDF) (Rat für Sozial- und Wirtschaftsdaten, RatSWD) for providing access to microdata and that the access provided by SHARE-ERIC meets the requirements of the European Charter for Access to Research Infrastructures (PDF) ('Wide Access' mode).

### 2.7.47 TRAIN-THE-TRAINER SESSIONS

*Karin Schuller with Melanie Wagner, Afife Yasemin Yilmaz, Theresa Fabel, Elena Sommer, Yuri Pettinicchi, Jeny Tony Philip, Maria José Mendoza Jiménez, Senta-Melissa Pflüger and Stephanie Stuck*

Since the inception of SHARE in 2004, the Train-The Trainer (TTT) program has been integral in achieving one of the philosophical pillars of SHARE, its much-hailed ex-ante harmonization of procedures. Initially crafted by colleagues from SRC at the University of Michigan, TTT is being continuously developed further to accommodate three constantly evolving aspects of SHARE: first, the electronic contact protocol 'Case Control' (CaseCTRL) and CAPI software are constantly improved over waves and necessitate the introduction of new training content. An example would be new fieldwork disposition codes and its meaning and how these codes are meant to be used by interviewers. Likewise, new survey items or new questionnaire content are introduced during each wave and need extensive

training. A prominent example would be the collection of dried blood spots (DBS) during Wave 6, or the life history questionnaire of Wave 7, or the added cognition measures to be fielded in Wave 8. Also, the modalities of the training are being improved continuously to reflect best practices derived from current empirical evidence on adult learning. For example, a lot of training modules now contain more engaging modalities such as role play or small group exercises rather than straight-up presenting slides in every session.

The basic pedagogic approach of TTT, however, has been unchanged for all waves of SHARE: TTT is the template for national training sessions in the participating countries. Survey agencies have to translate the slides and implement the training the way it was done at TTT, including the teaching modalities. This is essential for cross-national harmonization of procedures. In order to assess how well this implementation was accomplished, we changed the SHARE model contract in two significant ways: we made the delivery of training slides in the national language a contractual deliverable. In Wave 4, we took the effort and investigated all training slides in all national languages to see if they represented the content of the TTT.

The second change was the introduction of yet another deliverable, a standardized report on the national training sessions to be completed by the respective university teams after attending the national training sessions. Likewise, all other procedural changes in an upcoming wave are instructed at the TTT and expected to be relayed to interviewers at national training sessions.

### 2.7.48 LEGAL AND ETHICAL ISSUES

*Daniel Schmidutz with Andrea Oepen*

This project seeks to identify legal requirements and ethical issues occurring at different stages of the research process in social science survey research and to compile and systematize all relevant information from the data collection

phase through to the phases of data dissemination and long-run data preservation. Taking into account the various types of data being recorded in modern surveys such as SHARE, the project aims to define guidelines for appropriate data protection measures and to develop standards for procedures requiring legal and ethical consideration (such as data linkage procedures) in order to enable survey researchers to cope with the legal and ethical challenges resulting from data integration and linking. Besides the collection and systematization of information on ethical guidelines/frameworks and legal provisions in the EU Member States, the creation of templates for letters and communication (e.g. with ethics committees), model contracts for the involved partners (e.g. with the survey agencies) and generic fieldwork materials (such as consent forms and information leaflets) as well as the investigation of appropriate procedures for research data access are part of this project.

### 2.7.49 DROP-OFFS IN SHARE

*Afife Yasemin Yilmaz with Elena Sommer, Melanie Wagner and Senta-Melissa Pflüger*

Drop-offs are self-completion questionnaires that allow country teams to ask country-specific questions, to meet the needs and demands of policy makers, researchers, and funders. We organize the process from defining the timelines for submitting drop-off questionnaires, methodological assessment so that the questionnaires meet certain criteria, guidance on coding the data, and collection of the drop-offs in English and national language(s).

### 2.7.50 MANAGEMENT OF SHARE OPERATIONS

*Karin Schuller with Gregor Sand, Jeny Tony Philip, Maria Mendoza, Stephanie Lasson*

This project is tied to Dr. Schuller's lead on all projects of the Operations Department at SHARE Central at MEA. It entails creating the overall pro-

ject timetable with milestones, deliverables and deadlines, and monitoring the progress of the project schedule and performing adjustments as needed. Further, it comprises the final summative evaluation of fieldwork outcomes, tracking of milestones reached by country teams and survey businesses, management of work processes within SHARE Central (between database management and operations team), including integration of new subprojects, coordination of collaboration between software developer CentERdata and SHARE Central, and between SHARE Central and university-based country teams, and lead on planning and conducting the Train-The-Trainer sessions (TTT).

Tasks in this project also include the conceptualization and management of SHARE quality control processes including fieldwork monitoring. Further tasks include writing of the summative evaluation report of SHARE Operations after the completion of a wave ('Compliance Profiles'). A substantial amount of time is being spent on HR-related activities such as staff meetings, consulting with co-workers, solving issues related to project prioritization and communication issues that arise as part of the day-to-day business.

### 2.7.51 AGILE PROJECT MANAGEMENT USING SCRUM IN SHARE

*Jeny Tony Philip with Karin Schuller*

This project aims to introduce and implement Agile Project Management practices in SHARE. Although Agile has its origins in the software industry, these principles have now spread to other fields including surveys where they can also add value.

This is especially true in the case of projects like SHARE where there is considerable dynamism in project requirements resulting in a high rate of change and project complexity.

Agile practices refer to any approach, thinking or technique, framework, method or practice that

fulfills the values and principle of the Agile Manifesto, namely:

‘Individuals and interactions over processes and tools  
Working software over comprehensive documentation  
Customer collaboration over contract negotiation  
Responding to change over following a plan  
That is, while there is value in the items on the right, we value the items on the left more.’

This project involves training and implementation of practices like Kanban to structure the meetings/communication as well as the implementation of SCRUM practices in Requirement analysis, conceptual development and actual Software Product Management of the SHARE survey. As a result, the technical aspects and part of the conceptual aspects of a typical Development cycle of the SHARE survey is organized into Product Teams and SCRUM Teams working together in Sprint cycles. This structure enables the iterative exploration of requirements and incremental implementation. Such a strategy mitigates the risk of rework and realignment.

### 2.7.52 IDENTIFYING FAKE INTERVIEWS IN A CROSS-NATIONAL PANEL STUDY (SHARE)

*Michael Bergmann with Karin Schuller*

Interviewer fabrication ('fake interviews') is a problem in all interviewer-conducted surveys and repeatedly comes up in the Survey of Health, Ageing and Retirement in Europe (SHARE), too. While there are many variations and different reasons for interviewers deviating from properly administering the survey, in this project we will only deal with the most extreme deviation, i.e. interviewers' fabrication of entire interviews.

The main aim of this project is to implement a technical procedure to identify fakes in computer administered survey data. In contrast to previous

work that often used only few variables to identify fake interviews, we implement a more complex approach that uses variables from different data sources to build up a comprehensive mechanism in order to identify fake interviews. We use several indicators from CAPI data (size of social networks, avoiding follow-up questions, number of proxy interviews, rounding in physical tests, extreme answering, straight-lining, number of 'other' answers, number of missings) as well as paradata (interview length, number of interviews per day, number of contact attempts, cooperation rates). We combine these indicators using a multivariate cluster analysis to distinguish two groups of interviewers: a falsifier group and an honest interviewer group.

During the sixth wave of the Survey of Health, Ageing and Retirement in Europe (SHARE) we discovered a very elaborate team of falsifiers who faked a fairly large part of the net sample. We use these known fakes as a kind of benchmark to check if our script is able to properly identify fake interviews.

Results show that we are able to identify most of the faked interviews, while at the same time we are able to keep the number of 'false alarms' small. Although most of the time we cannot be perfectly sure if an interview has been faked or not, our results can be used to provide survey agencies with a better-informed sample for back-checking suspicious interviewers and interviews during fieldwork of the current wave and future waves to come.

Project results were published in *Longitudinal and Life Course Studies* in 2019 as well as in edited volumes on methodological challenges in SHARE.

### 2.7.53 GERMAN SHARE SURVEY

*Arne Bethmann with Alexander Schumacher*

The German SHARE survey is part of the SHARE research infrastructure. The project management of the German survey involves the prepara-

tion and coordination of the SHARE field work with the assigned survey agency in Germany, the monitoring of the fieldwork outcomes (response and retention rates, data quality), and the communication with SHARE Central. The fourth and fifth wave of the German SHARE survey were funded by the Federal Ministry of Education and Research (BMBF), Waves 6 to 9 by the German Research Foundation (DFG).

### 2.7.54 SURVEY EXPERTS NETWORK

*Elena Sommer*

The 'SERISS Survey Experts Network' brought together survey practitioners and academic researchers and provided a platform to discuss how to tackle specific challenges in survey methodology and data harmonization. It aimed to exploit synergies by exchanging knowledge and practice in state-of-the-art survey research and to explore opportunities for possible future cooperation between different organizations. The Network was organized around a series of annual thematic workshops: 'Representing the population in surveys' (Munich 2016), 'Harmonised coding for socio-economic survey questions' (Amsterdam 2017), 'Legal and ethical issues of combining survey data with new forms of data' (London 2018), 'Survey fieldwork cost' (The Hague 2019).

### 2.7.55 SAMPLE MANAGEMENT SOFTWARE FOR FIELDWORK AGENCIES

*Jeny Tony Philip*

A study like SHARE heavily depends on the way the data is collected in the various countries. Answers from the respondents are collected in different languages all over Europe. Therefore, it is very important that the interviewers across Europe use standardized procedure for asking these questions and collecting related contact data.

For this purpose, two tools are continuously developed and adapted, the Case CTRL for the interviewers and the Sample CTRL for the fieldwork agencies for administration and monitoring of fieldwork. The Sample CTRL tool enables the agency to easily import and update cases, assign these to interviewers and to monitor fieldwork progress. The Sample CTRL also offers certain metrics about the cases when the interviewer synchronizes data with the Case CTRL.

The Sample CTRL makes it possible to divide the complete sample in a country into parts, which then can be assigned to interviewers. Metrics regarding the sample state can be viewed and will be updated every time an interviewer synchronizes. An overview of the complete sample can be exported to csv format files, which can then be further analyzed by the agency.

### **2.7.56 SHARE NATIONAL SURVEY SOFTWARE MANAGEMENT**

*Yuri Pettinicchi*

The implementation release and version management of the CAPI and Case Control software for the national instrument in 39 different languages has to be coordinated to suit the training schedules of the survey agencies while at the same time optimizing the work load for the developers, country teams and SHARE Central. This involves a lot of advance planning to manage such a number of national instruments within the limited time schedule. In Wave 7, the most recent wave, this included twenty monolingual CAPIs, seven bilingual CAPIs and two trilingual CAPIs.

Owing to deviations in style of functioning across national teams, there are always differences in the number of iterations between translation, development of the national CAPIs, testing, maintenance and final implementation. Other factors which could impact the release process are interim conceptual changes, technological migrations and communication bottlenecks.

### **2.7.57 SHARE NATIONAL SURVEY SOFTWARE – COORDINATION WITH SHARE NATIONAL TEAMS**

*Yuri Pettinicchi*

This project involves the coordination with Country Teams, CentERdata and Share Central Team during the National CAPI software development phase. Once first national versions of the CAPI are compiled, these have to be locally released in the target regions across various test cases and scenarios. Testing has to be done by the country teams to cover as many different interview scenarios as possible. Intensive testing helps to identify bugs in the instrument related to language, missing response options, routing or technical issues. After revising translation issues, unresolved problems are evaluated and resolved ahead of generating new instruments.

In some instances, national version releases are the only way to detect certain issues, which although not evident in the generic CAPI have a generic impact in that the issues have implications across countries. In such situations, it became necessary to unfreeze the generic questionnaire again to rectify these transnational issues. In order to streamline the process and reduce the workload of the national teams, a few countries are used as frontrunners during the testing and release process. This helps ensure that a majority of countries can start translation on a really stable version which had already been proofed by the frontrunner teams. Even after the initial screening it is possible that there are serious country-specific problems which necessitate the building-up of the questionnaire again. For some countries, this can involve several versions and several rounds of testing to be executed before a stable national version can be built up. This can occur not just because of country-specific deviations and language-specific adaptations but also due to differences in the operating systems and computing environment in different countries. This process is repeated until a robust version of the national CAPI could be used in the main field. There may be several preliminary rounds until the required technical improvements

and cuts are incorporated into a final instrument to be used in the field.

### 3 PROMOTION OF JUNIOR SCIENTISTS

#### 3.1 MEA MENTORING PROGRAM

In order to promote the research of our junior researchers and make best use of the expertise of our more senior researchers, MEA has set up a mentoring program that assigns to each junior researcher one or two senior researchers with similar research interests. Mentors and mentees meet on a regular basis to monitor and foster the research progress of the mentees. Through its inherent discussions on research, the mentoring program has generated a substantial amount of joint research projects of mentors together with mentees. In order to also and particularly promote more senior researchers, we additionally involve internationally recognized researchers to support the advancement of our team in terms of research activity, conference presentations and publications. MEA Senior Mentors usually provide on-site mentoring at least once a year but are available for advice during the remainder of the year. Since the program was introduced in 2016, the following experts have served as external mentors: Frank Windmeijer (University of Bristol), Rob Alessie (University of Groningen), Michael Hurd (RAND) and Michael Haliasos (Goethe-Universität Frankfurt).

#### 3.2 DISSERTATIONS AT MEA

Within the reporting period, 14 MEA researchers have finished their PhD (7 in economics, 6 in sociology, and 1 in computer science). Moreover, MEA is popular with Master and Bachelor students, often MEA research assistants or interns themselves, for the supervision of their theses. We supervised 5 Master theses (4 in economics, 1 biostatistics) and 1 Bachelor thesis (economics).

**Bakota, Ivo:** *PhD in Economics: 'Essays in Macroeconomics with Heterogeneous Agents and Portfolio Choice'*, CERGE-EI (Center for Economic Research and Graduate Education – Economics Institute), 2020.

**Goll, Nicolas:** *PhD in Economics: 'Reforms, Incentives and Flexibilization – Five Essays on Retirement'*, TU Munich, 2020.

**Morris, Todd:** *PhD in Economics: 'Essays in Public Economics: The Effects of Major Policies on Old and Young Australians'*, University of Melbourne, 2020.

**Kögel, Heinrich:** *PhD in Economics: 'Essays in Empirical Microeconomics'*, LMU Munich, 2020.

**Härtl, Klaus:** *PhD in Economics: 'Fostering Sustainability in Times of Aging: Pension Policies and Household Behavior in a Macroeconomic Setting'*, TU Munich, 2019

**Wagner, Melanie:** *PhD in Sociology: 'Das Wohlbefinden pflegender Partner im Kontext – Zum Einfluss formeller Pflegeangebote und sozialer Netzwerke [The Well-being of Caring Partners in Context – The Influence of Formal Care Services and Social Networks]'*, TU Dortmund, 2018.

**Schütz, Johanna:** *PhD in Sociology: 'Marital Biography and Health in Old Age: Insights from European Survey Data'*, University of Heidelberg, 2018.

**Franzese, Fabio:** *PhD in Sociology: 'Mentale und physische Gesundheit im Alter. Der Einfluss von Armut, Einkommensungleichheit und Vermögensungleichheit [Mental and Physical Health in Old Age]'*, University of Heidelberg, 2018.

**Salman, Munir:** *PhD in Computer Sciences: 'Flexible Distributed R&D Data Management Supporting Social Network-Based Knowledge, Content, and Software Asset Integration Management in Collaborative and Co-Creative R&D and Innovation'*, University of Hagen, 2018.

**Sommer, Elena:** *PhD in Sociology: 'Social Capital as a Resource for Migrant Entrepreneurship:*

A Qualitative Study of Self-employed Migrants from the Former Soviet Union in Germany', University of Bremen, 2018

**Sand, Gregor:** *PhD in Sociology:* 'Migration and Well-Being of Older People in Europe', University of Mannheim, 2018.

**Gruber, Stefan:** *PhD in Sociology:* 'The Long-term Consequences of Migration – Subjective Well-being and Cognitive Abilities of Older Migrants in Europe', University of Bamberg, 2018.

**Hanemann, Felizia:** *PhD in Economics:* 'Labor Market Inactivity and Health in Old Age: What Role Do Institutional, Occupational and Social Factors Play?', TU Munich, 2018.

**Guber, Raphael:** *PhD in Economics:* 'Essays in Applied Econometrics and Health Economics', LMU Munich, 2018.

#### Master and Bachelor Theses

**Hartmann, Maximilian:** *Bachelor in Economics:* 'Economic Hardship and Executive Function', LMU Munich, 2020.

**Horton, Hannah Marie:** *Master in Economics:* 'Knowledge spillovers from study abroad? An analysis of PhD students in Germany, their mobility and innovative behavior', LMU Munich, 2020.

**Villeneuve, Andrea Solange:** *Master in Economics:* 'Does Savings and Investment Behavior Depend on Personality?', LMU Munich, 2020.

**Groh, Rebecca:** *Master in Biostatistics:* 'A Sequential Bayesian Approach for Performance Comparison of Machine Learning Algorithms', LMU Munich, 2019.

**Mendoza Jiménez, Maria José:** *Master in Economics:* 'Liquidity management in the face of extreme weather: Empirical evidence of microfinance clients in the Philippines', LMU Munich, 2019.

**Salerno, Luca:** *Master in Economics:* 'The Effect of Pension Reforms on Unemployment: Evidence from a Czech Pension Reform', LMU Munich, 2019.

### 3.3 MEA SEMINAR

The MEA Seminar is MEA's research and doctoral seminar. On the one hand, researchers from all over the world present their work at MEA giving our researchers the opportunity to learn about current research issues and how to present and discuss them (see also subsection 3.5). On the other hand, and this has become the focus of the seminar, MEA researchers present their own research at the MEA Seminar giving them the opportunity to practice presentations and receive feedback on their research. In addition, the MEA Seminar is part of the PhD program of Technische Universität München (TUM). Given the wide range of MEA researchers' educational backgrounds (economics, sociology, mathematics, psychology, political science, biology, management, statistics, demography, philosophy, chemistry, criminology), the discussions are highly interdisciplinary and benefit from the interaction between the different perspectives of those diverse disciplines. In the reporting period, we had 119 talks: 82 of MEA researchers (30 PhD students, 52 PostDocs), 2 of members from the Social Law Department, 7 from universities or research institutes in Munich (Technische Universität (TUM), Ludwig-Maximilians-Universität (LMU), ifo-Institute, MPI for Tax Law and Public Finance) and 28 of researchers from outside Munich (10 Germany, 15 other Europe, 3 other non-Europe). 5 talks were given within the Joint Social Law MEA Seminar.

16 Dec 2020

**Bergmann, Michael:** 'Informal and Formal Care-Giving and -Receiving across Europe before and during the COVID-19 Pandemic'

9 Dec 2020

**Sand, Gregor:** 'The Triple A Relationship in the COVID-19 Pandemic: Being Affected, Anxiety and Adherence to Protective Measures'

2 Dec 2020

**Gruber, Stefan:** 'Change and Predictors of Mental Health in the Older European Population during the COVID-19 Pandemic'

25 Nov 2020

**Mendoza Jiménez, Maria José; Tessa-Virginia Hannemann & Atzendorf, Josefine:** 'Behavioural Risk Factors and Preventative COVID-19 Measures amongst a High-Risk Population'

18 Nov 2020

**López-Falcón, Diana:** 'Contextual Data for SHARE-COVID19 Research'

18 Nov 2020

**Börsch-Supan, Axel:** 'Future Research at MEA and a New Mission for SHARE'

11 Nov 2020

**Yilmaz, Afife Yasemin:** 'Welfare Regimes and Institutional Variation of Labor Market Policies'

28 Oct 2020

**Pettinicchi, Yuri:** 'Improving SHARE Translation Verification'

21 Oct 2020

**Ye, Han** (University of Mannheim): 'The Effect of Pension Subsidies on the Retirement Timing of Older Women'

14 Oct 2020

**Weiss, Luzia:** 'Fieldwork Conditions, Sample Quality, and the Reliability of Dried Blood Spot Samples'

07 Oct 2020

**Kutlu Koc, Vesile:** 'Short-Time Employment Aid during the Corona Lockdown: Evidence from the SHARE Countries'

7 Oct 2020

**Bergmann, Michael:** 'Help and Care during the 1st Peak of the Pandemic'

7 Oct 2020

**Atzendorf, Josefine:** 'Effect of Social Distancing on Loneliness, Depression and Anxiety'

7 Oct 2020

**Schumacher, Alexander & Bethmann, Arne:** 'Financial Hardship during the Pandemic'

30 Sept 2020

**Perdrix, Elsa:** 'Does Later Retirement Change Your Healthcare Consumption? Evidence from France'

9 Sept 2020

**Morris, Todd:** 'Behavioral Responses to Tax Subsidies on Contributions to Individual Retirement Accounts'

2 Sept 2020

**Spindler, Martin** (University of Hamburg): 'Insights from Optimal Planning Problems for COVID-19 Shielding in a Multi-Group SEIR Framework for Germany'

5 Aug 2020

**Khourshed, May:** 'Survey on Migrants' Expectations in Germany: Preliminary Results (Part II)'

29 Jul 2020

**Strobel, Lea-Therese** (TUM): 'The Oxford Cognitive Screen Plus (OCS-Plus): Validation of a Tablet Based Cognitive Screening Tool for Mild Cognitive Impairment'

22 Jul 2020

**Bristle, Johanna:** 'Loneliness, Social Isolation and Cognition in Europe'

15 Jul 2020

**Khourshed, May:** 'Over-Optimism in Market Access: The case of Afghan Asylum Seekers in Germany'

8 Jul 2020

**Bergmann, Michael:** 'Keeping the Oldest Old – A Framework for Survey Adaptations to Improve Panel Retention in SHARE'

1 Jul 2020

**Hanemann, Felizia:** 'Poor Survivors? Economic Consequences after the Death of Spouse'

10 Jun 2020

**Bergeot, Julien** (Cergy-Pontoise): 'The Heterogeneous Effect of Retirement on Informal Care Behavior'

27 May 2020

**Méango, Romuald**: 'Survey on Migrants' Expectations in Germany: Preliminary Results'

6 May 2020

**Schumacher, Alexander**: 'Replication in Social Science: An Example on the Gendered Consequences of Divorce'

29 Apr 2020

**Hannemann, Tessa-Virginia**: 'The Consumption of Novel Psychoactive Substances in Germany'

22 Apr 2020

**Börsch-Supan, Axel**: 'Corona – was sonst?'

19 Feb 2020

**Méango, Romuald**: 'The Empirical Content of the Roy Model under Stochastic Monotonicity Constraints'

12 Feb 2020

**Strittmatter, Anthony** (UNISG): 'Can Targeting of Solicitation Letters Increase Charitable Aid? An Efficient Policy Learning Approach'

5 Feb 2020

**Hartmann, Max**: 'Economic Hardship and Executive Function'

29 Jan 2020

**Salerno, Luca**: 'Is Working Longer in Jeopardy? Health and Labor Force Participation of Middle-Aged Europeans'

22 Jan 2020

**Bakota, Ivo**: 'Capital Income Taxation with Portfolio Choice'

15 Jan 2020

**Börsch-Supan, Axel**: 'Socialpolitik'

17 Dec 2019

**Koster, Annemarie** (Maastricht University): 'Sit Less or Exercise More?'

11 Dec 2019

**Atzendorf, Josefine**: 'Patterns of Multiple Lifestyle Risk Factors and their Link to Mental Health in the German Adult Population: A Cross-sectional Study'

27 Nov 2019

**Morris, Todd**: 'Shaping the Habits of Young Drivers: The Persistent Effect of Passenger Restrictions'

19 Nov 2019

**Wallosek, Luisa** (LMU): 'Default Setting in the Statutory Pension Insurance: Evidence from Germany'

12 Nov 2019

**Haan, Peter** (DIW): 'Working Life and Human Capital Investment: Causal Evidence from Pension Reform'

6 Nov 2019

**Paiva, Andreia** (Lisbon): 'Perceived Social Support and Cognitive Functioning in Portuguese Elderly'

22 Oct 2019

**Morris, Todd**: 'Raising Women's Pension-eligibility Age in Australia: Effects on Labor Supply, Welfare Receipt, Poverty and Inequality'

16 Oct 2019

**Farbmacher, Helmut**: 'Instrument Validity Tests with Causal Trees'

9 Oct 2019

**Fehr, Hans** (Würzburg): 'Optimal Retirement with Disability Pensions'

2 Oct 2019

**Goll, Nicolas**: 'Working Pensioners in Europe'

17 Sep 2019

**Romeu-Gordo, Laura** (Deutsches Zentrum für Altersfragen): 'Material Security in Old Age'

7 Aug 2019

**Franzese, Fabio:** 'Marriage Stability and Fertility after the Death of a Child'

30 Jul 2019

**Khourshed, May:** 'The Role of Trauma in Integration: The Case of Syrian Asylum Seekers in Bavaria'

24 Jul 2019

**Pettinicchi, Yuri:** 'Job Loss Expectations, Durable Consumption and Household Finances: Evidence from Linked Survey Data'

17 Jul 2019

**Rausch, Johannes:** 'The Heterogeneity of Income Groups and Its Meaning for the Future Development of the German Pension System'

2 Jul 2019

**López-Falcón, Diana:** 'Migration in Times of Retirement: Evidence from SHARE Data'

1 Jul 2019

**Salerno, Luca:** 'The Effect of Pension Reforms on Unemployment: Evidence from a Czech Pension Reform'

1 Jul 2019

**Bühler, Dorothee** (Leibniz University Hannover): 'Mother's Money, Child's Opportunity: Does Higher Female Labor Income Increase Investment into Education?'

26 Jun 2019

**Méango, Romuald:** 'Update on the 'Survey on Migrants' Expectations in Germany''

18 Jun 2019

**Düvell, Franck** (DeZIM): 'Liquid Modernity and the Rise of Irregular Migration'

12 Jun 2019

**Laguna, Elma** (DRDF / UP Diliman): 'Caring from a Distance: Exchange of Support between Migrant Children and their Parents in the Philippines'

4 Jun 2019

**Ferrari, Irene:** 'Do Individuals Adjust Retirement Expectations? Evidence from Pension Reforms in Europe'

29 May 2019

**Rieckmann, Anna:** 'Measuring Cognitive Decline'

29 May 2019

**Börsch-Supan, Axel:** 'Measuring Cognitive Decline'

22 May 2019

**Franzese, Fabio:** 'Mental and Physical Health: The Role of Poverty, Income Inequality, and Wealth Inequality'

15 May 2019

**Douhou, Salima:** 'How to Measure Media and Internet Use in a Survey? An Experiment with Close-ended and Open-ended Behavioral Frequency Questions'

8 May 2019

**Kanabar, Ricky** (Bath University): 'Mind the Gap! The Effect of an Increased UK State Pension Age on Expected Working Life of Employees'

24 Apr 2019

**Hassan, Reem:** 'The Egyptian Uprising and Youth Migration'

23 Apr 2019

**Bakota, Ivo** (CERGE-EI): 'Firm Leverage and Wealth Inequality'

17 Apr 2019

**Börsch-Supan, Axel:** 'Anmerkungen zur Kommission 'Verlässlicher Generationenvertrag''

10 Apr 2019

**Rausch, Johannes:** 'The Development of the German Pension System'

3 Apr 2019

**Pettinicchi, Yuri:** 'Employment Histories in Germany from SHARELIFE'

3 Apr 2019

**Kutlu Koc, Vesile:** 'Who Fills the Pension Gap?'

27 Mar 2019

**Méango, Romuald:** 'Quantifying the Brain Drain: Evidence from Sub-Saharan Africa'

14 Mar 2019

**Kneip, Thorsten:** 'The Social Origin Wealth Gap: Underlying Mechanisms'

17 Feb 2019

**Martinangeli, Andrea** (MPI for Tax Law and Public Finance): 'Last Word Not Yet Spoken: Last Place and Rank Reversal Aversion'

13 Feb 2019

**Cernat, Alexandru** (Manchester) & **Sakshaug, Joseph** (IAB): 'Nurse Effects on Non-Response in Survey-Based Biomeasures'

5 Feb 2019

**Weiss, Luzia:** 'Fieldwork Conditions, Sample Quality, and the Reliability of Dried Blood Spot Samples'

30 Jan 2019

**Sommer, Elena:** 'Smartphone Survey Completion in the Probability-Based CROss-National Online Survey (CRONOS) Panel'

30 Jan 2019

**Bethmann, Arne:** 'Cognitive or Qualitative? Qualitative Pretest Interviews in Questionnaire Development'

22 Jan 2019

**Oostendorp, Anna** (TU Munich): 'The Power of Temptations and How to Resist'

15 Jan 2019

**Bergmann, Michael:** 'Using Field Monitoring Strategies to Reduce Attrition Bias in a Panel Study: Application During Data Collection in SHARE'

15 Jan 2019

**Scherpenzeel, Annette:** 'Can We Effectively Reduce Variation in Response Rates Across Respondent Groups?'

9 Jan 2019

**Stuck, Stephanie:** 'Implementing an In-Field Coding Tool for Occupations in SHARE'

9 Jan 2019

**Schuller, Karin:** 'Quality Assessment in SHARE'

11 Dec 2018

**Goll, Nicolas:** 'Pathways to Retirement in Germany. Prevalence of Early Retirement and Flexible Retirement'

11 Dec 2018

**Ferrari, Irene:** 'Health and Cognition around the Age of Retirement in Germany. Descriptive Evidence from SHARE'

11 Dec 2018

**Kutlu Koc, Vesile:** 'Employment Histories in Germany from SHARELIFE'

4 Dec 2018

**Schanze, Jan-Lucas** (GESIS): 'Undercoverage of the Elderly Institutionalized Population and the Risk of Biased Estimates: A Simulation Study using SHARE Data'

28 Nov 2018

**Pflüger, Melissa:** 'Dyadic Data Analysis with SHARE – Data Potential and Research Example'

21 Nov 2018

**Pettinicchi, Yuri:** 'Do Individuals Adjust Retirement Expectations? Evidence from Pension Reforms in Europe'

6 Nov 2018

**Groneck, Max** (University of Groningen): 'Single Mothers and the Welfare State'

31 Oct 2018

**Bucher-Koenen, Tabea:** 'Digital Information and Retirement Planning Disparities'

23 Oct 2018

**Weiss, Luzia:** 'Testing the Logistics of the Accelerometer Project in SHARE'

16 Oct 2018

**Kögel, Heinrich:** 'Heterogeneous Effects of Financial Circumstances on Cognition'

10 Oct 2018

**Bethmann, Arne:** 'Machine Learning in Social Science – Three Examples'

26 Sep 2018

**Sommer, Elena:** 'Social Capital as a Resource for Migrant Entrepreneurship'

18 Sep 2018

**Windmeijer, Frank** (University of Bristol): 'The Confidence Interval Method for Selecting Valid Instruments'

12 Sep 2018

**Rakhmetullina, Aisulu:** 'Using Natural Language Processing and Supervised Learning for Classification of Emotions in Online User-Generated Content'

1 Aug 2018

**Börsch-Supan, Axel:** 'Pension Economics – Questions & Answers'

25 Jul 2018

**Pettinicchi, Yuri:** 'Long-Term Effects of Different Labour Careers'

18 Jul 2018

**Sommer, Elena:** 'Setting up a Cross-National Probability-Based Online Panel in Europe – The CRONOS Panel'

11 Jul 2018

**Börsch-Supan, Axel:** 'Pension Economics 101'

27 Jun 2018

**Kronsnabl, Judith:** 'Changes in Body Mass and Cognitive Performance – Disentangling a Seeming Paradox'

13 Jun 2018

**Schwartz, Ella** (HUJI): 'Changes in Social Networks and Mental Health in Old Age'

6 Jun 2018

**Tonks, Ian** (University of Bath): 'Capital Constraints and the Regulation of Life Insurance'

30 May 2018

**Bordone, Valeria** (LMU): 'Grandparental Child-care, Social Participation and Cognitive Functions of Older Europeans'

23 May 2018

**Semedo Leite, Duarte:** 'The Aging-Inflation Puzzle: On the Interplay between Aging, Inflation and Pension Systems'

16 May 2018

**Smeets, Paul** (Maastricht University): 'How Do Millionaires Think About Redistribution?'

2 May 2018

**Chesalina, Olga:** 'Social Security of Digital Platform Workers: Searching for an Adequate Solution'

2 May 2018

**Pettinicchi, Yuri:** 'Poverty Among Retired Self-Employed'

25 Apr 2018

**Felfe, Christina** (Universität St. Gallen): 'Citizenship, Identity and Trust'

18 Apr 2018

**Angelini, Viola** (University of Groningen): 'The ant or the Grasshopper? The Long-Term Consequences of Unilateral Divorce Laws on Savings of European Households'

4 Apr 2018

**Wagner, Melanie:** 'Well-Being of Spousal Caregivers: The Role of Social Networks'

28 Mar 2018

**Sakshaug, Joseph** (IAB): 'Comparing Probability, Nonprobability, and Blended Samples: An Analysis of Survey Errors and Survey Costs'

21 Mar 2018

**Anatolyev, Stanislav** (CERGE-EI, Prague & NES, Moscow): 'Factor Models with Many Assets: Strong Factors, Weak Factors, and the Two-Pass Procedure'

14 Mar 2018

**Bergmann, Michael**: 'Benefits of a Celebrity Patronage in SHARE Germany'

7 Mar 2018

**Hanemann, Felizia**: 'Does Disability Insurance Improve Health and Well-Being?'

7 Mar 2018

**Ferrari, Irene**: 'The Nativity Wealth Gap: A Matching Approach'

21 Feb 2018

**Härtl, Klaus**: 'Evaluating Pension Reforms and Labor Supply under Time-(In)Consistency'

14 Feb 2018

**Guber, Raphael**: 'Instrument Validity Tests with Causal Trees: An Application to the Same-Sex Instrument'

31 Jan 2018

**Cazenave-Lacrouz, Alexandre** (Université Paris-Dauphine / Insee): 'Distributional Effects of a Systemic Pension Reform in France – An Application to Notional Accounts (and Other Works)'

24 Jan 2018

**Danzer, Natalia** (IFO): 'Parental Leave, (In)formal Childcare and Long-Run Child Outcomes'

17 Jan 2018

**Pettinicchi, Yuri**: 'SHARE Translation Procedures'

### 3.4 MEA RETREAT

Once a year, MEA leaves behind the bustling everyday business and retreats for a couple of days to quiet locations. During these retreats, every team member is given time to report on their work. This has proven to be an extremely

efficient way of updating everyone on everyone else's activities, giving room for research co-operations, discussions, support, etc. In addition, spending two entire days together (including leisure time at night and silly group games between sessions) enhances team spirit, team cohesion and motivation. Unfortunately, the retreat planned for 2020 had to be cancelled due to the COVID-19 pandemic. This was all the more regrettable as it was to be combined with our 3rd MEA Alumni Conference.

7–9 July 2019

**Eibsee**, Garmisch-Partenkirchen

11–12 October 2018

**Kloster Frauenwörth**, Frauenchiemsee

### 3.5 RESEARCH WORKSHOP EMPIRICAL ECONOMICS

In addition to our own weekly MEA Seminar, we are co-organizing the weekly 'Research Workshop Empirical Economics' together with the Economics Department of Ludwig-Maximilians-Universität München (LMU). This workshop is a great opportunity for our junior researchers to get to know researchers and their research from all around the world. They learn how to present research and how to argue in academic discussions.

3 Dec 2019

**Lechner, Michael**, University of St Gallen: 'Heterogeneous Effects of the Active Labour Market Policies for Unemployed – a Causal Machine Learning Based Approach'

26 Nov 2019

**Schmieder, Julia**, DIW Berlin: 'Free Mobility of Labor – How are Neighboring Labor Markets Affected by the EU Eastern Enlargement of 2004?'

12 Nov 2019

**Heldring, Leander**, briq Bonn: 'Institutional Adaptation to Environmental Change'

5 Nov 2019

**Tümen, Semih**, TED University: 'Remedying Refugee Education: Evidence from Two Large-scale Interventions'

29 Oct 2019

**Hessami, Zohal**, University of Mannheim: 'Does the Entry of a Woman into Political Office Affect Policy Choices?'

15 Oct 2019

**Klein, Tobias**, Tilburg University: 'Advertising as a reminder: Evidence from the Dutch State Lottery'

16 Jul 2019

**Plug, Erik**, University of Amsterdam: 'On the Family Origins of Human Capital Formation: Evidence from Donor-conceived Children'

2 Jul 2019

**Cantoni, Enrico**, Università di Bologna: 'Does Context Trump Individual Drivers of Voting Behavior? Evidence from U.S. Movers'

25 Jun 2019

**Sviatschi, Maria Micaela**, Princeton University: 'Gangs, Labor Mobility and Development'

18 Jun 2019

**Bagues, Manuel**, Warwick University: 'Can Gender Quotas in Candidate Lists Empower Women? Evidence from a Regression Discontinuity Design'

4 Jun 2019

**Bütikofer, Aline**, Norwegian School of Economics: 'Breaking the Links: Natural Resource Booms and Intergenerational Mobility'

28 May 2019

**Tabellini, Marco**, Harvard Business School: 'The Great Migration and Political Change: Racial Realignment in the U.S. North, 1940–1970'

21 May 2019

**Barsbai, Toman**, University of St Andrews: 'Animal Spirits: The Natural Geography of Economic Behavior'

14 May 2019

**Dahl, Gordon**, University of California San Diego: 'Intergenerational Spillovers in Disability Insurance'

7 May 2019

**Rothe, Christoph**, University of Mannheim: 'Bias-Aware Inference in Fuzzy Regression Discontinuity Designs'

30 Apr 2019

**Moradi, Alexander**, Free University of Bozen-Bolzano: 'The Economics of Missionary Expansion: Evidence from Africa and Implications for Development'

23 Apr 2019

**Sarsons, Heather**, University of Toronto: 'Interpreting Signals in the Labor Market: Evidence from Medical Referrals'

8 Jan 2019

**Monras, Joan**, CEMFI, Universitat Pompeu Fabra: 'Understanding the Effects of Legalizing Undocumented Immigrants'

18 Dec 2018

**Spiess, Jann**, Microsoft Research New England: 'Optimal Estimation when Researcher and Social Preferences Are Misaligned'

30 Oct 2018

**Wilson, Tanya**, University of Glasgow: 'Long-run Health and Mortality Effects of Exposure to Universal Health Care at Birth'

23 Oct 2018

**Glitz, Albert**, Pompeu Fabra University: 'Industrial Espionage and Productivity'

16 Oct 2018

**Huber, Martin**, University of Fribourg: 'Instrument-based Estimation with Binarized Treatments: Issues and Tests for the Exclusion Restriction'

10 Jul 2018

**Wüthrich, Kaspar**, University of California San Diego: 'An Exact and Robust Conformal Inference Method for Counterfactual and Synthetic Controls'

3 Jul 2018

**Hanspal, Tobin**, Goethe University Frankfurt: 'Experience is the Best Teacher: Financial Misconduct and White-Collar Crime'

26 Jun 2018

**Kuhnen, Camelia**, University of North Carolina: 'Socioeconomic Status and Macroeconomic Expectations'

5 Jun 2018

**Breunig, Christoph**, HU Berlin: 'Regression with Selectively Missing Covariates'

15 May 2018

**Gulesci, Selim**, Bocconi University: 'Contractual Flexibility and Selection into Borrowing: Evidence from Bangladesh'

8 May 2018

**Sharp, Paul**, University of Southern Denmark: 'Immigration and Knowledge Spillovers: Danish-Americans and the Development of the Dairy Industry in the United States'

24 Apr 2018

**Vera Hernandez, Marcos**, University College London: 'Using Two-part Contracts to Identify Cross-price Elasticities: An Application to Family Doctors'

10 Apr 2018

**Dittmar, Jeremiah**, LSE: 'Economic Origins of Modern Science: Technology, Institutions, and Markets for Ideas'

16 Jan 2018

**Yang, Dean**, University of Michigan: 'Abundance from Abroad: Migrant Earnings and Local Development in the Philippines'

9 Jan 2018

**Schwerdt, Guido**, Universität Konstanz: 'Central Exams and Adult Skills: Evidence from PIAAC'

### 3.6 SKILL ENHANCEMENT

**Atzendorf, Josefine**

28–29 May 2020

Webinar – Scientific Presentation Online, Max-Planck-Gesellschaft, Online

9–11 Mar 2020

Survey Lifecycle Operators Workshop (SLOW), LMU München, Deutsches Jugendinstitut München

6–7 Nov 2019

Agile Project Management, German Entrepreneurship GmbH, Munich

1 Feb – 26 Mar 2020

Introduction to Computer Science and Programming Using Python, Massachusetts Institute of Technology (MIT), online

**Bergmann, Michael**

6–7 Nov 2019

Agile Project Management, German Entrepreneurship GmbH, Munich

21–22 Nov 2018

Meetings – Innovationstreiber oder Gesundheitsrisiko [Meetings – drivers of innovation or health risks], Technische Universität München (TUM), Munich

3–4 Jul 2018

360-Degree-Leadership: Leading others without formal authority, Technische Universität München (TUM), Munich

11 Apr 2018

Creating Performance Monitoring Dashboards for Face-to-Face Surveys (including Roundtable 'Field Monitoring'), GESIS Mannheim, Mannheim

**Birkenbach, Tim**

9–11 Mar 2020  
SLOW (Survey Lifecycle Operators Workshop),  
LMU/IAB, Munich

**Bristle, Johanna**

10–11 Dec 2019  
Open Access Ambassadors Program, MPG,  
Berlin

4–5 Nov 2019  
Agile Project Management, MPISOC, Munich

6–9 May 2019  
SignUp! Careers in Academia, Professional Communication in Academia, Conflict management, Resilience, Self-presentation, MPG & EAF Berlin (Europäische Akademie für Frauen in Politik und Wirtschaft), Eisenach & Berlin

**Kronsnabl, Judith**

6–7 Nov 2019  
Agile Project Management, The German Entrepreneurship GmbH, Munich

30–31 Oct 2019  
Successfully master your doctoral project, Max-Planck-Gesellschaft München, Munich

4–5 Jul 2019  
Probability Sampling Methods (Applied Sampling), Barcelona Summer School in Survey Methodology RECSM, Barcelona

22–23 Oct 2018  
Effective Tools to Write and Publish Peer Reviewed Articles, Max Planck Institute for Social Law and Social Policy, Munich

**López-Falcón, Diana**

4–5 Nov 2019  
Project Management Workshop, SHARE, Munich

29–30 Nov 2018  
Negotiation and conflict management, Max Planck Society, Stuttgart

**Máté, Veronika**

12–13 Dec 2019  
Wirkungsvoll und authentisch sprechen [Effective and authentic speech], Deutsche Presseakademie, Berlin

6–7 Nov 2019  
Agile Project Management, German Entrepreneurship GmbH, Munich

3–4 Apr 2019  
Videoseminar, Nationales Institut für Wissenschaftskommunikation (NaWik), Bochum

28–29 Mar 2019  
Adobe InDesign – Aufbaukurs [Adobe InDesign – Advanced Training], PC College, Munich

10 Oct 2018 – 15 Jan 2019  
Social Media and Community Management, Deutsche Presseakademie, E-Learning

**Pettinicchi, Yuri**

17 Jun – 8 Jul 2020  
Young Entrepreneurs in Science, Young Entrepreneurs in Science, Munich

6–7 Nov 2019  
SCRUM workshop, SHARE, Munich

15–16 Nov 2018  
Heading for new horizons, Workshop, Max Planck Society, Frankfurt

**Pflüger, Senta-Melissa**

6–7 Nov 2019  
Agile Project Management, German Entrepreneurship GmbH, Munich

**Sand, Gregor**

*29 Sep – 2 Oct 2020*

Heading for New Horizons, businessargonauten / Planck Academy, online

*16–17 Jul 2020*

Fit für Führung?! [Fit for leadership?!], TUM horizons, online

*4–5 Nov 2019*

Project Management Workshop, SHARE, Munich

*4 Dec 2018*

Horizont 2020 für Antragstellende [Horizon 2020 for applicants], Deutsches Zentrum für Luft- und Raumfahrt, DLR Projektträger, EU-Büro des BMBF, Bonn

*21–22 Nov 2018*

Management von EU-Verbundprojekten unter Horizon 2020 [Management of EU projects under Horizon 2020], Bayerische Forschungsallianz, Munich

**Schmidutz, Daniel**

*15 Jun 2020*

Datenschutz Prüfung GDD-Cert. EU [Data protection examination GDD-Cert. EU], Gesellschaft für Datenschutz und Datensicherheit, online

*26 May 2020*

Datenschutz Repetitorium GDD-Cert. EU [Data protection Repetitorium GDD-Cert. EU], Gesellschaft für Datenschutz und Datensicherheit, online

*13–14 May 2020*

Datenschutz-Management nach der DS-GVO [Data protection management according to the GDPR], Gesellschaft für Datenschutz und Datensicherheit, online

*10–12 Mar 2020*

Einführung in den technisch-organisatorischen Datenschutz [Introduction to technical and organisational data protection], Gesellschaft für Datenschutz und Datensicherheit, Cologne, Germany

*10–14 Feb 2020*

Einführung in den Datenschutz für die Privatwirtschaft [Introduction to data protection for the private sector], Gesellschaft für Datenschutz und Datensicherheit, Cologne, Germany

*27–28 Mar 2018*

Persönlichkeitsschutz im Beschäftigungsverhältnis [Data protection in the employment context], Max-Planck-Gesellschaft, Cologne, Germany

**Schuller, Karin**

*23–24 Apr 2020*

Leadership Seminar, Technische Universität München (TUM), Munich

*6–7 Nov 2019*

Agile Project Management, German Entrepreneurship GmbH, Munich

**Semedo Leite, Duarte Nuno**

*5–9 Aug 2019*

LSE Summer School, London School of Economics, London

**Sommer, Elena**

*6–7 Nov 2019*

Agile Project Management, German Entrepreneurship GmbH, Munich

*10–11 Apr 2019*

Strategic planning of research careers, Max Planck Society, Berlin

*18–19 Feb 2019*

Cross-national comparative research: Longitudinal analysis of panel data, University of Ljubljana, Slovenia

26–27 Oct 2018

Using survey data on ethnic and migrant minorities, University of Bucharest, Romania

**Stuck, Stephanie**

9–10 Jul 2020

Webinar – Negotiation and Conflict Management, Max Planck Society, online

**Tony Philip, Jeny**

16 Jun 2020

Professional Scrum Product Owner Certification [Professional Scrum Product Owner Certification], scrum.org, Munich

12–13 Jun 2020

Professional Scrum Product Owner training [Professional Scrum Product Owner training], scrum.org, Munich

15–17 Sep 2018

Python für Wissenschaftler und Ingenieure [Python for Scientist and Engineers], Python Academy GmbH, Leipzig

**Wagner, Melanie**

29 Sep – 13 Oct 2020

Kompetenzmanagement – Personalverantwortung – Baustein 2 (Webinar) [Competency management – personnel responsibility – Part 2 (Webinar)], Max Planck Society, online

3–16 Jun 2020

Kompetenzmanagement – Personalverantwortung – Baustein 1 [Competency management – personnel responsibility – Part 1 (Webinar)], Max Planck Society, online

28 Oct 2019

Career Steps for Postdocs, Max-Planck Society, Jena

26 Nov 2018

Mental health at top performance – Stress Management for doctoral researchers, Max-Planck Society, Munich

**Yilmaz, Afife Yasemin**

3–4 Nov 2020

Mastering your doctoral project, Max Planck Society, online

28 Sep – 27 Oct 2020

Improved reading, web training, Max Planck Society, online

11–12 May 2020

Finding Job Opportunities on the International Non-Academic Job Market, web training, Max Planck Society, online

### 3.7 RESEARCHERS ABROAD

MEA has a large international network of renowned researchers. We organize many conferences and workshops (see Section 11) where young MEA researchers have the opportunity to meet excellent scholars and discuss their research with them. We also prompt our researchers to present their work at international conferences and workshops. Section 5 gives an account of the more than 400 presentations MEA researchers gave during the reporting period. MEA researchers are in particular encouraged to benefit from our network or – even better – augment it through research visits. The following MEA researchers have made use of this opportunity in the reporting period:

**Kögel, Heinrich**

26 Jan – 7 Apr 2019

Harvard, Cambridge, MA, USA, Research visit invited by Lisa Berkman (Harvard School of Public Health)

**López-Falcón, Diana**

9 Aug – 29 Aug 2019

The Australian National University (ANU), Canberra, Australia, Research visit invited by Vladimir Canudas-Romo

28 Feb – 19 Mar 2019

The Australian National University (ANU), Canberra, Australia, Research visit invited by Vladimir Canudas-Romo

### 3.8 MEA INTERNSHIPS

In addition to promoting our own employees, MEA also gives students the opportunity to gain insights to the academic profession via internships. In the reporting period, we hosted the following internees:

15 July – 30 September 2020

**Zilstorff, Pandora Molly:** 'Long-term Care Provisions in Europe' and 'SHARE-HCAP project', Research Units 'Life-Cycle Decisions' and 'SHARE'

15 October – 30 November 2019

**Brändle, Carolina:** 'Income Item Nonresponse and Panel Attrition', Research Unit 'SHARE'

22 July – 9 August 2019

**Botzheim, Norbert:** 'WebWake', IT

8 July – 30 September 2019

**Fonseca de Paiva, Andreia:** 'Perceived Social Support and Cognitive Functioning in Portuguese Elderly', Research Unit 'SHARE'

1 April – 12 April 2019

**Nawar, Hind:** 'Administration of a Large-scale International Panel Study', Research Unit 'SHARE' + IT

### 4 PUBLICATIONS

Within the reporting period, we have published 63 articles in peer reviewed journals, 23 articles in peer reviewed volumes, 7 articles in non-refereed journals, 33 articles in non-refereed volumes and other publications, and 8 books or edited volumes and issues. Moreover, 41 MEA Discussion Paper and 14 other Discussion Paper were

published. They are also available at the Social Science Research Network.

#### Articles in Peer Reviewed Journals

**Andrews, Dan; Ferrari, Irene** (2019): 'The Costs of Firm Exit and Labour Market Policies: new Evidence from Europe'. In: *B. E. Journal of Economic Analysis & Policy*, 19(1), pp. 1–24.

**Antoni, Manfred; Bethmann, Arne** (2019): 'PASS-ADIAB – Linked Survey and Administrative Data for Research on Unemployment and Poverty'. In: *Journal of Economics and Statistics*, 239(4), pp. 747–756.

**Atzendorf, Josefine** (2020): Regionale Unterschiede im Alkoholkonsum in Deutschland. In: *Public Health Forum*, 28(4), pp. 266–268.

**Atzendorf, Josefine; Apfelbacher, Christian; Gomes de Matos, Elena; Lochbühler, Kirsten; Piontek, Daniela; Seitz, Nicki-Nils; Kraus, Ludwig** (2020): 'Do Smoking, Nutrition, Alcohol Use, and Physical Activity Vary Between Regions in Germany? – Results of a Cross-sectional Study'. In: *BMC Public Health*, 20, 277.

**Bach, Philipp; Farbmacher, Helmut; Spindler, Martin** (2018): 'Semiparametric Count Data Modeling with an Application to Health Service Demand'. In: *Econometrics and Statistics*, 8, pp. 125–140.

**Bais, Frank; Schouten, Barry; Lugtig, Peter; Toepoel, Vera; Arends-Töth, Judit; Douhou, Salima; Kieruj, Natalia; Morren, Mattijn; Vis, Corrie** (2019): 'Can Survey Item Characteristics Relevant to Measurement Error Be Coded Reliably? A Case Study on 11 Dutch General Population Surveys'. In: *Sociological Methods and Research*, 48(2), pp. 263–295.

**Balz, Anne; Schuller, Karin** (2018): 'Always Looking for Something Better? The Impact of Job Insecurity on Turnover Intentions: Do Employables and Irreplaceables React Differently?'. In: *Economic and Industrial Democracy*, online first.

**Bergmann, Michael** (2018): 'What Was I Thinking? A Theoretical Framework for Analysing Panel Conditioning in Attitudes and (Response) Behavior'. In: *International Journal of Social Research Methodology*, 21(3), pp. 333–345.

**Bergmann, Michael; Bristle, Johanna** (2019): 'Reading Fast, Reading Slow: The Effect of Interviewers' Speed in Reading Introductory Texts on Response Behavior'. In: *Journal of Survey Statistics and Methodology*, 8, 2, pp. 325–351.

**Bergmann, Michael; Scherpenzeel, Annette** (2020): 'Using Field Monitoring Strategies to Improve Panel Sample Representativeness: Application During Data Collection in the Survey of Health, Ageing and Retirement in Europe (SHARE)'. In: *Survey Methods: Insights from the Field, Special issue: 'Fieldwork Monitoring Strategies for Interviewer-Administered Surveys'*.

**Bergmann, Michael; Schuller, Karin; Malter, Frederic** (2019): 'Preventing Interview Falsifications during Fieldwork in the Survey of Health, Ageing and Retirement in Europe (SHARE)'. In: *Longitudinal and Life Course Studies*, 10, 4, pp. 513–530.

**Best, Henning; Kneip, Thorsten** (2019): 'Assessing the Causal Effect of Curbside Collection on Recycling Behavior in a Non-randomized Experiment with Self-reported Outcome'. In: *Environmental and Resource Economics*, 72, pp. 1203–1223.

**Börsch-Supan, Axel; Bucher-Koenen, Tabea; Goll, Nicolas; Hanemann, Felizia** (forthcoming): 'Targets Missed: Three Case Studies Exploiting the Linked SHARE-RV Data'. In: *Journal of Pension Economics and Finance*.

**Börsch-Supan, Axel; Bucher-Koenen, Tabea; Goll, Nicolas; Kutlu Koc, Vesile** (2018): 'Dangerous Flexibility – Retirement Reforms Reconsidered Demography'. In: *Economic Policy*, 33, 94, pp. 315–355.

**Börsch-Supan, Axel; Bucher-Koenen, Tabea; Hanemann, Felizia** (2020): 'Early Determinants

of Work Disability in an International Perspective'. In: *Demography*, 57(5), pp. 1853–1879.

**Börsch-Supan, Axel; Czaplicki, Christin; Friedel, Sabine; Herold, Imke; Korbmacher, Julie; Mika, Tatjana** (2018): 'SHARE-RV: Linked Data to Study Aging in Germany'. In: *Journal of Economics and Statistics*, 240(1), pp. 121–132.

**Börsch-Supan, Axel; Ferrari, Irene; Salerno, Luca** (2020): 'Long-run Health Trends in Europe'. In: *Journal of the Economics of Ageing*, online first.

**Börsch-Supan, Axel; Hanemann, Felizia; Beach, Brian; Halimi, Didier; Harding, Susana; van der Waal, Marieke; Watanabe, Daisuke; Staudinger, Ursula M.** (2019): 'Older Adults' Integration in the Labour Market: A Global View'. In: *Ageing & Society*, pp. 1–19.

**Börsch-Supan, Axel; Härtl, Klaus; Semedo Leite, Duarte Nuno** (2018): 'Who Cares About the Day After Tomorrow? Pension Issues When Households Are Myopic or Time Inconsistent'. In: *Review of Development Economics*, 22, pp. 953–989.

**Börsch-Supan, Axel; Härtl, Klaus; Semedo Leite, Duarte Nuno** (2018): 'Earnings Test, Non-actuarial Adjustments and Flexible Retirement'. In: *Economics Letters*, 173, pp. 78–83.

**Börsch-Supan, Axel; Weiss, Luzia; Börsch-Supan, Martina; Potter, Alan; Cofferen, Jake; Kerschner, Elizabeth** (2020): 'Dried Blood Spot Collection, Sample Quality, and Fieldwork Conditions: Structural Validations for Conversion into Standard Values'. In: *American Journal of Human Biology*, online first.

**Bristle, Johanna; Celidoni, Martina; Dal Bianco, Chiara; Weber, Guglielmo** (2019): 'The Contributions of Paradata and Features of Respondents, Interviewers and Survey Agencies to Panel Co-operation in the Survey of Health, Ageing and Retirement in Europe'. In: *Journal of the Royal Statistical Society – Series A*, 182, 1, pp. 3–35.

**Brugiavini, Agar; Cavapozzi, Danilo; Padula, Mario; Pettinicchi, Yuri** (2018): 'On the Effect of Financial Education on Financial Literacy: Evidence from a Sample of College Students'. In: *Journal of Pension Economics & Finance*, 19, 3, pp. 344–352.

**Bucher-Koenen, Tabea; Lamla, Bettina** (2018): 'The Long Shadow of Socialism: Puzzling Evidence on East-West German Differences in Financial Literacy'. In: *Economic Notes*, 47, 2–3, pp. 413–438.

**Bun, Maurice; Farbmacher, Helmut; Poldermans, Rutger** (2020): 'Finite Sample Properties of the GMM Anderson-Rubin Test'. In: *Econometric Reviews*, online first.

**Chen, Cynthia; Goldman, Dana P.; Zissimopoulos, Julie; Rowe, John W.; Antonucci, Toni; Berkman, Lisa; Börsch-Supan, Axel; Carstensen, Laura; Fried, Linda; Furstenberg, Frank; Jackson, James; Kohli, Martin; Olshansky, Jay; Rehkopf, David; Rother, John** (2018): 'A Multi-dimensional Comparison of Countries' Adaptation to Societal Aging'. In: *Proceedings of the National Academy of Sciences*, 115(37), pp. 9169–9174.

**Drometer, Marcus; Méango, Romuald** (2019): 'Electoral Cycles, Partisan Effects and US Naturalization Policies'. In: *Public Choice*, 183, pp. 43–68.

**Farbmacher, Helmut; Bucher-Koenen, Tabea; Guber, Raphael; Vikström, Johan** (2019): 'Double Trouble: The Burden of Child Rearing and Working on Maternal Mortality'. In: *Demography*, 57, p. 559–576.

**Farbmacher, Helmut; Guber, Raphael; Klaassen, Sven** (2020): 'Instrument Validity Tests with Causal Forests'. In: *Journal of Business & Economic Statistics*, online first.

**Farbmacher, Helmut; Guber, Raphael; Vikström, Johan** (2018): 'Increasing the Credibility of the Twin Birth Instrument'. In: *Journal of Applied Econometrics*, 33, 3, pp. 457–472.

**Farbmacher, Helmut; Spindler, Martin** (forthcoming): 'An Explainable Attention Network for Fraud Detection in Claims Management'. In: *Journal of Econometrics*.

**Ferrari, Irene** (2020): 'The Nativity Wealth Gap in Europe: a Matching Approach'. In: *Journal of Population Economics*, 33, 1, pp. 33–77.

**Friedel, Sabine** (2020): 'What They Expect Is What You Get: The Role of Interviewer Expectations in Nonresponse to Income and Asset Questions'. In: *Journal of Survey Statistics and Methodology*, 8, 5, pp. 851–876.

**Friedel, Sabine; Birkenbach, Tim** (2020): 'Evolution of the Initially Recruited SHARE Panel Sample over the First Six Waves'. In: *Journal of Official Statistics*, 36, 3, pp. 507–527.

**Girsberger, Esther Mirjam; Méango, Romuald; Rapoport, Hillel** (2019): 'Regional Migration and Wage Inequality in the West African Economic and Monetary Union'. In: *Journal of Comparative Economics*, 48(2), pp. 385–404.

**Goldman, Dana P.; Chen, Cynthia; Zissimopoulos, Julie; Rowe, John W.; Antonucci, Toni; Berkman, Lisa; Börsch-Supan, Axel; Carstensen, Laura; Fried, Linda; Furstenberg, Frank et al.** (2018): 'Measuring the Adaptation of Countries to Societal Aging'. In: *Proceedings of the National Academy of Sciences*, 115(3), pp. 435–437.

**Gruber, Stefan** (2020): 'The Long-term Effect of Intra-European Migration on Cognitive Abilities in Later Life'. In: *Social Science & Medicine*, online first.

**Gruber, Stefan; Sand, Gregor** (2020): 'Does Migration Pay Off in Later Life? Income and Subjective Well-being of Older Migrants in Europe'. In: *Social Indicators Research*, online first.

**Guber, Raphael** (2019): 'Making it right? Social Norms, Hand Writing and Human Capital'. In: *Labour Economics*, 56, pp. 44–57.

- Guber, Raphael; Kocher, Martin G.; Winter, Joachim** (2020): 'Does Having Insurance Change Individuals' Self-confidence?'. In: *The Journal of Risk and Insurance*, online first.
- Horr, Andreas; Hunkler, Christian; Kroneberg, Clemens** (2018): 'Ethnic Discrimination in the German Housing Market. A Field Experiment on the Underlying Mechanisms'. In: *Zeitschrift für Soziologie*, 47, 2, pp. 134–146.
- Jaitner, David; Bergmann, Michael; Kuritz, Marius Arvid; Mall, Christoph; Mess, Filip** (2020): 'Determinants of Physical Activity and Sedentary Behavior in German Elementary School Physical Education Lessons'. In: *Frontiers in Sports and Active Living*, 2, 113, pp. 1–11.
- Khourshed, May; Hunkler, Christian** (2020): 'The Role of Trauma for Integration: The Case of Syrian Refugees'. In: *Soziale Welt*, 71, 1–2, pp. 90–122.
- Kuyper, Lisette; Sommer, Elena; Butt, Sarah** (2018): 'Gender Gaps in the Measurement of Public Opinion about Homosexuality in Cross-National Surveys: A Question Wording Experiment'. In: *International Journal of Public Opinion Research*, 30(4), pp. 692–704.
- Massenot, Baptiste; Pettinicchi, Yuri** (2019): 'Can Households See into the Future? Survey Evidence from the Netherlands'. In: *Journal of Economic Behavior & Organization*, 164, pp. 77–90.
- Meitinger, Katharina; Stadtmüller, Sven; Silber, Henning; Bergmann, Michael; Scherpenzeel, Annette; et, al.** (2020): 'Fieldwork Monitoring in Practice: Insights from 17 Large-scale Social Science Surveys'. In: *Survey Methods: Insights from the Field*.
- Mourifie, Ismael; Henry, Marc; Méango, Romuald** (2020): 'Sharp Bounds and Testability of a Roy Model of STEM Major Choices'. In: *Journal of Political Economy*, 128, pp. 3220–3283.
- Pettinicchi, Yuri; Massenot, Baptiste** (2018): 'Can Firms See into the Future? Survey Evidence from Germany'. In: *Journal of Economic Behavior & Organization*, 145, pp. 66–79.
- Priest, Naomi; Slopen, Natalie; Woolford, Susan; Tony Philip, Jeny; Singer, Dianne; Kauffmann, Anna Daly; Mosely, Kathryn; Davis, Matthew; Ransome, Yusuf; Williams, David** (2018): 'Stereotyping Across Intersections of Race and Age: Racial Stereotyping Among White Adults Working with Children'. In: *PLOS One*, 13, 9, e0201696.
- Sand, Gregor; Gruber, Stefan** (2018): 'Differences in Subjective Well-being between Older Migrants and Natives in Europe'. In: *Journal of Immigrant and Minority Health*, 20, pp. 83–90.
- Schels, Brigitte; Bethmann, Arne** (2018): 'Job Search of Men and Women on Long-term Social Welfare'. In: *International Journal of Sociology and Social Policy*, 38, 3/4, pp. 224–241.
- Scherpenzeel, Annette; Axt, Kathrin; Bergmann, Michael; Douhou, Salima; Oepen, Andrea; Sand, Gregor; Schuller, Karin; Stuck, Stephanie; Wagner, Melanie; Börsch-Supan, Axel** (2020): 'Collecting Survey Data Among the 50+ Population During the COVID-19 Outbreak: The Survey of Health, Ageing and Retirement in Europe (SHARE)'. In: *Survey Research Methods*, 14(2), pp. 217–221.
- Schuller, Karin** (2018): 'Ethnic Inequality in Vocational Education: The Impact of Educational Policy and Contextual Factors in Germany's Federal States'. In: *International Journal of Sociology*, 48, 3, pp. 251–273.
- Schuller, Karin** (2018): 'Trends in Ethnic Inequality in the Attainment of Vocational Degrees: a Cohort Study in Germany'. In: *British Journal of Sociology of Education*, 39, 4, pp. 483–500.
- Schuller, Karin; Weiss, Felix** (2019): 'The Rise of Mental Health Problems, Inequality and the Role of Job Strain in Germany'. In: *Mental Health & Prevention*, 16, 200175.

**Semedo Leite, Duarte Nuno; Afonso, Óscar; Silva, Sandra Tavares** (2019): 'A Tale of Two Countries: Directed Technical Change, Trade and Migratory Movements'. In: *Economic Modelling*, 83, pp. 173–194.

**Semedo Leite, Duarte Nuno; Afonso, Óscar; Silva, Sandra Tavares** (2020): 'The Two Revolutions, Landed Elites and Education during the Industrial Revolution'. In: *Macroeconomic Dynamics*, 24, 6, pp. 1478–1551.

**Sommer, Elena; Gamper, Markus** (2020): 'Beyond Structural Determinism: Advantages and Challenges of Qualitative Social Network Analysis for Studying Social Capital of Migrants'. In: *Global Networks*, online first.

**Sommer, Elena; Gamper, Markus** (2018): 'Transnational Entrepreneurial Activities: A Qualitative Network Study of Self-employed Migrants from the Former Soviet Union in Germany'. In: *Social Networks*, 53, pp. 136–147.

**Strizek, Julian; Atzendorf, Josefine; Kraus, Ludwig; Monshouwer, Karin; Puhm, Alexandra; Uhl, Alfred** (2020): 'Perceived Problems with Adolescent Online Gaming: National Differences and Correlations with Substance Use'. In: *Journal of Behavioral Addictions*, 9(3), pp. 629–641.

**van den Berg, Gerard J.; Paul, Alexander; Reinhold, Steffen** (2020): 'Economic Conditions and the Health of Newborns: Evidence from Comprehensive Register Data'. In: *Labour Economics*, 63, 101795.

**Wagner, Melanie; Brandt, Martina** (2018): 'Long-term Care Provision and the Well-being of Spousal Caregivers: An Analysis of 138 European Regions'. In: *The Journals of Gerontology: Series B*, 73(4), pp. 24–34.

**Wagner, Melanie; Franke, Annette; Otto, Ulrich** (2019): 'Pflege über räumliche Distanz hinweg [Distance Care]'. In: *Zeitschrift für Gerontologie und Geriatrie*, 52(6), pp. 529–536.

**Windmeijer, Frank; Farbmacher, Helmut; Davies, Neil; Davey Smith, George** (2019): 'On the Use of the Lasso for Instrumental Variables Estimation with Some Invalid Instruments'. In: *Journal of the American Statistical Association*, 114(527), pp. 1339–1350.

#### Articles in Non-Refereed Journals

**Börsch-Supan, Axel** (2020): 'Alternativlose Rentenpolitik: Anpassung an die demografischen Veränderungen [Pension Policy Without Alternatives: Adapting to Demographic Changes]'. In: *Deutsche Rentenversicherung*, 1-2020, pp. 77–91.

**Börsch-Supan, Axel** (2019): 'Gestaltungswille statt politischer Geschenke: Alterssicherungspolitik und demographischer Wandel [Will to Shape the Future Instead of Political Gifts: Old-age Provision Policy and Demographic Change]'. In: *Politikum*, 4/2019.

**Börsch-Supan, Axel** (2018): 'Demographie und Lebensarbeitszeit: Was ist das 'richtige' Rentenalter?' [Demography and Working Life: What is the 'Right' Retirement Age?]. In: *DRV-Schriften*, pp. 88–94.

**Börsch-Supan, Axel; Rausch, Johannes** (2020): 'Corona-Pandemie: Auswirkungen auf die gesetzliche Rentenversicherung [Corona Pandemic: Impact on the Statutory Pension Insurance]'. In: *ifo Schnelldienst*, 2020, 73 Nr. 4, pp. 36–43.

**Börsch-Supan, Axel; Rausch, Johannes** (2018): 'Die Kosten der doppelten Haltelinie [The Costs of the 'Double Threshold']'. In: *ifo Schnelldienst*, 2018, 71, Nr. 09, pp. 23–30.

**Herold, Imke** (forthcoming): 'SHARE-RV: Erste Ergebnisse der achten Erhebungswelle [First Results of the Eighth Survey Wave]'. In: *RVaktuell*.

**Weiss, Felix; Schuller, Karin** (2018): 'Schmerz-erkrankungen immer noch stark von beruflicher Tätigkeit abhängig: Analysen zur gesundheitlichen Ungleichheit bei Erwerbstätigen [Pain Disorders Still Strongly Dependent on Professional Activity: Analyses of Health Inequalities among

the Working Population]'. In: *Informationsdienst Soziale Indikatoren*, 59, pp. 7–12.

### Books, Edited Volumes and Issues

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23-2020

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19-2020

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18-2020

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17-2020

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14-2020

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07-2020

**Börsch-Supan, Axel; Ferrari, Irene; Goll, Nicolas:** 'Die Entwicklung des Eintrittsalters in eine sozialversicherungspflichtige Beschäftigung [The Development of the Entry Age into Employment Subject to Social Insurance Contributions]'.

06-2020

**Börsch-Supan, Axel; Ferrari, Irene; Salerno, Luca:** 'Verteilung und Entwicklung von Gesundheit im Alter [Verteilung und Entwicklung von Gesundheit im Alter]'.

05-2020

**Börsch-Supan, Axel; Ferrari, Irene; Salerno, Luca:** 'Will Long-run Health Trends in Europe Turn Negative?'.

04-2020

**Börsch-Supan, Axel; Ferrari, Irene; Pasini, Giacomo; Salerno, Luca:** 'Is Working Longer in Jeopardy? Health and Labor Force Participation of Middle-Aged Europeans'.

03-2020

**Börsch-Supan, Axel; Rausch, Johannes:** 'Lassen sich Haltelinien, finanzielle Nachhaltigkeit und Generationengerechtigkeit miteinander verbinden? [Can Stop Lines, Financial Sustainability and Generational Equity Be Combined?]'.

02-2020

**Börsch-Supan, Axel; Rausch, Johannes; Buslei, Hermann; Geyer, Johannes:** 'Entwicklung der Demographie, der Erwerbstätigkeit, sowie des Leistungsniveaus und der Finanzierung der gesetzlichen Rentenversicherung [Development of Demography, Employment, Benefit Level and Financing of Statutory Pension Insurance]'.

01-2020

**Khourshed, May; Méango, Romuald:** 'Language Proficiency and Economic Incentives: The Case of Syrian Asylum Seekers in Germany'.

12-2019

**Börsch-Supan, Axel; Coile, Courtney; Cribb, Jonathan; Emerson, Carl; Pettinicchi, Yuri:** 'The Changing Nature of Work and Public Pension Coverage: Evidence from the US and Europe'.

11-2019

**Morris, Todd:** 'Re-examining Female Labor Supply Responses to the 1994 Australian Pension Reform'.

10-2019

**Morris, Todd:** 'The Unequal Burden of Retirement Reform: Evidence from Australia'.

09-2019

**Börsch-Supan, Axel; Rausch, Johannes; Goll, Nicolas:** 'Social Security Reforms and the Changing Retirement Behavior in Germany'.

08-2019

**Castellino, Onorato; Fornero, Elsa; Wilke, Christina Benita:** 'Pension Policy in Europe and the United States – Towards a new Public-Private Pension Mix'.

07-2019

**Börsch-Supan, Axel; Weiss, Luzia; Börsch-Supan, Martina; Potter, Alan; Cofferen, Jake; Kerschner, Elizabeth:** 'Comparing Health in Europe Based on Dried Blood Spot Samples'.

06-2019

**Farbmacher, Helmut; Kögel, Heinrich; Spindler, Martin:** 'Heterogeneous Effects of Poverty on Cognition'.

05-2019

**Hunkler, Christian; Khourshed, May:** 'The Role of Trauma on Integration: The Case of Syrian Refugees'.

04-2019

**Börsch-Supan, Axel; Bucher-Koenen, Tabea; Goll, Nicolas; Hanemann, Felizia:** 'Targets Missed: Three Case Studies Exploiting the Linked SHARE-RV Data'.

03-2019

**Bucher-Koenen, Tabea; Farbmacher, Helmut; Guber, Raphael; Vikström, Johan:** 'Double Trouble: The Burden of Child Rearing and Working on Maternal Mortality'.

02-2019

**Pettinicchi, Yuri; Börsch-Supan, Axel:** 'Retirement Income Adequacy of Traditionally Employed and Self-Employed Workers: Analyses with SHARE Data'.

01-2019

**Khourshed, May; Hunkler, Christian; Méango, Romuald; Börsch-Supan, Axel:** 'Qualifications, Potentials and Life Courses of Syrian Asylum Seekers in Germany'.

07-2018

**Jürges, Hendrik; Kopetsch, Thomas:** 'Prenatal Exposure to the German Food Crisis 1944–1948 and Health after 65 Years'.

06-2018

**Härtl, Klaus; Semedo Leite, Duarte Nuno:** 'The Aging-Inflation Puzzle: On the Interplay between Aging, Inflation and Pension Systems'.

05-2018

**Guber, Raphael:** 'Instrument Validity Tests with Causal Trees: With an Application to the Same-sex Instrument'.

04-2018

**Börsch-Supan, Axel; Härtl, Klaus; Semedo Leite, Duarte Nuno; Ludwig, Alexander:** 'Endogenous Retirement Behavior of Heterogeneous Households under Pension Reforms'.

03-2018

**Börsch-Supan, Axel; Rausch, Johannes:** 'Die Kosten der doppelten Haltelinie [The Cost of the Double Stop Line]'.

02-2018

**Krueger, Dirk; Ludwig, Alexander:** 'Optimal Taxes on Capital in the OLG Model with Uninsurable Idiosyncratic Income Risk'.

01-2018

**Grevenbrock, Nils; Groneck, Max; Ludwig, Alexander; Zimmer, Alexander:** 'Cognition, Optimism and the Formation of Age-dependent Survival Beliefs'.

#### Other Discussion Papers

**Bergmann, Michael; Kneip, Thorsten; de Luca, Giuseppe; Scherpenzeel, Annette** (2019): *Survey Participation in the Survey of Health, Ageing and Retirement in Europe (SHARE), Wave 1–7*, SHARE Working Paper Series 41, Munich Center for the Economics of Aging (MEA).

**Bethmann, Arne; Bergmann, Michael; Scherpenzeel, Annette** (2019): *SHARE Sampling Guide – Wave 8 – Version 8.0.1*, SHARE Working Paper Series 33, Munich Center for the Economics of Aging (MEA).

**Börsch-Supan, Axel; Bucher-Koenen, Tabea; Hurd, Michael D.; Rohwedder, Susann** (2018): *Saving Regret*, National Bureau of Economic Research (NBER).

**Börsch-Supan, Axel; Coile, Courtney; Cribb, Jonathan; Emerson, Carl; Pettinicchi, Yuri** (2019): *The Changing Nature of Work and Public Pension Coverage: Evidence from the US and Europe*, 21st Annual SSA Research Consortium Meeting, Technical Commission on Social Security Policy Analysis and Research.

**Börsch-Supan, Axel; Goll, Nicolas; Ferrari, Irene; Rausch, Johannes** (2018): *Trend Reversal of Old-age Labour Force Participation in Germany*, VoxEU, 01-26-2018.

**Börsch-Supan, Axel; Rausch, Johannes; Buslei, Hermann; Geyer, Dr. Johannes** (2020): *Entwicklung der Demographie, der Erwerbstätigkeit sowie des Leistungsniveaus und der Finanzierung der gesetzlichen Rentenversicherung [Development of Demography, Employment, Benefit Level and Financing of Statutory Pension Insurance]*, Deutsches Institut für Wirtschaftsforschung (DIW) 1857.

**Börsch-Supan, Martina; Weiss, Luzia; Andersen-Ranberg, Karen; Börsch-Supan, Axel** (2020): *Collection of Dried Blood Spots in the Survey of Health, Ageing and Retirement in Europe (SHARE): From implementation to blood-marker analyses*, SHARE Working Paper Series 47, Munich Center for the Economics of Aging (MEA).

**Buschle, Christina; Reiter, Herwig; Bethmann, Arne** (2020): *Introducing the Qualitative Pretest Interview (QPI) for Questionnaire Development*, SocArXiv.

**Gruber, Stefan** (2019): *Generating easySHARE Release 7.0.0 Guidelines, Structure, Content and Programming*, SHARE Working Paper Series 37, Munich Center for the Economics of Aging (MEA).

**Hackethal, Andreas; Bucher-Koenen, Tabea; Kasinger, Johannes; Laudenbach, Christine** (2018): *Wie viel Rente wirst du bekommen? – Pilotstudie zur Einführung einer Renteninformationsplattform in Deutschland [How Much Pension Will You Receive? – Pilot Study on the Introduction of a Pension Information Platform in Germany]*, SAFE White Paper 57, Sustainable Architecture for Finance in Europe, Frankfurt.

**Mehrbrodt, Tabea; Gruber, Stefan; Wagner, Melanie** (2019): *Scales and Multi-item Indicators in the Survey of Health, Ageing and Retirement in*

*Europe*, SHARE Working Paper Series 43, Munich Center for the Economics of Aging (MEA).

**Morris, Todd** (2019): *Large Response to Delayed Eligibility or a Pre-existing Trend in Female Participation? Re-examining an Australian Pension Reform*, SSRN Working Paper.

**Pettinicchi, Yuri** (2019): *Job Loss Expectations, Durable Consumption and Household Finances: Evidence from Linked Survey Data*, SAFE Working Paper No. 249.

**Schütz, Johanna; Franzese, Fabio** (2018): *Meat Consumption in Old Age: An Exploration of Country-specific and Socio-economic Patterns of Eating Habits of the European Population*, SHARE Working Paper Series 32, Munich Center for the Economics of Aging (MEA).

## 5 PRESENTATIONS

**Atzendorf, Josefine**

**Effects of Social Distancing on Loneliness and Depression**, SHARE-COVID Research: Preliminary Findings, Web, Germany (14 Oct 2020).

**SHARE Intro**, New Operator Meeting, Web, Germany (12 Oct 2020).

**Rauchst du noch, oder joggst du schon? – Die Bedeutung riskanter Gesundheitsverhaltensweisen [An Apple a Day Keeps the Doctor Away – The Relevance of Lifestyle Risk Factors]**, Soapbox Science Munich 2020 – Women in Science, Online-Event, Germany (28 Jun 2020).

**Fieldwork Checkfiles**, SHARE Operators Meeting, Budapest, Hungary (21 Sep 2019).

**Bakota, Ivo**

**Capital Income Taxation with Portfolio Choice**, European Economic Association Annual Congress 2020 Virtual, Rotterdam, Netherlands (25 Aug 2020).

**Bergmann, Michael**

**Keeping the Oldest Old – A Framework for survey Adaptations to Improve Panel Retention in the Survey of Health, Ageing and Retirement in Europe (SHARE)**, International Workshop on Household Survey Nonresponse, Germany (26 Aug 2020).

**Improving Data Quality in SHARE: Overview about Current Projects**, SHARE Wave 8 Midterm Meeting, Munich, Germany (3 Apr 2020).

**Benefit of a Celebrity Patronage? Evidence from SHARE Germany**, SHARE Wave 8 Main TTT, Frankfurt, Germany (2 Oct 2019).

**SHARE Wave 8 Main TTT – Fieldwork**, SHARE Wave 8 Main TTT, Frankfurt, Germany (2 Oct 2019).

**Using Field Monitoring Strategies to Reduce Attrition Bias in a Panel Study: Application during Data Collection in the Survey of Health, Ageing and Retirement in Europe (SHARE)**, European Survey Research Association, Zagreb, Croatia (17 Jul 2019).

**Using the Relationship between Income Item Nonresponse and Panel Attrition for Adaptive Fieldwork Measures in SHARE**, European Survey Research Association, Zagreb, Croatia (16 Jul 2019).

**Fieldwork Cost Analysis across Countries in SHARE. 4th SERISS Survey Experts Network Workshop ‘Survey fieldwork cost’**, Den Haag, Netherlands (17 May 2019).

**Representing the Population**, SERISS Work Package Review Board Meeting, London, United Kingdom (24 Apr 2019).

**Sampling**, SHARE Wave 8 FiRe TTT, Munich, Germany (20 Mar 2019).

**Using Field Monitoring Strategies to Reduce Attrition Bias in a Panel Study: Application during Data Collection in the Survey of Health, Ageing and Retirement in Europe (SHARE)**. Symposium ‘Fieldwork Monitoring Strategies for Interviewer-Administered Surveys’, Mannheim, Germany (23 Jan 2019).

**Erhebungskosten und Ausschreibungsverfahren im internationalen Vergleich [International Comparison of Survey Costs and Strategies for Tendering Procedure]**, Panelworkshop zum Thema ‘Erhebungskosten und Strategien zur Steigerung der Kosteneffizienz’, Wiesbaden, Germany (15 Oct 2018).

**Sampling**. SHARE Wave 8 Post-Pretest, Riga, Latvia (7 Sep 2018).

**Using Field Monitoring Strategies to Reduce Attrition Bias in a Panel Study: Application during Data Collection in the Survey of Health, Ageing and Retirement in Europe (SHARE)**, Second International Conference on the Methodology of Longitudinal Surveys, Essex, United Kingdom (26 Jul 2018).

**Identifying Fake Interviews in a Panel Study – The Survey of Health, Ageing and Retirement in Europe (SHARE)**. Second International Conference on the Methodology of Longitudinal Surveys, Essex, United Kingdom (26 Jul 2018).

**Sampling**, SHARE Wave 8 Pretest TTT, Munich, Germany (15 Jun 2018).

**Sampling**, SHARE Wave 8 Pretest TTT, Munich, Germany (6 Jun 2018).

**Reading Fast, Reading Slow: Interviewers’ Reading Behavior and the Influence on Survey Outcomes**, Advisory Board Meeting, Munich, Germany (12 Apr 2018).

**Field Monitoring in the Survey of Health, Ageing and Retirement in Europe, Roundtable ‘Field Monitoring’**, Mannheim, Germany (11 Apr 2018).

**Interviewerfälschungen in Panelstudien – Identifikation am Beispiel des Survey of Health, Aging and Retirement in Europe (SHARE) [Interviewer Falsifications in Panel Studies – Identification in the Survey of Health, Aging and Retirement in Europe (SHARE)],** 12. Workshop der Panelsurveys im deutschsprachigen Raum, Bamberg, Germany (20 Feb 2018).

**Sampling of Wave 8,** SHARE Wave 8 Preparation Meeting, St. Julians, Malta (8 Feb 2018).

**Bethmann, Arne**

**Using the Relationship between Income Item Nonresponse and Panel Attrition for Adaptive Fieldwork Measures in SHARE,** Zagreb, Croatia (16 Jul 2019).

**With or Without You – Standardized Metadata in Survey Data Management,** 8th Conference of the European Survey Research Association (ESRA), Zagreb, Croatia (15 Jul 2019).

**The Curse of Complexity – Dealing with Sampling Design and Non-response Issues in Longitudinal Analysis of Complex Survey Data,** 8th Conference of the European Survey Research Association (ESRA), Zagreb, Croatia (15 Jul 2019).

**Sampling.** SHARE Wave 8 FiRe TTT, Munich, Germany (20 Mar 2019).

**Sampling,** SHARE Wave 8 Post-Pretest, Riga, Latvia (7 Sep 2018).

**Birkenbach, Tim**

**SHARE: Special Data Sets,** Joint German & Dutch SHARE User Workshop, Köln, Germany (16 May 2019).

**SHARE Data: Basics & Potential,** Joint German & Dutch SHARE User Workshop, Köln, Germany (16 May 2019).

**Wave 7 Codings & CAPI Remarks,** Operators' Meeting Malta, St. Julian's, Malta (9 Feb 2018).

**Stata Introduction,** SHARE Operators' Meeting Malta, St. Julian's, Malta (7 Feb 2018).

**Bristle, Johanna**

**WP5 Innovations in Data Access,** 1st SSHOC Review Meeting, Online, Germany (8 Oct 2020).

**WP5 Innovations in Data Access,** 4th SSHOC Consortium Meeting, Online, Germany (9 Sep 2020).

**Keeping the Oldest Old – A Framework for Survey Adaptations to Improve Panel Retention in the Survey of Health, Ageing and Retirement in Europe (SHARE),** International Workshop on Household Survey Nonresponse, Germany (26 Aug 2020).

**WP5 Innovations in Data Access,** 3rd Consortium Meeting, PMB/1st Tier Meeting, Online, Germany (25 Mar 2020).

**Roundtable on Open Science,** Survey Life Cycle Workshop (SLOW), Munich, Germany (10 Mar 2020).

**Health and Socio-Economic Status over the Life Course – Brief Overview of the Contents,** SHARE Book Release 'Health and Socio-Economic Status over the Life Course', Brussels, Belgium (25 Jun 2019).

**Paradata in SHARE – Opportunities and Challenges,** DZHW Forschungskolloquium, Hanover, Germany (11 Dec 2018).

**Time Measures from a Cross-survey Perspective: Using Paradata to Inform Survey Management in the ESS and SHARE,** 1st Joint ESS & SHARE User Meeting, Vienna, Austria (23 Nov 2018).

**Reading Fast, Reading Slow: Interviewers' Reading Behavior and the Influence on Survey Outcomes,** Advisory Board Meeting, Munich, Germany (12 Apr 2018).



Hannelore Henning

### **Bucher-Koenen, Tabea**

**Do Individuals Adjust Retirement Expectations? Evidence from Pension Reforms in Europe**, 1st Joint ESS & SHARE User Meeting, Vienna, Austria (23 Nov 2018).

**Does Disability Insurance Improve Health and Well-Being?**, Advisory Board, Max Planck Institute for Social Law and Social Policy, Munich, Germany (12 Apr 2018).

**Does Disability Insurance Improve Health and Well-Being?**, Board of Trustees, Max Planck Institute for Social Law and Social Policy, Munich, Germany (16 Mar 2018).

### **Börsch-Supan, Axel**

**Status of Socio-Economic research infrastructures in Horizon Europe**, online (EU-Commission, DG RTD, Brussels), Germany (18 Dec 2020).

**Health Care and the Lessons of the Pandemic in Europe**, online (Century Summit of the Longevity Project, Stanford, USA), Germany (9 Dec 2020).

**Population Aging, Health and Integration**, online (Macron Commission, Paris), Germany (7 Dec 2020).

**Causal Pathways of the Socio-Economic Gradient**, online (Leopoldina-KNAV Conference on Social Inequalities in Health, Halle), Germany (2 Dec 2020).

**Inclusive Renewal in a Post-Pandemic World**, online (T-AP Transatlantic Partnership, London), Germany (25 Nov 2020).

**Wechselwirkungen in der Pandemie**, online (Leopoldina Wissenschaftskommission Demografischer Wandel, Berlin), Germany (24 Nov 2020).

**Life Histories in SHARE: Design & Results**, online (Health and Retirement Surveys around the world meeting, Washington), Germany (20 Nov 2020).

**State of SHARE**, online (TILDA SAB, Dublin), Germany (18 Nov 2020).

**Inequality in France**, online (Macron Commission, Paris), Germany (18 Nov 2020).

**First Results from the Accelerometry Study in SHARE**, online (Health and Retirement Surveys around the world meeting, Washington), Germany (13 Nov 2020).

**Do we Need to Fundamentally Change Reform after COVID19?**, online (Webinar for the Inter-American Development Bank, Washington), Germany (12 Nov 2020).

**Scientific Aims and Governance of the SHARE-COVID19 project**, online (Kick-Off Conference for the SHARE COVID19 project), Germany (10 Nov 2020).

**Some Principles for Pension Reform**, online (Public Sector Economics Conference, Zagreb), Germany (6 Nov 2020).

**SHARE Konsortium im Rahmen BR50**, Berlin, Germany (4 Nov 2020).

**Integration von SHARE in den BR50-Forschungsverbund**, Berlin (WZB Meeting), Germany (4 Nov 2020).

**Strengthening Research Infrastructures in Horizon Europe**, online (SSHOC Tier1 Meeting, Amsterdam), Germany (2 Nov 2020).

**Ageing Europe and Science-informed Population Policies**, online (Conference on Population Policies and Human Resources in Europe, Helsinki), Germany (26 Oct 2020).

**Effects of Pension Reforms on Income Inequality**, online (ISS Project Phase II), Germany (23 Oct 2020).

**Pooled time-series cross-national estimation of incentive effects to work longer**, online (ISS Project Phase 10a), Germany (22 Oct 2020).

**European Coverage for Socio-economic research infrastructures**, online (EU-Commission, DG RTD, Brussels), Germany (21 Oct 2020).

**Risk and Resilience from a Global Perspective**, online, Germany (14 Oct 2020).

**SHARE 2.0; Short-time Employment Aid in Europe**, online, Germany (14 Oct 2020).

**State of SHARE; the EU COVID-19 Project and the Future of SHARE**, online, Germany (13 Oct 2020).

**Health Trends in Europe**, online, Germany (12 Oct 2020).

**State of SHARE in times of Corona**, online, Germany (9 Oct 2020).

**Population aging in France: Pensions, Health and Integration of Immigrants**, Macron – online, Germany (23 Sep 2020).

**Situation der Rentenversicherung und der Altersvorsorge in Deutschland**, BMWi Beirat – online, Germany (17 Sep 2020).

**Optionen für mehr finanzielle Nachhaltigkeit in der Rentenpolitik**, ISWA – online, Germany (15 Sep 2020).

**Economic and Employment Consequences of the COVID-19 pandemic**, TUM Cosimena – online, Germany (14 Sep 2020).

**Kurz-, mittel- und langfristige wirtschaftliche Folgen der Corona-Pandemie**, CIO – online, Germany (10 Sep 2020).

**SHARE and the Future**, Berlin, Germany (9 Sep 2020).

**Lessons from the International Social Security project**, online, Germany (20 Aug 2020).

**Reformoptions for the French Pension System**, online, Germany (23 Jul 2020).

**Sozial- und wirtschaftswissenschaftliche Risiko- und Resilienzforschung**, Leibniz: online, Germany (21 Jul 2020).

**Reformoptionen für das französische System der Altersvorsorge**, Französische Botschaft in München, Germany (6 Jul 2020).

**Financial Incentive Effects for Early Retirements**, online, Germany (25 Jun 2020).

**Stand und Perspektiven der SHARE Studie**, online, Germany (24 Jun 2020).

**Reformoptionen für die gesetzliche Rentenversicherung**, online, Germany (19 Jun 2020).

**Age and Productivity: State of the Art and Two German Case Studies**, online, Germany (9 Jun 2020).

**Scientific Aims of the SHARE-Corona Telephone Survey**, online, Germany (18 May 2020).

**Accelerometry in SHARE**, TILDA Advisory Board meeting, Westport, Ireland (2 May 2020).

**Design & Research Aims of the SHARE – Corona Telephone Survey**, online, Germany (22 Apr 2020).

**Economic Implications of Population Aging in France**, online, Germany (14 Apr 2020).

**Flexibility Reforms in Europe**, online, Germany (9 Apr 2020).

**Mandatory Retirement in Europe**, online, Germany (8 Apr 2020).

**SHARE 2.0: Options and Procedures**, online, Germany (3 Apr 2020).

**Lehren aus dem Scheitern der Kommission Verlässlicher Generationenvertrag**, online, Germany (2 Apr 2020).

**The State of SHARE in Times of Corona**, online, Germany (2 Apr 2020).

**Lehren aus dem Scheitern der Kommission Verlässlicher Generationenvertrag**, Video Conference, Germany (2 Apr 2020).

**The State of SHARE in Times of Corona**, online, Germany (2 Apr 2020).

**'The State of SHARE in Times of Corona'**, Video Conference, Germany (2 Mar 2020).

**SHARE Infrastruktur [SHARE Infrastructure], ZEW Wissenschaftlicher Beirat**, Mannheim, Germany (18 Feb 2020).

**Anhebung der Altersgrenzen – eine Lösung des Demografiefproblems ohne Alternative? [Raising Age Limits – a Solution to the Demographic Problem Without an Alternative?]**, Die Rentenpolitik vor Zukunftsentscheidungen, Tutzing, Germany (13 Feb 2020).

**Surveying the Health, Aging and Retirement in Europe: Lessons to Learn**, American University, Cairo, Egypt (2 Feb 2020).

**Retirement, Identification and the Merits of an International Point of View**, Ehrenpromotion an der Universität Rostock, Rostock, Germany (4 Dec 2019).

**Demographie, Digitalisierung und soziale Sicherungssysteme: passt das noch zusammen? [Demography, digitalization & Social Security Systems: Are They Still Compatible?]**, Horst-Siebert Lecture, Konstanz, Germany (3 Dec 2019).

**Increasing the Retirement Age: Helpful & Unhelpful Solutions**, Kick-Off Workshop for new SFB, Geneva, Switzerland (29 Nov 2019).

**Health, Aging & Retirement in the Middle East**, Talks & presentations about establishing a SHARE offshoot in Egypt at the National Academy and the American University Cairo, Cairo, Egypt (25 Nov 2019).

**Transforming the Future of Aging**, Kommission Demographischer Wandel der Leopoldina, Berlin, Germany (18 Nov 2019).

**Individual & Population Aging: SHAREing a European Perspective**, ZEW Economic Policy Lecture, Mannheim, Germany (13 Nov 2019).

**Health & Labor Force Participation in Europe**, Workshop on 'Working longer in jeopardy?', Boston, United States (4 Nov 2019).

**Factors Determining Working Life**, SHARE Day Estonia, Tallinn, Estonia (29 Oct 2019).

**Zukunft der berufsständischen Versorgungswerke [The Future of Professional Pension Schemes]**, Vertreterversammlung der BWVA, Tübingen, Germany (23 Oct 2019).

**Topics in Economics**, HAALSI Advisory Board & harmonization meeting, Johannesburg, South Africa (16 Oct 2019).

**Value of Life History Collection**, HAALSI Advisory Board & harmonization meeting, Johannesburg, South Africa (16 Oct 2019).

**Final Review SHARE-DEV3**, Final Review SHARE-DEV3, Brussels, Belgium (8 Oct 2019).

**Overall aims & achievements**, Final Review of SHARE-DEV 3, Brussels, Belgium (8 Oct 2019).

**HCAP in 28 SHARE Countries**, Conference of the International Brain Research Organisation, Beirut, Lebanon (4 Oct 2019).

**State of SHARE**, SHARE Post-Field Rehearsal & Kick-Off COHESION Meeting, Budapest, Hungary (21 Sep 2019).

**Phase 10 Microestimation of Retirement Incentives in Germany**, NBER Conference International Social Security Project, Barcelona, Spain (13 Sep 2019).

**Vernünftige Reformen für die Rente [Reasonable Pension Reforms]**, Rentenforum der Hanns-Seidel-Stiftung, Nürnberg, Germany (2 Aug 2019).

**Dangerous Flexibility and Wrong Incentives: Econometric Analyses of Retirement Behavior**, Presentation at Faculty, Tübingen, Germany (18 Jul 2019).

**Productivity, Health, Incentives & Digitalisation: Chances of an Aging Society**, Silver Economy Forum of the Finnish EU Presidency, Helsinki, Finland (10 Jul 2019).

**First Results from SHARE Wave 6 & 7**, SHARE Wave 6 & 7 First Results Book Presentation, Brussels, Belgium (25 Jun 2019).

**Nachhaltige Altersvorsorge im internationalen Umfeld [Sustainable retirement Provisions in an International Context]**, Pensionskassen-Symposium, Zurich, Switzerland (20 Jun 2019).

**Population Aging, Migration and Economic Growth**, ECB Forum on Central Banking, Sintra, Portugal (18 Jun 2019).

**Big Data at Work: Productivity in the Service Industry**, NBER CEPR Conference on Health & Aging, Lugano, Switzerland (14 Jun 2019).

**Bevölkerungsalterung und Digitalisierung [Population Aging and Digitalization]**, Institutioneller Altersvorsorge- und Investorengipfel 2019, Vienna, Austria (5 Jun 2019).

**Altersvorsorge – Was bringt die Zukunft? [Pension Scheme – What Will the Future Bring?]**, Ostbayerischer Versicherungstag 2019, Straubing, Germany (21 May 2019).

**20 Years of SHARE, Conference on Economic Behavior & Cognition in Honor of Bob Willis**, Ann Arbor, United States (17 May 2019).

**Grundrentenmodelle [Basic Pension Models]**, BMG Rentengespräch, Berlin, Germany (9 May 2019).

**Saving Regret, Tagung des Theoretischen Ausschusses**, Berlin, Germany (3 May 2019).

**State of SHARE**, Aging studies harmonization meeting, Westport, Ireland (29 Apr 2019).

**Sinn und Unsinn der 2. und 3. Säule**, Rentenkommision, Berlin, Germany (16 Apr 2019).

**SHARE Biomarkers; Accelerometry in SHARE; Validation of Dried Blood Spots in SHARE; State of SHARE**, Biomarker Conference, Austin, TX, United States (9 Apr 2019).

**Who Fills the Pension Gap**, ASN Conference, Palo Alto, United States (19 Mar 2019).

**The US in Comparative Context**, Workshop 'Aging workforce and the challenge of working longer', Boston, United States (12 Mar 2019).

**The Challenge of Pensions: Demographics in a Global Context**, ALFI Conference of the Asset Managers of Luxembourg, Luxembourg, Luxembourg (5 Mar 2019).

**Bausteine für einen verlässlichen Generationenvertrag [Components for a Reliable Intergenerational Contract]**, Rentenkommision: Talk with Gabriele Lösekrug-Möller, Berlin, Germany (20 Feb 2019).

**Generationengerechtigkeit [Intergenerational JUSTICE]**, Tagung des Bevölkerungswirtschaftlichen Ausschusses, Würzburg, Germany (15 Feb 2019).

**Sampling Frames in the EU**, ESAC Meeting, Brussels, Belgium (1 Feb 2019).

**Arbeit der Rentenkommission [What the 'Rentenkommision' Does]**, FNA-Jahrestagung, Berlin, Germany (31 Jan 2019).

**Die Vermessung des Alters in SHARE [Measuring Aging in SHARE]**, BBAW – Salon Sophie Charlotte, Berlin, Germany (19 Jan 2019).

**Ausweitung der Beitragsbemessungsgrundlagen [Expansion of Contribution Assessment Basis]**, Tagung BMAS Finanzierung des Sozialstaats, Berlin, Germany (11 Jan 2019).

**Financial Situation of SHARE**, Extraordinary Extended SHARE-ERIC Council Meeting, Frankfurt (17 Dec 2018).

**Age and Productivity**, 9th Annual APRU Research Conference on Population Aging, Hong Kong (7 Dec 2018).

**Gerechte Rente [Fair pensions]**, Körber Stiftung, Hamburg (4 Dec 2018).

**Individual & Population Aging: Lessons from International Comparisons**, Symposium FAPESP-Max Planck, Sao Paulo, Brazil (28 Nov 2018).

**Aging and the Gift of Longevity – How to Meet the Challenges of Getting Older, Aging and the Gift of Longevity – How to Meet the Challenges of Getting Older**, Max-Planck-Institut für Psychiatrie, Germany (20 Nov 2018).

**Cost Structure of SHARE**, ESFRI Workshop on success of Research Infrastructures, Milan, Italy (19 Nov 2018).

**Pension Reform and Reform Backlash in Germany**, ASN, Boston, USA (18 Nov 2018).

**Meetings with Peter Diamond, Jim Poterba, Ursula Staudinger**, GSA, Boston, USA (15 Nov 2018).

**Pension Reform and Reform Backlash in Germany**, Conference 'Pension reforms in Europe', Brussels, Belgium (9 Nov 2018).

**Myths and Scientific Evidence about Population Aging**, Mexican Science Day, Berlin (7 Nov 2018).

**Myths and Scientific Evidence about Population Aging**, Mexican Science Day, Berlin (7 Nov 2018).

**International Developments in Retirement Incomes**, Opening of CEPAR II: Retirement Incomes Policy Dialogue, Canberra, Australia (31 Oct 2018).

**Rentenooptionen nach 2025 [Pension Options after 2025]**, Rentendialog BM Gesundheit, Berlin (29 Oct 2018).

**State of SHARE**, ELSA launch wave 9 & international consultants' meeting, London, UK (19 Oct 2018).

**State of SHARE**, Harmonization meeting SHARE-ELSA-HRS-CHARLES-JSTAR, London, UK (18 Oct 2018).

**Rentenreformoptionen [Options for a pension reform]**, Bundestag Junge Gruppe, Berlin (27 Sep 2018).

**Social Security Systems and their Interactions**, SAPEA working meeting The Future of Aging, Brussels, Belgium (25 Sep 2018).

**Demographie, Digitalisierung und Sozialsysteme [Demography, Digitalization and Social Systems]**, Vortrag bei Evonik, Hanau (24 Sep 2018).

**Adaptability & Reliability of Public Pension Systems**, DG ECFIN Workshop on German and Austrian pension systems, Brussels, Belgium (20 Sep 2018).

**Myths, Scientific Evidence & Public Policy in Aging Societies**, 90th anniversary of Institut de recherches économiques et sociales, Brussels, Belgium (20 Sep 2018).

**Rentensysteme im internationalen Vergleich [Pension Systems Compared Internationally]**, Rentenkommission 2-Tages-Klausur, Leipzig (19 Sep 2018).

**European Coverage**, 4th International Conference on Research Infrastructures – ICRI 2018, Vienna, Austria (12 Sep 2018).

**Funding of SHARE waves 8–10**, SHARE Wave 8 Post-Pretest Meeting, Riga, Latvia (7 Sep 2018).

**Rentenreformoptionen [Pension Reform Options]**, CDU/CSU-Fraktionssitzung, Berlin (6 Sep 2018).

**Dangerous Flexibility**, Conference on Retirement, Helsinki, Finland (4 Sep 2018).

**Dangerous Flexibility**, NBER Conference on Policies on Retirement Transitions, Jackson, WY, USA (10 Aug 2018).

**Continuation of SHARE as DFG Langzeitvorhaben**, DFG-Begehung Verlängerung SHARE Deutschland, Bonn (30 Jul 2018).

**Pension Adequacy of the Self-employed**, Conference on Pension Adequacy in a Changing Society, Brussels, Belgium (2 Jul 2018).

**Is Intergenerational Cohesion Falling apart?**, Max-Planck Jahresversammlung, Heidelberg (13 Jun 2018).

**Pension Reforms in Europe**, G4-Workshop on Pension Sustainability, Madrid, Spain (12 Jun 2018).

**How do Pension Systems Work?; How Does Aging Affect the Economy?**, Venice International University Summer Institute, Venice, Italy (4 Jun 2018).

**Labor Market and Digitalization**, Festival di Economia, Trento, Italy (2 Jun 2018).

**Rentenpolitik [Pension Policy]**, Leopoldina/Bundesbank-Konferenz 'Lehren aus Politikberatung', Halle (29 May 2018).

**Design of Retirement Incentives**, International Social Security Conference, Washington, USA (24 May 2018).

**Saving for Old Age: Overconfidence & the Social Safety Net in International Perspective**, Conference on the Economics of Aging, Beijing, China (17 May 2018).

**Soziale Wohnungspolitik [Social Housing Policy]**, Wissenschaftlicher Beirat beim BMWi, Berlin (26 Apr 2018).

**Saving Regret**, Fakultätsseminar, Zurich, Switzerland (24 Apr 2018).

**Road Map Synchronization**, ERIC Forum, Oxford, UK (20 Apr 2018).

**Pension Challenges and Reforms in Europe**, Conference on the New World of Pensions and Retirement, Beer Sheva, Israel (26 Mar 2018).

**Synchronization of National Roadmaps**, Bulgarian Presidency: Flagship conferences on research infrastructures, Sofia, Bulgaria (22 Mar 2018).

**Stoppt die Demographie an der Haltelinie? [Will Demography Stop at the Stop Line?]**, Handelsblatt Jahreskonferenz Betriebliche Altersvorsorge, Berlin (12 Mar 2018).

**Funded Pensions in Germany, International seminar on Supplementary Pension Savings**, Ljubljana, Slovenia (8 Mar 2018).

**Introduction; Speech at German Embassy; International Comparisons to Study Population Aging**, Max-Planck – CONACYT Symposium Frontiers of Science, Mexico City, Mexico (28 Feb 2018).

**DBS Statistical Analysis**, Visit USC, Los Angeles, USA (19 Feb 2018).

**Saving Regret**, Forschungskkooperation RAND, Los Angeles, USA (16 Feb 2018).

**Design Considerations in Social Society; Factors Driving the Reversal in Old-age Employment**, Aging Societies Network Meeting, Palo Alto, USA (13 Feb 2018).

**Statistical Analysis of the DBS Collection Process**, Biomarker Meeting, Seattle, USA (12 Feb 2018).

**Status of SHARE**, SHARE Wave 8 Preparation Meeting, St. Julian's, Malta (7 Feb 2018).

**Ökonomie des demographischen Wandels [Economics of Demographic Change]**, vdmno Seminar, Celle (22 Jan 2018).

**Progressiveness Test for Redistribution between Generations; Earnings Tests and Actuarial Adjustments; Pension Adequacy in Europe**, Netspar Conference, Leiden, Netherlands (18 Jan 2018).

**Generationengerechtigkeit der Rente**, Symposium zu Ehren Gert Wagner: Innovation & Wissenstransfer, Berlin (12 Jan 2018).

#### **Douhou, Salima**

**SHARE-HCAP update**, HCAP Harmonisation Meeting, Bethesda, United States (29 Oct 2019).

#### **Farbmacher, Helmut**

**Instrument Validity Tests with Causal Trees, Modelling with Big Data and Machine Learning: Interpretability and Model Uncertainty**, London, United Kingdom (4 Nov 2019).

**Heterogeneous Effects of Poverty on Cognition**, XXXIst Conference of the Austro-Swiss Region (ROeS) of the International Biometric Society, Lausanne, Switzerland (10 Sep 2019).

**On the Use of the Lasso for Instrumental Variables Estimation with Some Invalid Instruments**, Statistische Woche 2018, Linz, Austria (11 Sep 2018).

#### **Ferrari, Irene**

**The Role of Pension Knowledge in Labour Supply Decisions: Evidence from Europe**, Leiden, Netherlands (22 Jan 2020).

**Who Fills the Pension Gap?**, Leiden, Netherlands (17 Jan 2020).

**The Role of Pension Knowledge in Labour Supply Decisions: Evidence from Europe**, Berlin, Germany (10 Jun 2019).

**Do Individuals Adjust Retirement Expectations? Evidence from Pension Reforms in Europe**, 1st Joint ESS & SHARE User Meeting, Vienna, Austria (23 Nov 2018).

**The Nativity Wealth Gap in Europe: A Matching Approach**, Palma de Mallorca, Spain (30 May 2018).

**Two Applications of SHARE Data: The Nativity Wealth Gap and the Effect of Labour Market Policies in Europe**, Advisory Board, Max Planck Institute for Social Law and Social Policy, Munich, Germany (13 Apr 2018).

**Two applications of SHARE Data**, Board of Trustees, Max Planck Institute for Social Law and Social Policy, Munich, Germany (16 Mar 2018).

#### **Franzese, Fabio**

**Marriage Stability and Fertility after the Death of a Child**, Joint SHARE User Conference and Budapest Pension Seminar, Budapest, Hungary (20 Sep 2019).

**Introduction to SHARE incl. Hands-On Session**, SHARE User Workshop, Jyväskylä, Finland (5 Jun 2019).

**Introduction to SHARE incl. Hands-On Session**, SHARE User Workshop, Helsinki, Finland (4 Jun 2019).

**Fieldwork Checkfiles**, SHARE Operators Meeting, Budapest, Hungary (21 Sep 2019).

**Marriage Stability after the Death of a Child**, Seminar 'Ausgewählte Probleme der Sozialstrukturanalyse', Heidelberg, Germany (20 May 2020).

**SHARE Accelerometry Project**, Information on the SHARE Accelerometry Project, Online, Germany (15 Jul 2020).

**Processing of Accelerometer Data**, 4th SSHOC consortium meeting,, Online, Germany (9 Sep 2020).

**Projects with SHARE Accelerometer Data**, 1st ProPASS ECR Network Meeting, Online, Germany (24 Sep 2020).

**Friedel, Sabine**

**Using the Relationship between Income Item Nonresponse and Panel Attrition for Adaptive Fieldwork Measures in SHARE**. European Survey Research Association, Zagreb, Croatia (16 Jul 2019).

**Goll, Nicolas**

**Demografischer Wandel und Rente – Trends, Reformen, Mythen [Demographic Change and Retirement – Trends, Reforms, Myths]**, Starnberger Kunstkreis Buzentaur e.V., Starnberg, Germany (8 May 2019).

**Retirement Behavior in Germany: Micro-Modeling**, NBER International Social Security Working Group Meeting, Washington, D.C., United States (24 May 2018).

**15 Jahre Riester – eine Bilanz [15 Years of the Riester Pension Scheme – Taking Stock]**, Konrad-Adenauer-Stiftung, München, Germany (14 Apr 2018).

**Gruber, Stefan**

**Does Migration Pay Off in the Long Run? Income and Subjective Well-Being of Older Migrants in Europe**, Joint SHARE User Conference and Budapest Pension Seminar, Budapest, Hungary (19 Sep 2019).

**Does Migration Pay Off in the Long Run? Income and Subjective Well-Being of Older Migrants in Europe**, 16th IMISCOE Annual Conference. Malmö, Sweden (28 Jun 2019).

**Intra-European Migration and its Long-Term Effect on Well-being**, 16th IMISCOE Annual Conference, Malmö, Sweden (28 Jun 2019).

**Introduction to SHARE**, SHARE Wave 8 Post-Pretest – Country Team Operators Meeting, Riga, Latvia (5 Sep 2018).

**Data Types and Versions**, SHARE Wave 8 Post-Pretest – Country Team Operators Meeting, Riga, Latvia (5 Sep 2018).

**Tasks Overview**, SHARE Wave 8 Post-Pretest – Country Team Operators Meeting, Riga, Latvia (5 Sep 2018).

**Intra-European Migration and its Long-Term Consequences on Subjective Well-being**, XIX ISA World Congress of Sociology, Toronto, Canada (19 Jul 2018).

**Guber, Raphael**

**Instrument Validity Tests with Causal Trees: With an Application to the Same-sex Instrument**, Verein für Socialpolitik Annual Conference 2018, Freiburg, Germany (2 Sep 2018).

**Instrument Validity Tests with Causal Trees: With an Application to the Same-sex Instrument**, 2018 IAAE Annual Conference, Montréal, Québec, Canada (26 Jun 2018).

**Hannemann, Tessa-Virginia**

**SHARE Wave 8 Main TTT – Fieldwork Monitoring**, SHARE Wave 8 Main TTT, Frankfurt, Germany (2 Oct 2019).

**Herold, Imke**

**SHARE-RV: Datenverknüpfung von SHARE mit RV-Daten**, FDZ-RV Nutzer\*innen Tagung, Erkner, Germany (25 Sep 2019).

**SHARE-RV: Datenverknüpfung von SHARE mit RV-Daten**, FDZ-RV Jahrestagung, Berlin, Germany (6 Sep 2018).

**Hunkler, Christian**

**Whose Closure? Gender Inequality and Access to Skill Training**, Seminar 'Analytische Soziologie: Theorie und empirische Anwendungen', Venice, Italy (14 Nov 2018).

**Khourshed, May**

**Frictions in Refugee Integration**, Migration Workshop, Paris, France (21 Jun 2018).

**Kneip, Thorsten**

**Birds of a Feather. A Couple Perspective on the Social Origin Wealth Gap and its Underlying Mechanisms**, Social Science Research Colloquium, TU Kaiserslautern, Kaiserslautern, Germany (13 Nov 2019).

**Different Methods, Same Results? – How can We Increase Confidence in Scientific Findings?**, 8th Conference of the European Survey Research Association (ESRA), Zagreb, Croatia, Germany (15 Jul 2019).

**Estimating Bounds on Causal Effects in a Non-randomized Experiment with Self-reported Outcome and Possible Spillover**, 8th Conference of the European Survey Research Association (ESRA), Zagreb, Croatia, Croatia (15 Jul 2019).

**Changes in Body Mass and Cognitive Performance – Disentangling a Seeming Paradox**, Seminar 'Analytische Soziologie: Theorie und empirische Anwendungen', Venice, Italy, Germany (14 Nov 2018).

**How Having Children Shapes Well-being in Older Age. Well-being Trajectories and Children's Role in Buffering Adverse Life Events**, 6th International pairfam Conference. Innovations in Panel Data Methods, Munich, Germany (28 Jun 2018).

**Kronsnabl, Judith**

**Ageing Well in Europe – Healthy Cognitive Ageing**, Colloquium for Doctoral Students, Online, Germany (11 Sep 2020).

**SHARE Wave 9 MODEL Contract**, SHARE Web-meeting, Online, Germany (1 Apr 2020).

**Ageing Well in Europe – Determinants of Physical and Mental Health**, Colloquium for Doctoral Students, TU Dortmund, Germany (14 Nov 2019).

**Introduction to SHARE**, Masterseminar Forschungsdesigns, TU Dortmund, Germany (14 Nov 2019).

**Changes in Body Mass and Cognitive Performance – Disentangling a Seeming Paradox**, Seminar 'Analytische Soziologie: Theorie und empirische Anwendungen', Venice, Italy (14 Nov 2018).

**Introduction to SHARE**, Masterseminar 'Forschungsdesigns' der TU Dortmund, Dortmund, Germany (6 Nov 2018).

**Procurement & Contracting Update**, SHARE Wave 8 Post-Pretest Meeting, Riga, Latvia (6 Sep 2018).

**Procurement Wave 8**. SHARE Wave 8 Meeting, Malta, Malta (7 Feb 2018).

**Kutlu Koc, Vesile**

**Who Fills the Pension Gap?**, Board of Trustees, Max Planck Institute for Social Law and Social Policy, Munich, Germany (12 Apr 2019).

**Loriggio, Tessa**

**MATESHA: Manual for Testing in SHARE**. SHARE Operators Meeting, Online Meeting, Germany (14 Oct 2020).

### **López-Falcón, Diana**

**Social Policies and Population Change**, Jean Monnet Europa Policy Lab, Canberra, Australia (22 Aug 2019).

**Bridging the Gap between Policy and Research: Migration and Retirement**. Jean Monnet Europa Policy Lab, Canberra, Australia (1 Mar 2019).

**Fostering Research without Walls**. Mexican Science Day in the Framework of the Berlin Science Week 2018, Berlin, Germany (7 Nov 2018).

**The Social Policy and Law Shared Database – SPLASH**, The European Population Conference 2018 'Population, Diversity and Inequality', Brussels, Belgium, Germany (6 Jun 2018).

### **Malter, Frederic**

**Identifying fake interviews in a panel study – The Survey of Health, Aging and Retirement in Europe (SHARE)**. Second International Conference on the Methodology of Longitudinal Surveys, Essex, United Kingdom (26 Jul 2018).

**Interviewerfälschungen in Panelstudien – Identifikation am Beispiel des Survey of Health, Aging and Retirement in Europe (SHARE)**, 12. Workshop der Panelsurveys im deutschsprachigen Raum, Bamberg (19 Feb 2018).

### **Mendoza Jiménez, Maria José**

**Key Changes SampleCTRL/CaseCTRL**. SHARE Wave 9 Operators Web Meeting, Online, Germany (12 Oct 2020).

**Case CTRL Adaptations: Feedback & Reactions**, SHARE Wave 8 Webinar on Corona add-on (TTT 2), Online, Germany (3 Jun 2020).

**Case CTRL Adaptations**, SHARE Wave 8 Webinar on Corona add-on (TTT 1), Online, Germany (18 May 2020).

**Sample CTRL, Contact to Respondents, Case CTRL, Coverscreen**, Munich, Germany (7 May 2020).

**Country Teams Testing Preparation for the Pre-Test**. Wave 8 Operators' Web Meeting, Online, Germany (1 Apr 2020).

### **Morris, Todd**

**Responses to Tax Subsidies on Contributions to Private Retirement Savings, Responses to tax subsidies on contributions to private retirement savings**, Mannheim (online), Germany (27 Oct 2020).

**Shaping the Habits of Young Drivers**, Bavarian Graduate Program in Economics Mini Workshop, Nuremberg (online), Germany (9 Jul 2020).

**Shaping the Habits of Young Drivers**, Johannes Kepler University Economics seminar, Johannes Kepler University Linz (online), Austria (22 Apr 2020).

**The Unequal Burden of Retirement Reform: Evidence from Australia**, Netspar International Pension Workshop, Leiden, Netherlands (24 Jan 2020).

### **Máté, Veronika**

**SHARE Public Relations**, CERIC-SHARE Communications Meeting, Trieste, Italy (20 Sep 2018).

**PR Updates**, SHARE Wave 8 Post Pretest Meeting, Riga, Latvia (6 Sep 2018).

### **Méango, Romuald**

**Regional Migration and Wage Inequality in the West African Economic and Monetary Union**, Eighth ECINEQ Meeting 2019, Paris School of Economics, Paris, France (4 Jul 2020).

**Empirical Content of the Roy Model under Stochastic Monotonicity Constraints**, Toulouse School of Economics, France (10 Dec 2019).

**What Makes Brain Drain More Likely? Evidence from Sub-Saharan Africa**, MEDAM Seminar, CEPS, Brussels, Belgium (10 Apr 2019).

**The Puzzle of Educated Unemployment in west Africa**, IAAE Annual Conference 2018, UQAM, Montreal, Canada (28 Jun 2018).

**Regional Migration and Wage Inequality in the West African Economic and Monetary Union**, CISEA 2018, ENSEA, Abidjan, Côte d'Ivoire (11 Jun 2018).

**Oepen, Andrea**

**State of Affairs/ INFRACOV initiative**, SHARE Wave 8 Post-FiRe and Kick-Off COHESION Meeting, Budapest, Hungary (21 Sep 2018).

**Structural funds**, SHARE Wave 8 Post Pretest Meeting, Riga, Latvia (7 Sep 2018).

**Amendment of the SHARE-ERIC Bylaws concerning the quorum**, 11th SHARE ERIC Council Meeting, Munich, Germany (14 May 2018).

**Governance of SHARE / Amendment SHARE-ERIC Statutes**, 10th SHARE-ERIC Council Meeting, Germany (4 May 2018).

**Procurement Wave 8**. SHARE Wave 8 Meeting, Malta, Malta (7 Feb 2018).

**Pettinicchi, Yuri**

**Improving Translation Procedures**, CentERdata – MEA meeting, Mannheim, Germany (28 Nov 2019).

**Job Loss Expectations, Durable Consumption and Household Finances Evidence from Linked Survey Data**, Department Seminar, Venice, Italy (16 Oct 2019).

**Do Individuals Adjust Retirement Expectations? Evidence from Pension Reforms in Europe**, 3rd Household Finance Workshop, Frankfurt, Germany (8 Oct 2019).

**Mock Interview**, SHARE Wave 8 – Main TTT, Frankfurt, Germany (1 Oct 2019).

**Job Loss Expectations, Durable Consumption and Household Finances Evidence from Linked Survey Data**, Joint Conference on Household Expectations, Frankfurt, Germany (28 Sep 2019).

**Do Individuals Adjust Retirement Expectations? Evidence from Pension Reforms in Europe**, Share User Conference, Budapest, Hungary (19 Sep 2019).

**Employment Histories in Germany from SHARE-LIFE**, Board of Trustees, Max Planck Institute for Social Law and Social Policy, Munich, Germany (12 Apr 2019).

**Mock Interview**, SHARE Wave 8 Field Rehearsal TTT, Munich, Germany (21 Mar 2019).

**Asking about place of living in ESS and SHARE**, 1st Joint ESS & SHARE User Meeting, Vienna, Austria (23 Nov 2018).

**Do Individuals Adjust Retirement Expectations? Evidence from Pension Reforms in Europe**, 1st Joint ESS & SHARE User Meeting, Vienna, Austria (23 Nov 2018).

**Mock Interview**, Train the Trainer (TTT) – SHARE Wave 8 Pretest – Group B, Munich, Germany (12 Jun 2018).

**Automatic translation verification: can we rely on MOSES?**, OECD-GESIS Seminar on Translating and Adapting Instruments in Large Scale Assessments, Paris, France (7 Jun 2018).

**Mock Interview**, Train the Trainer (TTT) – SHARE Wave 8 Pretest – Group A, Munich, Germany (5 Jun 2018).

**Translation Procedure and Automatic Verification**, 'Establishing a roadmap for the use of computational linguistics' tools and translation technologies in survey research', Barcelona, Spain (14 Mar 2018).

**Translation procedure – Innovations**, SHARE Wave 8 Preparation Meeting, St. Julian's, Malta (7 Feb 2018).

**Pflüger, Senta-Melissa**

**Sample CTRL & Data Export**, SHARE Wave 8 Main TTT, Frankfurt, Germany (2 Oct 2019).

**Drop-off – Specifications and Data Delivery**, SHARE Wave 8 Main TTT, Frankfurt, Germany (1 Oct 2019).

**Welcome and Introduction to Data Versions**, SHARE Wave 8 Post-FiRe and Kick-Off COHESSION Meeting, Budapest, Hungary (21 Sep 2019).

**Introduction to SHARE**, SHARE Wave 8 Post-Pretest – Country Team Operators Meeting, Riga, Latvia (5 Sep 2018).

**Tasks Overview**, SHARE Wave 8 Post-Pretest – Country Team Operators Meeting, Riga, Latvia (5 Sep 2018).

**Data Types and Versions**, SHARE Wave 8 Post-Pretest – Country Team Operators Meeting, Riga, Latvia (5 Sep 2018).

**Rausch, Johannes**

**Demografie und Niedrigzinsen – Vorsorgesysteme unter Druck(?) [Demography and Low Interest Rates – Pension Systems under Pressure (?)]**, Sitzung des vbw Ausschusses für Sozialpolitik, München, Germany (10 Oct 2019).

**Sand, Gregor**

**Final Review SHARE-DEV3**, Final Review SHARE-DEV3, Brussels, Belgium (8 Oct 2019).

**SHARE Wave 8 Main TTT – Fieldwork Monitoring**, SHARE Wave 8 Main TTT, Frankfurt, Germany (2 Oct 2019).

**Does Migration Pay Off in the Long Run? Income and Subjective Well-Being of Older Migrants in Europe**, 16th IMISCOE Annual Conference, Malmö, Sweden (28 Jun 2019).

**SHARE Wave 8 Post-Pretest Meeting – Pretest Overview and Outcomes**, Riga, Latvia (5 Sep 2018).

**SHARE Wave 8 Pretest TTT – Overview & Specifications & Compliance Profiles, Deliverables, Schedule & CASE CTRL – The New Sample Management System**, Munich, Germany (13 May 2018).

**Scherpenzeel, Annette**

**Keeping the Oldest Old – a Framework for Survey Adaptations to Improve Panel Retention in SHARE**, 30th Workshop on Household Survey Nonresponse, Online, Germany (26 Aug 2020).

**Improving Data Quality in SHARE: Overview about Current Projects**, SHARE Wave 8 Midterm Meeting, Munich, Germany (3 Apr 2020).

**Web-interviewing in SHARE**, RISCAPe workshop on 'mapping the global on-line probability based panel landscape', Amsterdam, Netherlands (12 Dec 2019).

**SSHOC WP5 Progress**, SSHOC 2nd Consortium Meeting, Florence, Italy (14 Oct 2019).

**SHARE User Conference – Closing Speech**, SHARE Users' conference, Budapest, Hungary (20 Sep 2019).

**SHARE as a Tool for European Policy Analyses: Health and Social Status over the Life Course**, ESS European Commission Event, Brussels, Belgium (13 Sep 2019).

**Using Field Monitoring Strategies to Reduce Attrition Bias in a Panel Study: Application during Data Collection in the Survey of Health, Ageing and Retirement in Europe (SHARE)**, Zagreb, Croatia (17 Jul 2019).

**Using the Relationship between Income Item Nonresponse and Panel Attrition for Adaptive Fieldwork Measures in SHARE**, Zagreb, Croatia (16 Jul 2019).

**Using Objective Measures of Health and Activity in Surveys**, 8th Conference of the European Survey Research Association (ESRA), Zagreb, Croatia (15 Jul 2019).

**Wrap-up: SHARE's Life Course**, SHARE FRB Event, Brussels, Belgium (25 Jun 2019).

**The Future of Household Panels**, 10th international conference of panel data users in Switzerland: 20 years Swiss Household Panel, Lausanne, Switzerland (5 Jun 2019).

**Fieldwork Cost Analysis across Countries in SHARE**, 4th SERISS Survey Experts Network Workshop 'Survey fieldwork cost', Den Haag, Netherlands (17 May 2019).

**General Introduction SHARE and News about Data**, SHARE Germany and Netherlands user workshop 2019, Cologne, Germany (16 May 2019).

**SHARE Activities 2018**, 11th SHARE ERIC Council Meeting, Munich, Germany (14 May 2019).

**Accelerometer Data Collection in 10 SHARE Countries**, HRS harmonisation meeting & TILDA Scientific Conference, Westport, Ireland (2 May 2019).

**WP2: Representing the Population**, SERISS work package review meeting, London, United Kingdom (24 Apr 2019).

**WP5: Innovations in Data Access**, SSHOC Kick-Off meeting, Utrecht, Netherlands (11 Mar 2019).

**A Pre-test of Accelerometer Data Collection in 10 Countries**, Workshop 'Mobile Apps and Sensors in Surveys (MASS) Workshop', Mannheim, Germany (4 Mar 2019).

**Responsive and Adaptive Fieldwork Designs in Practice: Can We Effectively Reduce Variation in Response Rates across Respondent Groups during Data Collection in the Survey of Health, Ageing and Retirement in Europe (SHARE)**, Symposium 'Fieldwork Monitoring Strategies for Interviewer-Administered Surveys', Mannheim, Germany (23 Jan 2019).

**Using Field Monitoring Strategies to Reduce Attrition Bias in a Panel Study: Application during data collection in the Survey of Health, Ageing and Retirement in Europe (SHARE)**, Symposium 'Fieldwork Monitoring Strategies for Interviewer-Administered Surveys', Mannheim, Germany (23 Jan 2019).

**International Comparison of Survey Costs and Strategies for the Tendering Procedure**, Panelworkshop zum Thema 'Erhebungskosten und Strategien zur Steigerung der Kosteneffizienz', Wiesbaden (15 Oct 2018).

**Using Field Monitoring Strategies to Reduce Attrition Bias in a Panel Study: Application during Data Collection in the Survey of Health, Aging and Retirement (SHARE)**, Methodology of Longitudinal Surveys II, Essex, United Kingdom (26 Jul 2018).

**Schmidutz, Daniel**

**Implementing GDPR Compliant Data Protection Procedures in SHARE Wave 8**, SHARE Wave 8 Post Field Rehearsal Meeting, Budapest, Hungary, Germany (21 Sep 2019).

**Procedures to Ensure Compliance with Data Protection Provisions in SHARE**, SHARE Wave 8 Post Field Rehearsal Meeting, Budapest, Hungary, Germany (20 Sep 2019).

**SHARE Wave 8 Data Protection Update**, SHARE Wave 8 Post Pretest Meeting, Riga, Latvia, Germany (6 Sep 2018).

**Implementing Consent for Record Linkage in a Cross-National Survey**, 3rd SERISS Experts Network Workshop: 'Legal and Ethical Issues of Combining Survey Data with New Forms of Data', London, England (UK), United Kingdom (19 Jun 2018).

**Data Protection in SHARE Wave 8**, SHARE Wave 8 TTT, Part 2, Munich, Germany, Germany (15 Jun 2018).

**Data Protection in SHARE Wave 8**, SHARE Wave 8 TTT, Part 1, Munich, Germany, Germany (6 Jun 2018).

**Update on Data Protection in SHARE**, SHARE Wave 8 Preparation Meeting, St. Julians, Malta, Germany (7 Feb 2018).

**Schuller, Karin**

**COVID-19 Add-on – Specifications and Schedule**, SHARE Wave 8 COVID-19 add-on TTT, Online-Seminar, Germany (7 May 2020).

**General Interview Techniques – Quiz**, SHARE Wave 8 Main TTT, Frankfurt, Germany (1 Oct 2019).

**Refusal Conversion, Difficult Interview Situations – Group Exercise**, SHARE Wave 8 Main TTT, Frankfurt, Germany (1 Oct 2019).

**Specifications Main Data Collection**, SHARE Wave 8 Main TTT, Frankfurt, Germany (30 Sep 2019).

**Schedule of Waves 8, 9, 10**, SHARE Wave 8 Post-FiRe and Kick-Off COHESION Meeting Budapest, Budapest, Hungary (20 Sep 2019).

**Field Rehearsal Outcomes: SHARE Central's Perspective**, SHARE Wave 8 Post-FiRe and Kick-Off COHESION Meeting, Budapest, Hungary (20 Sep 2019).

**SHARE Activities 2018**, 11th SHARE ERIC Council Meeting, Munich, Germany (14 May 2019).

**Specifications, Schedule, Deliverables, Next steps**, SHARE Wave 8 FiRe TTT, Munich, Germany (20 Mar 2019).

**Identifying Fake Interviews in a Panel Study – The Survey of Health, Aging and Retirement in Europe (SHARE)**. Second International Conference on the Methodology of Longitudinal Surveys, Essex, United Kingdom (26 Jul 2018).

**Interviewerfälschungen in Panelstudien – Identifikation am Beispiel des Survey of Health, Aging and Retirement in Europe (SHARE) [Interview falsifications in panel studies – Identification in the Survey of Health, Aging and Retirement in Europe (SHARE)]**, 12. Workshop der Panelsurveys im deutschsprachigen Raum, Bamberg (19 Feb 2018).

**Schütz, Johanna**

**Marital biogRAPHY and Health in Old Age: Insights from European survey data**, MaxNetAging Graduate Workshop 2018, Leipzig (8 Mar 2018).

**Semedo Leite, Duarte Nuno**

**Pension Policy**, JRC Fiscal Policy Modelling Workshop, Seville, Spain (12 Feb 2020).

**The Aging-Inflation Puzzle: On the Interplay between Aging, Inflation and Pension Systems**, Verein fuer Socialpolitik – Annual Conference 2019: 30 Years after the Fall of the Berlin Wall: Democracy and Market Economy, Leipzig, Germany (22 Sep 2019).

**The Aging-Inflation Puzzle: On the Interplay between Demographic Change and Inflation**, Conference, Manchester, United Kingdom (28 Aug 2019).

**Preventing Reforming Unequally**, 17th International Conference on Pension, Insurance and Savings, Paris, France (27 May 2019).

**The Aging-Inflation Puzzle: On the Interplay between Aging, Inflation and Pension System**, Netspar International Pension Workshop, Leiden, Netherlands (24 Jan 2019).

**The Aging-Inflation Puzzle: on the Interplay between Aging, Inflation and Pension Systems**, 20 Years Doctoral Programme in Economics Workshop, Porto, Portugal (4 Oct 2018).

**Endogenous Retirement Behavior of Heterogeneous Households Under Pension Reforms**, Verein für Socialpolitik Annual Conference 2018, Freiburg, Germany (2 Sep 2018).

**Endogenous Retirement Behavior of Heterogeneous Households Under Pension Reforms**, 14th Viennese Conference on Optimal Control and Dynamic Games, Vienna, Austria (3 Jul 2018).

**The Aging-Inflation Puzzle: On the Interplay between Aging, Inflation and Pension Systems**, MEA Seminar, Munich, Germany (23 May 2018).

**Earnings Test, Non-Actuarial Adjustments and Flexible Retirement**, Advisory Board, Max Planck Institute for Social Law and Social Policy, Munich, Germany (13 Apr 2018).

**Earnings Test, Non-actuarial Adjustments and Flexible Retirement**, Netspar International Pension Workshop, Leiden, Netherlands (17 Jan 2018).

**Sommer, Elena**

**Sample CTRL & Data Export**, SHARE Wave 8 Main TTT, Frankfurt, Germany (2 Oct 2019).

**Case CTRL & Coverscreen – Hands-On Exercises part 2, Q&A**. SHARE Wave 8 Main TTT, Frankfurt, Germany (1 Oct 2019).

**Drop-off – Specifications and Data Delivery**, SHARE Wave 8 Main TTT, Frankfurt, Germany (1 Oct 2019).

**Case CTRL & Coverscreen – Hands-On Exercises**. SHARE Wave 8 Main TTT, Frankfurt, Germany (30 Sep 2019).

**Case CTRL & Coverscreen – Show and Tell**. SHARE Wave 8 Main TTT, Frankfurt, Germany (30 Sep 2019).

**Smartphone Survey Completion in the Probability-based CROSS-National Online Survey (CRONOS) Panel**, 8th Conference of the European Survey Research Association (ESRA), Zagreb, Croatia (15 Jul 2019).

**Comparing Wave-by-Wave and One-Off Unconditional Incentives unconditional incentives in the CROSS-National Online Survey (CRONOS) Panel**, Zagreb, Croatia (15 Jul 2019).

**Diversity and Dynamics of Transnational Entrepreneurial Activities of Self-Employed Migrants**. Malmö, Sweden (26 Jun 2019).

**Case CTRL & Coverscreen – Difficult Situations**. SHARE Wave 8 Field Rehearsal TTT, Munich, Germany (21 Mar 2019).

**Case CTRL & Coverscreen – Hands-On Exercises**. SHARE Wave 8 Field Rehearsal TTT, Munich, Germany (20 Mar 2019).

**Case CTRL and Coverscreen – Show and Tell**. SHARE Wave 8 Field Rehearsal TTT, Munich, Germany (20 Mar 2019).

**Asking about Place of Living in ESS and SHARE**, 1st Joint ESS & SHARE User Meeting, Vienna, Austria (23 Nov 2018).

**Case CTRL & Coverscreen – Hands-On Exercises (Difficult Situations)**. SHARE Wave 8 Pretest TTT, Munich, Germany (14 Jun 2018).

**Case CTRL – Hands-On Exercises (Standard Scenarios)**. SHARE Wave 8 Pretest TTT, Munich, Germany (13 Jun 2018).

**Case CTRL & Coverscreen – Hands-On Exercises (Difficult Situations).** SHARE Wave 8 Pre-test TTT, Munich, Germany (5 Jun 2018).

**Case CTRL – Hands-On Exercises (Standard Scenarios).** SHARE Wave 8 Pretest TTT, Munich, Germany (4 Jun 2018).

**Stuck, Stephanie**

**Welcome and Introduction,** SHARE Operators Web Meeting, online, Germany (1 Apr 2020).

**WP4: Family and Social Networks,** Final Review SHARE-DEV3 – Horizon 2020 Framework Programme, Project: 676536, Brussels, Belgium (8 Oct 2019).

**WP9 + 11: Database Construction; Quality Control,** Final Review SHARE-DEV3 – Horizon 2020 Framework Programme, Project: 676536, Brussels, Belgium (8 Oct 2019).

**GDPR – Respondent Requests,** SHARE Wave 8 Main TTT, Frankfurt, Germany (30 Sep 2019).

**Preload & Eligibility,** SHARE Wave 8 Main TTT, Frankfurt, Germany (30 Sep 2019).

**Implementing an in Field Coding Tool for Occupations in an International Survey – Experiences from SHARE,** ESRA 2019, Zagreb, Croatia (19 Jul 2019).

**Measuring Occupation Using Database Look Ups in an International Survey – Results from SHARE,** ESRA 2019, Zagreb, Croatia (18 Jul 2019).

**Tasks Overview,** SHARE Wave 8 Post-Pretest – Country Team Operators Meeting, Riga, Latvia (5 Sep 2018).

**Introduction to SHARE,** SHARE Wave 8 Post-Pretest – Country Team Operators Meeting, Riga, Latvia (5 Sep 2018).

**Data Types and Versions,** SHARE Wave 8 Post-Pretest – Country Team Operators Meeting, Riga, Latvia (5 Sep 2018).

**Eligibility & SHARE,** SHARE Wave 8 Pretest TTT, Munich, Germany (15 Jun 2018).

**Panel Sample & Preload,** SHARE Wave 8 Pretest TTT, Munich, Germany (13 Jun 2018).

**Preload & Eligibility,** SHARE Wave 8 Pretest TTT, Munich, Germany (6 Jun 2018).

**Welcome and Introduction,** SHARE Operators Meeting, St. Julian's, Malta (9 Feb 2018).

**Tony Philip, Jeny**

**Key Changes SampleCTRL/CaseCTRL.** SHARE Wave 9 Operators Web Meeting, Online, Germany (12 Oct 2020).

**Sample CTRL, Contact to Respondents, Case CTRL, Coverscreen,** Munich, Germany (7 May 2020).

**Mock Interview,** SHARE Wave 8 Pretest TTT – group A, Munich, Germany (5 Jun 2018).

**Wagner, Melanie**

**Help and Care during the 1st Peak of the Pandemic,** SHARE Scientific Monitoring Board Meeting, Online Meeting, Germany (14 Oct 2020).

**MATESHA: Manual for Testing in SHARE.** SHARE Operators Meeting, Online Meeting, Germany (14 Oct 2020).

**COVID-19 Mock Interview: Pretest Feedback,** SHARE Corona TTT II, Online-Meeting, Germany (3 Jun 2020).

**COVID-19 Mock Interview,** SHARE Corona TTT I, Online Meeting, Germany (18 May 2020).

**Sample CTRL, Contact to respondents, Case CTRL, Coverscreen,** Munich, Germany (7 May 2020).

**Special Interviews – Nursing Homes & Mock Interview**, SHARE TTT main data collection, Frankfurt/Main, Germany (1 Oct 2019).

**Distance-Caregiving – Forschungsstand und empirische Einblicke aus dem Survey of Health, Ageing and Retirement in Europe**, Gemeinsame Jahrestagung der Sektionen III und IV der Deutschen Gesellschaft für Gerontologie und Geriatrie (DGGG), Berlin, Germany (29 Sep 2019).

**Field Rehearsal Findings of Wave 8: Cognitive Function Add-On**, SHARE Wave 8 Post-FiRe and Kick-Off COHESION Meeting, Budapest, Hungary (20 Sep 2019).

**Current and Future Measures of Cognition in SHARE**, SHARE-HCAP Project Advisory Board Meeting, Munich, Germany (10 May 2019).

**Introduction German Team**, IN-CARE Kickoff Meeting, Amsterdam, Netherlands (15 Apr 2019).

**Mock Interview**, SHARE Field Rehearsal TTT, Munich, Germany (21 Mar 2019).

**Das Wohlbefinden pflegender Partner im Kontext**, Defense, Dortmund, Germany (21 Dec 2018).

**HCAP in SHARE. State of Affairs**, Harmonized Cognitive Assessment Protocol (HCAP) Meeting, Washington D.C., United States (4 Dec 2018).

**Pretest Findings of Wave 8 and Implications for Questionnaire Development: SHARE Central's Perspective**, SHARE Wave 8 Post-Pretest Meeting, Riga, Latvia (5 Sep 2018).

**The Moderating Role of Social Networks for Caregivers' Well-Being**, 24th Nordic Congress of Gerontology, Oslo, Norway (2 May 2018).

**Presentation on SHARE and Its Use as a Possible Source for LTC Indicators**, Social Protection Committee Indicators Sub-Group Meeting, Brussels, Belgium (25 Feb 2018).

**Weiss, Luzia**

**Testing the Logistics of the Accelerometer Project in SHARE**, BigSurv 2018 – Big Data meets Survey Science, Barcelona, Spain (25 Oct 2018).

**Yilmaz, Afife Yasemin**

**Drop-Off Questionnaire**, SHARE Wave 9 Planning Meeting, online, Germany (14 Oct 2020).

**Questionnaire Content: Wave 9 Changes and 2nd COVID CATI**, SHARE Wave 9 Planning Meeting, online, Germany (13 Oct 2020).

**COVID-19 Mock Interview: Pretest Feedback**, SHARE Wave 8 COVID-19 Add-On Webinar TTT II, online, Germany (3 Jun 2020).

**COVID-19 Mock Interview**, SHARE Wave 8 COVID-19 add-on Webinar TTT, online, Germany (18 May 2020).

**Drop-Off Questionnaire**, SHARE Wave 8 Midterm Meeting, Operators Web Meeting, online, Germany (1 Apr 2020).

**Country Teams Testing: Preparation for the PreTest**, Wave 8 Operators' Web Meeting, online, Germany (1 Apr 2020).

**Zuber, Sabrina**

**Sample CTRL, Contact to respondents, Case CTRL, Coverscreen**, Munich, Germany (7 May 2020).

**Delete Requests**, SHARE Operators Web Meeting, online, Germany (1 Apr 2020).

**Case CTRL & Coverscreen – Hands-On Exercises Part 2, Q&A**, SHARE Wave 8 Main TTT, Frankfurt, Germany (1 Oct 2019).

**Case CTRL & Coverscreen – Hands-On Exercises**, SHARE Wave 8 Main TTT, Frankfurt, Germany (30 Sep 2019).

**Case CTRL & Coverscreen – Show and Tell**, SHARE Wave 8 Main TTT, Frankfurt, Germany (30 Sep 2019).

**Case CTRL & Coverscreen – Difficult Situations**, SHARE Wave 8 Field Rehearsal TTT, Munich, Germany (21 Mar 2019).

**Case CTRL & Coverscreen – Hands-On Exercises**, SHARE Wave 8 Field Rehearsal TTT, Munich, Germany (20 Mar 2019).

**Case CTRL and Coverscreen – Show and Tell**, SHARE Wave 8 Field Rehearsal TTT, Munich, Germany (20 Mar 2019).

**Case CTRL & Coverscreen – Hands-On Exercises (Difficult Situations)**, SHARE Wave 8 Pretest TTT, Munich, Germany (14 Jun 2018).

**Case CTRL – Hands-On Exercises (Standard Scenarios)**, SHARE Wave 8 Pretest TTT, Munich, Germany (13 Jun 2018).

**Case CTRL & Coverscreen – Hands-On Exercises (Difficult Situations)**, SHARE Wave 8 Pretest TTT, Munich, Germany (5 Jun 2018).

**Case CTRL – Hands-On Exercises (Standard Scenarios)**, SHARE Wave 8 Pretest TTT, Munich, Germany (4 Jun 2018).

**Testing CASE CTRL Interviewer Session**, SHARE Wave 8 Preparation Meeting, St. Julian's, Malta (9 Feb 2018).

## 6 TEACHING

*Winter Term 2020/21*

**MEA Seminar – Economics of Aging** (PhD)  
Axel Börsch-Supan, Thorsten Kneip  
TU Munich / MEA

*Summer Term 2020*

**Demographic Change** (Master)  
Duarte Nuno Semedo Leite with Uwe Sunde (LMU)  
LMU Munich

**MEA Seminar – Economics of Aging** (PhD)  
Axel Börsch-Supan, Thorsten Kneip  
TU Munich / MEA

*Winter Term 2019/2020*

**MEA Seminar – Economics of Aging** (PhD)  
Axel Börsch-Supan, Thorsten Kneip  
LMU Munich

**Pretest Interviews in the Development of Standardized Questionnaires** (Bachelor)  
Arne Bethmann  
LMU Munich

**Research Workshop 'Empirical Economics'** (Master)  
Helmut Farbmacher with Davide Cantoni (LMU), Fabian Kosse (LMU), Andreas Steinmayr (LMU), Uwe Sunde (LMU), Derya Uysal (LMU), Fabian Waldinger (LMU), Joachim Winter (LMU)  
LMU Munich

*Summer Term 2019*

**Empirical Analysis of Social Policy** (Bachelor)  
Irene Ferrari with Joachim Winter  
LMU Munich

**MEA Seminar – Economics of Aging** (PhD)  
Axel Börsch-Supan, Thorsten Kneip  
TU Munich / MEA

*Winter Term 2018/2019*

**Applied Health Economics** (Bachelor)  
Helmut Farbmacher  
LMU Munich

**MEA Seminar – Economics of Aging** (PhD)  
Axel Börsch-Supan, Thorsten Kneip  
TU Munich / MEA

**Research Workshop 'Empirical Economics'** (Master)  
Romuald Méango, Helmut Farbmacher with Davide Cantoni (LMU), Fabian Kosse (LMU), Andreas Steinmayr (LMU), Uwe Sunde (LMU), Derya Uysal (LMU), Fabian Waldinger (LMU), Joachim Winter (LMU)  
LMU Munich

**The Economic Implications of Longevity and Aging** (Bachelor)

Duarte Nuno Semedo Leite  
LMU Munich

*Summer Term 2018*

**MEA Seminar – Economics of Aging** (PhD)

Axel Börsch-Supan, Thorsten Kneip  
TU Munich / MEA

**Public Economics and Social Policy** (Master)

Irene Ferrari, Tabea Bucher-Koenen  
LMU Munich

**Research Workshop ‘Empirical Economics’**

(Master)

Tabea Bucher-Koenen, Helmut Farbmacher with Davide Cantoni (LMU), Andreas Steinmayr (LMU), Uwe Sunde (LMU), Derya Uysal (LMU), Joachim Winter (LMU), Amelie Wuppermann (LMU)  
LMU Munich

**The Economics of Migration** (Bachelor)

Romuald Méango  
LMU Munich

**To Whoever Has More Will Be Given? Sociological Studies on Life Course Inequality.** (Master)

Thorsten Kneip  
LMU Munich

*Winter Term 2017/2018*

**Demographic Transition & Economic Policy**

(Bachelor)

Duarte Nuno Semedo Leite  
LMU Munich

**MEA Seminar – Economics of Aging** (PhD)

Axel Börsch-Supan, Thorsten Kneip  
TU Munich / MEA

**Migration Economics** (Master)

Romuald Méango  
LMU Munich

**Research Workshop ‘Empirical Economics’**

(Master)

Tabea Bucher-Koenen, Helmut Farbmacher with Davide Cantoni (LMU), Andreas Steinmayr (LMU), Uwe Sunde (LMU), Derya Uysal (LMU), Joachim Winter (LMU), Amelie Wuppermann (LMU)  
LMU Munich

## 7 REFEREEING

**Atzendorf, Josefine**

*Journals:* Drugs and Alcohol Today, F1000Research, International Journal of Public Health, Preventive Medicine

*Conferences:* SRNT Annual Meeting

**Bergmann, Michael**

*Journals:* International Journal of Social Research Methodology; Journal of Survey Statistics and Methodology; Public Opinion Quarterly; SAGE Open (2); Sociological Methods and Research; Survey Methods: Insights from the Field (3); Survey Research Methods (2)

*Conferences:* European Survey Research Association (ESRA), 2019; General Online Research Conference (GOR), 2018–2020

*Other:* Plattform für Umfragen, Methoden und empirische Analysen (PUMA), 2018

**Bethmann, Arne**

*Journals:* Sociological Methods and Research

*Edited Volumes:* Atkinson, Paul et al. (2021) ‘SAGE Research Methods Foundations’

**Bristle, Johanna**

*Journals:* Field Methods; Sociological Methods and Research; Journal of Survey Statistics and Methodology; Population Health Metrics

*Conferences:* SHARE User Conference, 2018; Budapest Pension Seminar, 2018

**Douhou, Salima**

*Journals:* Survey Research Methods

*Conferences:* European Survey Research Association (ESRA), 2019

**Farbmacher, Helmut**

*Journals:* Empirical Economics; Health Economics; Journal of Economic Behavior and Organization; Journal of Health Economics; Journal of Labour Market Research; Journal of Population Economics; Omega; Review of Law and Economics

**Franzese, Fabio**

*Journals:* British Journal of Sports Medicine

**Goll, Nicolas**

*Journals:* The Journal of the Economics of Ageing

*Conferences:* Spring Meeting of Young Economists, 2018

**Kneip, Thorsten**

*Journals:* Advances in Life Course Research; Demographic Research; European Journal of Population; Journal of Marriage and Family (4); Sociological Methods and Research (2)

*Conferences:* SHARE User Conference, 2018; European Survey Research Association (ESRA), 2019

**Kutlu Koc, Vesile**

*Journals:* Journal of Pension Economics and Finance

**López-Falcón, Diana**

*Journals:* Migraciones; Population, Space & Place

**Morris, Todd**

*Journals:* Labour Economics

**Méango, Romuald**

*Journals:* Journal of Applied Econometrics; Journal of Economic Behavior and Organization; Regional Science and Urban Economics

**Pettinicchi, Yuri**

*Journals:* Journal of Banking and Finance; Journal of Economic Behavior & Organization (2); Journal of Pension Economics and Finance; Oxford Bulletin of Economics and Statistics

*Conferences:* Spring Meeting of Young Economists, 2018

**Rausch, Johannes**

*Journals:* Perspektiven der Wirtschaftspolitik

**Salerno, Luca**

*Journals:* Contemporary Economic Policy

**Scherpenzeel, Annette**

*Journals:* Journal of Official Statistics; Methods, Data, Analysis; Public Opinion Quarterly; Social Science Computer Review; Survey Research Methods

*Conferences:* General Online Research conference, 2019

*Other:* ESSnet Smart Surveys review board membership, 2019

**Schuller, Karin**

*Journals:* International Journal of Sociology, Journal, 2020

**Semedo Leite, Duarte Nuno**

*Journals:* *Economies* (3); *Journal of Health Economics*; *Social Policy & Administration* (2); *The Journal of the Economics of Ageing* (3); *The Scandinavian Journal of Economics*

**Sommer, Elena**

*Journals:* *Field Methods*

**Wagner, Melanie**

*Journals:* *Ageing & Society* (2); *Journal of Marriage and Family*

Principal Investigator, Survey of Health, Ageing and Retirement in Europe (SHARE) and Managing Director of SHARE-ERIC, Munich

Adjunct Research Associate, RAND Corporation, Santa Monica, CA, USA

Research Council, Deutsche Bundesbank

Member of the 'Commission d'experts sur les grands défis économiques' of the French President Emmanuel Macron

Member of the Pension Commission 'Verlässlicher Generationenvertrag' (Reliable Intergenerational Contract) of the German Government

Member (and former chairman) of the Scientific Advisory Council at the German Federal Ministry of Economics and Energy (BMWi)

Standing Committee 'Aging and Fertility' of the German National Academy of Sciences Leopoldina

World Health Organisation, Advisory Committee on Active Ageing

World Economic Forum: Global Council on Ageing

World Economic Forum: Global Council on Social Security

European Commission, European Statistics Advisory Committee (ESAC), Brussels

MacArthur Foundation Network on Aging Societies

Scientific Advisory Board, Korean Longitudinal Study on Aging (KLoSA), Seoul, Republic of Korea

Advisory Board, Japanese Study of Aging and Retirement (JSTAR), Tokyo University, Japan

Steering Board, The Irish Longitudinal Study on Ageing (TILDA), Trinity College, Dublin, Ireland

**8 MEMBERSHIP, EDITORSHIPS AND AFFILIATIONS****Börsch-Supan, Axel**

Editorial Board of *Advances in Life-Course Research*, *Journal of the Economics of Aging*, *Journal of Pension Economics and Finance*

Member, Berlin-Brandenburg Academy of Sciences and Humanities, Berlin

Member, German National Academy of Sciences Leopoldina, Halle

Corresponding Member, Austrian National Academy of Sciences, Vienna

Commission Member, US Academies of Science, Engineering and Medicine

Research Fellow, NETSPAR (Network for Studies on Pensions, Aging and Retirement)

*Other Academic Affiliations and Activities in External Bodies:*

Research Associate, National Bureau of Economic Research (NBER), Cambridge, MA, USA

Scientific Advisory Board, Chinese Health, Aging and Retirement Longitudinal Study (CHARLS), Peking University, Beijing, China

Advisory Board, Study of Living Conditions and Health in Brazil (ELSI-Brazil), Rio de Janeiro, Brazil

Member of the Deutsche Statistische Gesellschaft (German Statistical Society) (DStatG), Frankfurt (Oder)

Member of the European Society for Population Economics (ESPE)

Member of the European Economic Association

Member and former board member of the Verein für Socialpolitik, Berlin

Member of the American Economic Association, USA

Member of the Econometric Society, New Haven, CT, USA

**Bucher-Koenen, Tabea**

Research Fellow, NETSPAR (Network for Studies on Pensions, Aging and Retirement)

**Douhou, Salima**

Advisory board member, CRONOS Advisory Board, ESS ERIC at City, University of London

Board member, ESRA Board (European Survey Research Association)

**Ferrari, Irene**

Research Fellow, NETSPAR (Network for Studies on Pensions, Aging and Retirement)

Research Fellow, GLO (Global Labor Organization)

**Kutlu Koc, Vesile**

Research Fellow, NETSPAR (Network for Studies on Pensions, Aging and Retirement)

**López-Falcón, Diana**

Member, Ständiger Ausschuss Forschungsdateninfrastruktur (FDI Ausschuss), Rat für Sozial- und Wirtschaftsdaten (RatSWD)

**Oepen, Andrea**

Member, ERIC Committee

**Scherpenzeel, Annette**

Member, GESIS Scientific Advisory Board

Vice-president, ESRA Board (European Survey Research Association)

**9 HONOURS, AWARDS AND APPOINTMENTS**

**Börsch-Supan, Axel**

Honorary Doctorate, Faculty of Economics and Social Sciences of the University of Rosstock, 2019

**Bucher-Koenen, Tabea**

Professor, Chair of Business Administration, Financial Systems and Development Finance at the University of Mannheim, 2019

**Farbmacher, Helmut**

Stand-In Professor (W3) 'Economics, esp. Empirical Economic Research', Department of Economics, University of Munich, winter term 2018/2019

Stand-In Professor (W3) 'Microeconometrics', Department of Economics, University of Mannheim, winter term 2017/2018

**Ferrari, Irene**

Assistant Professor (RTD-a), Ca' Foscari University of Venice (Venice, Italy), 2020

Chair of the Program Committee of the Spring Meeting of Young Economists, 2018

**Hanemann, Felizia**

Otto Hahn Medal of the Max Planck Society, 2018

**López-Falcón, Diana**

'Distinguished Mexican' Award, Mexican Ministry of Foreign Affairs and The Institute for Mexicans Abroad (IME) on behalf of the Government of Mexico, 2018

Jean Monnet Visiting Fellowship at the ANU Centre for European Studies, Canberra, Australia, 2019

**Schütz, Johanna**

Full dissertation grant, Max Planck International Research Network on Aging (MaxNetAging), 2015–2018

## 10 PUBLIC POLICY ADVICE AND MEDIA IMPACT

Since it was launched in Mannheim in 2001 and after being part of the Max Planck Institute for Social Law and Social Policy for almost 10 years, MEA has become well-established as a nationally and internationally renowned competence center for issues relating to population aging from the perspectives of economics and economic policy. This has given rise to numerous inquiries for scientific advice on policy matters in Germany (member and chair of the Scientific Advisory Board at the Federal Ministry for Economic Affairs and Energy; advisory support to the Federal President as well as the Federal Ministers of Finance, of Labour and Social Affairs, and of the Interior). MEA has also been success-

ful in providing help for evidence-based policy making on the international level, often based on the SHARE data. This work was particularly tailored for the European Commission, specifically the Directorate General for Employment, Social Affairs and Inclusion (DG EMPL). SHARE is also intensely used by the Organisation for Economic Cooperation and Development (OECD) and the World Health Organisation (WHO), supported through consultancies by Axel Börsch-Supan.

Work by the MEA research units 'Old Age Provision and Social Policy' and 'Life-cycle decisions' provided the groundwork for Axel Börsch-Supan as a member of the Committee on 'Understanding the Aging Workforce and Employment at Older Ages', installed by the U.S. Senate and based at the U.S. National Academies of Science, Engineering and Medicine in Washington, DC. Axel Börsch-Supan is a member of the Global Council on Aging and the Global Council on Social Security advising the World Economic Forum. He is member of the MacArthur Network on Aging Societies which aims 'to help the [US American] nation prepare for the challenges and opportunities posed by an aging society'. From June 2018 to March 2020 he was a member of the Pension Reform Commission of the German Government 'Verlässlicher Generationenvertrag' (EN: *Reliable Intergenerational Contract*). In May 2020, Axel Börsch-Supan was appointed to the 'Commission d'experts sur les grands défis économiques' (EN: *Commission of Experts for Great Economic Challenges*) by the French President Emmanuel Macron and leads the working group that offers advice on aging societies, healthcare reform and the challenges of migration. Börsch-Supan furthermore was advising Eurostat as a member of the European Statistical Advisory Committee from 2014 to 2020. Recently, he has been appointed member of the Trans-Atlantic Platform (T-AP) for Social Sciences and Humanities in order to advise the European Commission and the National Research Councils how to respond to the COVID-19 crisis based on the available evidence.



From left: Minister of State Prof. Dr. Marion Kiechle, Prof. Dr. h. c. Axel Börsch-Supan, PhD, Federal Minister Anja Karliczek.

## 10.1 PUBLISHED EXPERTISES

Börsch-Supan, Axel, with Regina T. Riphahn, Klaus Schmidt, Christina Gathmann und Claudia Buch: *Moderne Ordnungspolitik: Zur Evaluation von Regelungsvorhaben*, Expertise of the Council of Economic Advisors at the Federal Ministry of Economics and Technology, September 2019.

Börsch-Supan, Axel, with Friedrich Breyer, Christina Gathmann, Hans Gersbach und Regina Riphahn, *Soziale Wohnungspolitik*, Expertise of the Council of Economic Advisors at the Federal Ministry of Economics and Technology, Juni 2018.

Börsch-Supan, Axel, with Duarte Nuno Leite and Johannes Rausch, *Demographic changes, migration and economic growth in the euro area*, Expertise for the European Central Bank, June 2018.

Axel Börsch-Supan with Ineke Stoop, *The use of registers for survey sampling*, Expertise of the European Statistical Advisory Committee, June 2019.

Börsch-Supan, Axel, with Claudia Diehl and Carol Propper, *Population Aging, Health and the Integration of Immigrants*, Expertise for the Commission d'experts sur les grands défis économiques November 2020.

Börsch-Supan, Axel, with Johannes Rausch, Hermann Buslei und Johannes Geyer, *Entwicklung der Demographie, der Erwerbstätigkeit, sowie*

des Leistungsniveaus und der Finanzierung der gesetzlichen Rentenversicherung, Expertise für die Kommission 'Verlässlicher Generationenvertrag', März 2020.

## 10.2 ADVISORY COUNCILS

### Börsch-Supan, Axel

Member of the 'Commission d'experts sur les grands défis économiques' (*Commission of Experts for Great Economic Challenges*) of the French President Emmanuel Macron

Member of the Pension Commission 'Verlässlicher Generationenvertrag' (*Reliable Intergenerational Contract*) of the German Government

Member (and former chairman) of the Scientific Advisory Council at the German Federal Ministry of Economics and Energy (BMWi)

Standing Committee 'Aging and Fertility' of the German National Academy of Sciences Leopoldina

MacArthur Foundation 'Aging Societies Network'

European Statistical Advisory Committee of Eurostat

Research Council, Deutsche Bundesbank

World Health Organisation, Advisory Committee on Active Ageing

World Economic Forum: Global Council on Ageing

World Economic Forum: Global Council on Social Security

### 10.3 DELEGATIONS AT MEA

MEA receives regularly national and international visitors from research and politics seeking advice on the German pension system, the set-up of MEA and SHARE as research institutions and, of course, exchanging research ideas.

Germany's Federal Minister Anja Karliczek and the Bavarian Minister of State for Science and the Arts, Prof. Dr. Marion Kiechle, visited the Max Planck Institute (MPI) for Social Law and Social Policy in Munich to find out about SHARE, the largest pan-European social science panel study coordinated at MEA. In this context, the Research Minister discussed with MEA Director Axel Börsch-Supan the topics of old-age provision, insurances and the future of ageing and work, which are the subjects of research at the MPI.

### 10.4 MEDIA IMPACT

All in all, MEA researchers and projects coordinated at MEA have been quoted in the media more than 1400 times over the last three years all over the world. In other words: Around one article a day has been published based on the work of MEA. During the reporting period, Axel Börsch-Supan and his colleagues had several interviews and quotations in television, radio, print media, news agencies and online news websites. Additionally, the team was mentioned in nationwide quality newspapers such as Süddeutsche Zeitung and Frankfurter Allgemeine Zeitung, as well as in topic-oriented newspapers and magazines, like Handelsblatt, WirtschaftsWoche and Deutsches Ärzteblatt, to mention only a few.

They were also quoted in many international media, such as The Economist, Le Monde, The Guardian and CNN. Of particular note is the international outreach of SHARE: Media from 37 countries reported about SHARE research results.

The following list provides well-chosen examples of media coverage from 2018 to 2020.

#### **Börsch-Supan, Axel**

##### **December 2020**

*Online News Website:* SPIEGEL Online – 'CDU will einheitliches Rentenalter kippen'

*Monthly Magazine:* Cicero – 'Die Desintegrierten'

##### **November 2020**

*Television:* ZDFinfo Doku – 'Dauerstress statt Ruhestand – Reicht die Rente?'

##### **October 2020**

*Radio:* BR-Notizbuch – 'Wie lässt sich das Rentensystem verbessern?'

##### **September 2020**

*Monthly Trade Magazine:* die bank – 'Ein Retter in der Not?'

##### **August 2020**

*Weekly Newsmagazine:* Der Spiegel – 'Die Viertagewoche für alle – ein Traum'

##### **July 2020**

*Online Newspaper:* listiclefeed.com – 'Work, pension, care and health: the welfare state reaches its limits'

*Online Publishing Platform:* medium.com – 'Why Are We Working Longer?'

*Newspaper:* Die Welt – 'Armer Sozialstaat'

*Newspaper:* Handelsblatt – ‘Teurer Beamten-Boom: Pensionszusagen in Milliardenhöhe belasten den Bund’

*Weekly Newsmagazine:* Focus – ‘Drei Damen von der Kasse’

*Newspaper:* Frankfurter Allgemeine Zeitung – ‘DER VOLKSWIRT: Die Rente kann warten’

*Newspaper:* Abendzeitung München – ‘Rentenlose Freiheit’

### June 2020

*Newspaper:* Süddeutsche Zeitung – ‘Rentenlatein und ein ‘Scherbenhaufen’

### May 2020

*Online Newspaper:* aktiv – Ratgeber für Arbeitnehmer – ‘Regierungskommission scheut unpopuläre Empfehlungen zur Rente’

*Radio:* BR radioWelt – ‘Mitten in der Coronakrise steigen die Renten’

*Science PR:* Deutsches Institut für Altersvorsorge – ‘Heutige 60-Jährige gesünder als früher’

*Weekly Newspaper:* Frankfurter Allgemeine Sonntagszeitung – ‘Wer soll das bezahlen?’

*News Agency:* dpa-Basisdienst – ‘Merkel: Stehe zur Rentengarantie’

*Newspaper:* Süddeutsche Zeitung – ‘Unwucht bei der Rente’

*News Agency:* dts Basisdienst – ‘Bundessozialministerium räumt Renten-Eingriff ein’

*Newspaper:* Süddeutsche Zeitung – ‘Ministerium gibt Renten-Eingriff zu’

*News Agency:* dpa-InfoLine/dpa-AFX Wirtschaftsnachrichten & dpa-AFX-Line – ‘Corona-Krise leert die Rentenkasse: Sinkende Beitragseinnahmen’

*Weekly Newspaper:* Frankfurter Allgemeine Sonntagszeitung – ‘Unfaire Rente’

*Newspaper:* Frankfurter Allgemeine Zeitung – ‘Ein kühler Blick in den Renten-Abgrund’

*Newspaper:* Münchner Merkur – ‘Coronakrise leert die Rentenkasse – ist die Rente dadurch in Gefahr?’

*Newspaper:* Die Welt – ‘Die Jungen tragen die Last’

*News Agency:* dpa-AFX-Line – ‘Rentenversicherung: Corona-Krise lässt Reserve sinken’

*News Agency:* dpa-InfoLine – ‘Rentenversicherung: Corona-Krise lässt Reserve sinken Großes Finanzloch befürchtet’

*Newspaper:* Le Monde – ‘Jean Tirole : ‘Le grand danger serait d’oublier l’avenir de la France et de l’Europe’ dans la réponse à la crise’

*Newspaper:* Frankfurter Allgemeine Zeitung – ‘Macron holt sich Rat bei internationalen Ökonomen’

*Online Newspaper:* Presse Francaise – ‘Une nouvelle commission d’experts pour penser l’avenir de l’économie mondiale’

### April 2020

*Newspaper:* Süddeutsche Zeitung – ‘Heils Sündenfall’

*Online News Website:* NewsyList – ‘Economic downturn – what Corona does with retirement – economy’

*Science PR:* Deutsches Institut für Altersvorsorge – ‘Was bewirkt die Pandemie im Rentensystem?’

*Broadcast:* BR Rundschau – ‘Wie geht es weiter mit der Rente?’

*Monthly Magazine:* Cicero – ‘Wie Corona Generationen spaltet’ (from Axel Börsch-Supan)

## March 2020

*Newspaper:* General-Anzeiger – ‘Kommission vor Abschluss: Nur Minimalkonsens bei der Rente’

*Weekly Newspaper:* Frankfurter Allgemeine Sonntagszeitung – ‘Die Rente wird teuer – aber für wen?’

*Weekly Newspaper:* Frankfurter Allgemeine Sonntagszeitung – ‘Zu viele Politiker im Gremium’

*Newspaper:* Süddeutsche Zeitung – ‘Was macht Corona mit der Rente?’

*Newspaper:* Frankfurter Allgemeine Zeitung – ‘Corona reißt Löcher in die Rentenkasse’

*News Agency:* dpa-Basisdienst – ‘(Fragen & Antworten) Die heißen Eisen kommen noch: Wie groß wird die Rentenreform?’

*News Agency:* epd Basisdienst – ‘Rentenkommission: Gesetzliche Rente bleibt Kern der Alterssicherung – Expertengremium empfiehlt Rentenniveau von mindestens 44 Prozent’

*Online Magazin:* cicero.de – ‘Rentenkommission der Bundesregierung: Drückeberger am Werke’ (from Axel Börsch-Supan)

*Online Newspaper:* Rheinische Post (rp-online.de) – ‘Kommentar zum Bericht der Rentenkommission: Zwei Jahre Zeit verschwendet’

*News Agency:* epd – ‘Gesetzliche Rente bleibt Kern der Alterssicherung’

*Newspaper:* Süddeutsche Zeitung – ‘Was bei der Rente jetzt zu tun ist’

*Newspaper:* Handelsblatt – ‘Trügerischer Maßstab’

## February 2020

*News Agency:* dpa-Basisdienst – ‘Einigkeit in der Rentenkommission der Regierung nicht in Sicht’

*News Agency:* AFP Deutschsprachiger Basisdienst – ‘Rentenkommission der Regierung droht das Scheitern’

*The Federal Government of Germany:* Die Bundesregierung – ‘Soziale Gerechtigkeit: ‘Wir können stolz auf den deutschen Sozialstaat sein’

*Newspaper:* Handelsblatt – ‘Die blockierte Kommission’

*Newspaper:* DER TAGESSPIEGEL – ‘Ein Stück für jeden’

*Weekly Newsmagazine:* DER SPIEGEL – ‘Desaster mit Ansage’

*Newspaper:* BILD – ‘Renten-Revolution’

*Online Newspaper:* thomasnet.com – ‘Why Age Can Be a Major Asset in the Workplace’

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*Online News:* adultosmayores.es – ‘¡Cuida a tus nietos y verás buenos resultados!’

### August 2019

*Online News:* inthefieldstories.net – ‘Europe is ageing! And so what?’

*Online News:* abc.es – ‘El cuidado de los nietos ayuda a prevenir el deterioro cognitivo entre los mayores’

*Online News:* independent.co.uk – ‘Children make people happier – but only once they’ve left home, study finds’

*Online News:* edition.cnn.com – ‘Having kids makes you happier -- once they’ve moved out’

*Online News:* ajc.com – ‘Study: Having kids makes you happier, but not for a long time’

*Online Newspaper:* nzz.ch – ‘Kinder machen glücklich: Wenn sie aus dem Haus sind’

*Online Newspaper:* zeit.de – ‘Wissenschaft: Kinder machen glücklich: Wenn sie aus dem Haus sind’

*Online Newspaper:* faz.net – ‘Allgemeines Wohlbefinden: Kinder machen glücklich – wenn sie aus dem Haus sind’

### July 2019

*Online News:* baltic-course.com – ‘Survey: Estonian residents’ involvement in education, employment among longest in Europe’

Online News: healthsciences.ku.dk – ‘Fewer Awards of Disability Pension Result in More People Receiving Temporary Benefits’

Online News: futura-sciences.com – ‘La Religion n’a Pas d’effet Sur la Dépression des Personnes âgées’

Online News: consalud.es – ‘El cuidado de los nietos ayuda a prevenir el deterioro cognitivo entre los mayores’

Online News: diepresse.com – ‘Wie Roboter den Arbeitsmarkt verändern’

#### May 2019

Online News: letemps.ch – ‘Les personnes âgées se portent globalement bien en Suisse’

Online News: agenparl.eu – ‘New vistas for survey charting Europe’s topography of age’

Online News: altinget.dk – ‘Forskerklummen: Der er et betydeligt uudnyttet arbejdskraftpotentiale hos ældre’

#### April 2019

Online News: msn.com – ‘El 40% de los españoles mayores de 50 convive con dos o más enfermedades’

Online News: elindependiente.com – ‘El 40% de los españoles mayores de 50 convive con dos o más enfermedades’

Online News: hcinnovationgroup.com – ‘Health-care Policy Researchers Find European Nations Falling Behind in Addressing Chronic Illness’

Online News: aerzteblatt.de – ‘Multimorbidität im europäischen Vergleich – größter Anstieg in Deutschland’

#### March 2019

Online News: boingboing.net – ‘Massive study finds strong correlation between ‘early affluence’ and ‘faster cognitive drop’ in old age’

Online News: tageblatt.lu – ‘Aktive Alte: Die Hälfte der Luxemburger Senioren macht regelmäßig Sport’

Online News: medicalxpress.com – ‘Tobacco control policies linked to reduced smoking’

Online News: business-standard.com – ‘Smoking reduces due to tobacco control policies’

#### February 2019

Online News: deutschlandfunk.de – ‘Studie: Arbeitsplatzverlust beeinträchtigt Gesundheit langfristig’

Online Newspaper: derstandard.at – ‘Ein Jobverlust macht auch Jahre danach noch krank’

Online News: personnetoday.com – ‘Occupational health research round-up: February 2019’

Online News: ukdataservice.ac.uk – ‘New open cloud project for EU data cooperation’

#### January 2019

Online News: el9nou.cat – ‘Un 14% de les persones majors de 65 anys d’Europa tenen discapacitat’

Online News: dicyt.com – ‘Una encuesta revela que los trabajadores mayores mantienen la productividad’

Online News: workplaceinsight.net – ‘People who experience early redundancy have poor health in later life’

Online News: vitalia.cz – ‘Ticho v kolébc’

**December 2018**

*Online News:* europapress.es – ‘El 14% de los europeos mayores de 65 años tiene discapacidad según un estudio’

*Online News:* elconfidencial.com – ‘El 14% de los mayores de 65 años de Europa tienen alguna discapacidad’

*Online News:* fapesp.br – ‘Trabalhadores mais velhos mantêm produtividade’

*Online News:* fortenanoticia.com.br – ‘Aposentadoria não representa, necessariamente, melhora na saúde’

*Online News:* acritica.com – ‘Trabalhadores mais velhos mantêm produtividade, aponta pesquisa’

*Online News:* sendasenor.com – ‘El 14% de las personas mayores de 65 años de Europa tienen discapacidad’

*Online News:* elpais.com – ‘Cómo ganar felicidad en los años de vida que las mujeres han conquistado a la vejez’

**October 2018**

*Online News:* abc.es – ‘La soledad, un factor de riesgo para los mayores’

*Online News:* lafamiliadebroward.com – ‘Día Internacional de los abuelitos’

**September 2018**

*Online News:* yle.fi – ‘Finnish researcher surprised by grandfathers’ active role in child care’

*Online News:* medpagetoday.com – ‘Childhood Poverty Tied to Lower Cognition Late in Life – But no link to rates of cognitive decline’

*Online News:* sciencedaily.com – ‘Childhood poverty may have lasting effects on cognitive skills in old age’

**July 2018**

*Online News:* elpais.com – ‘Ni mimados ni malcriados: así son en realidad los niños que pasan mucho tiempo con sus abuelos’

*Online News:* abc.es – ‘Día de los Abuelos: Los juegos tradicionales de los abuelos con los que los nietos siguen divirtiéndose’

*German Federal Ministry:* Bundesministerium für Bildung und Forschung (bmbf.de) – ‘Länderreise: Karliczek wirbt für starke Krebsforschung’

*Online News:* elliberal.com.ar – ‘REPORTE ESPECIAL: Ni mimados ni malcriados’

**June 2018**

*Online News:* unige.ch – ‘Naître pauvre, c’est vieillir en moins bonne santé’

*Online News:* eleconomista.es – ‘Las mujeres europeas viven más años pero menos felices que los hombres’

**May 2018**

*Online News:* novaator.err.ee – ‘Eakatest ei peaks rääkima kui probleemist, vaid kui võimalusest’

*Online News:* aerztezeitung.de – ‘Suche nach dem Glück: Frauen leben länger, Männer glücklicher’

*British Online Newspaper:* theguardian.com – ‘Critically ill ‘should not be made to die away from home’

*Online News:* elpais.com – ‘Abuelos: Si cuidas a tus nietos pierdes libertad, pero ganas salud’

**April 2018**

*Online News:* biermann-medizin.de – ‘Kostet jedes Kind die Mutter wirklich einen Zahn?’

*Online News:* sozial.de – ‘Studie: Ältere Menschen mit Enkelkindern sind zufriedener mit ihrem Leben’

*Online News:* economista.es – ‘El estatus socio-económico durante los primeros años de vida es fundamental para la educación y la salud adulta’

*Online News:* edition.cnn.com – ‘The costs of child care around the world’

### **March 2018**

*Online News:* thetimes.co.uk – ‘Boomerang children are problem that won't go away for parents’

*Online News:* bbc.com – ‘Family & Education: Empty-nesters ‘resent boomerang kids’

*Online News:* mycomlink.co.za – ‘Empty-nesters ‘resent boomerang kids’

*Online News:* nachrichten.at – ‘Wie bleiben wir im Alter glücklich?’

*Online News:* eurasiareview.com – ‘Extending The Working Lives Of Seniors’

*Online News:* medicalxpress.com – ‘Larger families linked to heightened tooth loss risk for moms’

*Online Science News:* ScienceDaily – ‘Larger families linked to heightened tooth loss risk for moms’

*Online News:* wellbeing.com.au – ‘How parents feel when adult children return to the empty nest’

*Online News:* lse.ac.uk – ‘Parents’ lives made more miserable by boomerang generation’

*Online News:* topsante.com – ‘Plus vous avez d’enfants, plus vous avez de problèmes de dents’

*Online News:* 24matins.fr – ‘Familles nombreuses: les mères auraient moins de dents’

*Online News:* free.fr – ‘Familles nombreuses: les mères auraient moins de dents’

*Online News:* doctissimo.fr – ‘Avoir une famille nombreuse ferait perdre plus de dents aux femmes’

*Online News:* webmd.boots.com – ‘Tooth loss risk for mums with more kids’

*Online News:* medizin-aspekte.de – ‘Kostet jedes Kind die Mutter tatsächlich einen Zahn?’

*Online News:* scimex.org – ‘More babies may mean fewer teeth for mum’

*Online News:* health.in.gr – ‘Χωρίς αιτιολόγηση του συσχετισμού’

*Online News:* ria.ru – ‘Ученые доказали, что рождение ребенка ухудшает состояние зубов женщин’ (Scientists have proven that childbirth worsens women’s dental health)

*Online News:* periodistadigital.com – ‘Salud ¿Qué hay de cierto en el dicho: ‘ganar un hijo, perder un diente?’

*Online News:* nationalezorggids.nl – ‘Verband tussen tandverlies moeder en aantal kinderen’

*Online Newspaper:* kurier.at – ‘Kein Mythos: Kinder beeinflussen Zähne der Mutter’

*Online News:* geo.de – ‘Schwangerschaft und Zähne: Warum es stimmt, dass jedes Kind einen Zahn kostet’

*Online News:* ajp.com.au – ‘More kids, less teeth?’

*Online News:* jornaldentistry.pt – ‘Famílias grandes ligadas ao aumento do risco de perda dentária das mães’

*Online News:* regenbogen.de – ‘Jedes Kind kostet die Mutter einen Zahn’ – Was ist an dem Sprichwort dran?’

*Online News:* romper.com – ‘Moms Who Have Larger Families Are More Likely To Lose Their Teeth – New Study Finds, But Don’t Panic’

*Online News:* oralhealthgroup.com – ‘Research Finds Link Between Fertility and Tooth Loss’

*Online News:* aponet.de – ‘Kostet jedes Kind die Mutter wirklich einen Zahn?’

*Online News:* bitemagazine.com.au – ‘Tooth loss risk linked to bigger families’

**February 2018**

*Online News:* publico.pt – ‘Opinião: Do envolvimento social e da solidade existencial nos mais velhos’

*Online News:* lives-nccr.ch – ‘Poverty in childhood has long-term effects on health, especially among women’

*Online News:* swissinfo.ch – ‘Secuelas en la vejez de salud precaria en la infancia’

*Online News:* blick.ch – ‘Gesundheit: Benachteiligte Kinder haben im Alter mehr Gesundheitsprobleme’

*Online News:* liewo.li – ‘Ungleichheit geht unter die Haut’

*Online News:* rts.ch – ‘Les conditions de vie durant l’enfance ont des effets sur la santé des adultes’

*Online News:* Tribune de Genève online (tdg.ch) – ‘Et si tout se jouait avant 10 ans?’

*Online News:* garnews.it – ‘Infrastrutture di ricerca alla prova di EOSC’

*Online News:* eurasiareview.com – ‘Health: Are the dice rolled before ten years of age?’

*Online News:* periodistadigital.com – ‘Salud: Casi todo lo que te va a pasar está decidido cuando cumplas 10 años’

*Online News:* Le Science (lescienze.it) – ‘I segni indelebili sulla salute di un’infanzia disagiata’

**11 EVENTS**

10 Nov 2020  
**COVID-19 Kick-Off Meeting**, Online-Meeting.

6 Nov 2020  
**HCAP Meeting**, Online-Meeting.

13–14 Oct 2020  
**SHARE Wave 9 Planning Meeting**, Online-Meeting.

12 Oct 2020  
**SHARE (New) Operators’ Meeting**, Online-Meeting.



Participants of the 2019 SHARE ERIC Council Meeting in the new atrium of the Max Planck Society Administrative Headquarters, Munich.

3 Jun 2020

**SHARE Wave 8 COVID-19 add-on Webinar  
TTT 2**, Online-Meeting.

20 May 2020

**12th SHARE-ERIC Council Meeting**,  
Online-Meeting.

18 May 2020

**SHARE Wave 8 COVID-19 add-on Webinar  
TTT 1**, Online-Meeting.

7 May 2020

**SHARE Wave 8 COVID-19 add-on pre-TTT**,  
Online-Meeting.

2–3 Apr 2020

**SHARE Wave 8 Midterm Meeting**,  
Online-Meeting.

1 Apr 2020

**SHARE Operators' Meeting**, Online-Meeting.

19 Feb 2020

**SHARE-HCAP Meeting**, MEA, Munich, Germany.

28–29 Nov 2019

**SHARE Wave 9 CentERdata-MEA Meeting**,  
Mannheim, Germany.

8 Oct 2019

**Final Review SHARE-DEV3**, Directorate General  
for Research and Innovation (DG RTD), Brussels.

30 Sep – 2 Oct 2019

**SHARE Wave 8 Main TTT**, Frankfurt, Germany.

21 Sep 2019

**SHARE Scientific Monitoring Board (SMB)  
Meeting**, Hungarian State Treasury, Budapest,  
Hungary.

21 Sep 2019

**SHARE Operators' Meeting**, Hungarian State  
Treasury, Budapest, Hungary.

20–21 Sep 2019

**SHARE Wave 8 Post-FiRE and Kick-Off COHE-  
SION Meeting**, Hungarian State Treasury, Buda-  
pest, Hungary.

19–20 Sep 2019

**Joint SHARE User Conference and Budapest  
Pension Seminar**, Hungarian State Treasury,  
Budapest, Hungary.

25 Jun 2019

**SHARE Book Release**, Palais des Académies,  
Brussels.



Participants of the 2018 SHARE ERIC Council Meeting in Munich.

14 May 2019

**11th SHARE-ERIC Council Meeting**, Administrative Headquarters of the Max Planck Society, Munich, Germany.

10 May 2019

**SHARE-HCAP Project Advisory Board Meeting**, MEA, Munich, Germany.

20–22 Mar 2019

**SHARE Wave 8 Field Rehearsal TTT**, Munich, Germany.

21 Dec 2018

**SHARE-DIW Meeting**, MEA, Munich, Germany.

17 Dec 2018

**Extraordinary Extended 10th SHARE-ERIC Council Meeting**, Frankfurt Airport, Frankfurt, Germany.

11–13 Dec 2018

**SHARE Wave 8 CentERdata-MEA Meeting**, MEA, Munich, Germany.

7 Sep 2018

**SHARE Scientific Monitoring Board (SMB) Meeting**, Riga, Latvia.

6–7 Sep 2018

**SHARE Wave 8 Post-Pretest Meeting**, Riga, Latvia.

5 Sep 2018

**SHARE Operators' Meeting**, Riga, Latvia.

13–15 Jun 2018

**SHARE Wave 8 Pretest TTT 2**, Munich, Germany.

13 Jun 2018

**SHARE IT Training for survey agencies**, Munich, Germany.

12 Jun 2018

**SERISS Workshop**, MEA, Munich, Germany.

4–6 Jun 2018

**SHARE Wave 8 Pretest TTT 1**, Munich, Germany.

4 Jun 2018

**SHARE IT Training for survey agencies**, Munich, Germany.

4 May 2018

**9th SHARE-ERIC Council Meeting**, Administrative Headquarters of the Max Planck Society, Munich, Germany.

20 Mar 2018

**Third Meeting of the Scientific Advisory Board of the Social Policy and Law Shared Database**, SPLASH (formerly PERFAR), MEA, Munich, Germany.

12 Mar 2018

**Econometrics in the Castle: 'Machine Learning in Economics and Econometrics'**, Carl Friedrich von Siemens Stiftung München, Munich, Germany. Guest Speakers: Victor Chernozhukov, Stefan Wager.

9 Feb 2018

**SHARE Operators' Meeting**, St. Julian's, Malta.

7–8 Feb 2018

**SHARE Wave 8 Preparation Meeting**, St. Julian's, Malta.

23–25 Jan 2018

**SHARE Wave 8 CentERdata-MEA Meeting**, MEA, Munich, Germany.

17 Jan 2018

**SHARE Translation Procedures**, MEA, Munich, Germany.

## 12 GUESTS

28 Sep – 2 Oct 2020

9–20 Nov 2020

**Spindler, Martin**, University of Hamburg: 'Heterogeneous Effects of Poverty on Cognition' and 'Joint Projects'

2 Sep 2020

**Spindler, Martin**, University of Hamburg: 'Insights from Optimal Planning Problems for COVID-19 Shielding in a Multi-Group SEIR Framework for Germany'

22–26 Jun 2020

13–17 Jul 2020

**Spindler, Martin**, University of Hamburg: 'Joint Projects'

2–11 Mar 2020

**Löw, Leander**, University of Mannheim: 'An Explainable Attention Network for Fraud Detection in Claims Management'

12 Feb 2020

**Strittmatter, Anthony**, University of St. Gallen: 'Can Targeting of Solicitation Letters Increase Charitable Aid? An Efficient Policy Learning Approach'

10–21 Feb 2020

**Spindler, Martin**, University of Hamburg: 'Fraud Detection'

5 Feb 2020

**Hartmann, Max**, LMU Munich: 'Economic Hardship and Executive Function'

17 Dec 2019

**Koster, Annemarie**, Maastricht University: 'Sit Less or Exercise More?'

19 Nov 2019

**Wallosek, Luisa**, LMU Munich: 'Default Setting in the Statutory Pension Insurance: Evidence from Germany'

12 Nov 2019

**Haan, Peter**, DIW: 'Working Life and Human Cap-

ital Investment: Causal Evidence from Pension Reform'

9 Oct 2019

**Fehr, Hans**, University of Würzburg: 'Optimal Retirement with Disability Pensions'

17 Sep 2019

**Romeu-Gordo, Laura**, DZA: 'Material Security in Old Age'

1 Jul 2019

**Bühler, Dorothee**, Leibniz University Hannover: 'Mother's Money, Child's Opportunity: Does Higher Female Labor Income Increase Investment into Education?'

18 Jun 2019

**Düvell, Franck**, DeZIM: 'Liquid Modernity and the Rise of Irregular Migration'

12–14 Jun 2019

**Laguna, Elma**, Demographic Research and Development Foundation (University of the Philippines Population Institute): 'Caring from a Distance: Exchange of Support Between Migrant Children and their Parents in the Philippines'

11–13 Jun 2019

**Ruud, Paul**, Vassar College: 'Simulation Methods in Microeconometrics'

13–14 May 2019

**Hurd, Mike**, Rand Corporation: 'Mentoring young MEA researchers'

7–8 May 2019

**Kanabar, Ricky**, University of Bath: 'The Effect of an Increased UK State Pension Age on Expected Working Life of Employees'

27 Feb 2019

**Martinangeli, Andrea**, MPI for Tax Law and Public Finance: 'Last Place and Rank Reversal Aversion'

20 Feb 2019

**Goldfayn, Olga**, Goethe University Frankfurt: 'Per-

sonality Traits and Financial Decisions of the Households'

13 Feb 2019

**Sakshaug, Joseph**, IAB: 'Nurse Effects on Non-response in Survey-based Biomeasures'

13 Feb 2019

**Cernat, Alexandru**, Manchester University: 'Nurse Effects on Non-response in Survey-based Biomeasures'

4 Dec 2018

**Schanze, Jan-Lucas**, GESIS: 'Undercoverage of the Elderly Institutionalized Population and the Risk of Biased Estimates: A Simulation Study using SHARE Data'

6 Nov 2018

**Groneck, Max**, University of Groningen: 'Single Mothers and the Welfare State'

17–19 Sep 2018

**Windmeijer, Frank**, University of Bristol: 'The Confidence Interval Method for Selecting Valid Instruments' and 'Mentoring young MEA researchers'

1 Sep 2018 – 31 Dec 2020

**Rieckmann, Anna**, University of Umeå: 'HCAP'

13 Jun 2018

**Schwartz, Ella**, University of Jerusalem: 'Changes in Social Networks and Mental Health in Old Age'

8–11 Jun 2018

**Hurd, Mike**, Rand Corporation: 'Mentoring young MEA researchers'

4–8 Jun 2018

**Tonks, Ian**, University of Bath: 'Capital Constraints and the Regulation of Life Insurance'

30 May 2018

**Bordone, Valeria**, LMU Munich: 'Grandparental Childcare, Social Participation and Cognitive Functioning of Older Europe'

16 May 2018

**Smeets, Paul**, Maastricht University: 'How Do Millionaires Think About Redistribution?'

25 Apr 2018

**Felfe, Christina**, University of St. Gallen: 'More Opportunity? More Cooperation? The Behavioral Effects of Birthright Citizenship on Migrant Youth'

17–18 Apr 2018

**Angelini, Viola**, University of Groningen: 'Long-term Consequences of Unilateral Divorce Laws on Savings of European Households'

22 Mar 2018 – 22 Mar 2018

**Sakshaug, Joseph**, IAB: 'Comparing Probability, Nonprobability, and Blended Samples: An Analysis of Survey Errors and Survey Costs'

21 Mar 2018

**Anatolyev, Stanislav**, CERGE-EI, Prague & NES, Moscow: 'Factor Models With Many Assets: Strong Factors, Weak Factors, and the Two-pass Procedure'

31 Jan 2018

**Cazenave-Lacroutz, Alexandre**, Université Paris-Dauphine / Insee: 'Distributional Effects of a Systemic Pension Reform in France'

24 Jan 2018

**Danzer, Natalia**, ifo Institute: 'Parental Leave, (In) formal Childcare and Long-run Child Outcomes'

16 Jan 2018

**Yang, Dean**, University of Michigan: 'Abundance from Abroad: Migrant Earnings and Local Development in the Philippines'

## 13 COOPERATIONS

### 13.1 THE SHARE PROJECT COOPERATION PARTNERS ('SHARE FAMILY')

#### Scientific Monitoring Board

*Arie Kapteyn*

(University of Southern California, Dornsife Center for Economic and Social Research, Los Angeles, CA, USA): Chair

*David Bell*

(University of Stirling, Stirling, UK): Economics

*Orazio Attanasio*

(University College London, Department of Economics, UK): Income, Consumption, Savings

*Lisa Berkman*

(Harvard Center for Population and Development Studies, Harvard School of Public Health, Cambridge, MA, USA): Social Epidemiology and Biomarkers

*Kaare Christensen*

(University of Southern Denmark, Odense, Denmark): Epidemiology, Biostatistics and Biodemography

*Mick P. Couper*

(University of Michigan, Institute for Social Research, Ann Arbor, MI, USA): Survey Methods, Data Dissemination Methods, and New Technology

*Finn Diderichsen*

(Copenhagen University, Dep. of Public Health, Section of Social Medicine, Copenhagen, Denmark): Public Health

*Michael Hurd*

(RAND Corporation, Santa Monica, CA, USA): Savings and Health, Data Access and Data Quality; Harmonization with HRS

*Daniel L. McFadden*

(University of California, Department of Economics, Berkeley, CA, USA): Survey Methodology

*David Meltzer*

(University of Chicago, Center for Health and the Social Sciences Chicago, IL, USA): Medicine

*Pierre Pestieau*

(Université de Liège, Department of Economics, Liège, Belgium): Retirement and Labour Markets

*Norbert Schwarz*

(University of Southern California, Department of Psychology, Los Angeles, CA, USA): Survey Psychology and Data Access Methodology

*Andrew Steptoe*

(University College London, Department of Epidemiology and Public Health, London, UK): Biomarkers

*Arthur Stone*

(University of Southern California, Dornsife Center for Self-Reported Science, Los Angeles, CA, USA): Psychiatry and Behavioral Sciences

*Annamaria Lusardi*

(George Washington University, Accountancy, Washington D.C., USA): Financial Literacy, Household Finance

*Robert Willis*

(University of Michigan, Institute for Social Research, Ann Arbor, MI, USA): Cognition, Psychology, Economics

#### Research Areas

##### 1. Income & Wealth

#### Area Coordinator

*Guglielmo Weber*

(Università degli Studi di Padova, Dipartimento di Scienze Economiche, Padua, Italy)

## 2. Health

### Area Coordinator

*Karen Andersen-Ranberg*  
(University of Southern Denmark, Institute of Public Health, Odense, Denmark)

## 3. Health Care

### Area Coordinator

*Florence Jusot*  
(Université Paris-Dauphine, Paris, France)

## 4. Social Networks

### Area Coordinator

*Howard Litwin*  
(The Hebrew University of Jerusalem, Israel Gerontological Data Center, Jerusalem, Israel)

## 5. Work & Retirement

### Area Coordinator

*Agar Brugiavini*  
(Università Ca' Foscari Venezia, Dipartimento di Scienze Economiche, Venice, Italy)

## Survey Management

### Coordinator

*Anne Laferrère*  
(Université Paris Dauphine, LEDa – LEGOS, Paris, France)

## ERIC Management

### Coordinator

*Pedro Mira*  
(CEMFI, Madrid, Spain)

## Chair of Assembly of Country Team Leaders

*Šime Smolić*  
(University of Zagreb, Department of Demography, Zagreb, Croatia)

## SHARE Programming

*Marcel Das*  
(CentERdata, Tilburg University, Tilburg, Netherlands)

## SHARE Country Teams

### Austria

*Rudolf Winter-Ebmer, Michael Radhuber, Nicole Halmdienst*  
(Johannes Kepler Universität Linz, Department of Economics, Linz, Austria)

### Belgium

*Koen Decancq, Tim Goedemé, Daniela Skugor*  
(Universiteit Antwerpen, Centre for Social Policy Herman Deleeck, Antwerpen, Belgium)

*Sergio Perelman, Xavier Flawinne*  
(CREPP, Université de Liège, Liège, Belgium)

### Bulgaria

*Ekaterina Markova, Gabriela Yordanova*  
(Bulgarian Academy of Sciences, Institute for the Study of the Societies and Knowledge (ISSK-BAS), Sofia, Bulgaria)

### Croatia

*Šime Smolić, Ivan Čipin*  
(University of Zagreb, Zagreb, Croatia)

### Cyprus

*Nikolaos Theodoropoulos, Neophyta Empora, Alexandros Polycarpou*  
(University of Cyprus, Department of Economics, Nicosia, Cyprus)

### Czech Republic

*Radim Bohacek, Jan Kroupa*  
(Center for Economic Research & Graduate Education – Economics Institute (CERGE EI), Prague, Czech Republic)

### Denmark

*Jørgen T. Lauridsen, Astrid Roll Vitved*  
(University of Southern Denmark, COHERE, Department of Business and Economics, Odense, Denmark)

### **Estonia**

*Luule Sakkeus, Tiina Tambaum, Liili Abuladze*  
(Estonian Institute for Population Studies, Tallinn University, Tallinn, Estonia)

### **Finland**

*Anna Rotkirch, Miika Mäki, Henri Mikkola*  
(Väestöliitto, Family Federation of Finland, Helsinki, Finland)

### **France**

*Florence Jusot, Benjamin Levy, Thomas Renaud*  
(Université Paris Dauphine, Paris, France)

### **Germany**

*Arne Bethmann, Alexander Schumacher*  
(Technical University of Munich, Economics of Aging, Munich, Germany)

### **Greece**

*Antigone Lyberaki, Platon Tinios,  
Michail Chouzouris, George Papadoudis,  
Thomas Georgiadis, Clive Richardson,  
Tassos Philalithis*  
(Panteion University of Political and Social Sciences, Regional Development Institute, Athens, Greece)

### **Hungary**

*Anikó Bíró*  
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*Réka Branyiczki*  
(Department of Economics, Central European University, Budapest, Hungary)

*Maria Volkov*  
(Central European University, Budapest, Hungary)

### **Israel**

*Sharon Shiovitz-Ezra, Howard Litwin,  
Avi Cohen, Ella Schwartz, Noam Damri*  
(The Hebrew University in Jerusalem, Israel Gerontological Data Center, Jerusalem, Israel)

### **Italy**

*Guglielmo Weber, Andrea Bonfatti,  
Martina Celidoni*  
(Università degli Studi di Padova, Dipartimento di Scienze Economiche, Padova, Italy)

*Agar Brugiavini*  
(Università Ca' Foscari di Venezia, Department of Economics, Venezia, Italy)

### **Latvia**

*Signe Tomson, Andrejs Ivanovs, Diāna Baltmane*  
(Rīgas Stradiņa Universitāte, Faculty of Rehabilitation, Riga, Latvia)

### **Lithuania**

*Antanas Kairys, Olga Zamalijeva*  
(Vilniaus Universitetas, Faculty of Philosophy, Vilnius, Lithuania)

### **Luxembourg**

*Marie Noel Pi Alperin, Gaetan de Lanchy*  
(Luxembourg Institute of Socio-Economic Research (LISER), Esch-Belval, Luxembourg)

### **Malta**

*Marvin Formosa, Caroline Pavia-Sciortino*  
(University of Malta, Faculty of Social Wellbeing, Malta)

### **Netherlands**

*Adriaan Kalwij*  
(Utrecht University School of Economics, Chair of Applied Econometrics, Utrecht, NL)

*Marika de Bruijne*  
(Universiteit van Tilburg, CentERdata, Tilburg, Netherlands)

### **Poland**

*Agnieszka Chłoń-Domińczak*  
(Szkoła Główna Handlowa w Warszawie, Instytut Statystyki i Demografii, Warsaw, Poland)

*Monika Oczkowska*  
(Centre for Economic Analysis, CenEA, Szczecin, Poland)

*Dorota Holzer-Żelaźewska*

**Portugal**

*Pedro Pita Barros*  
(Faculdade de Economia, Universidade Nova de Lisboa, Lisbon, Portugal)

*Alice Delerue Matos, Fátima Barbosa*  
(Centro de Investigação em Ciências Sociais, Universidade do Minho, Campus de Gualtar, Braga, Portugal)

**Romania**

*Alin Andries, Mircea Asandului*  
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**Slovakia**

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**Slovenia**

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**Spain**

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**Switzerland**

*Alberto Holly, Jürgen Maurer, Sarah Vilpert*  
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*Clément Meier, Robert Reinecke*

**13.2 SHARE-COVID19**

The non-intended consequences of the epidemic control decisions to contain the COVID-19 pandemic are huge and affect the well-being of European citizens in terms of economics, social relationships and health: Europe is experiencing the largest recession since World War II, social contacts have been interrupted and people avoid seeking medical treatment in fear of infection. The overarching objective of the SHARE-COVID19 project is to understand these non-intended consequences and to devise improved health, economic and social policies. In our policy recommendations, we strive to make healthcare systems and societies in the European Union more resilient to pandemics in terms of prevention, protection and treatment of the population 50+, a most vulnerable part of the population.

The project aims to identify healthcare inequalities before, during and after the pandemic, to understand the lockdown effects on health and health behaviours, to analyse labour market implications of the lockdown, to assess the impacts of pandemic and lockdown on income and wealth inequality, to mitigate the effects of epidemic control decisions on social relationships and to optimise future epidemic control measures by taking the geographical patterns of the disease and their relationship with social patterns into account as well as to better manage housing and living arrangements choices between independence, co-residence or institutionalisation. The project pursues a transdisciplinary and internationally comparative approach by exploiting the data sources of the SHARE research infrastructure. It covers all EU Member States. The Max Planck Society is responsible for the project coordination. The project has started on 1 November 2020 and will end on 30 October 2023.

### Cooperation Partners

University of Southern Denmark (SDU), Odense, Denmark

University of Paris-Dauphine (DAUPHINE), Paris, France

Hebrew University (HUJI), Jerusalem, Israel

Università Ca' Foscari (UNIVE), Venice, Italy

University of Padova, Department of Economics and Management (UNIPD), Padova, Italy

Center for Monetary and Financial Studies (CEMFI), Madrid, Spain

SGH Warsaw School of Economics (SGH), Warsaw, Poland

University of Piraeus Research Centre (UPRC), Piraeus, Greece

Economics Institute of the Czech Academy of Sciences (NHU AV CR), Prague, Czech Republic

Faculty of Economics & Business, University of Zagreb (UniZG-FEB), Zagreb, Croatia

Umeå University (UmU), Umeå, Sweden

Universitätsklinikum Heidelberg (UKHD), Heidelberg Institute of Global Health (HIGH), Medical Faculty and University Hospital, Heidelberg University, Heidelberg, Germany

CentERdata, Tilburg, Netherlands

SHARE-ERIC, Munich, Germany

### 13.3 SYNERGIES FOR EUROPE'S RESEARCH INFRASTRUCTURES IN THE SOCIAL SCIENCES (SERISS)

SERISS connects the three major research infrastructures in the social sciences: the European Social Survey (ESS), the Survey of Health, Ageing and Retirement in Europe (SHARE), and

the Consortium of European Social Science Data Archives (CESSDA). Additionally, the following non-ESFRI research infrastructures are involved: the Generations and Gender Programme (GGP), the European Values Survey (EVS), and Wage Indicator Survey. The scientific aim of the project is to fully use the synergies between the three infrastructure projects and to influence the still fragmented landscape of smaller infrastructures. The project started on 1 July 2015 and ended on 30 June 2019.

### Cooperation Partners

Börsch-Supan, Axel, MEA, Max Planck Institute for Social Law and Social Policy, Munich

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### 13.4 SHARE-DEV3

The main goal of this project is to negotiate a sustainable financing model to implement SHARE-ERIC in all SHARE countries. Along with this, the stability of the Survey of Health, Ageing and Retirement in Europe (SHARE) will be improved. In addition to integrating as many European countries as possible in SHARE and SHARE-ERIC, the project aims to improve the technical architecture, introduce scientific inno-

vation and central coordination, which is crucial for international cooperation and cross-country comparability support. The project started on 1 July 2015 and ended on 30 June 2019.

#### **Cooperation Partners**

Andersen-Ranberg, Karen, Danish Aging Research Centre (DARC), Institute of Public Health, University of Southern Denmark, Denmark

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### **13.5 EXTENDING THE COVERAGE OF THE SHARE SURVEY TO ALL EU MEMBER STATES**

This project will extend SHARE to the eight EU member states which have not been covered by SHARE so far: Finland, Latvia, Lithuania, Slovakia, Romania, Bulgaria, Malta and Cyprus and inte-

grate these countries into SHARE Wave 7. The project also covers the development and testing of the SHARE core questionnaire for Wave 8 and the implementation of the main data collection of Wave 8 in these countries. Moreover, the project supports the four crisis countries Portugal, Spain, Greece and Estonia as well as the final database construction, data checks, and data provision after the completion of the main data collection of Wave 8. The project will thus enable the EU Commission and researchers to perform comparative analyses on topics such as employment, health, economic and social status with strictly harmonized data across all EU Member States. The project is funded by DG EMPL and is annually re-negotiated, currently until 30 September 2021.

#### **Cooperation Partners**

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Sakkeus, Luule, Tallin University, Estonia

Lyberaki, Antigone; Tinios, Platon, Panteion University of Social and Political Sciences, Greece

Delerue Matos, Alice, Universidade do Minho;  
Pita Barros, Pedro, Universidade Nova de Lisboa,  
Portugal

Mira, Pedro, CEMFI, Spain

### 13.6 GLOBAL NETWORK OF AGEING SURVEYS: SHARE GLOBAL SISTER STUDIES

This project strengthens the cooperation with a global network of other ageing surveys tackling the same issues relevant for individual and population ageing such as health, disability, retirement, active ageing, family and social support. The global network of ageing surveys (called ‘sister studies’ altogether) consists of ‘parent surveys’ and ‘daughter surveys’ with respect to SHARE, the Survey of Health, Ageing and Retirement in Europe, a multidisciplinary and cross-national panel database of micro data on health, socio-economic status and social and family networks, coordinated at MPISOC. The ‘parent surveys’ have been started earlier than SHARE and have influenced the design of SHARE, namely the US Health and Retirement Study (HRS) and the English Longitudinal Study of Ageing (ELSA), while SHARE has strongly influenced the design of the Japanese Study on Aging and Retirement (JSTAR) and other ‘daughter surveys’. The project is funded by a grant from the US National Institute on Aging.

#### Cooperation Partners

David Bloom, LASI – The Longitudinal Aging Study in India, International Institute for Population Sciences (IIPS), Mumbai; Harvard School of Public Health (HSPH); RAND Corporation, India

Börsch-Supan, Axel, SHARE – Survey of Health, Ageing and Retirement in Europe, MEA, Max Planck Institute for Social Law and Social Policy, Munich

Ichimura, Hidehiko, JSTAR – The Japanese Study of Aging and Retirement, Research Institute of Economy, Trade and Industry (RIETI),

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Kenny, Rose Anne, TILDA – The Irish Longitudinal Study on Ageing, Trinity College Dublin, the University of Dublin, Ireland

Lima-Costa, Maria Fernanda, ELSI-Brasil – Estudo Longitudinal de Saúde do Idoso / Brazilian Longitudinal Study of Health, Ageing & Well Being, Fundação Oswaldo Cruz – MG (FIOCRUZ), Universidade Federal de Minas Gerais (UFMG), Brazil

Shin, Chonggak, KLoSA – The Korean Longitudinal Study of Aging, Korea Employment Information Service, Republic of Korea

Step toe, Andrew, ELSA – English Longitudinal Study of Ageing, UCL Research Department of Epidemiology and Public Health; Institute for Fiscal Studies; NatCen Social Research; University of Manchester, UK

Weir, David, HRS – Health and Retirement Study, Survey Research Center at the University of Michigan’s Institute for Social Research and National Institute on Aging, USA

Zhao, Yaohui, CHARLS – Chinese Health and Retirement Survey, Peking University, China

### 13.7 RITRAIN

SHARE is participating in Rltrain. This project will develop a flagship training programme enabling RIs across all domains to gain expertise on governance, organisation, financial and staff management, funding, IP, service provision and outreach in an international context. It will be designed and delivered by experts who have set up and managed RIs from concept to maturity. Rltrain will define competencies required by RIs through consultation with their senior managers. The resulting competency framework will underpin a Bologna-compliant degree, the Master in Research Infrastructure Management, with three delivery routes. Professionals working

in RIs (or organisations representing them) can dip into the content, focusing on areas where there is most need. Management teams can take the course as an organisation, dividing modules between them to gain a certificate for the RI. This will flag the RI as an organisation that values staff development, improving its attractiveness as an employer. Recent graduates and others wishing to enhance their employability can take a full master's degree. Course content will include webinars led by senior managers of RIs. A staff exchange programme will catalyse exchange of best practice and foster cooperation to develop a mobile work force effective across many RIs. By the end of the project RItrain will be delivering a master's curriculum funded through course fees. Others with an interest in adopting it will be encouraged to do so, providing a means of expanding the programme. Europe's research community and global collaborators will gain from world-class facilities to support excellent, high-impact research to benefit humankind. The project started on 1 September 2015 and ended on 30 August 2019.

#### **Cooperation Partners**

Börsch-Supan, Axel, MEA, Max Planck Institute for Social Law and Social Policy, Munich

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Brooksbank, Cath, EMBL-EBI, UK

Migliaccio, Giovanni, EATRIS-ERIC, Netherlands

Stackebrandt, Erko, Universidade do Minho, Braga, Microbial Resource Research Infrastructure (MIRRI), Portugal

Hozak, Pavel, IMG – Institute of Molecular Genetics, EuBI ERIC, Czech Republic

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David, Sophie, CNRS – Centre National de la Recherche Scientifique, France

Kitney, Richard, Imperial College London, Infrastructure for Systems Biology – Europe (ISBE), UK

Raess, Michael, INFRAFRONTIER GmbH, Helmholtz-Zentrum, Munich

Kubiak, Christine, ECRIN-ERIC, France

### **13.8 SHARE – COHESION**

The central goal of this project is to upgrade SHARE-ERIC in all SHARE countries. This will improve the cohesion of the Survey of Health, Ageing and Retirement. In addition to integrating as many European countries as possible into SHARE and SHARE-ERIC, the project especially aims to improve the technical architecture, introduce scientific innovations and support central coordination, which is crucial for international cooperation and cross-national comparability. The project started on 1 October 2019 and will end on 30 September 2023.

#### **Cooperation Partners**

Andersen-Ranberg, Karen, Danish Aging Research Centre (DARC), Institute of Public Health, University of Southern Denmark, Denmark

Jusot, Florence, Université de Paris-Dauphine, France

Litwin, Howard, Hebrew University of Jerusalem, Israel

Jürges, Hendrik, Bergische Universität Wuppertal (BUW)

Weber, Guglielmo, Department of Economics and Management, University of Padova, Italy

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Das, Marcel, Centerdata (CentERdata), Netherlands

Mira, Pedro, Center for Monetary and Financial Studies, Spain

### **13.9 SHARE – HCAP (HARMONIZED COGNITIVE ASSESSMENT PROTOCOL)**

The general aim of this project is to exploit the international variation of health and life circumstances in Continental Europe to identify which interactions of bio-medical and socio-economic conditions over the life course affect cognition in later life. It will enhance our understanding how the vastly differing social, health and long-term care systems affect mental health and resulting mortality of the aging populations. This holds especially for the life circumstances in Europe since World War II which are likely to have influenced cognitive decline now at older ages. Moreover, the large variation in key policy variables, e.g. retirement age, identifies pathways from early retirement through inactivity and loss of social contacts to lower cognition, mediated by education, working environment and other socio-economic factors over the life-course

The project will administer in-depth measurement of cognition according to the Harmonized Cognitive Assessment Protocol (HCAP) that has been developed for the HRS-style aging surveys supported by NIA.

Using these data, the project will estimate prevalence rates of mild and severe cognitive impairment in the SHARE countries; compare these with HRS and other participants in the HCAP studies; and exploit the international variation of the SHARE plus SHARE-HCAP data in order to identify which interactions of biomedical and

socioeconomic conditions over the life course affect cognition later in life.

The project started on 30 September 2017 and will end on 30 April 2024.

#### **Cooperation Partners**

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Prof. Dr. Emrah Düzel, German Center for Neurodegenerative Diseases (DZNE), Germany

Michael Hurd, PhD, RAND Center for the Study of Aging, USA

Prof. Dr. Frank Jessen, German Center for Neurodegenerative Diseases (DZNE), Germany

Prof. Kenneth Langa, MD, PhD, University of Michigan, USA

Prof. Matt McGue, PhD, University of Southern Denmark (SDU), Odense, Denmark

Prof. Dr. Robert Perneczky, Ludwig-Maximilians University Munich, Germany

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Prof. Andrew Steptoe, University College London, UK

Prof. Annalena Venneri, PhD, The University of Sheffield, UK.

Prof. Dr. Michael Wagner, German Center for Neurodegenerative Diseases (DZNE), Germany

David Weir, PhD, University of Michigan, USA

### 13.10 SOCIAL SCIENCES AND HUMANITIES OPEN CLOUD (SSHOC) – INTEGRATING THE SOCIAL SCIENCES AND HUMANITIES INTO THE EUROPEAN OPEN SCIENCE CLOUD

SHARE joined the Social Sciences and Humanities Open Cloud (SSHOC) project. Beginning in 2019, SSHOC will realise the social sciences and humanities part of the European Open Science Cloud (EOSC) by offering access to research data and related services adapted to the needs of the SSH community. The aim is to facilitate the transition from the current landscape with disciplinary silos and separated e-infrastructure facilities into a fully-fledged cloud-based infrastructure. Thereby, it significantly contributes towards achieving the vision of the European Cloud Initiative and supports the implementation of European Open Science Cloud. The project started on 1 January 2019 and will end on 30 April 2022.

#### Cooperation Partners

National Gallery, United Kingdom of Great Britain and Northern Ireland

ESS ERIC, United Kingdom of Great Britain and Northern Ireland

Norsk senter for forskningsdata, Norway

University of Essex, United Kingdom of Great Britain and Northern Ireland

Univerza v Ljubljani, Slovenia

GESIS, Germany

Goeteborgs Universitet, Sweden

Tampere University, Finland

Fondation Suisse pour la recherche en sciences sociales, Switzerland

Statens Arkiver, Denmark



Andrea Oepen, Head of European Relations and Leader of ERIC Forum WP2, signing the ERIC Forum's Rules of Procedure designed by SHARE ERIC at the ERIC Forum Meeting in Brussels.

Universität Wien, Austria

City University of London, United Kingdom of Great Britain and Northern Ireland

Leibniz Institute for the Social Sciences, Germany

UNIVERSITAT POMPEU FABRA (UPF), Spain

Norsk senter for forskningsdata, Norway

Norsk senter for forskningsdata, Italy

CLARIN ERIC, Netherlands

CESSDA ERIC, Norway

Athena Research and Innovation Center, Greece

Eberhard Karls Universität Tübingen, Germany

Univerzita Karlova, Czech Republic

Univerza v Ljubljani (Faculty of Arts), Slovenia

STICHTING KATHOLIEKE UNIVERSITEIT, Netherlands

DARIAH ERIC, France

Instytut Chemii Bioorganicznej Polskiej Akademii Nauk, Poland

Österreichische Akademie der Wissenschaften, Austria

Georg-August-Universität Göttingen, Germany

Stichting Liber, Netherlands

Koninklijke Nederlandse Akademie van Wetenschappen (KNAW), Netherlands

University of York, United Kingdom of Great Britain and Northern Ireland

Stichting Katholieke Universiteit Brabant, Netherlands

Trust-IT Services Limited, United Kingdom of Great Britain and Northern Ireland

Trust-IT SRL, Italy

Commpla Srl, Italy

Semantic Web Company gmbh, Austria

Fondation Nationale des Sciences Politiques, France

The University of Nottingham, United Kingdom of Great Britain and Northern Ireland

Deutsches Archäologisches Institut (DAI), Germany

Centre national de la recherche scientifique (CNRS), France

Consiglio Nazionale delle Ricerche/National Research Council, Italy

University College London (UCL), United Kingdom of Great Britain and Northern Ireland

Foundation for Research and Technology-Hellas (FORTH), Greece

Stichting CentERdata, Netherlands

### 13.11 THE ERIC FORUM

The ERIC Forum's aim is to advance operations of ERICs and to strategically contribute to the development of ERIC related policies. The ERIC Forum Implementation Project brings together 20 established European Research Infrastructure Consortia (ERICs) and 3 ERICs in preparation to strengthen their coordination and enhance their collaborations. The strategic approach of the ERIC Forum will contribute to address critical challenges and develop best practices. The project is composed of 7 different thematic work packages, each focusing on a specific area. SHARE-ERIC is leading work package 2, which



Representatives of the ERICs involved in the ERIC Forum at their annual meeting in Brussels, January 2020.

aims for a suitable governance model that fulfills the needs of the ERIC Forum and can be accepted by all the participants (ERICs). The project started on 1 January 2019 and will end on 31 December 2022.

#### **Cooperation Partners**

Wolfgang Fecke (Director General), EU-OPEN-SCREEN, Germany

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Jana Kolar (Executive Director), CERIC-ERIC, Italy

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Sverre Quale (Director), ECCSEL ERIC, Norway

Jacques Demotes (Director General), ECRIN ERIC, France

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Massimo Cocco, EPOS ERIC, Italy

Prof. Rory Fitzgerald (Director), ESS ERIC, United Kingdom of Great Britain and Northern Ireland

Sylvie Pouliquen (Programme Manager), Euro-Argo ERIC, France

Jan Ellenberg, Euro-Biolmaging ERIC, Finland

John Womersley (Director General), European Spallation Source-ERIC, Sweden

Werner Kutsch, ICOS ERIC, Finland

Dave Stuart, INSTRUCT ERIC, United Kingdom of Great Britain and Northern Ireland

Dr. Francisco Colomer, JIV-ERIC, Netherlands

Christos Arvanitidis, LifeWatch ERIC, Spain

Prof. Dr. Martin Hrabé de Angelis & Dr. Daniel Lahne, Infrafrontier, Germany

Allen Weeks, ELI-DC, Belgium

### **13.12 SHARE GERMANY**

The German SHARE survey is the German part of the SHARE research infrastructure. It involves the preparation and coordination of the SHARE field work in Germany with a German survey agency procured by SHARE-ERIC, the monitoring of the fieldwork outcomes (response and retention rates, data quality), and the communication with SHARE Central.

The fourth and fifth wave of the German SHARE survey were funded by the Federal Ministry of Education and Research (BMBF), waves six to nine, as well as the SHARE COVID Surveys, by the German Research Foundation (DFG).

The DFG-funded German SHARE survey is formally a third-party project of the Technical University of Munich, Chair for the Economics of Aging. Thanks to cooperation agreements with SHARE-ERIC and MPG, the German SHARE team members are located at MEA's offices as guests. The project has started on 1 July 2011 and is part of a 'DFG Langfristvorhaben' which may last until 31 December 2027 with renewals every three years.

#### **Cooperation Partners**

Börsch-Supan, Axel, MEA, Max Planck Institute for Social Law and Social Policy, Munich and Chair for the Economics of Aging, Technical University of Munich

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Research Data Centre of the German Pension Insurance (FDZ-RV)

German Pension Fund's Research Network on Pensions (FNA)

### 13.13 NBER INTERNATIONAL SOCIAL SECURITY PROJECT

Working later in life has been undergoing a remarkable change throughout the last decades. The employment rates of older men experienced a long declining trend that began in the early 1970s while employment rates of older women were on a comparably low level. Since about 2000, employment rates of both older men and older women have been stunningly increasing. This holds true among most industrialized countries. Whether the recent increase in employment rates of older workers can help to permanently reduce the negative consequences of demographic change on fiscal sustainability depends on whether the trend will continue. Consequently, it is important to understand the causes for this recent increase. Therefore, the aim of the latest research phases of the International Social Security (ISS) Project has been to explain the trend reversal of older individuals' employment rates since around the late 1990s. In Phase ISS8, we provided evidence on the trends of promising candidates, which may be relevant in explaining this reversal like younger cohorts with improved health and better education, and the different role of women in society. However, these developments have contributed surprisingly little. Hence, the causes of the trend reversal have to be found elsewhere.

We therefore focused in ISS9 and ISS10 on the specific role of public pension rules since many countries enacted social security and labor market reforms, which have changed retirement ages, actuarial adjustment factors, disability benefit eligibility, and similar parameters of the social security systems. We found that changes in the retirement incentives are a key driver in explaining developments in labor force participation. In addition, we are performing a culminating study that estimates the effect of retirement incentives on retirement behavior using consolidated data that has been pooled across all participating countries (ISS10a). These countries correspond to the twelve countries used in earlier phases of the International Social Security Project (see Gruber and Wise, various issues). In this manner, we exploit the international differences in social security policies across countries to pin down the effects. Recently, we moreover focus on social security reforms and inequality because reform effects can vary dramatically across the population, and they can vary systematically, based on income, health, work history, and other factors (ISS Phase 11). The analyses have already been published within the NBER Book Series 'International Social Security' or pursue the goal to being published within this series.

#### Cooperation Partners

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To, Maxime, Institut des Politiques Publiques, France

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Vall Castello, Judit, Universitat de Barcelona, Spain

Weber, Guglielmo, University of Padua, Italy

Wise, David, Harvard University, Cambridge, MA, USA

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### 13.14 NBER DISABILITY RESEARCH PROJECT

The research group, sponsored by the US Social Security Administration, is concerned with the early determinants of work disability in an international perspective and the effect of disability insurance on health and wellbeing after enrollment. The first part of the project describes the extent of work disability in the US and Europe using internationally comparable measures of health using data from SHARE, ELSA and HRS; juxtaposes these health measures of work disability with the uptake of DI benefits in the US and Europe; relates work disability on measures of life-time health using life history data from SHARE and ELSA plus comparable early childhood and life-course data from HRS; and conditions the relation between work disability and DI benefit receipt on country-specific education, health, pension and labor market policies. A

paper on the first part was published in *Demography* in 2020.

The purpose of disability insurance (DI) is to protect people who develop functional impairments that limit their ability to work. In the second part of the project, we evaluate the effectiveness of DI benefit programs in delivering this protection by following people's health and financial wellbeing after the take-up of disability insurance benefits. To analyze these effects, the project takes advantage of the varying disability insurance programs in Europe and the United States, as well as changes in these programs over time. Also important to the project is differentiating between the effects of DI participation across individuals with different characteristics, and with more and less severe functional impairments. This variation allows us to draw conclusions about the differential effects of DI uptake on people's subsequent health, finances and other aspects of wellbeing. The finalizing paper is close to journal submission.

#### Cooperation Partners

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Maestas, Nicole, NBER Disability Research Center, USA

Woodbury, Richard, NBER Disability Research Center, USA

### 13.15 AGING SOCIETIES NETWORK

Starting in mid 2006, the MacArthur Foundation sponsored a set of exploratory consultations with recognized scholars from relevant

disciplines to evaluate the proposition that a significant opportunity exists for the Foundation to make an important contribution in this area. From these meetings emerged an agenda for a research network to conduct a society-wide, broad-based analysis of the modifications required in our major societal institutions to facilitate the emergence of a productive, equitable aging society in the United States. After the support by the MacArthur Foundation ended in 2018, the network is supported by the Hartford foundation. The network has published joint articles in PNAS and various other journals.

#### **Cooperation Partners**

Antonucci, Toni, University of Michigan, Ann Arbor, MI, USA

Berkman, Lisa, Harvard University, Cambridge, MA, USA

Börsch-Supan, Axel, MEA, Max Planck Institute for Social Law and Social Policy, Munich

Cacioppo, John, University of Chicago, IL, USA

Carstensen, Laura, Stanford University, CA, USA

Fried, Linda, Columbia University, New York, NY, USA

Furstenberg, Frank F., University of Pennsylvania, Philadelphia, PA, USA

Goldman, Dana, University of Southern California, CA, USA

Jackson, James, University of Michigan, Ann Arbor, MI, USA

Kohli, Martin, European University Institute (EUI), Fiesole, Italy

Olshansky, S. Jay, University of Illinois, Chicago, IL, USA

Rother, John, National Coalition on Health Care, Washington, DC, USA

Rowe, John, Columbia University, New York, NY, USA

Zissimopoulos, Julie, University of Southern California, CA, USA

### **13.16 ILC GERMANY, MEMBER OF THE INTERNATIONAL LONGEVITY CENTRE GLOBAL ALLIANCE (ILC GLOBAL ALLIANCE)**

The mission of the ILC Global Alliance has been to help societies address longevity and population ageing in positive and productive ways, typically using a life course approach, highlighting older people's productivity and contributions to family and society as a whole. The Alliance member organisations have carried out the mission through developing ideas, undertaking research and creating forums for debate and action, in which older people are key stakeholders. ILC Germany was represented by the Munich Center for the Economics of Aging (MEA) until 2019.

#### **Cooperation Partners**

Börsch-Supan, Axel, ILC-Germany, MEA, Max Planck Institute for Social Law and Social Policy, Munich

Byles, Julie, Research Centre for Gender, Health and Ageing, University of Newcastle, Australia

Carmel, Sara, Center for Multidisciplinary Research in Aging Faculty of Health Sciences, Ben-Gurion University of the Negev, Israel

Daichman, Lia Susana, ILC-ARG, International Network for the Prevention of Elder Abuse, Inc. (INPEA), Latin American Committee for the Preventions of Elder Abuse, Argentina

Forette, Françoise, Hospital Broca, ILC-France, France

Gillis, Margaret, ILC-Canada, University of Ottawa, Canada

Greengross, Sally, University College London (UCL), United Kingdom

Holmerova, Iva, Centre of Gerontology, Charles University in Prague, Czech Republic

Kalache, Alexandre, ILC-Brazil, Brazil

Kalula, Sebastiana, ILC-SA, The Albertina and Walter Sisulu Institute of Ageing in Africa, University of Cape Town, South Africa

Mashelkar, Anjani, ILC-India, India

Mizuta, Kunio, ILC-Japan, Japan

Peng, Du, Institute of Gerontology, Renmin University, Institute of Gerontology, Renmin University of China, China

Pereyra, Rosy, Grand Parents Institute, Dominican Republic

Staudinger, Ursula M., Columbia Aging Center, ILC-USA, USA

Tsao, Mary Ann, Tsao-NUS Ageing Research Initiative, Singapore

Wouters, Guus, Leyden Academy on Vitality and Ageing, Netherlands

### **13.17 COMMITTEE OF THE U.S. NATIONAL ACADEMY OF SCIENCES, ENGINEERING AND MEDICINE ON UNDERSTANDING THE AGING WORKFORCE AND EMPLOYMENT AT OLDER AGES**

The National Academies of Sciences, Engineering, and Medicine will undertake a study that will review and assess what is known about the aging workforce in the United States, identify gaps in current knowledge and data infrastructure, and make recommendations for future research and data collection efforts. The study will focus on the individual-level human cap-

ital and demographic characteristics associated with decisions to continue working at older ages; and on the social and structural factors, including workplace policies and conditions, that inhibit or enable employment among older workers.

A first draft report has been finished in October 2020 and the final report is due by December 2020. Publication is expected in mid 2021.

#### **Cooperation Partners**

Susan T. Fiske (Chair), Eugene Higgins Professor of Psychology and Professor of Public Affairs, Princeton University, NY, USA

Emma Aguila, Assistant Professor, Sol Price School of Public Policy, University of Southern California, CA, USA

Peter B. Berg, Professor of Employment Relations, School of Human Resources and Labor Relations, Michigan State University, MI, USA

Axel Börsch-Supan, Director, Max-Planck-Institute for Social Law and Social Policy, Munich, Germany

Courtney C. Coile, Professor of Economics, Wellesley College, MA, USA

Ernest Gonzales, Assistant Professor, Silver School of Social Work, New York University, NY, USA

Jacquelyn B. James, Director, Sloan Research Network on Aging & Work, Research Professor, Lynch School of Education, Boston College, MA, USA

Phyllis E. Moen, McKnight Presidential Chair and Professor of Sociology, Department of Sociology, University of Minnesota, MN, USA

David Neumark, Professor of Economics, Director, Center for Population, Inequality, and Policy, University of California, Irvine, CA, USA

Mo Wang, Lanzillotti-McKethan Eminent Scholar Chair, University of Florida Research Foundation, FL, USA

## 14 THIRD-PARTY FUNDING

**2015–2018: Preparing for Retirement: Tailoring, Literacy and Effective Pension Communication**, NetSpar, €35,000

**2015–2018: Research Infrastructures Training Program (RItrain – Project n°654156)**, European Commission, €45,280 (SHARE-ERIC)

**2015–2019: Synergies for Europe’s Research Infrastructures in the Social Sciences (SERISS)**, European Commission, €2,221,624 (total SHARE-ERIC); €600,079 (MEA)

**2015–2019: Achieving World Class Standards in all SHARE Countries (SHARE DEV3 – Project n° 676536 – H2020)**, European Commission, €2,452,502 (total SHARE-ERIC); €352,912 (MEA)

**2013–2018: Survey of Health, Ageing and Retirement in Europe Waves 5–7**, Bundesministerium für Bildung und Forschung, €6,365,335

**2018–2024: Internationale Koordination des Survey of Health, Ageing and Retirement in Europe**, Bundesministerium für Bildung und Forschung, €7,169,299

**2016–2019: ‘Durchführung der deutschen SHARE-Befragung als DFG-Langfristvorhaben’**, Deutsche Forschungsgemeinschaft, €3,074,299 (via Technische Universität München)

**2016–2018: Extending the Coverage of SHARE Survey to All Member States with a Minimum Sample Size, Allowing a Better Monitoring of Ageing Challenges, VS-2016-0135** (European Commission, DG Employment), €2,699,824 (total SHARE-ERIC); €348,000 (MEA)

**2018–2019: Design of SHARE Wave 8 in all 28 Continental EU Member States, VS 2018/0285** (European Commission DG Employment), €1,498,754 (total SHARE-ERIC); €278,000 (MEA)

**2019–2021: ‘Fortführung der deutschen SHARE-Befragung als DFG-Langfristvorhaben’**, Deutsche Forschungsgemeinschaft, €5,331,926 (via Technische Universität München)

**2019–2020: Main survey SHARE Wave 8 in all 26 continental EU Member States VS 2019/0332**, European Commission, DG Employment); €1,485,492 (total SHARE-ERIC); €240,156 (MEA)

**2020–2021: SHARE Main data collection of Wave 8 VS 2020/0313** (European Commission, DG Employment); €1,199,999 (total SHARE-ERIC); €162,970 (MEA)

**2016–2019: Die Inklusion älterer Mitbürger unter Berücksichtigung biographischer Prozesse (SHARE RV III)**, Deutsche Rentenversicherung Bund, €98,056

**2019–2022: SHARE-RV**, Deutsche Rentenversicherung Bund, €249,900

**2019–2022: Social Sciences & Humanities Open Cloud SSHOC – Project n° 823782 – H2020** European Commission; €981,209 (total SHARE-ERIC); €768,359 (MEA)

**2019–2023: Cohesion in further developing and innovating SHARE across all 28 member countries SHARE COHESION – Project n° 870628 – H2020**; €4,963,432 (total SHARE-ERIC); €784,696 (MEA)

**2019–2022: ERIC Forum Implementation Project ERIC Forum – Project n°823798 – H2020** European Commission; €106,250 (SHARE-ERIC)

**2016–2021: Enhancing the Comparability of the Survey of Health, Ageing and Retirement in Europe (SHARE) with the Health Retirement Study (HRS) and the English Longitudinal Study of Ageing (ELSA)**, National Institutes of Health, \$2,049,870

2016–2021: **The Baltic Sea States Project**, Max Planck Society, €1,718,000

2017–2020: **The Challenges of Migration and Integration**, Max Planck Society, €330,000

2017–2022: **Bio-Medical and Socio-Economic Precursors of Cognitive Decline in SHARE**, National Institutes of Health, \$4,114,023

2020–2023: **Non-intended health, economic and social effects of the COVID-19 epidemic control decisions: Lessons from SHARE (SHARE-COVID19 – Project n° 101015924 H2020)**, European Commission, €6,847,680 (total consortium) of which €2,508,233 SHARE-ERIC and €655,241 MEA

2020–2021: **'Co-funding of fieldwork costs within EU-COM project 'Non-intended health, economic and social effects of the COVID-19 epidemic control decisions: Lessons from SHARE' (SHARE-COVID19) as part of the German SHARE Survey'**, Deutsche Forschungsgemeinschaft, €117,921 (via Technische Universität München)



# IV MAX PLANCK FELLOW GROUP



Prof. Dr. Elisabeth Wacker

## 1 OVERVIEW: A NEW PERSPECTIVE ON DISABILITY – THE VIEW TOWARDS AN INCLUSIVE SOCIETY

*Elisabeth Wacker*

*‘Love does not consist in gazing at each other, but in looking outward together in the same direction.’*

Antoine de Saint-Exupéry

Following the wise words of Antoine de Saint-Exupéry, it must be love that is the summary of ten years of Fellowship: We have aimed to look beyond our own backyard, and to look in the same direction together. In the initial phase, a group of young, up-and-coming researchers from various fields of social science worked together to explore the ‘Transformation of Social Systems and Participation of Persons with Disabilities’. Or to put it concisely, it was about issues of ‘Inclusion & Disabilities’. It was also a matter of opening one’s own eyes anew and reflecting about one’s own scientific certainties with great enthusiasm and eagerness. It is a world of attention and appreciation of diversity that my group and I were able to discover.

The topic has a longstanding tradition, especially from the perspective of social policy and social law. It is also future-oriented, especially in a society that has to deal with cohesion in the context of (a growing) inequality and in the shift of social policy from care for to the participation of vulnerable groups. The UN Convention on the Rights of Persons with Disabilities points towards similar goals.

Even in the age of the new Federal Participation Legislation (Bundesteilhabegesetz – BTHG), disability benefits must find a path through a sometimes confusing jungle of clarifying responsibilities and individual needs. Social science concepts will be able to discover new ways forward, especially if the insights are gathered in a participatory way. In this respect, the Fellowship also flanked a period in which the Federal Government no longer merely reports on the topic

of disability because the law requires it to do so, but chooses a look at life conditions and possible new participation benchmarks. My position as Chairwoman of the Scientific Advisory Board, which accompanied the transition to this new world, was greatly facilitated by the scientific advice and support I received from the community of this Max Planck Institute. We are now gaining experiences in the step-by-step implementation of a new law aiming to strengthen the participation and self-determination of persons with disabilities (BTHG). And we have been able to experience how well thoughts grow and flourish in good environments.

### Main Achievements

Two female professors (Minou Banafsche, University of Kassel, Germany; Laura Dobusch, Radboud University, Nijmegen, Netherlands) and three completed doctoral dissertations (Isabella Bertmann, Luisa Demant, Laura Dobusch) have emerged from the first Fellow Group (2010–2015), two of the three PhDs were awarded with distinction. During the second phase (2015–2020), a habilitation was completed (Katharina Crepez, Technical University of Munich: Habilitation in health sciences with special focus on diversity governance. Venia Legendi as well as Private Lecturer (‘Privatdozentin’ – PD)). Thus, one of the goals of the second Fellowship period has been achieved, namely the promotion of young researchers in their post-doc phase.

Another core concern was to more closely explore global developments regarding social benefits and social policy. We therefore also focused on the possibilities of understanding performance goals and performance tasks in countries of the Global South. There are still largely unknown fields of research to be explored – even ‘at the gates of Europe’. Social policy is policy for the future; in order to implement this in post-colonial times in a culturally and diversity-conscious manner, research workshops and conferences were held. A young Kenyan university contributed impressively to these international events. We therefore would like to express



The group with which Prof. Elisabeth Wacker started her fellowship in 2010. Meanwhile, Laura Dobusch (back row, right) and Minou Banafsche (front row, right) hold professorships at Radboud University and the University of Kassel respectively.

our sincere thanks to Pwani University, Kilifi, for all its efforts.

It is precisely in the context of these exchange opportunities with science and practice that our focus on the importance of community-based services of common interest was sharpened. These services are best achieved close to the people and across the boundaries of the benefit systems. After all, 'What does a person need?' remains one of the core questions. The answer could be: An orientation towards the common good and individual well-being. The Fellowship made clear how compellingly these concepts are linked on the micro level to quality of life as 'living and participating well'. On a meso level, the 'new social product' will have to be implemented through inclusive schools, working environments and health care systems, among other examples. All of this, of course, will be managed at the macro level and will be based on social inclusion in an inclusive society.

It thus became increasingly clear that it is not about 'the disabled', but rather about the ability to respect the diversity of people and their right to a self-determined life. At the same time, the necessity to stay together in society, despite differences, is also a central aim. To this end, the living conditions of persons with disabilities in an inclusive society should likewise be in the focus of social policy and benefit systems in the future. However, there is a lack of evidence-based data

and concepts for this vision. Much remains to be discovered and uncovered.

Sociologically, it is about an 'anatomy of inequality' and about inclusion as successful admission to the respective social subsystems. The 'One for All Program' in a society of the diverse and the equal means the basic permission to participate in safety and protection, mobility, health care, education, work and much more that makes up life. This must be achieved materially and through political processes, and the 'ushers' providing placement to the individual persons must be identified. The magical formula of 'participation' provides helpful hints on this.

A remarkable factor into this future is the new understanding of disability which must be gained and implemented. Disability is just one kind of diversity on a spectrum, except that it is, unlike other forms of diversity, looked upon exclusively as a disadvantage. For this reason, however, it is also one of the varieties of well-known groups with risks of exclusion, as they are often summarized under the 'Big 8' (Race, Gender, Ethnicity/Nationality, Organizational Role/Function, Age, Sexual Orientation, Mental/Physical Ability, Religion). It is about the breadth of the experience of disability as an element of being human. Or, to say it in the words of the Disability Rights Convention (CRPD), it is about 'mainstreaming' and awareness ('mainstreams the experience of disability and recognizes it as a universal human experience'). From a German perspec-



Dr. Katharina Crepaz

tive, this means that about 20 million people are addressed and visible as groups whose life opportunities are limited because they have different access to resources such as housing, public space, property, education or health. Particular attention was paid to this in the second phase of the Fellowship with the program 'Dis[cover]ability & Indicators for Inclusion'.

After Social Code Book (SGB) IX introduced the principle of 'services from a single source' already in 2001, the period of competence discussions between the various service systems should be over and inclusionary planning of participation opportunities should be reflected in a changing attitude of service providers. Here, scientific discoveries in the spirit of 'discover abilities & inclusion' could contribute to translating these developments into practice.

Living conditions that can also be described and compared from a global perspective with participation parameters serve as criteria for evaluation, for example in health services, in the workplace, in day-to-day life. For this evaluation, the 'International Classification of Functioning, Disability and Health | ICF' drafted by the World Health Organization (WHO) in 2001, serves as a reference framework. But the construct of 'participation' itself is also an important topic. 'Who owns participation?' was the question posed by an expert conference on science and practice. The discourse is pointing in the direction of considering participation as a common good, i.e. something that everyone is entitled to and that must be freely accessible to all if desired. The conference publication will shortly be published.

*'And, when you can't go back,  
you have to worry only about the best way  
of moving forward.'*

Paulo Coelho – The Alchemist

After ten years, the maximum possible duration of a fellowship ends, and so a new period of mutual cooperation begins. On behalf of all team members throughout the entire research decade, I would like to express our gratitude for a professionally inspiring and humanly enrich-

ing time of conducting research at the MPI for Social Law and Social Policy. I am very excited to continue to be a guest in this fantastic world of social science. The cooperation will thus remain an enlightening basis for further research and an ongoing exchange of ideas. At least two specific research projects are already on the agenda, and I am happy to be able to continue to move forward together.

## 2 PROJECTS

### 2.1 POLITICAL PARTICIPATION OF PERSONS WITH DISABILITIES AT THE REGIONAL LEVEL – BAVARIA AND SOUTH TYROL

Katharina Crepaz



In two case studies, the research project investigates the implementation of Art. 29 of the UN Convention on the Rights of Persons with Disabilities, which enshrines the right to political participation for persons with disabilities.

Different expressions of societal diversity (e.g. persons with disabilities, people belonging to national minorities, people with a migratory background), the resulting constructions of individual and collective identity and the desire for political participation and influence on policy-making processes regarding relevant policy fields are the main research interest of this project. Political processes take place in the framework of the European multi-level governance system (local, regional, national and European levels) and encompass different actors (e.g. activists, self-representation organizations, polit-

ical parties). Influence exertion may happen ‘top-down’ (e.g. through institutional settings and legal provisions, such as the UN Convention on the Rights of Persons with Disabilities (CRPD) as well as ‘bottom-up’ (connection and collaboration of civil society actors, transnational interaction). Socio-political conditions, welfare state preferences and the resulting possibilities or boundaries for participation constitute an additional level of analysis.

From March 2018 to February 2020, a comparative European research project was conducted that investigated the ‘Political Participation of Persons with Disabilities at the Regional Level – Bavaria and South Tyrol’. Article 29 of the CRPD sets a widely-framed definition of political participation, ranging from electoral laws to the involvement of civil society. As the CRPD must be implemented by the Member States as well as by the EU as a whole, a comparative analysis of participation possibilities is particularly important. Comparative studies are lacking so far, but they promise to offer valuable findings on the influence of social policy measures, socio-political framework conditions, welfare state preferences and socio-cultural change on political participation. The research project is therefore rooted in comparative policy analysis and looks at the implementation of Article 29 CRPD in two case studies that differ significantly regarding social policy orientation, welfare state settings and previous experiences with inclusion processes. The project placed a special in-depth focus on the regional level (comparison Bavaria, Germany – South Tyrol, Italy), as the threshold to participate in regional political processes is lower than on the national or European levels, and because regional policy-making is perceived to be ‘closer’ to people’s daily lives (Imig and Tarrow 2001).

For the ‘top-down’ spectrum, the institutional anchoring of participation (e.g. the right to vote), the implementation of the provisions laid out in Article 29 CRPD and their evaluation (official bodies, civil society’s ‘shadow reports’, *Bundesteilhaberbericht*) were looked at. The ‘top-down’ sphere also encompasses party programs,

representation in political parties, and the methods/promises used to appeal to persons with disabilities during electoral campaigns. The qualitative analysis of campaigning methods was conducted on data drawn from the electoral campaign for the *Landtagswahlen* (regional elections), held in both case studies in October 2018.

‘Bottom-up’ refers to persons with disabilities’ possibilities of shaping policy-making processes. In order to gain insights into the respective participation opportunities, civil society representation and collaboration on different levels (local, regional, national, European) was looked at. Possibilities for participation in civil society but also for representation in institutionalized contexts (e.g. *Behindertenbeiräte* – councils for persons with disabilities – on the local level) and reactions to current political and societal developments were equally analyzed. Methodologically, the project used document analysis (mostly for the ‘top-down’ spectrum) and qualitative structured interviews with stakeholders (mostly for ‘bottom-up’ contexts). The interview data was then evaluated by way of a thematic analysis (Braun and Clarke 2006).

Preliminary results have already been published in academic journals and presented at scientific conferences in 2018 and 2019; the final results are currently in the process of being published in the form of two further contributions to edited volumes. The data shows that self-representation organizations and party structures specializing in disability issues are stronger and better organized in Bavaria. Bavaria also performs better regarding information possibilities (e.g. party programs in easy-to-read language, information in sign language). However, South Tyrol is slowly catching up, and the inclusive school system, established more than 35 years ago, allows for further meeting points between persons with and without disabilities. Both case studies still show deficits in the visibility of persons with disabilities as politicians or activists, as well as in the acceptance by political parties and society in general to allow such careers to happen. Participation barriers and experiences with discrimination are also still widespread.



Dr. Eva Nachtschatt

## 2.2 PARTICIPATION OF PERSONS WITH DISABILITIES IN LEGISLATIVE PROCESSES

*Eva Nachtschatt*

The research project dealt with the participation of persons with disabilities in the development of laws within the framework of the Convention on the Rights of Persons with Disabilities (UN-CRPD). Participation embodies a goal, a principle, a right and a state obligation. Its principle is closely related to that of inclusion and non-discrimination (Hirschberg 2010).

Participation is fundamentally anchored in several places in the Convention. The general provision of Art. 4 of the UN-CRPD contains the general obligations to which the States Parties have committed themselves. Compliance with and consideration of these obligations should always be taken into account in national implementation processes and, at best, should be considered from the outset. In addition, paragraph 3 of Article 4 of the UN Convention on the Rights of the Child states that, when drafting and implementing laws and political programs, for the purpose of implementing the Convention and in other decision-making processes concerning the affairs of persons with disabilities, the States Parties shall actively involve and consult persons, as well as children with disabilities through their representative organizations. The scope of the provision can be interpreted broadly; it therefore has a decisive impact on implementation processes and interpretations of the Convention at the national level.

The idea of a specific obligation to include persons with disabilities through their representative organizations stems from the process by which the Convention itself was created (UN doc. CRPD/CSP/2018/4). Informal participation of affected groups of persons was already recommended in earlier international human rights treaties, but never elevated to a contractual obligation. The UN-CRPD was the first to formulate mandatory participation in political decision-making processes. This step is described

by Lord and Stein (2008) as probably the most progressive development within the framework of human rights. The principle of participation is presented in the Convention as “full and effective participation in society, on an equal basis with others” (Art. 29).

In his recommendations, the Special Rapporteur of the United Nations asked the States Parties to enact laws that are necessary to oblige the state authorities to actively involve persons with disabilities, including children and women with disabilities, through their representative organizations, in the development and implementation of laws and political concepts that directly or indirectly affect these groups of persons, and to maintain close consultations. States are encouraged to establish binding mechanisms, such as a process prior to the parliamentary legislative process with concrete, transparent structures and remedies, to provide an effective tool against decisions that deviate from the above-mentioned standards. Setting the legal framework requires not only close consultation, but an active involvement of the persons concerned. The fulfilment of this duty goes beyond close consultation and extends into the area of “partnership, delegated power and citizen control” (United Nations 2016: 63 and 100 c.). As soon as participation within the meaning of the Convention is anchored in a national legal provision, a legal concept emerges, which then needs to be defined in more detail. Participation must take place at all levels of decision-making and must be guaranteed. Through participatory processes, the persons involved can specify measures which will bring about an improvement and, at best, lead to a satisfactory result. A “full and effective participation” should thus be understood as an ongoing process and not as a single event (United Nations, General Comment 2018: 28). This means that participation measures must be established, worked on and, if necessary, readjusted.

The research project examines current participation processes in Germany and Austria as well as the representation of persons concerned through representative organizations, the models of civic participation and the stages and catego-

ries of participation applied from a legal perspective. The investigation intended to raise awareness to potential exclusionary factors and to develop possibilities for inclusion. The participatory processes of the Tyrolean Participation Act (2017) and the reform process of German Guardianship Law were compared. The project tackled the following research questions: How can a Convention-compliant participation in a legislative process be successful? How should a necessary support system be structured in concrete terms (organization, procedure, settings, necessary aids, supporters, formats, etc.)? What are the potential limits of a participatory process? After a comparative analysis of participatory decision-making in legal contexts, a best-practice participation process that conforms to the Convention is still in its development process. Beyond that, the aim of the project is also to further advance social change in the direction of an inclusive society in the sense of the UN-CRPD.

### 3 PUBLICATIONS

#### Crepaz, Katharina

- Ensuring Diversity Representation through Political Participation: A Comparative Case Study on Challenges and Opportunities Regarding the Political Participation of Persons with Disabilities. In: *Awakening, Continuity and Change – 20 Years of Degree Program in Social Work*. Bozen/Bolzano 2020 (in press)
- Europäische Zivilgesellschaft und Migrationspolitik: Soziale Medien als Partizipations- und Vernetzungsforen. In: *Festschrift für Heinrich Neisser*, Innsbruck 2020 (in press)
- Overcoming Borders: The Europeanization of Civil Society Activism in the 'Refugee Crisis'. In: *Journal of Ethnic and Migration Studies*, Special Issue 'The Spiraling of the Securitization of Migration in the EU' (2020): <https://dx.doi.org/10.1080/1369183X.2020.1851471>
- Territorialisierung und Selbst-Identifikation nationaler Minderheiten im europäischen Vergleich. In: Hug, Theo; Maurer, Andreas; Walli, Thomas (eds.), *Crossing Borders – Passaggi di confine – Grenzgänge: Festschrift für Günther Pallaver*, Innsbruck 2020, pp. 73–83
- Re-examining the Perspectives of Health and Mobility. In: *Eurac Research Science Blogs: Covid-19 and Beyond*: <https://beta.eurac.edu/en/blogs/covid-19/re-examining-the-perspectives-of-health-and-mobility>, 29 Apr 2020
- The Minority Safepack Initiative: A European Participatory Process Supporting Cultural Diversity. In: *European Yearbook of Minority Issues*, Vol. 17 (2018), Leiden 2020, pp. 23–47
- ; Elsen, Susanne: Empowerment of Female Migrants through Self-Organized Network Structures in Bavaria – A Best-Practice Model for South Tyrol? In: *Soziales Kapital*, 23 (2020), pp. 35–39
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- ; Becker, Ulrich; Wacker, Elisabeth (eds.): *Health in Diversity, Diversity in Health. (Forced) Migration, Social Diversification, and Health in a Changing World*, Wiesbaden 2020
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- ; Wacker, Elisabeth: Introduction – Working Together to See Further: European and African Perspectives on Refugees and Forced Migrants Compared. In: Wacker, Elisabeth; Becker, Ulrich; Crepaz, Katharina (eds.), *Refugees and Forced Migrants in Africa and the EU: Comparative and*

Multidisciplinary Perspectives on Challenges and Solutions, Wiesbaden 2019, pp. 1–9

– Die bayerischen Landtagswahlen 2018 – Zwischen Kreuzpflicht und Grünen-Boom. In: Pallaver, Günther; Alber, Elisabeth; Engl, Alice (eds.), *Politika – Südtiroler Jahrbuch für Politikwissenschaft* 2019, Bozen/Bolzano 2019, pp. 295–313

– Political Participation as a Fundamental Right: Persons with Disabilities in Germany and the EU Elections. In: *EUreka! Research Blogs*: <https://blogs.eurac.edu/eu-elections/tag/political-participation/>, 18 May 2019

– Europeanization and the ‘Regionalization’ of National Minority Identity. In: *Journal on Ethnopolitics and Minority Issues in Europe*, 18 (2019) 3, pp. 1–18

– Review of: Medda-Windischer, Roberta; Boulter, Caitlin; Malloy, Tove H., *Extending Protection to Migrant Populations in Europe: Old and New Minorities*. In: *Journal on Ethnopolitics and Minority Issues in Europe*, 18 (2019) 3, pp. 53–57

– Between Consolidated Autonomy and Separatist Claims: A European Perspective on Present-Day South Tyrol. In: *Journal on Ethnopolitics and Minority Issues in Europe*, Special Issue: *Separatist Movements in Europe*, 17 (2018) 3, pp. 67–86

– A Common Commitment: Civil Society and European Solidarity in the ‘Refugee Crisis’. In: Nancheva, Nevena; Agarín, Timofey (eds.), *A European Crisis: Perspectives on Refugees in Europe*, Hannover 2018, pp. 29–49

#### **Nachtschatt, Eva**

– Sicherung der Inklusion durch rechtliche Anerkennung natürlicher Fähigkeiten. In: *Tagungsband der 33. Tagung der InklusionsforscherInnen*, Berlin 2020, pp. 130–138

Schachler, Viviane; –; Schreiner, Mario: *Mitbestimmung Light? Die Reform der Werkstätten-Mitwirkungsverordnung durch das Bun-*

*desteilhabegesetz*. Fachbeitrag B5-2019. In: *Diskussionsforum Rehabilitations- und Teilhaberecht*: [www.reha-recht.de](http://www.reha-recht.de), 2019, pp. 1–16

– Die rechtliche Handlungsfähigkeit im Erwachsenenschutz. Ein Rechtsvergleich zwischen Österreich, Deutschland und Australien, Wien 2019

–; Ganner, Michael: *Einbindung der Zivilgesellschaft bei der Implementierung der UN-BRK*. In: Ganner, Michael; Voithofer, Caroline (eds.), *Recht & Solidarität*, Innsbruck 2018, pp. 41–52

Welti, Felix; –: *Das gleiche Recht von Menschen mit Behinderungen auf Arbeit nach Art. 27 UN-Behindertenrechtskonvention*. In: Wansing, Gudrun; Welti, Felix; Schäfers, Markus (eds.), *Das Recht auf Arbeit für Menschen mit Behinderungen, Internationale Perspektiven*, Baden-Baden 2018, pp. 55–89

#### **Wacker, Elisabeth**

Winkler, Sylvia; Amuasi, John Humphrey; –: *One Health – Out of Many! Ein inklusiver Zugang mit Zukunftspotenzial*. In: Molls, Michael; Eberspächer, Jörg (eds.), *Change. Denkanstöße für die Zeit nach Corona*, Munich 2020, pp. 220–223 (Engl. version in press)

Dobusch, Laura; Kreissl, Katharina; –; *Schwerpunktthema Diversitätsforschung: Von der Rekonstruktion zur Disruption?* In: *Zeitschrift für Diversitätsforschung und -management. Diversitatis*, 5 (2020) 1, pp. 4–7

– *Bildung zwischen Exklusion und Inklusion – der soziologische Zugang. Gleichheitsideale und ungleiche Teilhabe bei Beeinträchtigungen*. In: Tippelt, Rudolf, Heimlich, Ulrich (eds.), *Inklusive Bildung. Zwischen Teilhabe, Teilgabe und Teilsein*, Stuttgart 2020, pp. 94–118.

– *Teilhabefokus und Soziologie sozialer Probleme. Eine Erkundung zu Forschungspotenzialen am Beispiel der Behinderungsfrage*. In: *Soziale Probleme (SozProb)*, (2020): <https://doi.org/10.1007/s41059-020-00078-7>

– Preface. In: Crepaz, Katharina; Becker, Ulrich; Wacker, Elisabeth (eds.), *Health in Diversity, Diversity in Health? (Forced) Migration, Social Diversification and Health in a Changing World*, Wiesbaden 2020, pp. IV–V

Crepaz, Katharina; Becker, Ulrich; – (eds.): *Health in Diversity, Diversity in Health? (Forced) Migration, Social Diversification and Health in a Changing World*, Wiesbaden 2020

Crepaz, Katharina; –: Introduction – Working Together to See Further: European and African Perspectives on Refugees and Forced Migrants Compared. In: Wacker, Elisabeth; Becker, Ulrich; Crepaz, Katharina (eds.), *Refugees and Forced Migrants in Africa and the EU: Comparative and Multidisciplinary Perspectives on Challenges and Solutions*, Wiesbaden 2019, pp. 1–9

–; Becker, Ulrich; Crepaz, Katharina (eds.): *Refugees and Forced Migrants in Africa and the EU: Comparative and Multidisciplinary Perspectives on Challenges and Solutions*, Wiesbaden 2019

– *Leben in Zusammenhängen. Behinderung erfassen und Teilhabe messen*. In: *Aus Politik und Zeitgeschichte (Themenheft Menschen mit Behinderung)*, 69 (2019) 6–7, pp. 12–18

– *Mehr Teilhabe bei Beeinträchtigungen!?* Zehn Jahre Diskurse zu Inklusion, Partizipation, Exklusion. In: *merz medien + erziehung Zeitschrift für Medienpädagogik*, 22 (2019) 5, pp. 9–16

– *Tätiges Leben und Teilhabe – Beteiligungschancen am Erwerbsleben*. In: Cattacin, Sandro; Domenig, Dagmar; Schäfer, Urs (eds.), *Selbstbestimmt mitgestalten! Behinderung im Fokus individueller und gesellschaftlicher Emanzipation*, Zurich 2019, pp. 91–104

– *Wahrnehmen in der Teilhabegesellschaft. Von der Sichtbarkeit und anderen Umgebungsfaktoren*. In: Drolshagen, Birgit; Schnurnberger, Marion (eds.), *Sehen in Kontexten. Perspektiven auf Wahrnehmung, Sehbeeinträchtigung und Blindheit*, Festschrift für Renate Walthes, Würzburg 2019, pp. 37–56

–; Bootz, Philip: *Prävention und Gesundheitsförderung in der Eingliederungshilfe. Abschlussbericht*, Berlin AOK-Bundesverband, Berlin 2019

– *Behindertenpolitik, Behindertenarbeit*. In: Otto, Hans-Uwe; Thiersch, Hans; Treptow, Rainer; Ziegler, Holger (eds.), *Handbuch Soziale Arbeit*, 6th ed., Munich 2018, pp. 96–109

– Preface – Quality of Life for Granted. In: Bertmann, Isabella, *Taking Well-Being and Quality of Life for Granted? An Empirical Study on Social Protection and Disability in South Africa*, Wiesbaden 2018, pp. 5–7

–; Crepaz, Katharina; Dobusch, Laura: *Dis[cover]ability & Indicators for Inclusion*. In: Max Planck Institute for Social Law and Social Policy (ed.), *Report 2015–2017, Max Planck Institute for Social Law and Social Policy*, Munich 2018, pp. 411–436

– *Von Normalitätsidealen zur inklusiven Gesellschaft*. In: Quenzel, Gudrun; Hurrelmann, Klaus (eds.), *Handbuch Bildungsarmut*, Wiesbaden 2018, pp. 717–742

## 4 PRESENTATIONS

### Crepaz, Katharina

**The Minority Safepack Initiative – A European Participatory Process Supporting Cultural Diversity.** Workshop: 'Diversität ermöglichen – Ungleichheit reduzieren – Nachhaltigkeit sicherstellen: Herausforderungen und Handlungsansätze in Wissenschaft und Governance', Ringberg Castle, Kreuth am Tegernsee (22–24 Jan 2020)

**Framing of Diversity Issues in Public Discourse and Electoral Campaigns: Migration and Disability Compared.** Conference: '20 Years of Degree Programme in Social Work: Awakening, Continuity and Change', Free University of Bozen/Bolzano, Brixen/Bressanone, Italy (21–22 Nov 2019)

**Fostering Political Participation and Representation Processes: Why Diversity and Inclusion Governance Matters.** Presentation: Mid-Term Evaluation of the Habilitation, Technische Universität München, Munich (18 Oct 2019)

**Behinderung, Selbst-Identifikation und (neue?) Formen politischer Partizipation.** Conference: '1. Kongress der Teilhabeforschung', Humboldt-Universität zu Berlin, Berlin (26–27 Sep 2019)

**Socio-Economic Integration and Empowerment of Female Migrants through Self-Organized Network Structures.** Workshop: 'Sozialsysteme und Diversität: Forschungsfelder und Forschungsmethoden im interdisziplinären Vergleich', Free University of Bozen/Bolzano, Brixen/Bressanone, Italy (19–21 Sep 2019)

**Disability and (New?) Possibilities for Political Participation in Regions.** Conference: '8th Annual ALTER Conference Histories, Practices and Policies of Disability: International, Comparative and Transdisciplinary Perspectives', Universität zu Köln, Cologne (5–6 Sep 2019)

**Empowerment of Female Migrants through Self-Organized Network Structures – Best Practice Models from Bavaria** (with Katharina Kreissl). Conference: 'Fachtagung und wissenschaftliches Vernetzungstreffen der Diversity-Forschenden aus Deutschland, Österreich und der Schweiz – Von Diversity-Management zu Diversity & Inclusion?', Universität St. Gallen, St. Gallen, Switzerland (26–27 Aug 2019)

**Between Consolidated Autonomy and Separatist Claims: A European Perspective on Present-Day South Tyrol.** Conference: IPISA 'Diversity and Democratic Governance: Legacies of the Past, Present Challenges, and Future Directions?', University of Sarajevo, Sarajevo, Bosnia and Herzegovina (12–15 Jun 2019)

**'United in Diversity' in Regions: Ensuring Diversity Representation through Political Participation?** EUSA 'International Biennial Conference', Denver, USA (9–12 May 2019)

**(New Forms of) Political Participation in Regional Diversity Contexts: Challenges and Opportunities.** Conference: PSA '69th Annual International Conference (Un)Sustainable Politics in a Changing World', Nottingham Trent University, Nottingham, United Kingdom (15–17 Apr 2019)

**Diversity and (New?) Forms of Participation in Regions.** Conference: DVPW 'Governance of Big Transformations', TUM School of Governance, Munich (21–23 Mar 2019)

**Health in Diversity, Diversity in Health?** Workshop: 'Diversität als Strukturmerkmal moderner Gesellschaften', Ringberg Castle, Kreuth am Tegernsee (20–22 Feb 2019)

**Diversität – Identität – politische Partizipation: Erste Ergebnisse der komparativen Studie zur politischen Partizipation auf regionaler Ebene.** Workshop: 'Diversität als Strukturmerkmal moderner Gesellschaften', Ringberg Castle, Kreuth am Tegernsee (20–22 Feb 2019)

**Chancen und Grenzen politischer Teilhabe.** Conference: 'Wem 'gehört' die Teilhabe? Nutzen, Bereitstellung und Verfügbarkeit von Teilhabe als Allgemeingut', Max Planck Institute for Social Law and Social Policy, Munich (6–7 Dec 2018)

**Politische Partizipation in regionalen Diversitätskontexten.** Conference: 'ÖGPW Tag der Politikwissenschaft 2018', Universität Innsbruck, Innsbruck, Austria (29–30 Nov 2018)

**Diversität und politische Partizipation auf regionaler Ebene: Institutionen, Parteien und die Rolle der Zivilgesellschaft.** Conference: 'Diversity Netzwerktagung Diversitätsforschung: Von der Rekonstruktion zur Disruption?', Technische Universität München, Munich (12–14 Sep 2018)

**Diversity and Participation in Political Processes.** In-House Seminar: Eurac Research Institute for Comparative Federalism, Eurac Research, Bozen/Bolzano, Italy (24 Jul 2018)

**Diversität in Policy-Making-Prozessen.** Workshop: 'Diversität in der Wissenschaft: Grundlagen, Forschung und Implementation', Universität Innsbruck, Innsbruck, Austria (16–17 Jul 2018)

**Inklusion und Partizipation von Menschen mit Beeinträchtigung in Regionen – Bayern und Südtirol im europäischen Vergleich.** Lecture Series 'Planet Science', Free University of Bozen/Bolzano, Bozen/Bolzano, Italy (17 May 2018)

**Engaged Citizens, Sought-After Voters? Political Participation of Persons with Disabilities in Germany and Italy.** Conference: 'Euro-Mediterranean Conference on Disability Studies and Disability Activism', Sliema, Malta (2–4 May 2018)

**Buddies for Refugees 2018 – Eine gesellschaftspolitische Bestandsaufnahme von Entwicklungen, Möglichkeiten und Herausforderungen.** Conference: 'Buddies for Refugees Kick-Off', Technische Universität München, Munich (24 Mar 2018)

**Active Citizenship als Grundkonzept der inklusiven Gesellschaft.** Workshop: 'Von Normalitätsidealen zur inklusiven Gesellschaft', Ringberg Castle, Kreuth am Tegernsee (7–9 Mar 2018)

**Teilhabe – Zauberformel für ein 'gutes Leben'?** (with Eva Nachtschatt). Workshop: 'Von Normalitätsidealen zur inklusiven Gesellschaft', Ringberg Castle, Kreuth am Tegernsee (7–9 Mar 2018)

**Nachtschatt, Eva**

**Schaffung einer inklusiven Gesellschaft durch grundlegende Beachtung von Diversität.** Conference: '1. Kongress der Teilhabeforschung', Humboldt-Universität zu Berlin, Berlin (26–27 Sep 2019)

**Hintergrund eines inklusiven Bildungssystems und sozialrechtliche Leistungen zur Teilhabe an Bildung.** Workshop: 'Sozialsysteme und Diversität: Forschungsfelder und Forschungsmethoden im interdisziplinären Vergleich', Free Univer-

sity of Bozen/Bolzano, Brixen/Bressanone, Italy (19–21 Sep 2019)

**Disability and Political Participation: Comparative Interdisciplinary and International Perspectives.** Conference: '8th Annual ALTER Conference Histories, Practices and Policies of Disability: International, Comparative and Transdisciplinary Perspectives', Universität zu Köln, Cologne (5–6 Sep 2019)

**Schaffung einer inklusiven Gesellschaft durch grundlegende Beachtung von Diversität.** Conference: 'Fachtagung und wissenschaftliches Vernetzungstreffen der Diversity-Forschenden aus Deutschland, Österreich und der Schweiz – Von Diversity-Management zu Diversity & Inclusion?', Universität St. Gallen, St. Gallen, Switzerland (26–27 Aug 2019)

**Rechtliche Perspektiven auf die Geschlechterforschung.** Guest Lecture: 'Gender- und Diversitätsforschung', Technische Universität München, Munich (15 Jul 2019)

**Inklusion und Exklusion – Bedeutung und Aufgabe des Rechts.** Guest Lecture: 'Inklusion und Exklusion', Technische Universität München, Munich (26 Jun 2019)

**Hintergründe eines inklusiven Bildungssystems.** Conference: 'Umgebungsbegleitung BTHG: Teilhabe an Bildung', Hannover (3–5 Jun 2019)

**Diversity in Legislative Processes.** Conference: DVPW 'Governance of Big Transformations', TUM School of Governance, Munich (21–23 Mar 2019)

**Comparing and Sharing Experiences – A Lesson We Can Learn.** Conference: 'Australian Guardianship and Administration Council Conference: Upholding Rights, Preventing Abuse and Promoting Autonomy', Canberra, Australia (14–15 Mar 2019)

**Partizipation von Menschen mit Behinderungen bei der Entstehung von Gesetzen – Grundlegende Überlegungen.** Workshop: 'Diversität als Strukturmerkmal moderner Gesell-

schaften', Ringberg Castle, Kreuth am Tegernsee (20–22 Feb 2019)

**Sicherung der Inklusion durch rechtliche Anerkennung natürlicher Fähigkeiten.** Conference: '33. Jahrestagung der Inklusionsforscher\*innen', Berlin (20–22 Feb 2019)

**Die UN-Behindertenrechtskonvention, die Rechte von Menschen mit Behinderungen und das bio-psycho-soziale Modell.** Guest Lecture: 'Alten- und Behindertenrechte', Universität Innsbruck, Innsbruck, Austria (12 Dec 2018)

**Research Collaboration and Current Activities in Kenya.** Poster Presentation: 'Sustainable Development in Africa', Technische Universität München, Munich (16 Nov 2018)

**From Legal Requirements to Legal Participation.** Conference: 'World Congress on Adult Guardianship 2018', Seoul, South Korea (23–25 Oct 2018)

**Die Rechtliche Handlungsfähigkeit von Menschen mit Behinderungen und wie die Teilnahme am Rechtsverkehr möglich ist.** Conference: 'Diversity Netzwerktagung Diversitätsforschung: Von der Rekonstruktion zur Disruption?', Technische Universität München, Munich (12–14 Sep 2018)

**Diversität in der Lehre.** Workshop: 'Diversität in der Wissenschaft: Grundlagen, Forschung und Implementation', Universität Innsbruck, Innsbruck, Austria (16–17 Jul 2018)

**Inklusion und Exklusion – Bedeutung und Aufgabe des Rechts.** Guest Lecture: 'Inklusion und Exklusion', Technische Universität München, Munich (19 Jun 2018)

**Von Normanforderungen zur rechtlichen Teilhabe.** Workshop: 'Von Normalitätsidealen zur inklusiven Gesellschaft', Ringberg Castle, Kreuth am Tegernsee (7–9 Mar 2018)

**Teilhabe – Zauberformel für ein 'gutes Leben'?** (with Katharina Crepaz). Workshop: 'Von Nor-

malitätsidealen zur inklusiven Gesellschaft', Ringberg Castle, Kreuth am Tegernsee (7–9 Mar 2018)

**Die Konvention über die Rechte von Menschen mit Behinderungen.** Guest Lecture: 'Sozialrechtliche Grundlagen', Technische Universität München, Munich (29 Jan 2018)

**Teilhabe am Arbeitsleben.** Guest Lecture: 'Sozialrechtliche Grundlagen', Technische Universität München, Munich (15 Jan 2018)

**Rehabilitation und Teilhabe von Menschen mit Behinderungen – SGB IX.** Guest Lecture: 'Sozialrechtliche Grundlagen', Technische Universität München, Munich (8 Jan 2018)

**Wacker, Elisabeth**

**Wem gehört die Teilhabe?** Conference: 'Con-Sozial 2019: Die KongressMesse für den Sozialmarkt', Messe Nürnberg, Nuremberg (6–7 Nov 2019)

**Behinderung und Gesundheit – kein Widerspruch!?** Conference: Fachtag der Landeshauptstadt München, Referat für Gesundheit und Umwelt, 'Gesundheit für ALLE? Einflussfaktoren auf die Gesundheit in verschiedenen Lebenslagen', Munich (21 Oct 2019)

**From Narratives and Visions to the Agenda. Health and Social Development – Based on the SDGs.** Workshop, Pwani University, Kilifi, Kenya (15 Oct 2019)

**Teilhabeforschung als Transformationsforschung.** Keynote Conference: '1. Kongress der Teilhabeforschung', Humboldt-Universität zu Berlin, Berlin (26–27 Sep 2019)

**Teilhabe im Alter. Vielfalt und Gleichwertigkeit in Kontexten.** Party Workshop: Herbstklausur Die Grünen 'Zusammenhalt und Teilhabe in unserer modernen Welt', Adelsried (18–20 Sep 2019)

**Hör-Sinn. Inklusiv – Vielfalt und Gleichwertigkeit in Kontexten.** Congress: 21. Hannoverscher

Cochlea-Implantat-Kongress 'Cochlea-Implantate – maßgeschneidert', Cochlear Implant Centrum der Medizinischen Hochschule Hannover, Hannover (13–14 Sep 2019)

**Für alle Fälle Teilhabe?! Gedanken zur Konstruktion und zum Alltag.** Symposium: Symposium der Initiative 'Pflege Inklusiv' der Stiftung Wohlfahrtspflege, Bochum (24 Jun 2019)

**Eine Teilhabe für alle | vielfach anders? Gedanken zu Konstruktionen und Alltag von Teilhabe im Widerstreit.** Programme: 'Interkulturelles Lehrprogramm des Bereichs Globale Systeme und Interkulturelle Kompetenz der Universität Würzburg', Würzburg (04 Jun 2019)

**Ein gutes Leben leben – auf dem Prüfstand der BRK.** Conference: 'Glück und Lebensqualität/Lebenszufriedenheit', Mosbach (23 May 2019)

**Inklusion und UN-Behindertenrechtskonvention.** Event: 'Personalversammlung Stadtentwässerung München', Munich (9 May 2019)

**Health in Diversity, Diversity in Health? An Introduction.** Conference: 2nd South-East-African & European Conference on Refugees and Forced Migrants: 'Health in Diversity, Diversity in Health?', Pwani University, Kilifi, Kenya (12–14 Mar 2019)

**Zielgruppenbefragung in teil- und vollstationären Einrichtungen der Eingliederungshilfe** (with Philip Bootz). Workshop: 'Expert\_innenworkshop AOK-Bundesverband Forschungsprojekt QualiPEP – Qualitätsorientierte Prävention und Gesundheitsförderung in Einrichtungen der Eingliederungshilfe und Pflege', Berlin (14 Feb 2019)

**Die Entdeckung der Teilhabe – sozialetisch betrachtet.** Conference: 'Wem 'gehört' die Teilhabe? Nutzen, Bereitstellung und Verfügbarkeit von Teilhabe als Allgemeingut', Max Planck Institute for Social Law and Social Policy, Munich (6–7 Dec 2018)

**Mehr Teilhabe für alle?!** Conference: '3. Kongress des Bundesverbandes Kinderneurolo-

gie-Hilfe e.V.: Reine Kopfsache – Das ABC der Kinder- und Jugendrehabilitation bei SHT', Berlin (21 Nov 2018)

**Projekt Ambulantisierung – Abschlussbericht der Technischen Universität München zur Umsetzung in Modellregionen.** Event: '27. Sitzung des Bezirkstages des Bezirks Mittelfranken', Bezirksrathaus Ansbach, Ansbach (25 Oct 2018)

**Wohnmodelle unterwegs zur Teilhabe – Inklusive Angebote auf dem Prüfstand.** Conference: 'Fachtagung Teilhabe im Sozialraum', Bezirksrathaus Ansbach, Ansbach (24 Oct 2018)

**Aus der Reihe tanzen – miteinander! Gedanken zu Diversitäts- und Inklusionsanliegen.** Workshop: 'Diversität in der Wissenschaft: Grundlagen, Forschung und Implementation', Universität Innsbruck, Innsbruck, Austria (16–17 Jul 2018)

**Aus der Reihe tanzen – miteinander.** Event: 'Diversity-Woche von BMW', Munich (7 Jun 2018)

**Inklusion zwischen Einbeziehungszauber und Teilhabeversprechen – Partizipationsrechte und -routinen als Anforderung an und für alle.** Lecture: 'Ringvorlesung Inklusionen und Exklusionen des Humanen', Universität Würzburg, Würzburg (6 Jun 2018)

**Eine Gesundheit für alle ...? Vielfalts-Perspektive.** Weiterbildung. Heilen/Perfekten/Gesunden. Conference: 'Was ist Gesundheit? Eine philosophische und interdisziplinäre Auseinandersetzung', Universität Zürich, Zurich, Switzerland (9 Apr 2018)

**Der Inklusionsbegriff als Wegweiser für die Beschäftigung von Menschen mit Behinderung.** Conference: '2. Bayerische SBV-Konferenz Inklusion in der Arbeitswelt – Anforderung und Umsetzungsmöglichkeiten: Praxisaspekte für Schwerbehindertenvertretungen', DGB-Gewerkschaftshaus, Munich (19 Mar 2018)

**Instructions for the Future Workshop One Health.** Workshop, Pwani University, Kilifi, Kenya (25 Feb 2018)

**Disability Mainstreaming and Indicators for Inclusion.** Symposium: 'Quality of Life and Participation in Young People with Chronic Physical and Mental Health Conditions and Disabilities', DFG, Alfried Krupp Wissenschaftskolleg Greifswald, Greifswald (15–16 Feb 2018)

## 5 TEACHING

*Winter Term 2019/20*

**Colloquium 'Doktorand\_innenkolloquium: Versorgungsforschung – CaRe@TUM'**

Elisabeth Wacker  
Technische Universität München (TUM)

**Lecture 'Das bio-psycho-soziale Modell im sozialen Kontext'**

Elisabeth Wacker  
Technische Universität München (TUM)

**Lecture 'Einführung in die Dimensionen von Gesundheit'**

Elisabeth Wacker  
Technische Universität München (TUM)

*Summer Term 2019*

**Lecture 'Geschlechter- und Diversitätsforschung'**

Katharina Crepaz  
Technische Universität München (TUM)

**Lecture 'Sozialrechtliche Grundlagen'**

Eva Nachtschatt  
Technische Universität München (TUM)

**Seminar 'Rehabilitation im Gemeinwesen/ Sozialraum'**

Elisabeth Wacker  
Technische Universität München (TUM)

**Seminar 'Systeme der sozialen und beruflichen Rehabilitation'**

Elisabeth Wacker  
Technische Universität München (TUM)

**Colloquium 'Doktorand\_innenkolloquium: Versorgungsforschung – CaRe@TUM'**

Elisabeth Wacker  
Technische Universität München (TUM)

**Colloquium 'Kolloquium zur Betreuung von Bachelor- und Masterarbeiten'**

Elisabeth Wacker  
Technische Universität München (TUM)

**Lecture 'Alter, Beeinträchtigung/Behinderung'**

Elisabeth Wacker  
Technische Universität München (TUM)

*Winter Term 2018/19*

**Lecture 'Sozialrechtliche Grundlagen'**

Katharina Crepaz  
Technische Universität München (TUM)

**Seminar 'Europäische Integration – Vertiefung: Europäische Sozial, Grund- und Menschenrechtspolitik'**

Katharina Crepaz  
Leopold-Franzens-Universität Innsbruck (LFU)

**Lecture 'Das bio-psycho-soziale Modell im sozialen Kontext'**

Eva Nachtschatt  
Technische Universität München (TUM)

**Colloquium 'Doktorand\_innenkolloquium: Rehabilitation – Diversity – Inclusion'**

Elisabeth Wacker  
Technische Universität München (TUM)

*Summer Term 2018*

**Seminar 'Migratory and Refugee Movements: Implications and Challenges for Health Care'**

Katharina Crepaz  
Technische Universität München (TUM)

**Colloquium 'Verfassen wissenschaftlicher Qualifikationsarbeiten'**

Katharina Crepaz (with Elisabeth Wacker)  
Technische Universität München (TUM)

**Colloquium ‘Doktorand\_innenkolloquium: Rehabilitation – Diversity – Inclusion’**

Elisabeth Wacker  
Technische Universität München (TUM)

**Lecture ‘Alter, Beeinträchtigung/Behinderung’**

Elisabeth Wacker  
Technische Universität München (TUM)

**Seminar ‘Rehabilitation im Gemeinwesen/ Sozialraum’**

Elisabeth Wacker  
Technische Universität München (TUM)

**Seminar ‘Systeme der sozialen und beruflichen Rehabilitation’**

Elisabeth Wacker  
Technische Universität München (TUM)

**Seminar ‘Volksgesundheit’ in Deutschland: Ein kritischer Blick auf Ideologien und Praktiken von Lebenswert und Lebensrecht’**

Elisabeth Wacker  
Technische Universität München (TUM)

## 6 REFEREEING

**Crepaz, Katharina**

*Journals:* ÖZP – Austrian Journal of Political Science, Journal on Ethnopolitics and Minority Issues in Europe (JEMIE), International Journal on Minority and Group Rights

*Monographs:* Taylor & Francis and Routledge Publishers

*Awards:* Nachwuchspreise of the Österreichische Gesellschaft für Politikwissenschaft (Austrian Society for Political Science)

*Scholarships:* Fulbright Scholarship Program Germany

**Wacker, Elisabeth**

*Journal:* Empirische Sonderpädagogik, Die Berufliche Rehabilitation

*Awards:* Schutzbengel Award für besonders innovative Angebote für Kinder und Jugendliche, Zarnekow-Förderpreis für Nachwuchswissenschaftler/innen of the Deutsche Gesellschaft für Rehabilitationswissenschaft (German Society for Rehabilitation Science)

*Projects:* Entwicklung eines Instrumentes zur Messung sozialer Partizipation bei Jugendlichen (PartJu) of the German Research Association (DFG)

*Research Funds:* Funding Guideline of the Programme ‘Lebensqualität durch soziale Innovationen’, Federal Ministry of Education and Research; Guideline for the Promotion of Projects on the topic of ‘Förderbezogene Diagnostik in der inklusiven Bildung’ (InkBi 2), Federal Ministry of Education and Research; Announcement ‘Modellvorhaben zu den Möglichkeiten der betrieblichen Gesundheitsförderung (BGF) in Inklusionsbetrieben nach §§ 215 ff. SGB IX”, Federal Ministry of Health; Target Field Analysis Workshop of the rehapro Programme Evaluation (3 Dec 2019), Federal Ministry of Labour and Social Affairs

## 7 MEMBERSHIPS, EDITORSHIPS AND AFFILIATIONS

**Crepaz, Katharina**

*Memberships*  
Scientific Council – COOP Sophia – Genossenschaft für Forschung und Soziale Innovation (since 2019)

**Wacker, Elisabeth**

*Memberships*  
Gender & Diversity Board, Technische Universität München

Scientific Council of the International Graduate School of Science and Engineering, Technische Universität München (IGSE TUM)

Faculty Board of the Department of Sport and Health Sciences, Technische Universität München (since 2013)

Doctoral Thesis Committee of the Department of Sport and Health Sciences, Technische Universität München

Habilitation Committee of the Department of Sport and Health Sciences, Technische Universität München

Diversity Board of the Department of Sport and Health Sciences, Technische Universität München

Chair of the Scientific Advisory Board of the Social Research Center (sfs) Dortmund, Central Scientific Institution of the Technical University of Dortmund

Chair of the Scientific Advisory Board for the 'Teilhaberberichterstattung' (Participation Report) of the Federal Government, Federal Ministry of Labour and Social Affairs

Board of Trustees, ConSozial

Scientific Advisory Board, Deutsches Jugendinstitut e. V. (DJI)



Prof. Elisabeth Wacker, Chair of the Scientific Advisory Board of the Federal Participation Report with Hubertus Heil, Federal Minister for Labour and Social Affairs, and her Advisory Board colleagues.

Award Committee Care Programme of the Stiftung Wohlfahrtspflege NRW (NRW Welfare Foundation)

Board of the Section 'Social Problems and Social Control' of the Deutsche Gesellschaft für Soziologie (German Sociological Association)

#### *Editorships*

Member of the Editorial Team: *Lange Leben leben*, Kohlhammer

Member of the Editorial Team: *Soziale Probleme*

Member of the Editorial Team: *Berufliche Rehabilitation*

Series: *Gesundheitsförderung – Rehabilitation – Teilhabe*, Springer

Series: *Gesundheit und Gesellschaft*, DuV

Studien zu den Lebenswelten behinderter Menschen, attempto (co-editor)

## 8 HONOURS, AWARDS AND APPOINTMENTS

### **Nachtschatt, Eva**

Award: *Wissenschafts-Förderungspreis* of the Dr. Otto-Seibert-Stiftung of the Universität Innsbruck, awarded for her dissertation, 2019

## 9 EVENTS

### 9.1 SYMPOSIA, CONFERENCES, WORKSHOPS

22–24 Jan 2020

Workshop: **Diversität ermöglichen – Ungleichheit reduzieren – Nachhaltigkeit sicherstellen: Herausforderungen und Handlungsansätze in Wissenschaft und Governance**, in cooperation with the Chair of Sociology of Diversity, Tech-

nische Universität München, Ringberg Castle, Kreuth am Tegernsee (organized by Katharina Crepaz)

**Elisabeth Wacker:** Welcome address

**Katharina Crepaz:** The Minority Safepack Initiative – A European Participatory Process Supporting Cultural Diversity

**Fabian Karsch:** Zwischen Verhalten und Verhältnissen – Sozialtheoretische Fragen an die Gesundheitswissenschaften

**Katrin Roller:** Mobility at Work, Mobility for Work – Überlegungen zu arbeitsbedingter Mobilität und Geschlecht

**Andrea Göttler:** Informal, Voluntary and Care Activities in Older Age: The Discursive Construction of Ethnic Boundaries

**Katharina Kreissl:** Ungleichheiten reduzieren – Sustainable Development Goal 10 im Fokus

**Obren Amiesimaka & Shahin Payam:** Family Planning through the eyes of Nigeria: A Thematic Analysis of the Government's Perspective

**Irmgard Tischner:** 'Scheiß Michael. Sitzt am Strand und sauft Pina Colada': Wahrnehmung und Marginalisierung von KollegInnen mit psychischen Problemen

**Anna Ajlani:** 'Make Diabetes Suck less' – Narrative von Krankheit und Inklusion in Selbstbeschreibungen von Diabetes-Apps

19–21 Sep 2019

Workshop: **Sozialsysteme und Diversität: Forschungsfelder und Forschungsmethoden im interdisziplinären Vergleich**, in cooperation with the Chair of Sociology of Diversity, Technische Universität München and the Faculty of Education, Free University of Bozen/Bolzano, Free University of Bozen/Bolzano, Brixen/Bressanone, Italy (organized by Katharina Crepaz)

**Susanne Elsen, Elisabeth Wacker:** Welcome address

**Eva Nachtschatt:** Hintergrund eines inklusiven Bildungssystems und sozialrechtliche Leistungen zur Teilhabe an Bildung

**Katharina Crepaz:** Socio-economic Integration and Empowerment of Female Migrants through Self-Organized Network Structures

**Franca Zadra:** 'It is a Wall between Us and Them'. Practitioners' Strategies to Overcome Linguistic Barriers of Migrants in Accessing Maternity Services in Bolzano

**Isabella Bertmann-Merz:** Partizipative Forschung auf dem Prüfstand – Mehr als nur 'dabei sein'?

**Shahin Payam:** Guidelines and Applications of Open-Ended Questionnaires

**Katrin Roller:** 'Zu Hause ist es am Schönsten' – Eine empirische Annäherung an häusliche Sorge(arbeit) und ihre wohlfahrtsstaatliche Organisation

**Alessandra Piccoli:** The Contribution of Participatory Action Research to Eco-Social Transformation: An Example from Trentino Alto Adige – South Tyrol

**Susanne Elsen:** The Potential of Eco-Social Agriculture

**Anna Ajlani:** Evidenzpraktiken und Partizipation im Kontext umweltbedingter Risikofaktoren

**Fabian Karsch:** Gendersensible Gesundheitsförderung an Schulen

**Andrea Göttler:** Von Ressourcen und Herausforderungen: Prävention und Gesundheitsförderung bei älteren Migrantinnen und Migranten

**Roberta Nicolodi:** The Challenges of Diversification for Social Services in South Tyrol: A Case Study of an Interorganizational Network

**Andrea Nagy, Urban Nothdurfter:** 'Queer' gedacht: Geschlechter und Sexualitäten als Forschungsanlass im Sozial- und Gesundheitswesen

20–22 Feb 2019

Workshop: **Diversität als Strukturmerkmal moderner Gesellschaften**, in cooperation with the Chair of Sociology of Diversity, Technische Universität München, Ringberg Castle, Kreuth am Tegernsee (organized by Katharina Crepaz)

**Elisabeth Wacker:** Welcome address

**Max Haller:** Soziale und kulturelle Diversität – Ursache für Konflikt oder für Bereicherung? Ein internationaler, historisch-soziologischer Vergleich

**Andrea Göttler:** Eine diskursanalytische Betrachtung des Alter(n)s bei Migrantinnen und Migranten

**Katharina Crepaz:** Diversität – Identität – politische Partizipation: Erste Ergebnisse der komparativen Studie zur politischen Partizipation auf regionaler Ebene

**Günther Pallaver:** Ethnische Differenzierung und soziale Schichtung in der mehrsprachigen Gesellschaft Südtirols

**Isabella Bertmann-Merz:** Diversitätspolitik und politische Partizipation

**Katharina Kreissl, Fabian Karsch:** Workplace Health Promotion as Organisational Strategy towards Equality?

**Shahin Payam:** Clowns, Helicopters, Chicken Pox and TVs: Ethical and Practical Challenges of Conducting Draw-and-Tell Interviews in a Children's Hospital

**Eva Nachtschatt:** Partizipation von Menschen mit Behinderungen bei der Entstehung von Gesetzen – grundlegende Überlegungen

**Katharina Crepaz:** Health in Diversity, Diversity in Health?

16–17 Jul 2018

Workshop: **Diversität in der Wissenschaft: Grundlagen, Forschung und Implementation**, in cooperation with the Chair of Sociology of Diversity, Technische Universität München and Universität Innsbruck, Innsbruck, Austria (organized by Eva Nachtschatt)

**Elisabeth Wacker, Michael Ganner:** Welcome address



The participants of a Fellow Group workshop in Innsbruck in 2018 looked at diversity in science from several perspectives.

**Georg Gasser:** Meine Überzeugung! Deine Überzeugung! Philosophische Skizze eines sinnvollen Umgangs mit divergierenden Überzeugungen

**Elisabeth Wacker:** Aus der Reihe tanzen – miteinander! Gedanken zu Diversitäts- und Inklusionsanliegen

**Katharina Kreissl:** Agency in Academia – Wissenschaftlicher Nachwuchs zwischen Selbst- und Fremdführung

**Fabian Karsch:** 'Same same but different' – Theoretische Überlegungen zum Konzept der Transdifferenz

**Michael Ganner:** Ökonomie und Ethik in der Medizin

**Eva Nachtschatt:** Diversität in der Lehre

**Heike Welte:** Die Rolle und der Einfluss von betrieblichen Gleichstellungsakteur\_innen auf organisationale Veränderungsprozesse

**Katharina Crepaz:** Diversität in Policy-Making Prozessen

**Sabine Gatt:** Citizenship als intersektionale Relation im österreichischen Migrationsregime

**Lisa Pfahl:** Inklusion an der Hochschule! Implikationen der UN-Behindertenrechtskonvention und die Bedeutung der Disability Studies für akademische Bildung

**Volker Schönwiese:** Anmerkungen zur Symbolischen Repräsentation und Institutionalisierung von Behinderung

**Shahin Payam:** 'Hot sex'? Deconstructing Notions of Diverse and Novel Sexual Practices in Heterosexual Men and Women's Accounts of Extra-Relational Sexual Involvement

**Andrea Göttler:** Theoretische Überlegungen an der Schnittstelle von Alter, Migration und Ethnizität

**Anna Ajlani:** Wie Greenwashing die prekäre Lage marginalisierter Gruppen verschärft

7–9 Mar 2018

Workshop: **Von Normalitätsidealen zur inklusiven Gesellschaft**, in cooperation with the Chair of Sociology of Diversity, Technische Universität München, Ringberg Castle, Kreuth am Tegernsee (organized by Katharina Crepez and Eva Nachtschatt)

**Elisabeth Wacker:** Welcome address

**Katharina Crepez, Eva Nachtschatt:** Teilhabe – Zauberformel für ein 'gutes Leben'?

**Fabian Karsch:** Die diskursive Konstruktion medizinischer Problemgruppen

**Elisabeth Wacker, Fabian Karsch:** Von Normalitätsidealen zur inklusiven Gesellschaft – Forschungsstrategien

**Eva Nachtschatt:** Von Normanforderungen zur rechtlichen Teilhabe

**Katharina Crepez:** Active Citizenship als Grundkonzept der inklusiven Gesellschaft

**Anke Petters:** Modellprojekt – Ambulantisierung in Mittelfranken

**Bastian Gruschwitz:** Strategien zur Kostenoptimierung im universitären Umfeld

**Andrea Göttler:** Ältere MigrantInnen und das Ideal des aktiven Alterns

**Dominik Baldin:** Vom 'normalen' Studenten zur inklusiven Hochschule

**Katharina Kreissl:** Vielfaltsprogramme in der neuen Arbeitswelt – zwischen Normalitätsidealen und Flexibilisierung

**Katharina Kreissl:** Diversitätsforschung – von der Rekonstruktion zur Disruption?

## 9.2 OTHER EVENTS ORGANIZED BY MEMBERS OF THE FELLOW GROUP

12 Nov 2019

Guest lecture: Prof. em. Max Haller, University of Graz

**Migration aus Afrika: Szenarien, Ursachen, politische Maßnahmen**

Max Planck Institute for Social Law and Social Policy

5–6 Sep 2019

Session: **Disability and Political Participation: Comparative Interdisciplinary and International Perspectives** (with Eva Nachtschatt and Isabella Bertmann-Merz), 8th Annual ALTER Conference Histories, Practices and Policies of Disability: International, Comparative and Transdisciplinary Perspectives, Universität zu Köln, Cologne

9 Jul 2019

Guest lecture: Prof. Susanne Elsen, Free University of Bozen/Bolzano

**Formelle und informelle Arbeit in der solidarischen Ökonomie: Zukunftsträchtige Kombination oder spannungsgeladenes Verhältnis?**

Max Planck Institute for Social Law and Social Policy

9 Jul 2019

Guest lecture: Franca Zadra, Free University of Bozen/Bolzano

**Social Innovation for a Better Access of Migrants to Healthcare Organizations: An Italian Case Study**

Max Planck Institute for Social Law and Social Policy

21–23 Mar 2019

Panel: **Diversity and Political Participation: A Comparative Analysis of Challenges and Opportunities** (with Eva Nachtschatt, Isabella Bertmann-Merz and Elisabeth Alber), DVPW-Conference: 'Governance of Big Transformations', TUM School of Governance, Munich

17–19 Dec 2018

Workshop: **One Health Workshop**, DAAD Alumni-Treffen, in cooperation with the Chair of Sociology of Diversity, Technische Universität München, and Pwani University, Pwani University, Kilifi, Kenya

25–28 Sep 2018

Panel: **Demokratie, politische Partizipation und Diversität – Grenzen und Potenziale sozialpolitischer Rahmenbedingungen** (with Isabella Bertmann-Merz), 27th Scientific Congress of the DVPW: 'Grenzen der Demokratie/Frontiers of

Democracy?’, Goethe Universität Frankfurt am Main, Frankfurt

12–14 Sep 2018

Conference: **Diversitätsforschung: Von der Rekonstruktion zur Disruption**, Diversity Network Conference 2018, in cooperation with the Chair of Sociology of Diversity, Technische Universität München, Munich

## 10 DISSERTATIONS AND HABILITATIONS

**Crepaz, Katharina**, Fostering Political Participation, Representation, and Well-Being: Why Diversity and Inclusion Governance Matters, Habilitation in Health Sciences with Special Focus on Diversity Governance, Technische Universität München, 2020

**Nachtschatt, Eva**, Die rechtliche Handlungsfähigkeit im Erwachsenenschutz. Ein Rechtsvergleich zwischen Österreich, Deutschland und Australien, Dissertation in Legal Sciences, Leopold Franzens University Innsbruck, 2018

Amalienstraße 33



# V THE INSTITUTE



Dr. Veronika Ohliger



Lisa-Susann Gerstlauer

## 1 PERSONALIA

### Scientific Members

Prof. Axel Börsch-Supan, PhD  
Managing Director

Prof. Dr. Ulrich Becker, LL.M. (EHI)  
Director

Prof. Dr. Bernd Baron von Maydell († 3 May 2018)  
Emeritus

### 1.1 FOREIGN AND INTERNATIONAL SOCIAL LAW

#### Research Staff

Tania Abbiate, PhD (until 5/2018)  
Dr. Kangnikoé Bado (until 3/2019)  
Olga Chesalina, Kand. jur. Wiss. (Minsk)  
Dr. Roman Grinblat (until 3/2020)  
Melanie Hack, PhD (until 1/2018)  
Dr. Simone von Hardenberg (until 8/2019)  
Dr. Linxin He (from 10/2018)  
Dr. Eva Maria Hohnerlein  
Dr. Constantin Hruschka (from 11/2017)  
Sergio Mittlaender Leme de Souza, PhD  
Dr. Anastasia Poulou (until 12/2019)  
Prof. Dr. Hans-Joachim Reinhard  
Dr. Simone Schneider  
Dr. Anika Seemann (from 9/2018)  
Nikola Wilman, LL.M., M.Jur

#### Doctoral Candidates

Annemarie Aumann (until 3/2018)  
Andreja Bogataj (until 8/2019)  
Irene Domenici (from 2/2018)  
Franciska Engeser (from 11/2018)  
Christian Günther (from 5/2019)  
Jihan Kahssay (until 2/2019)  
Teodora Petrova  
Kristine Plank (from 9/2018)  
Tim Rohmann (from 8/2020)  
Francisca Salih-Sanchez del Hierro  
(until 5/2020)  
Nina Schubert (until 4/2020)

Lauren Tonti (since 9/2018)  
Ya-Chu Tsai (until 4/2019)  
Yifei Wang (until 1/2020)

#### Academic Assistants

Elisabeth Allertseder (until 3/2018)  
Elena Maria Bertolini (until 8/2018)  
Andrea Dürr (from 2/2020)  
Anne-Marie Krön (until 12/2020)  
Dominik Ludstock (until 6/2020)  
Katharina Mayer  
David Preßlein (from 8/2020)  
Stefan Stegner (from 2/2018 to 7/2018)  
Hao-Hao Wu (from 04/2020)  
Adam Zacher (from 3/2019)  
Julian Zinn (from 8/2016 to 4/2018;  
from 11/2018 to 4/2019)

#### Student Assistants

Felix Deser (from 7/2019)  
David Desta (from 6/2018)  
Dominik Dorfner (until 9/2019)  
Andrea Dürr (until 5/2019; from 11/2019  
to 1/2020)  
Matthias Elbert (from 3/2018 to 12/2020)  
Caroline Giles (until 5/2018)  
Lisa Gerhart (from 4/2018 to 5/2019)  
Spela Hadalin (from 1/2019)  
Pia-Theresa Hinz (from 10/2019)  
Pauline Kargruber (from 3/2020)  
Victoria Kühborth (from 9/2019 to 9/2020)  
Mona Röser (from 10/2018)  
Katrin Schäffer (until 7/2019)  
Carolin Schultheis (until 3/2018)  
Miruna-Stefania Tudose (from 7/2019)  
Lisa Sweering (from 10/2019)  
Kathrin Tremml (until 2/2018)  
Chantal Urban (from 6/2018 to 12/2020)  
Tim Wildermuth (from 10/2019 to 2/2020)  
Hao-Hao Wu (until 10/2018)  
Adam Zacher (until 3/2018)

#### Science Manager to the Chair of the Human Sciences Section of the Max Planck Society

Dr. Veronika Ohliger (from 9/2019)

**Team Assistants**

Dr. Christoffer Leber (from 8/2020)  
 Laura Fehrmann

**Secretariat**

Miriam Dobmeier (from 5/2017 to 12/2018)  
 Radka Eckl (from 12/2018 to 3/2019)  
 Lisa-Susann Gerstlauer (from 4/2020)  
 Wolfgang Metzner (from 9/2019 to 11/2019)  
 Verena Rausch-Lackinger (until 3/2019)

**1.2 MUNICH CENTER FOR THE ECONOMICS OF AGING (MEA)****Academic Coordinator**

Dr. Thorsten Kneip

**Social Policy and Old-Age Provision**

Dr. Johannes Rausch (Head of Unit from 1/2019)  
 Dr. Tabea Bucher Koenen (Head of Unit until 12/2018)  
 Irene Ferrari, PhD (until 1/2019)  
 Dr. Nicolas Goll  
 Dr. Felizia Hanemann (from 1/2020)  
 Vesile Kutlu Koc, PhD  
 Dr. Elsa Perdrix (from 9/2020)  
 Luca Salerno, MSc (from 9/2019)

**Life-Cycle Decisions**

Dr. Duarte Nuno Leite  
 Ivo Bakota, PhD (from 9/2019)  
 Irene Ferrari, PhD (from 2/2019 to 8/2020)  
 Dr. Klaus Härtl (until 3/2019)  
 Todd Morris, PhD (from 8/2019)

**Migration**

Romuald Méango, PhD (Head of Unit from 1/2019)  
 Dr. Christian Hunkler (Head of Unit until 12/2018)  
 Andreas Fabritius, MSc (until 9/2019)  
 May Khourshed, MSc  
 Dr. Diana López-Falcón

Tessa Loriggio, MSc (from 8/2019)  
 Hassan, Reem, MSc (from 3/2019 to 3/2020)  
 Sven Rosswog, MA (10/2019 to 2/2020)

**Health Econometrics**

Dr. Helmut Farbmacher (Head of Unit)  
 Rebecca Groh, MSc (from 4/2020)  
 Dr. Raphael Guber (until 2/2019)  
 Hannah Marie Horton, MSc (from 7/2020)  
 Dr. Heinrich Kögel (until 6/2020)

**SHARE German Country Team**

Dr. Arne Bethmann (from 2/2018, Head of Unit from 2/2020)  
 Dr. Annette Scherpenzeel (until 8/2020, Head of Unit until 2/2020)  
 Sabine Friedel, MA (from 2/2018 to 12/2019)  
 Dr. Felizia Hanemann (until 12/2019)  
 Imke Herold, MA  
 Alexander Schumacher, MA (from 8/2019)

**SHARE Operations**

Dr. Karin Schuller (Head of Unit from 4/2018)  
 Dr. Frederic Malter (Head of Unit until 3/2018)  
 Stephanie Lasson, BA  
 Maria José Mendoza Jiménez, MSc (from 11/2019)  
 Dr. Gregor Sand  
 Jeny Tony Philip, MBA

**SHARE Questionnaire Development**

Dr. Melanie Wagner (Head of Unit)  
 Theresa Fabel, MSc (from 9/2018)  
 Tessa Loriggio, MSc (from 2/2020)  
 Yuri Pettinicchi, PhD  
 Dr. Elena Sommer (from 3/2018)  
 Barbara Thumann, MSc (from 12/2020)  
 Afife Yasemin Yilmaz, MPhil (from 12/2019)

**SHARE Survey Methodology**

Dr. Michael Bergmann (Head of Unit)  
 Dr. Johanna Bristle  
 Dipl.-Biol. Luzia Weiss



Dr. Christoffer Leber



Laura Fehrmann



Ahmad Abu Musa

Sabine Friedel, MA (until 2/2018)  
Tessa-Virginia Hannemann (from 9/2019)

#### **SHARE Database Management**

Stephanie Stuck, MA (Head of Unit)  
Dr. Josefine Atzendorf (from 7/2019)  
Tim Birkenbach, MSc  
Dr. Fabio Franzese  
Dr. Stefan Gruber  
Markus Kotte, MA (until 6/2019)  
Senta-Melissa Pflüger, MSc  
Dipl.-Soz. Sabrina Zuber

#### **SHARE-HCAP**

Dr. Salima Douhou (from 2/2019, Head of Unit)  
Nora Angleys, MA mult. (from 5/2018)

#### **Financial Affairs**

Katrin Axt, MA (Head of Unit)  
Renate Eggenreich  
Corina Lica  
Karl Riedemann  
Oleksii Tupikin (from 12/2020)

#### **European Relations and International Management**

Ass. jur. Andrea Oepen (Head of Unit)  
Judith Kronschnabl, MA  
Daniel Schmidutz, MA mult.  
Philip Beck (until 1/2020)

#### **Public Relations**

Verena Coscia, MA (from 3/2020, Head of Unit)  
Julia Knoblechner, MA (from 2/2020)  
Veronika Maté, MA

#### **Student Assistants**

Julia Teresa Amorim (from 7/2020 to 12/2020)  
Marina Aoki (from 11/2019)  
Miriam Ana Christina Axt (from 6/2019 to 9/2019)  
Aymeric Jean Baptiste Baehrel (from 1/2020 to 9/2020)

Jan Lennart Beering (from 8/2020)  
Christoph Berger (until 9/2019)  
Sarah Birneder (from 12/2019 to 6/2020)  
Julia Blaut (until 9/2018)  
Nicolas Simon Bodenschatz (from 10/2019 to 3/2020)  
Alexandra Teresia Bojarinova Sandström (from 1/2020)  
Emre Furkan Borak (from 1/2020 to 7/2020)  
Carolina Charlott Brändle (from 12/2019 to 11/2020)  
Philipp Marc Brewing (from 3/2020)  
Martin Brieger (from 10/2020)  
Daniel Brüggmann (until 4/2019)  
Büusra Canci (from 1/2020)  
Monika Carasecová (from 10/2019 to 6/2020)  
Alessandra Corvonato (from 5/2018 to 7/2019)  
Marius Cziriak (until 7/2019)  
Dilan Demiral (from 3/2019 to 3/2020)  
Zhengqiu Ding (until 9/2018)  
Abdullah Dogan (from 9/2019 to 1/2020)  
John Doney (from 9/2020 to 12/2020)  
Theresa Fabel (until 8/2018)  
Lena Sophia Fegg (from 9/2020)  
Andreia Fonseca de Paiva (from 7/2019 to 9/2019)  
Friederike Fourné (from 2/2019 to 7/2019)  
Marcus Michael Gartenleitner (from 1/2020 to 9/2020)  
Xun Gong (from 1/2018 to 9/2018)  
Rebecca Groh (from 5/2018 to 3/2020)  
Elisabeth Gruber (until 9/2020)  
Marie Sophia Grundl (from 1/2018 to 6/2018 & 1/2019 to 1/2020)  
Beyza Nur Gülmezoglu (from 2/2020)  
Melissa Rosa Gutierrez Mora (from 8/2019 to 12/2019)  
Julia Hampl (from 3/2019 to 8/2019 & from 1/2020)  
Maximilian Hartmann (from 12/2018)  
Amany Hassan (from 4/2019 to 6/2019)  
Isabelle Stella Hermannstädter (from 3/2019 to 8/2019)  
Ina Holdik (until 3/2019)  
Lisa Holzhäuer (until 7/2019)  
Hannah Marie Horton (from 3/2018 to 3/2020)  
Madina Japakhova (from 8/2020)  
Linmiao Jiang (from 4/2019 to 9/2019)  
Lea John (from 7/2020 to 10/2020)



Hannelore Henning

Isabel Kächele (from 5/2018 to 11/2019)  
 Leopold Bor Klemencic (from 11/2019 to 6/2020)  
 Theresa Sophie Antonia Klotzbuecher (from 10/2019)  
 Caroline Knebel (until 8/2018)  
 Julia Knoblechner (from 10/2018 to 2/2020)  
 Leon Knop (until 1/2018)  
 Manuel Kronenberg (until 12/2018)  
 Nana-Adjoa Kwarteng (from 5/2018 to 9/2018)  
 Alexa Christine Lenz (until 2/2018)  
 Yi-Chen Liu (from 10/2018 to 3/2020 & 10/2020 to 11/2020)  
 Sayantini Majumdar (until 8/2018)  
 Inara Makhkamova (from 3/2019 to 8/2019)  
 Navdha Malhotra (from 8/2020 to 10/2020)  
 Andrea Carolina Mantilla Alvarez (from 2/2020)  
 Tim Ludwig Leonard Matheis (from 3/2019 to 3/2020)  
 Agnieszka Mazalska (until 4/2018)  
 Jana Vanessa Meiser (from 3/2020)  
 Lorenz Richard Meister (until 2/2018)  
 Maria Jose Mendoza Jimenez (from 1/2018 to 8/2019)  
 Alexander Benjamin Mengden (from 10/2020)  
 Christina Meyer (from 4/2018 to 2/2020)  
 Cuichi Nathanael Miess (from 9/2019 to 9/2020)  
 Christina Veronika Nießl (until 9/2019)  
 Senta-Melissa Pflüger (until 3/2018)  
 Aisulu Rakhmetullina (until 9/2018)  
 Tobias Ryll (from 11/2018 to 12/2019)  
 Luca Salerno (from 4/2018 to 7/2019)  
 Tilman Schächtele (from 8/2018 to 2/2019)  
 Manuel Schechtl (until 10/2018)  
 Maximilian Scherer (until 3/2018)  
 Carlotta Schichor (from 2/2018 to 8/2019)  
 Caroline Schiele (from 9/2020)  
 Valerie Johanna Schickle (from 10/2018 to 7/2019)  
 Susanne Schmid (from 10/2018 to 9/2019)  
 Alexander Tobias Schumacher (until 9/2018)  
 Sidney Lee Yin Soh (until 1/2018)  
 Isabella Rosa Stürzer (from 2/2019 to 1/2020 & from 4/2020)  
 Aijing Sun (from 10/2020)  
 Moritz Tarach (until 3/2019)  
 Monika Thaler (from 1/2018)  
 Andrea Solange Villeneuve (from 3/2018 to 3/2020)

Sonja Wendlinger (from 7/2020 to 12/2020)  
 Tingfang Xiao (from 9/2020 to 12/2020)  
 Mengdi Xu (from 8/2018 to 3/2019)  
 Charity Sarah Young (from 2/2018 to 12/2020)  
 Mehboob Ullah Zazai (from 7/2018 to 7/2019 & 2/2020 to 8/2020)  
 Ana Zhelyazkova (from 1/2018 to 9/2018)

#### Interviewers

Sayed Omid Ahmadi (from 5/2019 to 8/2019)  
 Hilal Akrami (from 8/2019 to 10/2019)  
 Dr. Zohreh Khosravi-Ali (from 9/2019 to 10/2019)  
 Abdullah Athayi (from 11/2019 to 12/2019)  
 Mohammad-Reza Bagheri (from 5/2019 to 10/2019)  
 Abdul Fattah Bakhshi (from 5/2019 to 8/2019)  
 Spozhmai Baraki (from 9/2019 to 12/2019)  
 Mohammed Jamal Himat (from 6/2019 to 8/2019)  
 Roya Jahanbakhsh (from 9/2019 to 12/2019)  
 Abdul Matin Karimi (from 9/2019 to 12/2019)  
 Sahar Mohammad Reza (from 9/2019 to 12/2019)  
 Reza Muzaffari (from 10/2019 to 12/2019)  
 Mustafa Nasery (from 9/2019 to 12/2019)  
 Mortaza Niazi (from 5/2019 to 8/2019)  
 Mohammad Salari (from 5/2019 to 8/2019)  
 Omid Sharafat (from 9/2019 to 12/2019)  
 Bita Valadoust-Tabrizi (from 5/2019 to 8/2019 & 11/2019 to 3/2020)  
 Mohammad Aqil Zahirpour (from 9/2019 to 12/2019)

#### Secretariat

Hannelore Henning

### 1.3 MAX PLANCK FELLOW GROUP

Prof. Dr. rer. soc., Dipl. theol. Elisabeth Wacker (Head)

#### Academic Staff

Katharina Crepaz, PhD (until 2/2020)  
 Dr. Eva Nachtschatt (until 9/2019)



Katja Krause



Carina Rappel



Claudia Pethke



Silvia Glaus



Christine Lebok

## 1.4 LIBRARY

Henning Frankenberger (Head)

Michael Dumitrache (until 4/2018)

Susanne Klamp (until 11/2018)

Irina Neumann

Bianca Nicklisch (from 9/2018)

Andrea Scalisi

Heike Wunderlich

### Student Assistants

Mirjam Dülz (from 8/2019)

Rafael Fürnröhr (from 6/2020)

Marsa Hadji-Rajabali (until 2/2020)

Anna Oeler (until 10/2019)

Carmen Blanca Sánchez Pereyra (from 7/2019 to 12/2019 & from 2/2020 to 3/2020)

Lukas Schachermeier (from 9/2020)

Hasret Seker (until 2/2019)

Mona Shafiee Araghi Nejad (until 8/2019)

Andreas Zerbes (from 4/2018 to 7/2019)

## 1.5 CENTRAL SERVICES

### Administration

Katja Krause (Head from 7/2018)

Josef Kastner (Head until 3/2019)

Silvia Glaus

Annemarie Huber

Sylvia Klemm (until 5/2020)

Heidrun Kohnle-Koitzsch

Christine Lebok

Thomas Lendle

Claudia Pethke

Werner Pfaffenzeller

Carina Rappel

Andreas Schmidt (until 11/2018)

### Information Technology (IT)

Ronny Lauenstein

Ahmad Abu Musa

Axel Römmelmayer

Dr. Munir Salman

### Public Relations and Reporting

Dr. Julia Hagn

### Translation Services

Eva Lutz, MA

Christina McAllister, MA

## 1.6 REPRESENTATIVES AND SPECIAL TASKS

### Alumni Representative

Dr. Julia Hagn

### Data Protection Coordinator

Ass. Jur. Andrea Oepen

### Doctoral Students' Representative

(Dept. of Foreign and International Law)

Franciska Engeser (from 10/2020)

Irene Domenici (until 9/2020)

### Equal Opportunity Commissioner

Dr. Anastasia Poulou (until 11/2019)

Dr. Johanna Bristle

Dr. Simone Schneider (from 12/2019)

### Ombudsperson

Dr. Fabio Franzese (from 4/2019)

Raphael Guber (until 2/2019)

### Representation of Persons with Disabilities

Inga Overkamp

Katharina Crepaz (until 2/2020)

Eva Nachtschatt

### Representation of Scientific Staff in the Humanities and Social Sciences Section (GSHS) of the Max Planck Society

Dr. Diana Maria López-Falcón (from 6/2018)

Melanie Hack, PhD (until 1/2018)

### ZIAS Editorial Board

Prof. Dr. Hans-Joachim Reinhard

*Occupational Safety*  
Thomas Lendle

## 2 BOARD OF TRUSTEES AND SCIENTIFIC ADVISORY BOARD

### 2.1 DIFFICULTIES AND CONSEQUENCES OF PENSION AND UNEMPLOYMENT INSURANCE REFORMS – BOARD OF TRUSTEES MEETING 2019

*Julia Hagn*

At the constituent assembly of the Institute's new Board of Trustees, Dr. Monika Queisser, Head of the Social Policy Division at the OECD, was unanimously elected Chairwoman. Dr. Queisser highlighted the policy relevance and topicality of the research presented in 2019, which focused on pensions and work issues.

Dr. Linxin He from the Social Law Department presented the reform of the French unemployment insurance system, which had become necessary due to increased unemployment figures, changes in the world of work and the indebtedness of the system. The fundamental question in this reform was whether unemployment benefits would remain an insurance benefit or would be financed from taxes in the future. The reforms did not yet provide a definitive answer. Instead of universalisation, the legislator had initially expanded the scope of protection. Dr. Monika Queisser enquired to what extent the current protests in France had been incorporated into the reform discussion, while Georg Fischer, retired Director of Social Affairs at the EU Commission, raised the question of who was responsible for the financial deficit in the French unemployment insurance.

Yuri Pettinicchi, PhD from the Social Policy Department (MEA) presented the results of a research project that dealt with the question of how employment histories affected adequate pensions and inequality in Germany. The Chair

expressed surprise that even workers with no career breaks only earned 38 pension points. Prof. Axel Börsch-Supan countered that the average working life in Germany, according to pension insurance statistics, was 39 years and not 45 years as for the standard pensioner. Georg Fischer emphasised that the study contained an interesting combination of household income on the one hand and individual career perspectives on the other. The high unemployment rate in Germany in the 1980s and 1990s was well reflected in the study. Gundula Roßbach, President of the German Federal Pension Fund (*Deutsche Rentenversicherung Bund*), suggested comparing the career breaks of women in East and West Germany, as there had been (and still were) more women working full-time in the East.

Gundula Roßbach also assured her support for Nina Schubert's dissertation project on social law. In her thesis, the doctoral student examined the hypothesis that the opposition procedure provides relief for the courts because it pacifies the parties involved. To this end, according to Schubert, the plan was to interview around 3,000 objectors at the German Federal Pension Fund (*Deutsche Rentenversicherung Bund*), as the latter had evidenced particularly many successful objections. The information gained in this way was to be used as a guide for the design of a preliminary procedure. Dr. Doris Pfeiffer, Chair of the Board of the Federal Association of Health Insurance Funds (*GKV-Spitzenverband*), pointed out that it was especially the quality of the procedure that was decisive for a satisfactory outcome. With regard to the function of the appeals procedure in terms of administrative self-control, as cited by Nina Schubert, Dr. Joachim Breuer, Chief Executive of the German Social Accident Insurance (*DGUV*) until mid-2019, explained that the idea behind it was more in line with the principle of a jury than the principle of control. Prof. Rainer Schlegel, President of the Federal Social Court, asked about plans to carry out this study for other branches of social insurance, e.g. for unemployment insurance. The biggest problems were in the area of basic security benefits, where the success rate in court was around 50%. Prof. Becker replied that the original idea had even



Eva Lutz



Thomas Lendle



Christina  
McAllister



Werner Pfaffenzeller



Annemarie Huber

been to examine the appeals procedure within the framework of Social Code Book II. However, it had not been possible to collect the necessary data.

Together with colleagues, Dr. Vesile Kutlu Koc researched the consequences of the reforms in the German pension insurance system. They investigated whether households could close the emerging pension gap through their current wealth and savings behaviour. If one took into account the entire wealth of a household, including real estate assets, about 70% of households would be able to fill the pension gap, whereby not having to pay rent in the case of households with real estate assets contributed decisively to this result, Kutlu Koc reported. The ability to close the gap was related to place of residence (East or West Germany), financial literacy, savings motives and standard of living. Asked about a similar presentation in the past that had painted a more pessimistic picture, Prof. Börsch-Supan explained that the new study now included the entire assets of households in the calculation.

Prof. Börsch-Supan also informed the members of the Board of Trustees about the work of the Department for the Pension Commission. He said that the Social Policy Department had developed a data base on the basis of which, among other things, the financial situation of the pension insurance until 2060 had been calculated, as well as the rate of those whose household income was so high that they would not receive a basic pension in a means test.

With regard to the interdisciplinary cooperation of the Institute's departments, the importance of which was emphasised by the members of the Board of Trustees, Head of the Fellow Group, Prof. Elisabeth Wacker, referred to the conference 'Who 'Owns' Participation?', which had been held at the end of 2018 together with the Social Law Department. Board of Trustees member Dr. Marc Beise, Head of the editorial department for economics at *Süddeutsche Zeitung*, had also taken part in the multi-perspective exchange and given a lecture. Wacker highlighted that her Chair of Diversity Sociology at the Technical University

of Munich benefited greatly from the cooperation with the Institute, and that she wished to continue this exchange even after the termination of the Fellow Group, which was now already in its final year.

## 2.2 VALUABLE IMPULSES FOR THE RESEARCH OF THE INSTITUTE – BOARD OF TRUSTEES MEETING 2018

*Julia Hagn*

The variety of topics at the 2018 Board of Trustees meeting once again highlighted the broad variety of research in social law and social policy carried out at the Institute. The researchers' presentations ranged from migration over innovative medicine and pension benefits to the permissibility of regulating non-profit organisations. Each presentation was accompanied by lively discussions among the members of the Board of Trustees, whose great interest in the research work comes as a particular stroke of luck for the Institute – for their questions and suggestions provide important impulses to direct research towards pressing social problems and to open up further fields.

In addition to the inclusion of new topics in the research programme, however, research on the social dimension of the EU remained one of the focal points of the Social Law Department, emphasised Prof. Ulrich Becker. This context also included the issue of the so-called Pillar of Social Rights. An open question was, in particular, the access to social protection for atypical workers and the so-called 'new' self-employed. Another project in this thematic area dealt with social rights in the financial crisis and examined what effects crisis-induced reforms had on the design of the law.

A constant in the Social Policy Department, in addition to research on pension policy, is the long-term study SHARE (Survey of Health, Ageing and Retirement in Europe), for which around 380,000 interviews had already been



Doctoral Candidate Nina Schubert presented her research on the function of pre-trial proceedings in social law to the Board of Trustees.

conducted, 150,000 life stories recorded and 90,000 blood samples collected by 2018. As Prof. Axel Börsch-Supan explained, SHARE had become an extremely productive research infrastructure. Three publications are published per week using SHARE data.

One field of research that is receiving increasing attention is inclusion research. Not least due to a new understanding of impairment and disability, promoted above all by the United Nations (UN) Convention on the Rights of Persons with Disabilities of 2006, the need for new scientific knowledge in this field had increased greatly in recent years, stated Prof. Elisabeth Wacker, who led the Fellow Group at the Institute until 2020. The group's second research programme, entitled 'Indicators for Inclusion', aimed, among other things, to uncover opportunities for participation and to identify what is meant by disability mainstreaming.

Dr. Constantin Hruschka from the Social Law Department, and Dr. Christian Hunkler and May Khourshed from the Social Policy Department (Munich Center for the Economics of Aging – MEA) informed in their lecture 'Between Legal Limbo and Perspectives to Remain: The Rights, Lives and Potentials of Recently Arrived Migrants in Germany' about the interdepartmental project on the legal situation and the potentials of recently arrived migrants in Germany. In addition to gaining knowledge, the research is intended to contribute to underpinning a politically charged discussion with data. Board member and *Frankfurter Allgemeine Zeitung* (FAZ) editor Dr. Daniel Deckers asked how high the proportion of refugees with traumatic experiences was and why there was no effect of these traumas on participation in language courses, further education and job search. Christian Hunkler pointed out

that this was still being studied in more detail. However, the results so far indicated that the group studied was very resilient.

The possibilities of including new types of molecular diagnostics in the statutory health insurance (SHI) were examined by Dr. Simone von Hardenberg, and she referred to the socio-legal hurdles that had to be overcome. She used the case of the new Oncotype DX breast cancer diagnostic test as an example. Dr. Doris Pfeiffer, Chairman of the Federal Association of Health Insurance Funds (*GKV-Spitzenverband*) pointed out that this test did not provide demonstrably reliable results, but praised the country-comparative approach of the study. Dr. Marc Beise, Head of the editorial department for economics at *Süddeutsche Zeitung*, also inquired how the method of international comparative law was to solve the conflicting goals between 1) openness to innovation of the health care system, 2) quality assurance and 3) financial viability. Simone von Hardenberg explained that the study also included an analysis of the weak points in the German system and that other health systems were being examined for possible solutions and their transferability to the German system. Prof. Ulrich Becker added that the normative starting points were international and, thus, possibly conflicting goals and their resolution could also be included in the comparison.

The regulation of non-profit organisations in the least developed countries of Africa was the focus of the dissertation project presented by Jihan Kahssay. In particular, her study addressed the question of the extent to which states that are unable on their own to provide social services on a sufficient scale, may by law impede the work of non-profit organisations that substitute for these services. Jihan Kahssay concluded

that the state was not entitled to do so. On the contrary, it is even obliged to allow and facilitate non-profit activities.

Prof. Axel Börsch-Supan presented to the Board of Trustees the research project 'Does Disability Insurance Improve Health?', which aimed to find out whether a more or less generous system of disability pensions is necessary. The results show that generous systems have a positive effect on mental health in particular. Dr. Joachim Breuer, Chief Executive of the German Social Accident Insurance (DGUV) until mid-2019, then discussed with Prof. Börsch-Supan the different health statuses of persons with reduced earning capacity pensions and also offered to make accident insurance data available for future research.

Dr. Irene Ferrari further presented two studies using SHARE data. One study looked at the financial situation of migrants compared to nationals. The other worked out which social policy strategies could minimise the costs of job losses.

The final recommendations of the trustees contained many valuable suggestions. However, with regard to the proposal that the Institute should become more active as a policy advisor, the directors urged restraint, stating that publicly discussed socio-political issues must be dealt with exclusively from a scientific perspective.

## 2.3 MEMBERS OF THE BOARD OF TRUSTEES

### **Dr. Marc Beise**

Head of the Editorial Department for Economics at *Süddeutsche Zeitung*

Dr. Marc Beise studied law and economics and received a doctorate in Law in 1995, after joining the DFG research group 'Europäische und Internationale Wirtschaftsordnung' ('European and international economic order'). He worked as an editor for the German newspapers *Offenbach-Post*, *Handelsblatt* and *Süddeutsche Zeitung*. Beise is a presenter for the discussion

panel 'Forum Manager' (phoenix TV) and has authored various books.

### **Prof. Dr. Joachim Breuer**

Managing Director of the German Social Accident Insurance (retired),  
President of the International Social Security Association

Until June 2019, Prof. Dr. Joachim Breuer served as Director General of the German Social Accident Insurance (DGUV), an umbrella organisation for trade associations and accident insurers. The same year, he was re-elected as president of the International Social Security Association (ISSA) for another three-year term. Breuer was appointed to the University of Lübeck in 2018, where he holds the Chair of Insurance Medicine. Moreover, he was awarded the Order of Merit of the Federal Republic of Germany in the context of his activity with the 'CNS – Hannelore Kohl Foundation'.

### **Dr. Daniel Deckers**

Senior Editor of the Editorial Department 'Die Gegenwart' at *Frankfurter Allgemeine Zeitung*

Daniel Deckers received his doctorate degree at the Philosophical-Theological University of Sankt Georgen in Frankfurt am Main in 1991 for his paper on the works and teachings of justice of Francisco de Vitoria. Afterwards, he worked as a research assistant in Freiburg, before eventually starting to write for a variety of newspapers and journals such as *Frankfurter Allgemeine Zeitung*, where he is, today, responsible for the department 'Die Gegenwart'.

### **Georg Fischer**

Director for Social Affairs, DG for Employment, Social Affairs and Inclusion, European Commission (retired)

Until his retirement in summer 2017, Georg Fischer served as Director for Social Affairs at the European Commission, DG for Employment, Social Affairs and Inclusion in Brussels. Previously, he had been part of the Organisation for Economic Co-operation and Development

(OECD), where he focused on labour and social policy issues in transition countries; he also worked for the Austrian Ministry of Labour as well as for the Cabinet of the Finance Minister.

**Prof. Dr. Herbert Henzler**

Herbert Henzler Beratungs- und Beteiligungs GmbH

Herbert Henzler is the owner of Herbert Henzler Beratungs- und Beteiligungs GmbH. Previously, he had worked, among other things, as a management consultant at McKinsey, where he was appointed 'European Chairman' in 1999. Between 2004 and 2009, Henzler was Chairman of the Scientific-Technical Advisory Board of the Bavarian State Government (WTB). Furthermore, he served as Chairman of the Advisory Board for Credit Suisse (Germany) and was a Senior Advisor for the Credit Suisse Group. Since 2012 he has been working as a consultant at Moelis & Company investment bank.

**Prof. Dr. Ferdinand Kirchhof (until 2018)**

Vice President of the German Federal Constitutional Court

Prof. Dr. Ferdinand Kirchhof was appointed Dean of the Faculty of Law at the University of Tübingen in 1989 and Prorector of the University of Tübingen in 1999. In 2003 and 2004, he served as an expert to the Joint Commission on the Modernisation of the Federal State appointed by the German Bundestag and Bundesrat (Federal-



Dr. Marc Beise (right) in conversation with the scientists Dr. Christian Hunkler (left) and Dr. Constantin Hruschka.

ism Commission). Moreover, he was a member of the State Court of Baden-Württemberg until 2007. Since then, he had been working as a judge at the Federal Constitutional Court and, until 2018, held the office of Vice President of the Federal Constitutional Court as well as Chairman of the First Senate.

**Dr. Joachim Lemppenau**

Chairman of voestalpine AG

Until 2017, Dr. Joachim Lemppenau had been Chairman of the Supervisory Board of IDEAL Versicherungsgruppe. Among the numerous positions he held during his career was also that of Chairman of the Board of Management of Volksfürsorge Versicherungsgruppe AG. Currently, Lemppenau serves as Chairman of voestalpine AG.

**Dr. Peter Masuch (until 2018)**

Former President of the German Federal Social Court

After graduating in law, Dr. Peter Masuch initially worked as a research assistant at the Federal Social Court in Kassel, and then as a judge at social courts in Bremen. In 1996, he was appointed a judge at the Federal Social Court in Kassel, where he was also elected chairman of the Judicial Council several times. Masuch took over the office of the President of the Federal Social Court in 2008, which he held until he retired in 2016. The same year, he was awarded an honorary doctorate by the University of Bremen.

**State Minister Emilia Müller (until 2018)**

Bavarian State Minister for Labour and Social Affairs, Family and Integration

After graduating as a state-certified chemical engineer, Emilia Müller initially worked at the Max Planck Institute for Biochemistry as well as the Institute for Biochemistry of the University of Regensburg. Between 1999 and 2003, she was a member of the European Parliament, working in the Committee on the Environment, Public Health and Food Safety, as well as in the Com-



Dr. Michael Bergmann at the poster session of the Board Meeting, explaining one of his research projects.

mittee on Women's Rights and Gender Equality. Müller was a member of the Bavarian State Government from 2003 to 2018, her last position held being State Minister for Labour, Social Affairs, Family and Integration.

**MinDir Dr. Ulrich Orlowski (until 2018)**

Head of Department at the Federal Ministry of Health

Dr. Ulrich Orlowski is Head of Department for Health Care and Health Insurance in the German Federal Ministry of Health. Holding a doctorate in law, he had previously held various positions at federal state level and worked within the Bavarian State Ministry for Labour and Social Affairs as well as the Bavarian State Ministry for European and Federal Affairs.

**Dr. Doris Pfeiffer**

Chair of the Board at the National Association of Statutory Health Insurance Funds (GKV) in Germany

After finishing her studies in economics, Dr. Doris Pfeiffer received the title Dr. rer. pol. in

1989. From 1992 to 2007 she served at Arbeiter-Ersatzkassen-Verband e.V. (AEV) as research assistant, Head of Department and, eventually, Chairwoman. Afterwards, she became Chairwoman at GKV Spitzenverband in Berlin. Additionally, she has been giving lectures at Jade University of Applied Sciences in Oldenburg.

**Dr. Monika Queisser**

Head of the Department of Social Policy at the OECD

Dr. Monika Queisser is the Head of the Social Policy Division at the OECD. Previously she had worked at the ifo Institute in Munich and as a member of the pensions and insurance group in the Financial Sector Development Department at the World Bank in Washington (D.C.). She has been part of the OECD since 1997 and, in 2007 and 2008, worked as an adviser to the OECD Secretary-General.

**Gundula Roßbach (from 2019)**

President of the German Pension Insurance Association, Berlin

Having finished her studies in law, Gundula Roßbach served as a social policy advisor for the Landkreistag Brandenburg. Subsequently, she worked for several departments of the former BfA (Federal Insurance Office for Employees). After two further positions in her career, she joined the German Pension Insurance Berlin-Brandenburg in 2006 and became its First Director in 2009. Roßbach has been member of the Board of Directors of the German Pension Insurance Association since 2014 and took over office as its President three years later.

**Prof. Dr. Franz Ruland**

Chair of the German Social Advisory Council (retired)

After his habilitation, Prof. Dr. Franz Ruland initially worked as Head of the Legal Department at the Union of German Annuity Assurance Institutions (VDR), before he took over management in 1992. In this function, he served as a member of various governmental commissions between

1992 and 1995. After his retirement in 2006, he was awarded the Grand Cross of the Order of Merit of the Federal Republic of Germany for his exceptional vocational and academic contributions. Until 2013, he also served as Chairman of the Social Advisory Board of the Federal Government.

**Prof. Dr. Rainer Schlegel**

President of the German Federal Social Court

Following studies in law and an academic position at the University of Tübingen, Prof. Dr. Rainer Schlegel started working as a judge at the Social Court in Stuttgart in 1987. Between 1991 and 1996, he was seconded several times to the Federal Social Court as a research assistant. In 1997, Schlegel was appointed judge at the Federal Social Court. From 2010 to 2013, he was Head of the Department of Labour Law and Labour Protection at the Federal Ministry for Labour and Social Affairs. He was first elected Vice President of the Federal Social Court in 2014, before becoming its President two years later.

**State Minister Kerstin Schreyer (2018–2020)**

Bavarian State Minister for Labour and Social Affairs, Family and Integration

Kerstin Schreyer completed a study program on social work at the 'Katholische Stiftungsfachhochschule München' and worked in the areas of youth welfare, adult psychiatry and adult education. At the same time, she began to get involved in local politics and held positions as municipal, county and district councillor. In 2013, Schreyer was appointed Deputy Chairwoman of the CSU parliamentary group in Bavaria. Subsequently, she first became the Integration Commissioner of the Bavarian State Government before taking over as Bavarian State Minister for Labour and Social Affairs, Family and Integration from 2018 to 2020.

## 2.4 MEMBERS OF THE SCIENTIFIC ADVISORY BOARD

**Prof. Dr. Viola Angelini (from 2020)**

University of Groningen, the Netherlands

Prof. Viola Angelini currently holds a Professorship in the Economics of Household Behaviour at the Faculty of Economics and Business of the University of Groningen. Her fields of interest encompass applied microeconometrics, household saving and consumption behaviour, and health economics.

**Prof. Dr. Catherine Sarah Barnard, PhD**

University of Cambridge, UK

Prof. Catherine Sarah Barnard is Professor of European Union and Labour Law at Trinity College of the University of Cambridge. Her research interests include European Union law, labour and discrimination law, as well as competition law. More recently, she was particularly engaged in research on Brexit.

**Prof. Dr. Richard Blundell (from 2020)**

University College London, UK

Prof. Sir Richard Blundell holds the David Ricardo Chair of Political Economy at the Department of Economics of University College London. He is Director of the ESRC Centre for the Microeconomic Analysis of Public Policy at the Institute for Fiscal Studies (IFS). His research interests include econometrics, microeconomics, consumer behaviour and labour economics. Blundell has been awarded honorary doctorates from six universities around Europe and has received several prizes for his research activities, among others the 2016 *Erwin Plein Nemmers Prize in Economics*. He was knighted in 2014 for his services to economics and social science.

**Prof. Agar Brugiavini, PhD (until 2019)**

Università Ca' Foscari di Venezia, Italy

Prof. Agar Brugiavini is Director of Ca' Foscari International College at the University of Venice, Italy. Brugiavini has investigated the behaviour



The Advisory Board in 2018: Prof. Dr. Gijsbert Vonk, Prof. Dr. Franz Marhold, Prof. Dr. Stephan Rixen, Prof. Dr. Martin Werding, Prof. Dr. Stefan Huster (back row, from left to right); Prof. Peter Diamond, PhD, Prof. Dr. Maarten Lindeboom, Prof. Agar Brugiavini, PhD, Prof. Dr. Susanne Kalss (Rapporteur), Prof. Sarah Smith, PhD (front row, from left to right).

of individuals and households in the area of consumption and saving, as well as in the area of labour supply. She is particularly interested in the impact of the pension reform on saving decisions of households, in the individual choice of old age provision and in insurance aspects related to old age provision. More recently, she has looked into the relationship between people's state of health and their economic behaviour.

**Prof. Peter Diamond, PhD (until 2019)**

Massachusetts Institute of Technology, USA

Prof. Peter Diamond is Professor Emeritus at the Massachusetts Institute of Technology, USA. In 2010, he was awarded the Nobel Memorial Prize in Economic Sciences together with Dale T. Mortensen and Christopher A. Pissarides for their analysis of markets with search friction. Diamond has made fundamental contributions to a variety of areas, including government debt and capital accumulation, capital markets and risk sharing, optimal taxation, search and matching in labour markets, and social insurance.

**Prof. Dr. Hans Fehr (from 2020)**

Julius Maximilian University Würzburg, Germany

Prof. Hans Fehr is Professor of Economics at Julius Maximilian University Würzburg. His current research focuses on the economics of demographic transition, dynamic CGE models and local public finance in Germany. Fehr held visiting professorships at UNSW Sydney, Boston University and the University of Innsbruck.

**Prof. Dr. Elias Felten (from 2020)**

Johannes Kepler University Linz, Austria

Prof. Elias Felten has been Professor for Labour and Social Law and Head of the Institute for Labour and Social Law at Johannes Kepler University Linz since 2017. Two years earlier, he had already become Associate Professor for Labour and Social Law at the University of Salzburg. His research covers social and labour law as well as European social security law.

**Prof. Dr. Stefan Huster (until 2019)**

Ruhr University Bochum, Germany

Prof. Stefan Huster is Dean of the Faculty of Law at Ruhr University Bochum, Germany. He holds the Chair for Public Law, Social and Health Law, and Philosophy of Law, and is Managing Director at the Institute for Social and Health Law at Ruhr University. He investigates a variety of health policy aspects, such as the design of a solidarity-based health system and its determining factors. In other studies, Huster deals, among other things, with prioritisation in medicine as well as with ethical and legal questions of genome research and personalised medicine.

**Prof. Kristina Koldinská, PhD (from 2020)**

Charles University, Czech Republic

Prof. Kristina Koldinská holds a Professorship at the Faculty of Law of Charles University Prague. Her research interests include social security law, EU social law and the coordination of social security in the EU.

**Prof. Dr. Maarten Lindeboom**

VU University, Amsterdam, the Netherlands

Prof. Maarten Lindeboom is Professor of Economics and Chair of the Department of Economics at the University of Amsterdam. Lindeboom is the current editor of the Journal of Health Economics. Additionally, he was a visiting professor at the University of Michigan and the University of Bristol. In his research, he focuses on applied microeconomics in the field of health, labour and ageing.

**Prof. Dr. Franz Marhold (until 2019)**

Vienna University of Economics and Business, Austria

Prof. Franz Marhold is Head of the Institute for Austrian and European Labour Law and Social Law at the University of Economics and Business in Vienna. His research covers a range of topics in national labour law as well as European Labour and Social Security Law.

**Prof. Dr. Stephan Rixen**

University of Bayreuth, Germany

Prof. Stephan Rixen holds the Chair for Public Law, Social Economic Law and Health Law at the University of Bayreuth, Germany. His research interests include public commercial law, German and European social law, and health law. Rixen is spokesman of 'Ombudsmann für die Wissenschaft', an advisory council of the German Research Foundation. In 2020 he was appointed to the German Ethics Council by the President of the German Bundestag.

**Prof. Dr. Margarete Schuler-Harms (from 2020)**

Helmut Schmidt University Hamburg, Germany

Prof. Margarete Schuler-Harms is a Professor for Public Law, particularly Public Economic Law and Environmental Law, at Helmut Schmidt University Hamburg. Her current research also covers media law, public family law and social insurance law. In 2011, Schuler-Harms became Deputy Judge of the Constitutional Court of Hamburg.

**Prof. Sarah Smith, PhD**

University of Bristol, UK

Prof. Sarah Smith has been Head of the Economics Department at the University of Bristol since 2014. Her research interests include applied microeconomics – specifically consumer behaviour and public economics. Smith has conducted research on pensions, saving and retirement, welfare policy and the economics of non-profit organisations. Smith is also a Research Associate at the Institute for Fiscal Studies.

**Prof. Dr. Gijsbert Vonk (until 2019)**

University of Groningen, the Netherlands

Prof. Gijsbert Vonk is Professor of Social Security Law at the University of Groningen, the Netherlands. Vonk is an expert in the field of public law with a specialisation in social security, poverty, migration, socio-economic human rights and European law. His current research includes a project on the future of the universal welfare state.

**Prof. Dr. Martin Werding (until 2019)**

Ruhr University Bochum, Germany

Prof. Martin Werding holds the Chair for Social Policy and Public Finances at Ruhr University, Bochum. He is also a Fellow of the CESifo Research Network and Ifo Research Professor. Werding's research areas include public finances, social policy, population economics and labour market policy.



Dr. Julia Hagn

### 3 PUBLIC RELATIONS

*Julia Hagn and Verena Coscia*

The Institute's Public Relations (PR) staff manages diverse PR tasks, which are aimed at different target groups. Therefore, the Institute's PR team is divided into specialized areas of responsibility. Julia Hagn is responsible for PR on activities of the Social Law Department and all Institute-wide communication issues. Until early 2020, she also supported the PR activities of the Max Planck Fellow Group. The Public Relations of the Social Policy Department (MEA) were coordinated by Andrea Oepen within the European Relations Unit until July 2020, together with her PR team members Philipp Beck (until 02/2020) and Veronika Máté. In March 2020, Julia Knobloch and Verena Coscia joined the team. MEA's PR was restructured in August 2020. Verena Coscia has been in charge of a newly created Public Relations Unit at MEA since.

Continuous media support was provided through the arrangement of interviews and the provision of information material on a variety of research topics. As a result of these combined PR efforts, the Institute, its researchers and projects were often cited in all kinds of media formats (online, print, broadcast, TV), with Social Law having been cited around 250 times and MEA about 1400 times. To observe relevant coverage, the Public Relations staff in both departments make use of an extensive monitoring of print and online media. A regular internal press review for the Institute is issued under the auspices of Julia Hagn, while Verena Coscia provides MEA researchers with targeted media information as it relates to their fields of expertise.

Research results were also disseminated via press releases. Social Law issued nine press releases on subjects such as pensions, the consequences of the European financial crisis on the constitutions of welfare states, the risk of poverty among children of single parents, and social security measures during the corona crisis. Additional social law topics were cov-

ered through regular news on our website. MEA launched eight press releases during the reporting period, among them three about the consequences of the pandemic for the social security systems, one about SHARE-COVID19, another on a new international research project granted by the EU Commission's Global Response and one about the visit of the German Federal Research Minister Anja Karliczek at MEA. Furthermore, many MEA news articles about new publications, awards or data releases have been published regularly online. Moreover, the social media channels (Institute/Social Law: Twitter and LinkedIn; MEA/SHARE: Twitter and Facebook) have regularly been fed with news. Particularly the LinkedIn and Twitter networks have grown substantially in the past three years. Researchers from all over the world are connected with the MPISOC via the Institute's social media channels.

The MEA PR team also assists MEA researchers with generating publicity for scientific research results by publishing and distributing the *MEA Discussion Papers* (40 during the reporting period) via the website, the Social Science Research Network (SSRN) and a regular newsletter. Likewise, the Social Law Department draws on SSRN and the Institute's webpage to disseminate its research published in paper series, notably the *Working Papers Law* and the *Social Law Reports* of which a total of 23 new volumes were issued during the reporting period.

In terms of outreach activities, the Institute's departments communicated their research to the broad public through a number of presentations, but also, as concerns the Social Law Department, by making use of innovative formats like 'science slams'. Moreover, the Institute participated with a booth at the *Max Planck Day* in 2018 and at the *Munich Science Days* in the same year, for which participatory games were developed and PR material such as flyers and a roll-up were produced. Researchers also took part in three Max Planck Fora (2 Social Law, 1 MEA) during the reporting period and discussed socially relevant issues with representatives from politics and the media, among others. Moreover, Prof. Becker



Verena Coscia

contributed to the event series 'Music and Science' with a musically framed speech on 'Sozialrecht und Sozialpolitik im Wandel' at the Elbphilharmonie in Hamburg.

Supported by staff from the Social Law Department, Julia Hagn prepared two meetings of the Board of Trustees and – in cooperation with the scientist(s) responsible – six major conferences that took place at the Institute, e.g. 'Social Law 4.0: New Approaches for Ensuring and Financing Social Security in the Digital Age' and 'Challenges to the ILO in the 21st Century: On the Future Role of a 100-Year-Old Organisation'. Due to the corona pandemic, events could not take place as planned since March 2020.

A considerable share of MEA's PR activities is devoted to the European-wide longitudinal study *Survey of Health, Ageing and Retirement in Europe* (SHARE). Activities include, but are not limited to, media relations, the development and maintenance of the SHARE website (including mul-

timedia content production) and several social media channels, the production and distribution of printed information materials for researchers, the summary and distribution of SHARE-based research findings, the production of respondent materials to be provided to the 28 SHARE country teams, as well as the production and distribution of several newsletters and the organization of (international) press conferences. MEA PR is further responsible for the documentation of SHARE-based publications, publishing the *SHARE Working Paper Series* and SHARE user statistics. The measures outlined have led to a broad media coverage of SHARE abroad. Altogether, 37 countries mentioned SHARE results within the reporting period.

In terms of infrastructure, a comprehensive relaunch of the Institute's website constituted one of the focal projects of the Public Relations staff at the Social Law Department and MEA during the reporting period. It was managed by Julia Hagn with support from MEA PR staff, notably Philipp Beck and Verena Coscia. The aim was to have a modern, clearly laid-out webpage that represents the Institute as a whole and equally attracts researchers, journalists, potential employees and the public. The relaunch also included the setting up of an extensive data management system that provides most of the information for the website and additionally serves as data pool for the Institute's internal use and for all kinds of reports. The data management system is linked to the staff database as well as to the electronic repository of the Institute's library and enables a data transfer to the latter. The new homepage went online in December 2019.

Last but not least, the responsibilities of Julia Hagn include the preparation of this research report.



Visitors of the Max Planck Day find out about the Institute's research at its booth.



Henning Frankenberger



Heike Wunderlich



Andrea Scalisi

## 4 INSTITUTE LIBRARY

*Henning Frankenberger*

### Library

The library of the Max Planck Institute for Social Law and Social Policy offers an outstanding collection of specialised literature on German, foreign and international social law and on international, European and German social policy. It is rated as the largest library worldwide for literature on social law and social policy.

In addition to national and international constitutional and administrative law, European law as well as economic and public procurement law, the library also has a collection of works on mathematics, statistics, philosophy, sociology and the economic sciences.

### Holdings

The Institute holdings comprise monographs, commemorative publications, conference proceedings and other collective works, electronic and printed statutory material, databases, e-journals, e-books, periodicals as well as loose-leaf editions from over 100 countries. Beyond that, the library ensures prompt procurement of literature and documents with regard to material unavailable on the Institute premises, thus offering highly efficient research and working instruments for the scholars and guests of the Institute and for other academically interested users. Continued and structured expansion of the library holdings contributes to the growth of the library. Currently, the library comprises around 130,000 volumes, consisting of some 19,000 bound journals and continuing sets. Current serial issues embrace 210 periodicals, among which 111 are German and 99 foreign, as well as international dailies and magazines. The library further holds 128 continuously updated loose-leaf collections, among which 117 are German and 11 foreign.



With 130,000 volumes, the Institute's library offers a unique collection of specialised literature on social law and social policy.

### Publication Management

Publications by the Institute are collected and recorded by the library staff and made accessible through metadata in PuRe, the central publication repository of the Max Planck Society.

### Library System and Catalogue

The library uses the Aleph library system provided by ExLibris. This product is used by 42 libraries within the Max Planck Society. As the product is no longer developed further by the manufacturing company, perspective considerations have been made for a follow-up, and future prospects include cooperative solutions with other Max Planck Institutes.

### Acquisitions

In the past three years, the library's stock of volumes increased by approximately 8,000 new acquisitions. Apart from printed materials, several data bases, licenses and e-journals have been acquired. Particularly worthy of mention in this context is the progress achieved in the electronic availability of publications from NOMOS publishing house. These were acquired in a consortium solution – together with other law-oriented Max Planck Institutes – in larger e-book packages and thus made accessible to researchers. Not least due to this, the availability of specialist literature has been greatly expanded since 2019 – and again increasingly since spring 2020. An agreement is also to be reached within the Max Planck Society for large bundled offers from other publishers.

### Library Usage

The library is a reference library and is committed to the academic work of the Institute. The library offers eleven workstations for guest scholars and other academically interested users. In the period under review, these workstations and the library holdings were used by 850 guests apart from the scholars of the Institute. Due to the coronavirus pandemic, unfortunately, the Institute was forced to keep the library closed to external visitors from March up to and including December 2020.

### Staff and Projects

During this reporting period there have been very few staff changes. The Institute has been fortunate to hire Ms Bianca Nicklisch as a specialist employee for media and information services for the succession of Mr Michael Dumitrache. She has been supporting the library team since September 2018. Ms Susanne Klamp, who had held a limited project position, left the Institute at the end of October 2018 in line with her contract.

## 5 INFORMATION AND COMMUNICATION TECHNOLOGY

*Ronny Lauenstein and Munir Salman*

The Max Planck Institute for Social Law and Social Policy (MPISOC) and the Max Planck Digital Library (MPDL) were under one administration until 2018. As a result, the IT Department of the Institute (Ronny Lauenstein, Axel Römmelmayer) also provided basic IT services to the MPDL. By decision and as part of a fundamental reconstruction of the Institute's cross-departmental virtualisation platform, a workplace-based hardware separation of MPISOC and MPDL was carried out from 2018 to 2020. To ensure trouble-free availability of the systems on both sides during this separation, regular maintenance services, updates and replacements were continued to be carried out. This took place exclusively during periods of low usage. Due to a lack of per-

sonnel on the part of MPDL, the separation could not be completed until mid-2020, after the user administration and all active and passive network components had been switched over.

Since the successful completion of the separation process, the Institute IT has continued to support and maintain the hardware and software of the Social Law Department and of Central Services, and has found solutions to cross-departmental IT issues. Among other things, it provided preconfigured root servers for the Institute's new website. In addition, in 2020, it provided support primarily for questions and problems related to videoconferencing and offered assistance with remote access as well as IT concerns arising from the increased use of the 'home office' by employees. Despite work organisation restrictions due to the pandemic, the Institute Administration's computers were, in 2020, also successfully migrated to 'vAP', which is the new workstation concept of the General Administration of the Max Planck Society.

### MEA IT Unit

The Social Policy Department (MEA) has its own IT unit, as MEA's research requires special support in this regard. The unit has been headed by Dr. Munir Salman since 2015, who has been assisted by Ahmad Abu Musa since November 2017. In addition to its day-to-day operations, MEA's IT unit has successfully completed the following projects over the past three years:

- Procurement and implementation of a virtual computing infrastructure
- Expansion of the multimedia equipment in the seminar room to include a video conferencing system
- Replacement of obsolete scientific computers and monitors for employees of the MEA Department
- Migration of all scientific workstations from Windows 7 to Windows 10



Bianca Nicklisch



Ronny Lauenstein



Dr. Munir Salman

- Further development of an online platform called 'WebWake', which allows employees to start their own computers from another location.

In addition, Dr. Munir Salman and Ahmad Abu Musa support MEA scientists with technical and domain-specific advice on digital projects and coordinate all digital processes between MEA scientists, the Institute's IT and external service providers.



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