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Report 2012 – 2014

**Max Planck Institute
for Social Law
and Social Policy**



MAX-PLANCK-INSTITUT FÜR SOZIALRECHT UND SOZIALPOLITIK
MAX PLANCK INSTITUTE FOR SOCIAL LAW AND SOCIAL POLICY

Report 2012 – 2014

**Max Planck Institute
for Social Law and Social Policy, Munich**



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NB: For reasons of readability, the male form has been used in most texts; nevertheless, all information applies to both genders, unless the context specifically indicates otherwise.

Preface

This Report provides information about the activities performed by the Max Planck Institute for Social Law and Social Policy during the past three years. It depicts the multifaceted research projects and activities carried out by the Institute staff members and describes the developments experienced by the Institute over the three-year period 2012 – 2014. 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.

This Report is structured in a slightly different way than the previous one. 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 and one Max Planck Fellow Group. For reasons of clarity, the arrangement of chapters therefore follows the organisational structure.

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, macroeconomic implications and social transformation processes resulting from the former. The projects carried out by the two departments during the period under review and their promotion of young researchers are briefly described in the first parts of the Report; the events hosted and publications produced in the reporting period are listed thereafter (I. and II.). The third part (III.) contains an overview of the activities of the Fellow Group, which is headed by *Elisabeth Wacker* and focuses on the transformation of social systems and the participation of persons with disabilities. As a rule, the different departments at the Institute pursue their own research programmes. 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 already resulted in joint projects (IV.).

During the period 2012 – 2014 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 recognised centre for social law and social policy research that continues to attract researchers from all over the world. Its library offers a unique basis for comparative research in social law and social policy (cf. V.). The promotion of visiting scholars and the organisation of guest lectures, workshops and conferences, as well as the reception of visiting guests foster both international and interdisciplinary exchange.

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.



Prof. Dr. Ulrich Becker, LL.M. (EHI) and Prof. Axel Börsch-Supan, PhD.

I wish to take this opportunity to once more express my sincere thanks to all staff members of the Institute for their great commitment during the reporting period: Thanks, not only to the research staff, but also to those working in the administration, the secretariats, the IT division, the library, and those looking after our guests or processing our texts, without the assistance of whom our projects could not have been accomplished. 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 in various ways.

Unfortunately, this preface must conclude on a sad note. As the present Report was nearing completion (outside the period under review), *Prof. Dr. Dr. h.c. mult. Hans F. Zacher* passed away on 18 February 2015 at the age of 86. He was the founding director of our Institute. A short obituary has been placed at the end of the introduction to the Department of Social Law (I.1.5.). The Institute is greatly indebted to *Hans F. Zacher*. His death is a huge loss to all of us.

Munich, February 2015

Ulrich Becker

*I. Foreign and
International Social Law*



1. Introduction

Ulrich Becker

1.1. Objectives and Background of Social Law Research

History of the Department of Social Law

The Max Planck Institute for Social Law and Social Policy emerged from a project group on international and comparative social law which had commenced its activities in Munich in 1976. It was launched following a suggestion made by the former president of the German Federal Social Court, *Prof. Dr. Georg Wannagat*. Ahead of schedule, that is, prior to the end of the originally planned term, the group's conversion into the Max Planck Institute for Foreign and International Social Law was resolved and subsequently carried through in 1980. According to its Statute, the Institute was and is devoted to research in the field of foreign and international social law. The Institute started out under the direction of its founder, *Hans F. Zacher*, who in 1990 assumed the office of president of the Max Planck Society while continuing his directorship on a temporary basis. He was succeeded as Institute director on 1 February 1992 by *Bernd Baron von Maydell* and on 1 August 2002 by *Ulrich Becker*.

In accordance with the enlargement of the Institute in 2011 to include a second department, the Institute was renamed Max Planck Institute for Social Law and Social Policy. It now consists of two departments: the legally oriented Department of Foreign and International Social Law under the scientific leadership of *Ulrich Becker*; and the Munich Center for the Economics of Aging with its focus on economics under the scientific management of *Axel Börsch-Supan*. The purpose of the enlargement is to bring together research efforts in the field of social policy from different disciplinary perspectives and thus facilitate scientific exchange across disciplinary boundaries. This does not mean, however, that research at the Institute is therefore conducted primarily or even exclusively in an interdisciplinary way now. It rather means that the two departments continue to pursue their own research programmes and also cooperate with a wide range of other research institutions throughout the world. Their research is oriented towards their own objectives in line, naturally, with the respective attributes of their disciplines.

Social Law as a Research Focus

The Department of Foreign and International Social Law investigates social law as an instrument for the implementation of social policy measures and as a special field of administrative law.

Its research focus is mainly on social benefits law. Social benefits are those benefits which are provided by the government, or for which at least some sort of public responsibility is assumed, and which pursue a particular social objective. The social objective of these benefits is to help, support and protect individuals, adjust imbalances, or compensate for social disadvantages. Their granting is based on the adoption of some sort of state responsibility. Our research is deliberately not restricted to individual subareas such as, for instance, old-age security or health care, as this would involve a double risk: namely to lose sight (1) of the relevant concepts of social intervention and hence of the social or, respectively, welfare state principle, which form the basis for any delivery of social benefits and services and (2) of the ever more evident interconnections between the various social benefits systems. Furthermore, our research includes the examination of equivalent forms of social protection, particularly occupational security systems and private protection schemes against social risk.

The founding of the Institute itself was already a reaction to deficits: Hardly any research on social law had been conducted in Germany before, especially not in connection with fundamental issues that went beyond the individual subareas. This is evidenced by a decision passed in 1961 by the "Conference of Presidents of the Superior State Social Courts regarding the Necessity of Scholarly Nurture of Social Security Law through Universities and other Institutions of Higher Education" ("*Entschließung der Konferenz der Präsidenten der Landesozialgerichte über die Notwendigkeit wissenschaftlicher Pflege des Rechtes der sozialen Sicherung durch die Universitäten und Hochschulen*", decision of 22 September 1961, published in *SozSich.* 1961, pp. 311 f.). In line with the content of the decision, the ministers and senators of labour and social affairs were asked to have sufficient and up-to-date attention devoted to social security issues in research and teaching at universities and institutions of higher education. The reason mentioned was not any presumed great need for jurists with training in social law. What seemed more important was the contribution of some form of scientific nurture through research and teaching to the "unfolding" of this newly grown field of law, for which an overall



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interest of society was claimed due to its significance for the stability of social order and for enabling a dignified existence to citizens directly affected by matters pertaining to social law. In the meantime, the situation at Germany's law faculties has partly improved. Yet, social law is still regarded as a secondary subject, the teaching of which is dependent on factors lying outside the discipline; further, it has almost no capacities to define a structural framework. This is different only in cases where a thematic focus is established, particularly in the field of health law. Here, it seems to enjoy increasing popularity – presumably not least due to the vast number of actors involved in this field who deal with large sums of money and thus unquestionably fulfil a task that is of importance for all. As fruitful as that may be for academic training and research: it confirms the lasting need for the exploration of social law in its entirety and complexity, and for making the welfare state an overall research focus. This holds true all the more since social policy research is going through hard times also in other disciplines. An observer who used to be centrally involved in this research for years sums it up this way: "This goes hand in hand with an ever more apparent loss of importance of university research on the welfare state and the welfare society in Germany, a trend that has meanwhile arrived in nearly all academic fields" (*Leibfried*, in: *Peters/Leibfried*, Memorandum Förderinitiative Stiftungsprofessuren Sozialpolitik, FNA-Journal No. 1/2014 p. 12; cf. also articles in the issue on main focal areas, No. 2014/1 of DRV).

This need for a broad social law approach is especially true considering the comparative and international orientation of our Department. For while in Germany social law had relatively early begun to establish itself as an independent legal subject, yet characterised by its connections to civil law and, particularly, labour law and administrative law, this was not the case in other countries. This can be seen from an overview of lectures held on social law at foreign universities, as well as from the small number of textbooks and journals on social law published abroad. Apart from very few exceptions, social law in other countries either leads a rather shadowy existence as part of labour law (in many parts of Europe, South America and Asia) or of social policy (in the United Kingdom and in the USA). An explanation for this may be the respective institutional configuration of benefits provision as referred to by social law. Another reason for this circumstance is also the self-conception of these disciplines, since their systematic self-determination frequently reaches subject-specific limits or because this self-

determination is not assigned any particular legal value (for more details see *Becker*, *Sozialrecht und Sozialrechtswissenschaft im internationalen Vergleich*, in: *P. Masuch/W. Spellbrink/U. Becker/St. Leibfried* [eds.], *Grundlagen und Herausforderungen des Sozialstaats, Denkschrift 60 Jahre Bundessozialgericht: Eigenheiten und Zukunft von Sozialpolitik und Sozialrecht*, Vol. 1, 2014, pp. 463 ff.). This poses considerable problems to comparative social law research in the international context, as well as to the research activity of the Institute. Issues of this sort could be remedied by way of concentrating on few main research areas. This, however, would be a high price to pay, i.e. at the expense of a research area which seeks to map the development of the welfare state on an overall basis by way of cross-system analyses.

Comparative Law Approaches

- Social law is examined in Institute research primarily by means of legal comparison. In times of reforms pertaining to social law great interest is expressed with regard to information on *alternative solutions to socio-political problems*. Due to their level of detail and accuracy, comparative legal studies are particularly capable of providing precise and complete information on the institutional conditions and particularities of a specific social policy. In this regard, different configurations are to be selected depending on the respective overall aim:
- If they are to illustrate the effects of the law, they can by way of single case studies examine particular forms of intervention on the part of the welfare state or focus on particular steering instruments. In such cases, the conditions for the effectivity of the law should be included and information should be given on either the various approaches to a solution via law or the various fields of application of law.
- The interface between the socio-political and the legal responsibility hosts studies which give information on the interplay of different social benefits systems in the context of coping with particular social needs. They are to be set up as broadly as possible in the form of *overall studies* or needs-based macro-comparisons, or must at least include legal systems with varying basic normative concepts, since they are to convey fundamental information regarding an entire area of social benefits law. In terms of social policy, they are revealing in that they reflect the *complexity* of interventions on the part of the welfare state.



- Comparative social law may also be used specifically for *obtaining legal knowledge*. Within this meaning, comparative legal research may be directed at working out common principles and application rules, at facilitating the systematisation of national social law, and at recognising foreign doctrinal particularities.

A problem in the assessment of legal comparisons is that the latter lack absolute measures for the evaluation of functionality, which is the starting point for any comparison. Nevertheless, they also gain in doctrinal significance particularly with a view to the issues of Europeanisation and internationalisation. (cf. below, I.2.1.) This is due to the hierarchy of legal norms, which may lead to *conflicts between norms* of higher-ranking legislation and those of subordinate law.

- This refers, on the one hand, to the verification of the compatibility of national regulations with international law or with European Union law. Such verification, too, requires a comparison of legal systems. A vertical comparison of law may easily lead to misunderstandings, however, as international and supranational law are valid in their own right. The law of nations and European Union law form part of the national legal system and in this regard subject the national legislator to specifications. In doing so, they also provide their own valuation standards, and this is the key distinction from a comparison of separate national legal systems.
- However, valuation standards across legal systems do not only result from individual social law regulations pertaining to international law or to contract law and to the secondary law of the European Union, but also from fundamental rights and from general legal principles such as the principle of the rule of law. With the Treaty of Lisbon having entered into effect in Europe, the corresponding general provisions are becoming more and more defined. For especially the Charter of Fundamental Rights can also be regarded as a state of play illustrating the recognition of fundamental rights protection within the EU member states. In addition, the increasing interrelation between European human rights, EU fundamental rights and national fundamental rights requires a fine-tuning of the contents between the different levels of governance. These developments have led to the circumstance that social state intervention can increasingly be measured in terms of the common principles of European law.

Significance and Composition of the Country Sections

In its substance, social law means national law. Indeed, it is more and more influenced by European political guidelines and also higher-ranking norms, and it follows common principles. Yet, the responsibility for the establishment and configuration of social benefits systems still rests with the respective national legislator, who is granted a considerable scope for action both with regard to the benefits structure and the benefits level to be provided. Legal comparison as a methodological instrument thus remains of core importance; and it makes sense to conduct such research with the aid of country sections established especially for this purpose within the Department of Social Law. Country-specific investigations by no means become obsolete through processes of Europeanisation and internationalisation. This is because social law is characterised to a much lesser extent than other fields of law by unitarisation tendencies.

The research staff of the Department of Social Law observe and analyse developments in social law and social policy in a number of European and non-European countries. Research is country-based and includes further assignments for specific subjects and for the observation of international organisations. This enables us to bring to fruition the essential social, economic and cultural backgrounds necessary to understand law, which may however vary significantly depending on the country. During their years of research, the staff of our Department can gain the relevant expertise. A chief policy in engaging new research staff has been to seek experts on national social law regimes which are of particular significance to development and reform processes. Owing to its limited size, the Department cannot cover every single development in social law throughout the world. Sometimes staff changes also pose challenges that make it hard to preserve a continuous workflow. The Department can cope with this for two reasons: First, because the Institute-based knowledge of foreign law is augmented by including scholars from abroad in individual projects or by conducting projects with foreign cooperation partners. Second, because the research focus – and with it the respective national legal systems under review in the context of a comparison – differs depending on the project.

For the reasons indicated above, the Institute has, as usual, seen several staff changes within the reporting period. The country section focusing on China had to be put on a provisory hold after *Dr. Barbara Darimont's* fixed-term employment agreement could

not be extended; however, cooperation with Chinese scholars continues on the basis of previously established research. *Dr. Sebastian Weber* left the Institute at the end of 2013; the vacancy in the country section on Scandinavia was filled again only at the beginning of 2015, with *Melanie Hack* assuming this position. Between July 2012 and April 2013, *Elaine Dewhurst* held a postdoc position at the Institute, investigating legal issues pertaining to age discrimination. In December 2013, *Dr. Daniela Schweigler* assumed a country section position at the Institute; she examines the modernisation processes of social benefits systems and the way in which social rights are implemented.

1.2. Main Fields of Research

Dynamics and Development Processes of Social Law

Due to its functionality alone, social law is subject to continuous change. It is particularly important in this context to adapt to demographic change; the latter is the main focus of research of the second department of the Institute and also a topic that will remain on the agenda in social law (cf. on this *Becker/Roth* [eds.], *Recht der Älteren*, 2013; further, the programme of the 1st Annual Conference in November 2013). In this field, overlaps occur that may offer opportunities for cross-departmental research. A significant factor is also the pressure to adapt resulting from an increase in global interdependence. In countries with well-developed social benefits systems this has led to a restructuring process which is roughly associated with catchphrases like "activation" and "social investment policy". This was mentioned in detail in the last Report (2010 – 2011, pp. 11 f.). Such adaptation processes naturally also play a role in countries which are still dealing with the build-up of social benefits systems, since here too, the societal and economic conditions are influenced by the same, or at least comparable, background factors.

Accordingly, the analytical differentiation of three development processes continues to be a vital point of departure for the research programme of the Department. In this context, the differentiation of the various

regulatory levels and development stages reached plays a role. The processes run parallel to each other and are interrelated in many ways.

These are

- the Europeanisation and internationalisation of social law. These phenomena are characterised by the increasing significance of supranational regulation levels and the interconnections that arise from the provisions stipulated at these levels and from national law (cf. below, I.2.1); the adjustment or, respectively, modernisation of social security systems in developed countries, characterised by a modification of the forms of task fulfilment on the part of the state and by the utilisation of new forms of steering and of action (cf. below, I.2.2.);
- the transformation of social benefits systems in developing countries or emerging nations. In these countries the societal change, which is connected to rapid economic growth, leads to the necessity of setting up new and more comprehensive social benefits systems that are to contribute to the support and completion of the traditional forms of security (cf. below, I.2.3.).

The differentiation of the mentioned processes shows particularities which are important for the analysis and understanding of these processes. As for their examination, fundamental questions play an important role in many respects. Social law may serve as a reference area for enquiries into overlapping concerns of legal policy and legal doctrine, for

instance as regards the effects of privatisation or the role of competition in social benefits schemes. At the same time, comparative law is increasingly gaining in significance. In times of intensified information exchange, a frequently posed question is whether and which national regulatory patterns can be transferred to other countries' social benefits schemes – either because reform needs are similarly embedded in different states in that, say, demographic developments threaten the fundaments



of pay-as-you-go risk coverage schemes; or because increasing economic interpenetration and migration calls for a greater convergence of social benefits schemes, as meanwhile promoted within the European Union by means of an institutionalised process of comparison; or because in the course of societal developments and transformations traditional security options are to be replaced with new forms of security. In any event, knowledge of the respective national legal systems is required in the mentioned cases. The regulation techniques used therein as well as the ideas of order underlying these systems are to be included in the legal comparison just as much as their distinctive modes of action and their societal and cultural requirements.

In this way, general structures and principles such as the shaping of democracy, the rule of law or the protection of individual freedoms are gaining in importance, but especially so are the institutional arrangements on which the actions of those affected and of the administration are based. That the development of social benefits systems takes on an increasingly important role, and not only in financial terms, but particularly in regard to the realities of people's lives and to the stabilisation of society, can be readily gathered from the current reform debates.

Europeanisation

(1) In the political multi-level governance system of the European Union the distribution of competences is an expression of the normative attribution of responsibility. In accordance with the concept of the Treaties, social protection is to remain a national responsibility. The social state is not only a national accomplishment, but shall also continue to be seen as a national issue. This, however, is only the point of departure as already described in greater detail in previous Institute reports. Social protection – to take a comprehensive and meanwhile common phrase in Europe – has in fact come to be characterised within the EU by its interdependency between national and supranational guidelines and their implementation. This is based on several factors.

It had for a long time been forgotten that the first European legislative acts going beyond the mere constituting of authorities were acts pertaining to social law. These were the regulations on the coordination of national social benefits systems. Building on the model of international social security agreements, it is thanks to these regulations that the free movement of workers and also the free movement of self-employed persons have become feasi-

ble in practice. Without them, the social rights of Union citizens would have got lost in the transnational migrating process of the former, and any crossing of borders would have been connected with great social risks and become largely unappealing. This coordination is a well-functioning undertaking – if also challenging for the national administrations – as it regulates, particularly by way of its own conflict rules, the field of application of national social law and thus harmonises the "national international social law". To this day, it represents the core of European Union social law – a law "accompanying" the fundamental freedoms which, as all social law, requires further development. A new and independent regulation would make sense for long-term care benefits, which were extensively introduced only during the last quarter of the past century. For supplementary old-age provision, too, independent regulations must be established, as provision for old age in Europe increasingly rests on several levels or pillars. More general issues are involved as regards the need for reform with a view to family benefits.

Coordination has impacts on nationally-structured social security without creating its own benefits systems; the Union, on the other hand has – still under the terms of the European Community – set its own priorities in labour law. This is due to the gradual extension of EU powers in line with the Treaties of Maastricht and Amsterdam, as well as to the close relation of labour law to the conditions governing the development of economic activities. This has resulted in a variety of regulations, particularly regarding employment protection and individual labour law, and worth mentioning in this context are maternity leave, parental leave and the regulation of legally permitted working time. European social policy has created special impulses of its own in the field of (gender) equality and non-discrimination. Already in the 1970s, when it started to evolve as a field of policy of its own, these topics were key issues. The provision on wage equality for women and men, which was contained in primary law from the beginning, was originally intended to bring about equality of competition; at the time the EEC, it disconnected the goal of gender equality from its economic context and made it an independent one, first and foremost by enacting a whole range of directives. By way of the revised version of the legislative bases effective from 2000 the Union has, in this respect following the development outside Europe, included new discrimination criteria, particularly also the criteria of age; this criteria is not easy to handle, but all the more important in view of the demographic trend in Europe.



Union law has also had an influence on the configuration of the social benefits systems themselves. Even though, in this context, it is still the member state that decides on the level and type of system of benefits to be offered to its citizens, it is especially the fundamental freedoms and competition policy that have led to an increasing influence of EU law. This refers to spatial extensions, i.e. a deterritorialisation of benefit-granting, expressed via the freedom to provide services and the free movement of goods, but it also extends to the individual via the free movement of Union citizens. In addition to this, measures justified in terms of economic law have been effected as competition law (inclusive of the ban on aid) and procurement law contain specifications regarding the provision also of social services.

These points of contact between social law and economic law have contributed to the enrichment of Union law with elements of social law, which in turn has led to a reduction in the asymmetry of applicable legislation. To be mentioned in this context are the Services Directive, the so-called *Monti* Package and the revision of the Public Procurement Directives. The member states are therefore by no means forced to make sacrifices for the sake of market integration, even if the restructuring of their social benefits systems might appear to be under such ostensibly inevitable influence. An interplay between political levels can be observed here, too, which on the whole strengthens the implementation process with a view to social rights rather than weakens it – at least if it is kept in mind that social intervention cannot be dissociated from its economic foundation.

The significance of European integration goes far beyond legal interrelations also in the field of social policy. Social protection and social law in the European Union cannot be examined adequately if the focus is not also directed to other steering instruments apart from binding legal provisions. This relates to the programmatic approaches – highly debated as to their designs and effects – and particularly the coordination of national policies. This "soft exertion of influence" has during the financial and debt crisis had an increasing impact. Already the OMC featured a particularity, at least in comparison to the socio-political discourses practised for a long time in the member states, in that it brought together financial, economic and social policies. This connection has become even closer and also more obviously needed owing to the measures taken with regard to the management of the crisis.

At the current state of development, the following can be noted: With the entry into force of the Treaty of Lisbon, the European Union has, for the first time, explicitly laid down the goal of establishing a social market economy. This goal, however, is expressive of a social order which, founded on Christian social ethics but open to other ideological content, is based on freedom, solidarity and participation in society. Its fundamental component is the freedom of the individual. As for the procurement of goods, this component is in line with a market economy that builds on the institution of competition which – going far beyond pricing – is to manifest allocation, innovation and the establishing of freedom, which is why *Franz Böhm* ascribed to it an "overall social effect" (cf. *Nörr*,



Die Leiden des Privatrechts, 1994, pp. 101 ff., 106). In this context, it is the task of a 'social state', or a social political community in general, to facilitate participation in market developments and, at the same time, support those who cannot take part in any market activity. Social policy aims at establishing equal opportunities for participation, and in this sense it is also, to quote the somewhat emphatic description given by *Wilfrid Schreiber*, the "epitome of all efforts to enable man to feel a sense of home within freedom" ("Sozialpolitik in der Sozialen Marktwirtschaft", in: *Ibid.* (ed.), *Sozialpolitische Perspektiven*, 1972, pp. 23, 34). The exact construction of this policy and coordination of its contents must, however, be specified. Finding a way of how to strike a balance between equality and liberal self-responsibility is, today and in view of the developments described, not only a responsibility of the welfare state, but in an economically and politically linked Europe also a responsibility of the European Union. The task here will increasingly be also for the Union to give impulses and to contribute to the strengthening of social cohesion as much as to the preservation of the fundamental rule that people should have the possibility to secure their existence through work – unless the Union seeks to expose itself to the argument that, to quote *Jürgen Habermas*, it already exhausts itself by "consolidating law and implementing it in a technocratic way" ("Für ein starkes Europa" – aber was heißt das?, *Blätter für deutsche und internationale Politik* 3/2014, pp. 85, 93).

(2) European integration has unmistakably led to adaptation processes in individual branches of social security. This also applies to old-age security (for more details see *Becker*, *Neuere Entwicklung der Alterssicherungssysteme in Europa – Reformen, Resilienz und rechtliche Aufarbeitung*, DRV 2014, pp. 159 f.). For years the pension systems have been undergoing reforms in all European countries. In this context, common trends can be observed that are accompanied and reinforced by socio-political recommendations issued by the Commission. Especially the example of the reform to increase the retirement age – a reform supposedly easy to realise and seemingly just as indispensable in view of the demographic change – shows that a more detailed examination is nevertheless required: In most countries, supplementary measures have been taken with reference to both a flexibilisation of the retirement age and the consideration of interactions with other social benefits systems and with labour law.

The financial crisis has noticeably sped up the implementation of reforms, in part – but not in all cases – intensified by external pressure. As was to be ex-

pected, it has in some countries had an effect on the system mix and particularly on the capital-funded protection level. Nevertheless, it has not resulted in any extensive decline in capital formation. This is not to be expected either in light of the objective of risk diversification attempted by way of developing a second protection level and the related changes concerning the distribution of responsibility. Rather, this most intensive reprivatisation scheme primarily served the purpose of improving the various overall state budgets by shifting accumulated capital. Such a measure does not necessarily infringe the rights of insureds. However, it shows the necessity to assign rights by means of organisational arrangements in such a clear way that insureds can enjoy some form of legal protection.

Most of the aforementioned reforms have strengthened the connection between pension payments and contributions made. Thus, it will become more and more important to find out how a minimum protection level can be provided and, particularly, whether this is to be effected within the public pension system or by way of a separate system. This shows: Developments of this sort raise both socio-political and legal issues. In many countries they are subject to constitutional control and are, in addition, reviewed by the European Court of Human Rights in compliance with the principles of the European Convention on Human Rights (ECHR). It is due to social rights that countries are obliged to maintain systems that provide sufficient protection for old age; at the same time, they are granted a certain scope for political action. And from once-established legal positions, some form of protection of legal validity can be derived within the meaning of constitutional law and human rights regulations. Investigation of the exact legal boundaries of reforms and the differences existing as to legal protection in the different European states will also in future be part of the research of the Department.

Modernisation

(1) Within the framework of the reorganisation of social benefits systems, systemic changes can be observed both at a horizontal and at a vertical level. Traditional social security systems, such as those based on the ILO conventions, cover a specific social risk: Health matters and maternity, age, incapacity for work, unemployment, work accidents. They were established and further developed in terms of individual sections of public protection systems. These days, however, their boundaries become blurred. This occurs both with a view to the protection against particular risks and within individual risk branches.

In this context, the interplay between public, private and occupational schemes is becoming more and more important. The best-known example is provision for old age, which in all developed countries increasingly rests on several pillars or levels. A very similar development can be observed with a view to protection against the risk of long-term care dependency; the latter, manifest in its interaction between various benefits systems, has been and continues to be a core subject of our research.

At the same time, the welfare states of today have, by way of social intervention, been trying to pursue more complex goals. Worth mentioning in this context are, for instance, measures of inclusion in the labour market or the raising of the retirement age. However, it is no longer enough to focus on one branch of protection or, respectively, on one risk only, e.g. to take an isolated look at either unemployment insurance or pension insurance. Rather, reciprocal action between different, mostly independently organised, schemes has become necessary. For the aforementioned goal of inclusion in the labour market, for instance, it is not only unemployment and pension insurance that need to be taken account of, but also basic social security schemes, sickness benefits or rehabilitation benefits. The goal to include persons with disabilities is similarly comprehensive; the Department also conducts research work on this topic in cooperation with Max Planck Fellow *Elisabeth Wacker*. Another example is the social protection provided in the event of long-term care dependency, which in most European countries is realised by means of a concurrence of insurance, assistance and support benefits and services. Changes of this sort lead to problems in that they involve great coordination and harmonisation efforts which, at the same time, are linked to different political levels and raise competence issues. This is particularly true for federal countries like Germany; yet, it is also difficult in other countries to stipulate provisions on a centralised basis and simultaneously retain a sufficiently wide scope for action for local adjustments.

(2) The modernisation processes are reflected particularly in various changes, also changes that involve legal questions. Some of these changes have for years been significant for the research work of the Department:

- *Further development of regulatory instruments and forms of action.* In the reporting period, cost-benefit-assessment and individualised health care services played a particular role, just as much as did competition in health care (cf. *Becker/Schweitzer*, Wettbewerb im Gesundheitswesen –



Welche gesetzlichen Regelungen empfehlen sich zur Verbesserung eines Wettbewerbs der Versicherer und Leistungserbringer im Gesundheitswesen?, Gutachten B zum 69. DJT 2012). The research papers on the provision of benefits and services (*Becker/Meeßen/Neueder/Schlegelmilch/Schön/Vilaclara*, Strukturen und Prinzipien der Leistungserbringung im Sozialrecht, VSSR 2011, pp. 323 ff., VSSR 2012, pp. 1 ff. and 103 ff.) deserve special mention; they are important in that they analyse the so-called social economy law by means of postulating interdependent legal relationships, an approach that is not used in this way in foreign research;

- *Organisational and structural reforms* of social benefits systems in terms of a creation of new benefits systems or of adjustments to be made to the organisation and structures of existing benefits systems. In this connection, the Department has (along with the mentioned activities in the context of Europeanisation) continued its research on the role of the municipalities by way of different smaller projects;
- *The role of the family and civil society* in social security; in this context, the Department has conducted comparative research, examining the rights of and support measures for children in Germany, France, Italy and Sweden (*Becker/Hohnerlein/Kaufmann/Weber*, Die "dritte Generation", 2014).



Development in Emerging Nations and Threshold Countries

The development or, respectively, transformation of social benefits systems in developing and threshold countries deserves special consideration for three reasons: because it shows the possibilities of how to create universal social standards; because it provides insights into the factors relevant to the development and hence also into the possible stages of development and their genetic, social and cultural conditionality, especially in comparison to the development of social law in other European states; and last, but not least, because it is often given far too little attention.

"Undernourished Children Continue to be Hungry even if the Economies of their Countries Pick Up", (SZ of 27 March 2014, p. 20). This has been confirmed by a study on the interrelationship between economic growth and the provision of essential goods, taking the example of early childhood nutrition (Vollmer/Harttgen/Subramanyam/Finlay/Klasen/Subramanian, Association Between Economic Growth and Early Childhood Undernutrition: Evidence from 121 Demographic and Health Surveys from 36 Low-Income and Middle-Income Countries, *The Lancet Global Health*, April 2014, pp. 225 ff.). It shows: More revenues do not necessarily lead to better provisioning and supplies. This finding stands to reason and is not very surprising. The reasons may be found in the political system or the fundamental views inherent in society, but could also be ascribed to problems related to the implementation of programmes.

Research must be centred on exploring both the universal legal order behind social protection and the problems related to its implementation by way of well-functioning benefits systems. The objective of such an order must be to ensure the setup and maintenance of mutually open systems of social protection worldwide. Regulations to this effect will also be required at the international level. The international community must provide a value and regulation framework which is to keep normative provisions on the setup and maintenance of a social system available both for the respective states and for transnational actors. An important part of such a system, naturally, is the existence of benefits schemes; conversely, the development of benefits schemes is of core significance in countries that lack such structures. From an international perspective, the guiding normative standards most likely to be considered for this purpose – aside from the specific conventions of the ILO addressing particular sub-issues – are the human rights. The orientation of the ILO towards the issue of *social protection floors* can also be understood in this context, since this organisation seeks to establish comprehensive social protection that is dissociated from the traditional organisational structures of the developed welfare states, even if this means that such protection can only be developed gradually. The problem with universal human rights is that they need to be implemented within the particular environment of national legal and social norms, and other actual circumstances. The human rights approach is, moreover, often associated with selective one-sidedness. True, international law increasingly endeavours to offer solutions. This applies both to the rights and obligations of



individuals as well as to the issue of legal obligations on the part of companies, particularly transnational actors. Not only this leaves the system, as yet, rather unfinished. What is crucial here is the fact that any practically effective endowment of social rights requires an institutional framework – whose attendant difficulties derive to a far greater extent from the particular diversity of concrete issues than from the universality of human rights. At this stage at the latest, knowledge of the operating conditions of social benefits systems is required; the view from above on the normative system must be supplemented by a grassroots perspective, and the individual matters related to the positive configuration of existing systems must not delay this process. Thus, from the viewpoint of law, international law and social law could be interconnected.

The operating conditions of social benefits systems need to be investigated, and for this purpose it is particularly disciplines other than law that are required. The development of a benefits and service structure in the general interest, and especially also the establishing of social protection, are demanding tasks. These require political support. Existing social structures as well as the economic capacity must be taken into account. There is reason to believe that a presumably uniform, merely lagged development in various parts of the world will not occur simply for the fact that one would underestimate the continual variability of social institutions and values. This issue cannot be solved without research in the fields of policy and social science.

Law as a supplement to the above offers further solutions in two ways: first, with a view to the normative foundation on which social protection is based. This refers both to the relationship between the mentioned global provisions regarding the constitutional ideas in the individual countries, but also specifically to the significance of these provisions in terms of an institutional framework for the successful construction of systems. To give an example: The introduction of capital-funded provision for old age effectively also depends on whether a legal system offers ways to implement the above under private law, and on the way in which property rights are protected. The potential importance of occupational and collective agreements essentially depends on the way in which employee and employer associations are organised and organisable in general. The second contribution of law refers to the "construction manual" required for the establishing and operating of social benefits systems or of other institutions providing social protection. The role of law may differ in the various countries, but most of them utilise law as a priority instrument for the pur-

pose of implementing political decisions. Legal scholars are well used to dwelling in the "machine room" of this implementation tool and, accordingly, to dealing with its specific parts and technical difficulties.

Finally, the implementation of legal tasks in relation to global social protection is not without difficulties. A first difficulty certainly arises from the need for interdisciplinary collaboration. It goes without saying that such cooperation is hard to execute in a scientifically organised way, i.e. with a view to activities that may be instigated autonomously by the different researchers in accordance with their various cognitive objectives. Interdisciplinary projects of this kind especially tend to demand additional efforts from young scientists.

The second, completely different and more specific difficulty refers to the research topic. For one thing, its substance is relatively thin, and many countries, especially in Africa, but also in Asia, still have very rudimentary public social benefits systems. However, these systems are complex in their own way; it is especially insurances organised under private law that play a major role in many countries. For another thing, it is particularly difficult to empirically assess the contents available. This may range from language problems with a view to resources, to insufficient reliable data, through to unclear implementation methods in practice. Again, this illustrates not only how relative the definition of law and the rule of law is, but also how important it is to be able to carry out empirical research locally and to collaborate with scientists on site. This, too, requires an infrastructure that suits the purpose; in this regard, however, there may be vast differences from country to country. In short: Also legal problems generally involve burdensome field research under difficult conditions as regards communication.

The Institute has made a contribution to the aforementioned issues in the form of a project entitled "International Standard-Setting and Innovations in Social Security" (*Becker/Pennings/Dijkhoff*, 2013); the project shows the developments related to social law and social benefits systems in all parts of the world with regard to both the traditional and new approaches of the ILO, and the efforts undertaken to establish social protection by way of normative standards. In the current process of working out a "Post-2015 Agenda", the topic of social protection also plays a role, however in a still undefined way. In any case, it demonstrates the possibility of linking in a stronger way than before the topics of international cooperation and social law. The Department plans to offer further contributions in this regard.





Doctoral seminar: Marko Urban, Dr. Daniela Schweigler, Prof. Dr. Ulrich Becker, Stefan Stegner, Annemarie Aumann, Lilia Medvedev (left to right).

1.3. Promotion of Junior Researchers

The Department of Social Law has a particularly strong commitment to the promotion of junior researchers. Its core element is the supervision of doctoral students. The latter are, as a rule, brought together in doctoral groups. A doctoral group is a group of four or more 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 rounded off by conferences, 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 focusing on social benefits and long-term care [*"Sozialleistungen bei Pflegebedürftigkeit"*], which started its research in July 2010, has been dealing with the fundamental issues regarding benefits, but also with benefit provision, particularly in outpatient/home care. During the reporting period two dissertations were completed and submitted: *Marko Urban's* dissertation on quality assurance in home care in Germany and Austria, and *Vera Hansen's* dissertation on social security and long-term care dependency in the context of chronic disease and disability. The two doctoral candidates are now employed in ministries in Bonn and Munich respectively.

In October 2012, a new doctoral group started its research work on the topic of social law as a specific form of administrative law [*"Sozialrecht als besonderes Verwaltungsrecht"*]. The particularities of social law as a specific form of administrative law shall be examined by means of four different comparative projects: For this purpose, individual issues (concretisation of subjective rights; administrative contracts in service provision; causality or, respectively, alloca-

tion and liability; administrative scope of discretion) are investigated with a view to certain fields of social law and particular legal systems, especially in comparison to the regulations generally applied in these legal systems offering equivalent functionality.

Thematically independent dissertations in this doctoral group include research papers on the history of social insurance, on health protection by means of preventive measures, and on the provision of benefits/services through private entities in developing countries (cf. below, I.3.). In this period under review, too, a dissertation has received several awards: Dr. Daniela Schweigler's research paper entitled "The Right to Hear a Specific Physician (Section 109 SGG) – Dogmatic Classification of a Controversial Procedural Instrument with regard to Social Court Practice" ["*Das Recht auf Anhörung eines bestimmten Arztes (§ 109 SGG) – Dogmatische Einordnung und sozialgerichtliche Praxis eines umstrittenen Prozessinstruments*"] (2013). Daniela Schweigler received the Otto Hahn Medal of the Max Planck Society, the dissertation award of Gesellschaft zur Förderung der sozialrechtlichen Forschung e.V. (Cologne) and the Bavarian Culture Prize of Bayernwerk AG.

1.4. Teaching, Advisory Services and Academic Exchange

Lectures and Courses

Special emphasis is put on the participation of Department members in academic teaching; this is 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 holds seminars at the Faculty of Law at Ludwig-Maximilians-Universität each term and teaches social law on a regular basis within the framework of the main focus courses. In the main focus subjects on labour and social law, he participates in the preparation and correction of exams. Furthermore, he regularly acts as an examiner in the First State Exam in Law. Several staff members of the Department have also been employed at the Faculty of Law at Ludwig-Maximilians-Universität as session leaders of study groups and as correctors.

Some lectures and courses were also held abroad, for instance within the frame of guest professorships, in the context of regular courses at the universities of Leuven (Becker), Rennes and Poitiers (Kaufmann), as well as within the frame of individual guest lectures at different universities (Becker, Kaufmann, Reinhard).

Transfer of Knowledge and Counselling

Besides conducting its own research projects and promoting junior researchers, the Institute also strives to communicate its findings on German, European and international social law at home and abroad, especially by participating in diverse conferences, workshops and lecture events (cf. I.4.1.). This very often also involves exchanges with experts from practice working at ministries, associations and social benefits institutions, as well as with politicians. In this way, the Institute also enables its staff to take practice-related issues as an opportunity for further in-depth study or for the reconsideration of hypotheses.

At the same time, the exchange serves to offer counselling in a broad sense. This service constitutes an important opportunity for the Department to convey the contents of its research and to make it available for practical application. This is true both for involvement in the preparation of legislative measures in Germany (e.g. in connection with the reform of compensation law or of social benefits aimed at the inclusion of disabled persons in the context of work-level discussions at the ministries involved) and for talks with foreign members of the public service or researchers who visit the Institute in order to learn about the developments in social law.

Like most of the legal Max Planck Institutes, the Institute for Social Law also delivers expert opinions on behalf of courts in matters of foreign law (cf. I.10.).

A Meeting Place for Dialogue

The Institute enables scholars to conduct social law research in a first-rate environment. One significant factor in this context is its library, which holds the largest collection of literature on social law and social policy worldwide.

These work facilities as well as the expertise of its staff have made the Institute a centre for social law studies and a meeting place for researchers interested in social law. 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 differently timed studies sponsored by other institutions. (cf. below, I.7.).



Publications

The findings of scholars employed by the Institute are not only published in German and foreign research journals; the Institute also offers its own channels for social law publications. For instance, 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 inter-*

nationales und vergleichendes Sozialrecht. Eight new issues of the *Studien* were published in the period under review. Worth mentioning also is the series *Schriften zum deutschen und europäischen Sozialrecht* (Nomos Verlag, Baden-Baden), a monograph series on German and European social law initiated by the director of the Department. Since 2012, it has been issued under the title *Schriften zum Sozialrecht* (SzS) by a large group of (initially) German teachers of social law. It has meanwhile established itself as one of the most widespread series for monographs and, particularly, dissertations related to social law in Germany. Twelve new volumes were released in this series during the period under review.

1.5. In Memoriam Hans F. Zacher



The Max Planck Institute for Social Law and Social Policy deeply mourns the loss of its emeritus scientific member Prof. Dr. Dr. h.c. mult. Hans F. Zacher (1928 – 2015).

Hans Zacher passed away on Ash Wednesday, 18 February 2015, after an eventful, fulfilled and highly successful academic life. Hans Zacher was the founding director of our Institute and a scientific member of the Max Planck Society, of which he was president from 1990 to 1996. Social law and social policy were decisively shaped by him in terms of both its academic and its practical significance. He opened up new horizons to these subjects by laying the theoretical foundations, by making use of comparative systematisation, and by breaking down the boundaries with other scientific disciplines. He was the spiritual father of the German Social Code and the co-founder of the German Association for Social Law. He was a stimulating teacher, both with regard to imparting his knowledge at the Institute and in his function as a university professor, first at the Faculty of Law and Economics of Saarland University (1963 – 1971) and then at the Law Faculty of Ludwig Maximilian University Munich. An outstanding conveyor of all matters of science on both the national and the international level, he has also earned lasting renown in science policy. His creative power was admirable. Until last, he had continually been seeking to develop a welfare state concept that can rise to the current challenges.

Hans Zacher was a truly impressive man, a sharp-witted conversationalist, an exceptionally gifted rhetorician and also a friend, open to encounters, ready to speak out clearly and to give good advice.

We are greatly indebted to Hans Zacher. We are grateful that we had the opportunity to share part of his path through life. He will remain unforgettable to us.

2. Projects

2.1. Europeanisation and Internationalisation

2.1.1. Publication on "Cross-Border Health Care in the European Union"

Otto Kaufmann

Within the framework of the cooperation agreement between the Max Planck Institute for Social Law and Social Policy (MPI) and the Western Institute of Law and European Studies (IODE) (UMR CNRS 6262) of Rennes 1 University, a conference on cross-border healthcare was held in November 2012. Based on this, the volume "*Unionsbürgerschaft und Patientenfreizügigkeit, Citoyenneté Européenne et Libre Circulation des Patients, EU Citizenship and Free Movement of Patients*" was published by Springer Berlin Heidelberg et al. in 2014 under the editorship of Sylvie Hennion and Otto Kaufmann.

The book – composed in German, English and French – deals with EU law regarding the free movement of persons across EU borders for the purpose of medical treatment. It also takes account of regulations pertaining to national law and of the relationship between the former and EU law, as well as of regulations resulting from cross-border regional agreements and, ultimately, also of bilateral agreements. The topic is presented from different angles and explained by experts from science and practice. For one thing, the jurisdiction and application of national and European law in their mutual relationship are taken into account; for another thing, theoretical frameworks and analyses are confronted with practical reality.

A detailed analysis is provided of the importance of new measures and the rights and obligations arising from the implementation of new legal norms in connection with the right of unrestricted mobility that the Member States as well as the social security institutions and service providers now have to face. It furthermore assesses the extent to which the economic impacts of the envisaged moderation in health care spending are compatible with the right of the European citizen to freedom of movement, and offers suggestions as to how such compatibility might be achieved. The issues and problems arising in the treatment of this topic with its com-

plexity of detailed regulations are the focus of the individual essays in the three main parts of the book. The first part deals with the challenges of the freedom of movement between health care systems; the second part shows the reality of the free movement of persons between health care systems; the third part sketches the development of cross-border cooperation, which is ultimately effected by resorting to either EU law or other national and international standards, depending on applicability.

In the future, both Coordination Regulation 883/04 and Directive 2011/24/EU of 9 March 2011 on the application of patients' rights in cross-border healthcare within the EU (Patients' Rights Directive) can be applied. The thematic approach has been expanded to include aspects such as data protection and professional secrecy in the context of free movement, i.e. topics that fall within the scope of the Patients' Rights Directive. The freedom of movement for EU citizens does not always, at least not exclusively, serve the purpose of providing predefined health care services.

Cross-border health service delivery is the consequence of a social security policy in the EU that aims at preventing restrictions in cross-border mobility within Europe caused by the citizens' occasional fear that cross-border movement might impair their access to social security. Situations which are regulated through the coordination of the national systems of social security and are subject to the scope of application of the Coordination Regulations are still the most common ones.

Less complicated ways of communication and greater travel possibilities in Europe have made it easier to ensure patient mobility in line with the objective to provide high quality – and often specifically selectable – health services. The reasons for this are varied: The intention to seek medical help in another Member State may be fuelled by an insufficiently developed national infrastructure, or by long waiting times forcing the patient to delay treatment. The patient's decision may also be influenced by his medical consumer behaviour. Like all other services in the EU, health services may ultimately be subjected to comparison. In this way, the European area might cultivate a method to find the best price-performance ratio based on the



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Dr. Sebastian Weber

logic of the internal market. As a result of highly publicised CJEU judgments such as Kohll (C-120/95 of 28 April 1995) or Watts (C-372/04 of 16 May 2006) and many more, the Member States have started to show concern about the consequences of such case law on cost containment measures in health care.

The topic was a sensitive one even more due to the fact that the European Court of Justice had, based on the twofold and combined criteria of EU citizenship and equal treatment, acknowledged the right of EU citizens to social services not based on contributions on EU territory. This meant that any regulations regarding the limitation or regulation of the access to medical care on national territory could be raised to question.

The Patients' Rights Directive 2011/24/EU of 9 March 2011 aims at reconciling (potentially opposed) interests and at ensuring the adherence to three fundamental elements of the European system: citizenship of the European Union, free movement of patients, and containment of health care costs in the Member States.

The Member States were urged to have the Directive implemented by October 2013. Thus, 2013 was a significant year for the issue of cross-border patient movement. Even so, not all Member States have since transposed the Directive into national law. Some Member States claimed that their national law already corresponded to the terms of the Directive, with a transposition into national law thus being unnecessary. However, not all legislations provide for the contents and objectives as predefined in the Patients' Rights Directive. This especially includes rights which are to regulate the protection of privacy, the protection of medical data and the communication of medical prognoses.

In showing the structure of a Europe in the context of its health care systems, the book combines the (theoretical) juridical approach with a practical one; even though the latter is subject to specific legal norms, it can point out deficiencies. Even though the Europe of the EU essentially still treats health care as a national matter, the concept of health care is taking on a new shape owing to the establishment of regional health care cooperation schemes and the collaboration of actors at

the political and practical level. Telemedicine occasionally has a supportive function for such forms of cooperation. In this way, a new form of intergovernmental policy is created with regard to the health care systems of the European Economic Area, a policy that will bring about change in practice.

2.1.2. Social Services and Assistance through the Local Community – Tasks and Functions of the Municipalities in the context of the Europeanisation of the Social State Principle

Sebastian Weber

The guarantee of local and regional autonomy can, according to *Württemberg*, be understood as a guiding principle of European constitutional law. Art. 3 No. 1 of the European Charter of Local Self-Government of 1985 in this sense defines self-government as the right and actual capability of municipal administrative bodies to regulate and design, within the framework of the laws, an essential proportion of public affairs in their own responsibility and for the benefit of their citizens. As has been stressed repeatedly in the scientific literature, the guarantees under constitutional or ordinary law existing in the member states of the European Union and pertaining to the right to self-government of the municipalities did not, at least until the revision of the Lisbon Treaty, stand up to the legislative changes effected by the European Union. More polemically, one could say that the Community turned a blind eye to local affairs. It was subsequently enshrined in Art. 4 II TEU that the European Union is to respect the fundamental political and constitutional structures of the member states "inclusive of regional and local self-government". The principle of subsidiarity, too, has meanwhile come to benefit the municipalities (Art. 5 III TEU).



Coat of arms on the New Town Hall of Munich.

However, the respective configuration of self-government powers differs greatly in the various member states. According to *Martínez Soria*, there are essentially four different models: the municipalities in Scandinavia, largely independent from the State, which are merely bound to some general principles and tasks set by the legislator; the model of self-government applied in Germany and Switzerland, according to which the municipalities are subject to national jurisdiction, yet have their own autonomous legislative competence, financial autonomy and universal responsibility for local affairs; the French model where the municipality is embedded in the State structure and is granted autonomy as regards task performance, yet without any constitutional guarantee in this regard vis-à-vis the State; and the British concept of the municipality as a largely dependent administrative entity. Depending on the size of the member state, there may be further levels of self-government entailing different competences (e.g. municipalities, cities, districts or regions). Throughout Europe, however, independent of its entrenchment in national law, local self-government is particularly characterised by its decentralised and individual, democratically legitimised task performance. The needs and interests of those living within the respective locality are in this way given special consideration, antagonistic positions get to stand in immediate conflict with each other, and joint responsibility for the development of the municipality is often expressed not only through participation in elections and plebiscites, but also through active involvement on the part of its residents. In view of this, the introduction of the right – at least for all EU citizens – to vote in local elections has been applied consistently (Art. 20 II lit. b TFEU).

As regards the actual allocation of municipal tasks, clear differences can be distinguished. In numerous member states, for instance, the municipalities have a general responsibility for local affairs, while in other member states competences are allocated on an enumerative basis. In principle, however, it can be said that throughout the European Union the municipalities also play a significant role in the provision of social services. This concerns, above all, tax-financed social services; it may, however, also include insurance-covered benefits, as is the case with unemployment benefits or long-term care provision.

It is clear that it is not only the classical municipal tasks such as, for instance, construction planning law that are of particular significance for a local community but also, and especially so, issues concerning social welfare and security. It is this area in particular that has in the past years been subject to a remark-

able degree of Europeanisation. The ECJ derives from the general right to free movement of European citizens and, from primary law, the prohibition of discrimination on grounds of nationality (Art. 21 in connection with Art. 18 TFEU) a right for every EU citizen to receive tax-financed social benefits also from so-called host member states. The termination of residence of unemployed EU citizens in cases of undue burdening of the social security system of another member state is possible only if the corresponding legal provisions and their application to the individual case comply with the principle of proportionality. However, there is no automatic procedure that would regularly effect the termination of residence in cases where tax-financed social benefits are drawn. If the stay of the EU citizen falls within the scope of the fundamental freedoms, expulsion is only acceptable on grounds of *ordre public*; the mere fact, however, that tax-financed social benefits are drawn does not justify the termination of residence.

This development is of crucial significance for the performance of tasks on the part of the municipalities, as well as for their funding. What is of interest is not only the actual execution of municipal duties, but also the allocations behind it with a view to the function and role of the municipalities in relation to the local community.

It is against this background that a comparative investigation (Scandinavia, Germany, France, United Kingdom) shall be made of the question which constitutional or, respectively, legal basis obliges municipalities to act in which way in the field of social welfare and security, particularly in the field of disability assistance, child and youth welfare, as well as general social welfare, and how these municipal tasks are fulfilled. In this context, the dynamics set by the various European determinations shall be taken into account. If required, aliens law is to be included in this examination. International agreements existing independently of European Union law shall also be considered. The wider objective of this study shall be the positioning of municipalities and their social function in European constitutional legislation.

In view of the myriad ways in which municipalities are integrated in the organisational structure of their respective member state and, resulting from this, of the varying principles for the municipal performance of duties, the involvement of international cooperation partners is of particular significance. A workshop hosted by the University of Groningen in March 2013 marked the beginning of this assignment.





Dr. Tineke Dijkhoff

2.1.3. International Standard-Setting and Innovation in Social Security

Tineke Dijkhoff

This project dealt with the question of whether the international social security standards, mainly developed during the 1950s and 1960s, still provide the right answers to present-time needs and to contemporary developments in social security. Do they, for example, sufficiently address new social risks? Do they effectively contribute to poverty reduction? Do they connect well with new techniques and methods in social security, such as privatisation and activation? Is there a need for new international standards or for the adaptation of existing ones? Twenty-five social security law experts from different parts of the world have explored actual developments in social security and social policy and examined the impact and response of international standards on/to these developments. The project was successfully rounded off in 2013 with the publication of the results in a voluminous book published by Kluwer Law International. The book, edited by Ulrich Becker, Frans Pennings (Utrecht University) and Tineke Dijkhoff, presents a kaleidoscopic picture of current social security issues in the world and can serve as a handbook dealing with the strengths and weaknesses of international standards in this field. As such, it importantly contributes to the discussion about the further development of standards in view of the progressive realisation of the right to social security for all.

Different Levels of Standard-Setting

The first part of the volume provides an overview of different levels of standard-setting, covering the ILO instruments as well as regional social security standards. The different case studies show that regional standards play an important role in the development of national social protection. It has been found, among other things, that for the realisation of the right to social security a rights-based orientation is needed: a right that an individual can actually claim from the state. For many groups of workers, such as

the self-employed and workers in the informal economy, a rights-based framework is far from evident. Because the existing standards mainly focus on formal employment relationships, the development of such a framework at the international, regional, and national level of standard-setting should be a priority.

Uncovered and New Social Risks

The second part deals with the age-old risk of poverty and the new risks of long-term care and HIV/AIDS, three risks that are not covered, as such, by ILO Convention No. 102 on minimum standards of social security. The case studies indicate that the fight against poverty has, so far, been a national matter for the greater part – governments choose their own strategies, geared to the characteristics and level of development of their own countries. The ILO Social Protection Floor Recommendation of 2012 has been mentioned as a promising first step in international standard-setting on poverty reduction. However, questions have been raised concerning its focus on cash transfers rather than on sustainable development strategies and concerning the 'soft' legal status of a recommendation. More research on the merits of this instrument seems essential. As to long-term care and HIV/AIDS, it has been concluded that it will be very hard to develop detailed international standards because of the huge divergences in cultures and approaches. It has been stressed that the United Nations Convention on

the Rights of Persons with Disabilities applies, among others, to persons with HIV/AIDS and to persons in need of (long-term) care and already constitutes a legal basis for the improvement of their protection.

Social Security for the Informal Sector and Migrants

Part three of the book focuses on the personal scope of social security. It has been found that the existing ILO conventions are of little value for developing countries because the majority of the workforce is occupied in the informal economy. New



forms of social protection have to be developed to extend social protection to informal workers and to migrants, two groups that often overlap. In relation to informal workers, the adoption and implementation of international or regional policy guidelines, such as the abovementioned ILO Social Protection Floor Recommendation No. 202, has been considered useful, rather than the creation of new conventions. For migrant workers, the ILO Migrant Workers Conventions (Nos. 97 and 143) set out basic social rights. The problem is, however, that these conventions have low ratification rates and, if ratified, are poorly applied. It has been suggested that regional instruments, based on these conventions, may have more impact, especially in the EU context where they would fall under the jurisdiction of the European Court of Justice. Furthermore, the development of regional instruments on the coordination of social security should be a priority in order to promote the protection of migrant workers.

Methods and Tools: Privatisation and Activation

In part four, new methods and tools in social security have been examined. In many countries, privatisation and activation play an increasing role in social security schemes. The different case studies show that these trends are often at odds with the international standards. Nevertheless, these new methods and tools are deliberately incorporated in social security systems in accordance with national policies, and it appears that international standards do not prevent governments to proceed with these policies. For international standards to retain their significance as guiding gauges, they should constructively accompany these new developments. The authors present a number of practicable and achievable recommendations at this point.

The Future Role of International Standard-Setting

It has been concluded that states generally consider international standards on social security, including regional standards, important. This was the case in the past, and it still is today. At the same time, most authors are reticent about proposing new conventions for a variety of reasons. These especially concern low-wage countries with large informal economies for which the existing standards have been proved difficult to apply. In general, the approach of the Social Protection Floor Initiative and the new ILO Recommendation on this subject has been positively received as it seems to fit quite well with what has been suggested in various country studies: to focus on persons in need in an integral way and to establish universal approaches. As to the way for-

ward, three crucial principles with regard to innovations in social security have been identified on the basis of the case studies: the responsibility of the state; equal treatment; and universality of protection. These principles together may serve as a basis for further action.

2.1.4. The ILO Recommendation on Social Protection Floors: Basic Principles for Innovative Solutions

Tineke Dijkhoff

This new research project will draw further on the outcomes of the abovementioned study on 'International Standard Setting and Innovation in Social Security'. From that study, it appeared that ILO Recommendation No. 202 concerning national floors of social protection may constitute a positive response to the problem that the existing international social security standards do not sufficiently address the incidence of poverty and to the need for an extension of social security in developing countries. Recommendation No. 202 may fill this gap since its main objective is 'to protect in the first place the presently unprotected, the poor and the most vulnerable, including workers in the informal economy and their families, to ensure that they can enjoy effective essential social security throughout the life cycle' (ILO, Social Protection Floors for Social Justice and a Fair Globalization, 2012). The Recommendation is meant to guide nations in establishing and maintaining social protection floors as a fundamental element of their national social security systems. The ILO has emphasised that the creation of social protection floors requires innovative solutions in order to protect those who are not covered by traditional social insurance systems based on employment relationships. The question to what extent the Recommendation is indeed the right answer to issues identified in the previous study gives rise to this follow-up study. The project will be led by *Tineke Dijkhoff* in cooperation with *George Mpedi*, director of the *Centre for International and Comparative Labour and Social Security Law*, University of Johannesburg.

Principles of Social Security as a Frame of Reference

The Recommendation provides, as a main guiding tool, a set of principles that should be applied in respect of all aspects of a national social protection floor. A clear and practicable list of overarching principles is extremely useful, all the more since social protection floors may consist of a variety of measures





Stefan Stegner

with different objectives and implemented through different methods. Nevertheless, at first sight, the list does not come across as a universal, systematic and coherent set of principles. It rather reflects what it actually is, namely, a collection of principles and values put forward during the drafting process of the Recommendation by the different stakeholders – the ILO Office, governments, employers, and employees – with their different backgrounds, expertise, and interests. The need for consensus has made the list lengthy, a bit rambling, and sometimes overlapping. Moreover, the various principles and their relevance for a social protection floor are not systematically explained. All this may affect the applicability and the impact of the Recommendation in practice. Because of the crucial importance of a set of clear and coherent principles as a starting point for the development of any form of social security in a wide variety of country-specific situations, they will be the central point in of this project.

Objective, Context, and Methods

The general objective of the study is to add to the body of knowledge about the Recommendation from a legal perspective. More specifically, it seeks to examine the meaning and value of the listed principles, as well as their applicability as guidelines, in the context of national social protection floors in developing countries. By focusing on social security principles, the study is not only a follow-up of the project 'International Standard-Setting and Innovation in Social Security', it also connects with the on-going project 'General Principles of Social Security Law in Europe' and the recently finalised comparative project on re-reforms of privatised pension systems. The latter project has shown that generally recognised principles are excellent reference points for the identification of strengths and weaknesses in social protection systems.

For the examination of the principles within the context of a social protection floor, two tracks will be followed. The *first track* involves an analysis of the different principles on the basis of the text of the Recommendation, the preceding ILO and UN documents, and academic discourse. It will include an inventory and a discussion of legal implications and difficulties related to the principles. The *second track* focuses on the application of the principles through case studies. In this part of the project, it will be investigated to what extent the principles listed in the Recommendation are applied indeed within social protection schemes that are considered as a part of a national social protection floor. Related legislative deficits and/or implementation failures

will be identified and discussed. The case studies will be performed by national experts. For the selection of the cases, the examples of successful social protection floor experiences put forward by the ILO and United Nations Development Programme will be used. These schemes are specifically designed to extend social protection to vulnerable groups of persons that are not protected by employment-related social insurance.

Importance of the Study

The ILO and other participating organisations have published several documents in which the social protection floor concept is explained and discussed. Furthermore, they have been occupied with collecting and documenting examples of national social security schemes that fit in with the social protection floor concept. The scheme descriptions and discussion papers are easily accessible through the two main websites on this subject (social-protection.org and socialprotectionfloor-gateway.org) and are meant to promote the development of national social protection floors. However, in-depth academic studies that address the various problems and shortcomings of the Recommendation and of the schemes at stake are still scarce, especially legal studies. This study addresses this gap in the steadily growing body of knowledge in this field. The theoretical discussion as well as the case studies will provide in-depth information that is not available yet. The project will therefore significantly contribute to the knowledge, clarification, and concretisation of the Recommendation and the principles that it enshrines.

2.1.5. Social Rights of Third-Country Nationals: 1st German-Czech Legal Dialogue in Prague

Stefan Stegner

One of the most common criticisms of academia argues that there is often an inexplicable gap between the common interests and affairs of the public and the activities performed by an isolated academic community. If there is one contemporary topic which counters such criticism by constantly reappearing in the media and academic publications, it is migration. One could say that we are experiencing the heyday of a public and academic debate about an age-old phenomenon. Inspired by both public interest and academic complexity, the Institute's Social Law Department and the Institute of State and Law of the Czech Academy of Sciences hosted a workshop in Prague dealing with general and specific legal and extralegal problems associated



Library at the Academy of Sciences in Prague.

with the social rights of third-country nationals in the EU. The event thus focused on debating social rights of non-EU citizens who have legally migrated to EU member states.

The first part of the workshop addressed general philosophical and legal problems of migrants' access to social rights. *Petr Agha* explored the boundaries of humanness providing Hayekian insights to the epistemological and social construction of otherness. Due to the concept of EU borders, migrants are constructed as a socio-economical group of others. In Hayek's perspective it becomes clear that their claim to humanness is challenged and set in relation to their usefulness for the group denominated as 'own'. *Agha* thusly provided a critical account of current EU policies regarding third-country nationals.

Ulrich Becker continued with a revealing overview of the legal issues associated with migrants' access to social security. He emphasised the core function of the law in its demarcating the responsibilities of states or more generally spoken political entities regarding social rights. From this point of view, and taking into account present-day human rights guarantees, migration challenges not so much the claim to humanness as the existing national and supranational rules regulating membership to social entities such as states and their social security systems.

Following these general accounts *Martin Štefko* gave a detailed insight into the current legal debate in the Czech Republic. Focusing on the right to access the

national job market and the subsequent social rights entailed once access was granted, he described the Czech debate as a struggle between administrative institutions and the countries' administrative and constitutional law judicature. While the former seek to restrict the access of third-country nationals to the job market and to deny them social rights such as unemployment benefits even once access has been granted, the latter urges policies towards a more liberal accessibility to the job market and a consequent opening of the right to unemployment benefits.

In addition, *Eva Maria Hohnerlein* elucidated the core aspects of fundamental and human rights guarantees which limit the capabilities of states to discriminate non-nationals. While most discriminatory practices applied by states are found in relation to non-contributory benefits, effective equal treatment clauses are contained both in primary and secondary EU law. Added to these statutory provisions is an enriching case-law developed by the European Court of Human Rights. She stressed that EU law mainly extended the entitlement to core social benefits for long-term residents of non-EU nationality and compared this development to the ECHR judicature, which qualifies discrimination in the entitlement of social benefits on grounds of nationality as a hardly justifiable measure. In contrast, the same judicature contends discrimination based on duration of residence or migration status to be more easily justifiable. Thus, it is revealed that both approaches lead away from discrimination based on nationality towards discrimination based on migration status and duration of residence.



The second part of the workshop dealt with issues of legal inclusion in specific circumstances of life. *Diana Eschelbach* started out by addressing the difficulty in aligning German child and youth services law with the international obligations of the state and international rules related to private actors contained in the UN Convention on the Rights of the Child and The Hague Convention on the International Protection of Children. Particularly when dealing with migrant children, child and youth services law emerges as a field of legal and pedagogical practice where the objectives of human rights, conflict rules and the claim to sovereignty by administrative law merge. This situation leaves the administration and child and youth services providers with many unanswered questions, e.g. regarding the disputed ranges of authority. In this respect, the current situation impedes the effective organisation of care for migrant children.

Tomáš Doležal problematised the provision of health care to migrants as both a financial and medical issue for the Czech health care system. According to statistics, migrants are more likely to contract severe and communicable diseases. From the point of view of political and administrative institutions the precarious health status of migrants thus challenges the national health care system in a twofold way. On the one hand, the health status of the resident population is threatened by an ongoing import of diseases while, on the other hand, both the health status of migrants and the threat to the resident population challenge the financial sustainability of the Czech health care system. *Doležal* thus

urged a combined proactive policy of advising migrants in health issues and treating prevailing diseases effectively.

Taking up the concept of a proactive health care policy for migrants, *Adam Doležal* made an argument regarding informed consent and problems concerning the patients' autonomy in such an envisaged policy. He scrutinised the civil law rules on informed consent, which serve to maintain the patients' autonomy as they presuppose easy communication between the therapist and the patient in order to inform the latter about the specific risks associated with a medically indicated therapy. Due to language deficiencies migrants are often less informed about risky therapies, which endangers their autonomy as patients. Thus, the civil law rules regarding informed consent may have to be modified in order to compensate for a potential language deficiency among migrants.

The workshop closed with *Lenka Bezoušková's* account of religion and the employment relationship in traditional Islamic law. She argued that Sharia labour law should receive increased attention from European governments who administer migrant populations of Islamic belief, for this law contains a general obligation for the Muslim to work. As the scope of application of Islamic law extends to Muslim migrants living in Europe, the obligation to work as stipulated by Sharia labour law could be used as an argument to demand intensified administrative efforts to integrate Muslim migrants into the job market.



Discussion forum at the Academy of Sciences in Prague.



Prof. Dr. Hans-Joachim
Reinhard

The Prague workshop thus addressed a great variety of issues and problems associated with the access of third-country nationals to social rights. It served as a fruitful start to the German-Czech Legal Dialogue, as both countries experienced migration in a historically different way as regards the extent and nature of the latter. The participants hope to enrich the public and academic debate and wish to again contribute to the two in the future from a German-Czech perspective.

2.2. Changes in Developed Countries

2.2.1. Social Security and Long-Term Care Dependency

Hans-Joachim Reinhard

Social protection against the risk of long-term care dependency has so far only featured sporadically in Institute research. Even though the Institute was involved in the drafting, introduction and further refinement of protection schemes against the risk of long-term care dependency in Japan, the activities and publications issued in this context to support the Japanese colleagues were rather descriptive and primarily referred to the German law pertaining to long-term care insurance.

A meanwhile completed Institute project elaborated in cooperation with the German Ministry for Family Affairs (BNFSFJ) was specifically devoted to the issue of social security for persons who provide long-term care to family members. In this context, additional information on the social protection of carers in foreign legal systems was included where applicable. Yet, the topic was narrowly restricted to one closely defined area and aimed, similar to the mentioned projects regarding Japan, at advisory support within the framework of planned normative changes and improvements.

A possible reason for the circumstance that the issue of social protection against the risk of long-term care dependency had so far rarely found its way into scientific research was the fact that – although there has always been a general need for long-term care services – providing for long-term care dependency does not count among the "classical" measures taken such as those adopted to provide for old-age security or medical care in the case of illness. Only in recent years, long-term care dependency has been conceived as a social risk of its own which is not sufficiently covered by the existing social security systems.



In Germany, too, legal implementation of social protection against the risk of long-term care dependency has only been effected recently, and the standard-setting process can by no means be regarded as finished. German long-term care insurance in its pioneering role has just turned 20 years, but has already been subject to several amendments and reforms due to deficiencies that could not be foreseen at the time of its introduction. Right at the end of the period under review a law was adopted providing significant improvements with regard to benefits and services. It has also become apparent that protection against the risk of long-term care dependency is linked to a variety of other legal areas such as labour law, for instance, when it comes to the issue of combining work and family life – a problem which is to be solved by the redefinition of the law relating to family care time.

Long-term care dependency is, furthermore, no firmly defined risk, since it can be based on various factors and can have various implications. The line dividing the risk of long-term care dependency from the risk of illness, disability or the general aging process is blurred, often precluding precise classification. True, the risk of becoming dependent on long-term care increases with age; however, it is not limited to the elderly. In extreme cases, people may be dependent on long-term care from birth, or become dependent due to an accident without them having suffered from any pre-existing condition.



Meanwhile, several countries have included social security schemes against the risk of long-term care dependency in their political agendas. At European Union level, too, social security against the risk of long-term care dependency has become one of the big challenges to cope with in the coming years. The problem appears to be more pressing even than the issue of guaranteeing sustainable old-age security systems. For unlike in pension insurance, it is not only financial feasibility that is to be guaranteed, but also the provision of human resources. There is a shortage of qualified carers already today. A considerable proportion of care services is provided through unqualified carers, illegal immigrants or family members trying (and often failing) to cope with the situation. The issue of long-term care dependency is thus not only linked to social questions, but also touches upon questions pertaining to aliens law or, respectively, immigration law and to some originally non-judicial aspects like quality assurance and organisation. However, the last-mentioned areas, too, must be given a legally comprehensible and litigable form.

So far, very little literature has been written on long-term care dependency under juridical aspects. It was therefore appropriate for the Institute research to examine the risks of long-term care dependency by way of a comparative analysis. An examination of this sort cannot do without a description of the primary national norms implemented to insure against the risk of long-term care dependency, as information on the legal status quo is to be gained first. To this end, twelve country reports were elaborated dealing with foreign social protection systems against the risk of long-term care dependency. Six of the reports were written by Institute staff members.

The foreign reports are complemented by a description of German law. The reports must not, however, confine themselves to the provisions stipulated in social law. On the contrary, further fields of social law (e.g. pension law), as well as the mentioned norms pertaining to labour law and family law, must be included.

With respect to the comparison, the study is to focus on the so-called service provision law, and therefore, inter alia, on the question as to who precisely will provide the services in the case of long-term care dependency and in which legal relationship this shall be effected. Examining the quality of the services and ensuring the independence of the parties involved are further topics of investigation.

The task is not merely to compare the respective regulations and to work out their commonalities and differences, but the study rather allows for a comparison of systems. The first results of the study show that the European Union has two different implementation approaches.

In some countries, social security is primarily linked to paid employment. Insurance against the risk of long-term care dependency is, on principle, only granted to gainfully employed persons. Persons who are not economically active are insured under derivative systems (e.g. family insurance). This socio-political approach views long-term care dependency as an individual problem which is to be solved, first and foremost, at the private level. This concept places great demands on the family of the person in need of long-term care.



Dr. Elisabeth Meyer (Helmholtz Zentrum, Munich), Sebastian Schleidgen (Institute of Ethics, History and Theory of Medicine, LMU Munich), Prof. Dr. Ulrich Becker and Nikola Wilman (left to right).



Prof. Dr. Ulrich Becker and Prof. Dr. med. Georg Marckmann (Chair of the Institute of Ethics, History and Theory of Medicine, LMU Munich).

Other countries consider protection against the risk of long-term care dependency as a social task which individuals and their families cannot cope with on their own. For this reason, tax-funded support on the part of the state is required. This kind of support ties in with the status of legal citizenship, but is not connected to previous employment or to any contributions, respectively premium payments.

The study will be published in English in 2015.

2.2.2. Individualised Health Care: Ethical, Economic and Legal Implications for the German Health Care System

Simone von Hardenberg, Nikola Wilman

The cooperative project on "Individualised Health Care" was financed by the Federal Ministry of Education and Research within the framework of the ELSA research focus (ethical, legal and social aspects of the modern life sciences and of biotechnology). The participants in the project, apart from our Institute (with its subproject LAW), were the Institute for Ethics, History and Theory of Medicine at Ludwig-Maximilians-Universität München (project coordination, subproject ETHICS), as well as the National Research Center for Environment and Health at Helmholtz Zentrum München (subproject ECONOMICS). The subproject LAW was completed at the end of January 2014 (duration of the project: 1 October 2010 – 31 January 2014).

The project focused on the integration of individualised medicine (IM) into the German health care system. IM is to be understood as a medical concept that serves to identify individual, and particularly biological factors which help predict the probability of developing a disease and the impact of various treatment methods. The research cooperation sought to assess the ethical, economic and legal implications of such individualised approaches of prevention and therapy, and to develop perspectives for an ethically justified, economically rational and legally appropriate development and application of these methods. In this context, the focus of the subproject LAW was on the integration of IM measures into the SHI benefits catalogue, as well as on the implications of IM for the personality rights of the insured patient. When assessing the necessary legal protection of genetic data on health, particular attention was given to the legal situation in the United States, as gene-based individualised medicine has already received greater attention and consideration there.

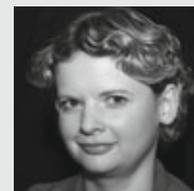
Admission to SHI Care

The focus of IM is on refined (biomarker) diagnosis, which is the point of departure for a preventive or a therapeutic medical treatment. IM is characterised by two carefully coordinated medical measures ("tandem"), which may however be attributed to different standards according to the systematisation of Social Code Book V. In recent medical practice, especially in oncology, we particularly often find individualised treatment combinations consisting of a diagnostic test and a drug therapy (so-called companion diagnostics).

Depending on the methodological concept of Social Code Book V, these benefit combinations may take the form of new methods of examination and treatment (NUB procedure) pursuant to Art. 135 Para. 1 Social Code Book V. The assessment as NUBs substantially depends on the question how closely the physician is bound to the diagnostic test when structuring his/her therapy or, in other words, how much scope for decision-making he/she is given in the individual case. The integration of such measures into the SHI benefits catalogue requires evidence-based proof regarding the medical benefit, which, in the case of IM measures and the inevitably small patient populations involved, may give rise to obstacles. The relatively small data volume may, however, be compensated for by providing precise evidence with a view to the individual subgroups with special attention to be given to the form of the study design.



Dr. Simone von Hardenberg



Nikola Wilman,
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The so-called Managed Entry Agreements offer another possible solution: here, reimbursement decisions are linked to the collecting of further evidence after the drug has entered the market or achieved certain clinical or financial outcomes. These may include individual agreements between the funding bodies and the benefit providers, but also legal regulations as contained in Art. 137e and Art. 139d of Social Code Book V (the so-called trial regulations).

According to current legislation, the individualised treatment combinations which cannot be assigned to Art. 135 Para. 1 Social Code Book V are subjected, due to social law classification, to a separate assessment of the pharmaceutical and the diagnostic test (medical device). While the pharmaceutical product undergoes a quality assessment in compliance with the requirements of Social Code Book V during the approval procedure, such an assessment is lacking with regard to the diagnostic test. That is why, in the case of certain individualised treatment combinations, a synchronising of the procedures regarding the clinical trial and the assessment of pharmaceuticals and medicinal products would be desirable.

Protection of Genetic Data on Health

Individualised treatment concepts are essentially based on the exploitation of genetic information on health. This information is marked by specific features: it can be family-relevant, it allows predictive statements and it is unchangeable. That is why genetic data are given a special status which is enshrined in the German Genetic Diagnostics Law of 2009. This law contains a strong right to informational self-determination, especially also a right not to know, which is to ensure that nobody should be forced to learn about their own genetic constitution against their will. The latter even applies in cases where relatives could benefit from this knowledge, such as in the case of a family-relevant disease (e.g. hereditary colon cancer) for which effective prevention exists. In such cases, the right not to know reaches its limits.

More protection is, however, needed regarding the use of genetic data on health contained in biobanks, which essentially serve the further development of IM. The handling of the genetic data stored there is merely subject to the general regulations on data protection which do not take account of the specificities of long-term research into genetic data in cross-national research networks. In this context, clear legal framework conditions – which are a prerequisite for patients to make their health data available, hence promoting IM – are still lacking.

Individualised Medicine in the US

In relation to Germany, IM has achieved more general acceptance in the United States, especially with respect to the drug marketing authorisation procedure. Numerous guidelines of the US Food and Drug Administration (FDA) specify the requirements for data quality and data transmission in connection with the authorisation procedures for pharmacogenetic tests. In addition, the authorisation of "companion diagnostics" is more and more accompanied by a procedural coordination and integration of the activities of the Center for Drug Evaluation and Research (CDER), which is a unit of the FDA and is responsible for drug marketing authorisation, and the Center for Devices and Radiological Health (CDRH), which is the unit for the authorisation of medical devices. Sufficient protection of the increasingly used genetic data is, however, not (yet) provided in this context. Instead, this protection still shows vast differences in the individual Federal States.

2.2.3. Demographic Change and Old-Age Security

Hans-Joachim Reinhard

Demographic change as a social phenomenon has meanwhile hit most social security systems. It is marked by a considerable rise in life expectancy and a sharp decline in the birth rate. In this regard, it must be noted that this kind of demographic change generally commences in conjunction with the respective economic recovery, and it is all the faster, the later the onset of the phase of economic recovery. This becomes clear, for instance, with a view to southern European countries like Spain, where, compared to the forty-year process in Germany, the same ratios have been reached at an accelerated pace in less than half of the time. Of relevance is the so-called coverage rate or old-age dependency ratio, i.e. the ratio between the active population and the persons who have retired. Ideally, every gainfully employed person is to account for the pension benefits of one retiree.

In the meantime the move is towards two or even more retirees per every gainfully employed person. By the middle of the century it is expected that the ratio will have increased to include four or even five pensioners per gainfully employed person. It is obvious that this will have impacts on the social security systems and especially on old-age security.

Many countries have therefore started to counteract this situation. Attempts to boost the birth rate have turned out to be rather ineffective up to now. Especially economic incentives have failed to take effect.

Germany, for instance, by comparison spends the largest amount on family benefits in Europe, but, at the same time, continues to have one of the lowest birth rates. While there is a slight rise in the birth rate since child care facilities have been expanded, this rise is not significant enough as to allow an unfavourable old-age dependency ratio to considerably improve.

First of all, the old-age dependency ratio constitutes a problem for systems financed on a pay-as-you-go basis as these systems use current revenue to finance current expenditure. As a consequence, the old-age dependency ratio has a direct impact on financial resources. Several systems try to ease the problem by switching from the pay-as-you-go principle to capital funding. Accumulated capital, so the theory says, is less affected by demographic fluctuations, but is more determined by the market forces which depend on the economic development and not on demography. It turned out, however, that the switchover to capital funding is by no means the best solution. First, capital funding must ensure a sufficient number of buyers who are willing to add the accumulated capital to their portfolios. Here, too, the number of potential buyers depends on the demographic development, albeit indirectly.

Moreover, these external solutions are only able to substitute a small part of the pay-as-you-go system. In large economic systems like Germany, a complete substitution would exceed the absorption capacity of the capital markets. In addition, since the beginning of the financial crisis, interest rates have been falling steadily and yields for old-age provision products have declined considerably. That is why other options have to be explored in order to modify the old-age dependency ratio and the burden of contribution resulting from it.

One option already investigated by the Institute is to postpone the age of retirement. In a number of states, statutory retirement age has been raised to 67 years, in some countries even to 68 years, and in a few countries the further raising of the retirement age to 70 years is meanwhile under discussion. Several systems have, most recently, linked the standard retirement age to a demographic factor. In this context, the number of newly-granted pensions is set in relation to the number of existing pensions. If the ratio becomes less favourable due to the rise in life expectancy, the retirement age for a full pension will either increase or the pension amount will be reduced. Raising the age of retirement is, however, unpopular and politically difficult to implement. Even when pointing out that life expectancy has risen by about 13 years since the 1950s, while the age of retirement has increased by about 2 years only,

any initiative for extending active professional life is rejected by the public despite the large discrepancy which is becoming apparent. One example of the high political pressure is the full pension granted at the age of 63 after 45 years of insurance contributions which has recently been introduced to German statutory pension insurance, and which, also from an economic angle, completely thwarts any of the tentative steps taken so far towards improving the old-age dependency ratio.

In contrast, the other determining factor, the reduction of the pension level, is much less in the public spotlight since its effects are insidious and will only become visible in a few years' time. Accordingly, during the last few years, the pension level in Germany has dropped from 60% of net earnings to less than 50% and is expected to fall to 43% by 2030. For many of the retirees this means that the pension payments will be close to the level of social assistance, or even below. This raises the question of a minimum pension, a safety net which has been unknown to German statutory pension insurance so far, but which exists in foreign legal systems. A comparative investigation has already been made of the relevant provisions of several countries by the Institute in this regard. Since the demographic change will continue and has meanwhile also reached the old-age protection systems of threshold countries with whom the Institute has established closer contacts, such as China, Mexico, Brazil or South Africa, this issue will certainly also in future remain a subject of investigation at the Institute.

2.2.4. Legal Scope for Action with regard to Pension Reforms

Sebastian Weber

The German pension reforms at the start of the 21st century marked a turning point. German pension reforms as carried out at the beginning of the 21st century signified a turn away from the assumption that the statutory pension insurance would guarantee sufficient economic security for the individual and his/her standard of living in old-age. Even though, as a result, the development of old-age pensions is still essentially oriented towards the development of wages, it will trail behind wage development. The introduction of the so-called Riester pension as a government-subsidised, privately financed supplement to the public and occupational pension systems likewise marked a change. The Riester pension shall – in combination with occupational old-age pensions – help balance out the benefit reductions in the statutory pay-as-you-go



pension insurance system, which have become unavoidable due to the demographic change (according to the Old-Age Security Report 2012 of the German Federal Government). It is rather doubtful, however, that this can provide substantial answers for an ageing society.

In this context, criticism of the Riester pension or, respectively, pension products available from the current market has at times not been very well reasoned. By the end of 2012, according to providers, 15.7 million Riester contracts had been secured, around 70% of which were private pension insurance contracts. One of the major points of criticism was that the products offered were not transparent enough and much too complex for the customer in order to determine whether it was worth concluding a contract. The legislator is now trying to tackle the situation by offering a uniform product information sheet. The aim is to promote comparability and thus reinforce competition among the various providers, the result being more affordable products to choose from.

Still, it seems appropriate to verify whether the legislator, by way of the means selected, has reached or can reach the goals set, or whether there are other, more promising alternatives available. The question is therefore what actual results have been achieved by the (incentive) system established owing to social and tax legislation, how these results can be explained and what the outlook on future development is. This also amounts to an evaluation of whether the path taken by the legislator is efficient enough as regards the overall aim. Answers to these questions may be obtained from an economic investigation of the behaviour of those who currently have to arrange for their own old-age pensions, as well as of the reasons for their respective decisions. If the legislator wishes to influence this behaviour in a particular way, he will have to be able to predict the impacts of his law-making on human behaviour. Economic models can provide such estimates on the assumption that people, at least most of them, act in a rational way. Only on the basis of a well-founded estimation of the real impacts of his law-making can the legislator decide on which possibilities for action he will be able to grant the individual and what sort of restrictions must be applicable in order to ensure the set objective – in this case sufficient protection of a decent living standard in old age – can be attained.

Moreover, by way of legal comparison, alternative solutions can be identified in other legal systems. It is not without reason that, within the context of the

introduction of the Riester pension as a supplementary, voluntary, state-subsidised means of old-age provision, it was decided to take a look beyond national borders. Especially the model of the premium pension, which was introduced in Sweden in the wake of the pension reform of 1998 as an obligatory funded pension scheme complementing the remaining obligatory pay-as-you-go pension, appeared to be an alternative and even today is considered a role model regarding the development of capital-funded old-age provision systems.

The interplay between economic analysis and prognosis on the one side, and the legislator's intention to exercise an influence through control measures enshrined in law on the other is a fine example of how the two departments of the Max Planck Institute for Social Law and Social Policy can synergise.

From a legal perspective it must be verified that pension systems and reforms comply with constitutional law. The German Basic Law (Grundgesetz, GG) stipulates no particular form of provision for old age, neither with a view to the system and its institutions nor with regard to the individual pension level – on condition that a dignified subsistence level is ensured. Constitutional law does not provide for any general protection from changes in the existing pension system either; it is, rather, the responsibility of the legislator to react to relevant changes.

However, as for system consistency or the consistency of legislative decisions, one can assume not only a factual and actual scope of feasibility for reforms of old-age security, but also – at least in parts – a legal one. This is due to the "promise" so far given by the legislator: which is, or has at least so far been, to safeguard the individual living standard – meanwhile in reduced form and in combination with other capital-funded and, particularly, occupational old-age security systems. The characteristic features of the statutory pension insurance are: computation of contributions according to economic capability, pay-as-you-go financing and thus the lack of individual accounts; at the same time there is an equivalence between contributions and benefits, meaning that pension insurance also fulfils a saving function. In line with the case law of the Constitutional Court, pension entitlements are protected as property within the meaning of Art. 14 I GG if they originate from considerable own payments, i.e. from pension contributions, if they are allocable to the entitled person and if they secure his or her economic existence. Thus, accrued pension rights cannot be jeopardized by later amendments of the law.



The legislator also has to take into account the issue of intergenerational justice, which raises the legally difficult question of "justice in the course of time". Accordingly, the legislator must treat all generations "equally" under the legislation. Modifications of the pension level in the statutory pension insurance are, however, not excluded a priori by this mandate. For this reason, it must not be assumed either that the legislator could generally be prevented from changing earlier, even fundamental, decisions and adjusting them to subsequent developments.

The principle of legitimate expectations as established by the rule of law forces the legislator, especially with regard to long-term processes related to old-age protection, to preserve a minimum of continuity and reliability from the viewpoint of persons subject to the law. This is of core importance with regard to reforms, but does not necessarily exclude them either. Finally, a minimum extent of effectiveness will have to be expected – in terms of a legislation that is suited to actually reach the goals that it has set itself.

Sweden has, time and again, been cited as a potential model for changes. Until its pension reform of 1998, the Swedish public pension consisted of a two-tier system: a universalistic state pension that was non-means-tested and financed through taxes, providing basic security to every citizen; and a pay-as-you-go income-related supplementary pension, whose benefit levels depended on the individual pensionable income and on the number of contribution years, the latter of which were translated into credits (similar to the German earning points system). After many years of reform discussions, the newly reformed Swedish pension system finally entered into force on

1 January 1999. For reasons of risk diversification the old combined system consisting of a state and a supplementary pension was replaced by a defined-contribution mix consisting of a larger pay-as-you-go component and a smaller capital-funded element, as well as a means-tested guaranteed basic annuity to supplement the two.

For many, the actual innovation of the reform is the introduction of the obligatory premium pension, which is a capital-funded, defined-contribution pension annuity. Here, a further 2.5% of the pensionable income are put into individual accounts. With the premium pension, it is essentially the insured person who decides on the respective investment according to individual risk preferences and who can choose from a pool of officially sanctioned funds. In view of the general obligation to participate in the premium pension system, a standard fund administered by a public authority has been established into which the percentage is automatically paid if no individual investment decision has been made on the part of the insuree. With the introduction of the capital-funded component a general premium savings fund was launched to begin with; this was replaced in 2010 by a mixed fund consisting of equities and pension annuities which, in their combination, are adjusted individually to the age of the insuree in order to develop an age-adapted risk structure (intergenerational fund).

The premium pension for the first time combined elements of social and private law within the old-age protection system. Thus, on the one hand, the principle of compulsory insurance applies in accordance with social law; on the other hand, due to contribution payments effected on the part of the insuree,





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pensions rights under private law accrue of which the insuree may dispose of freely. In order to administer premium pension matters, an independent premium pension authority was created at first. However, since 2010 its tasks have been assumed by the newly established pension authority which is now responsible for the public pension system in its entirety and which can thus offer benefits and information from a single source.

It is not surprising that elements of the Swedish premium pension are used as a reference, for instance under the heading of 'retirement savings account', by political parties and foundations as well as consumer protection associations and pension insurers in their discussions about alternatives to the Riester pension. Cross-departmental cooperation at the Institute may furnish valuable contributions to this discussion. Research findings have already been presented at various conferences and will be collected in a separate publication.

2.2.5. The "Third Generation" – Rights and Furtherance of Children in Germany, France, Italy and Sweden

Eva Maria Hohnerlein

The conditions under which children grow up and families rear children have been subject to major changes since the first introduction of policy measures in support of family life in the post-war period. One of the particularly distinctive trends is the pluralisation of family structures and family developments, the fragility of partnerships and, hence, a rise in one-parent families and patchwork constellations. Although children are often referred to as the country's future, it was relatively late that the issue of a child-related and child-centred family policy and its socio-political framework came to the fore of the public debate in Germany.

The Institute's project on "The 'Third Generation' – Rights and Furtherance of Children in Germany, France, Italy and Sweden" has approached the subject from a comparative law perspective. It deals with the principles

and trends of legal intervention in support of parents with children, from the children's birth up to the age of majority, in the four countries selected for comparison. The investigation was based on the observation that the framing of family policy is, to a great extent, dependent on the notion of the family and the family models of a country, but also that it is increasingly influenced by international and European developments.

A main concern of the investigation was to focus on the rights of children and their furtherance in the context of social and family policy. These aspects had hardly been addressed in the previous social policy analyses. The present study fills this gap due to its extensive examination of the legal situation in four European countries. It investigates the protection of the individual rights of children, their interests and needs in the context of the principle of the children's well-being as a normative requirement and legitimisation of governmental family policy measures regarding support and promotion. Children's rights have been acknowledged in various areas of law in recent years and strengthened through legal provisions. The legal development, which originally started out from the Scandinavian countries, stresses the autonomous legal position of children irrespective of the family law status or employment status of their parents. Meanwhile, this emancipatory dimension has turned into normative stipulations which have become an important basis for the furtherance of children as a public duty and for structuring child-related benefits. They can be traced in legislation and in case law.

The four country reports follow a largely uniform structure. An introductory part traces the social framework conditions and the legal conditions under constitutional and family law in order to take account of the country-specific particularities. The two main parts are dedicated to the material security of children as well as to child-care and education. In this connection, the question arises as to what extent and on what grounds the materially secure growing up, care and education of children and adolescents is also recognised as a public duty, and how the public responsibility





for the young generation is implemented with regard to the structuring of maintenance and care benefits. What is of particular interest, in this context, is the child's perspective as well as the question as to what priority is given by the legislator and the judges to the principle of prioritizing the child's best interests within the framework of family promotion.

In the countries explored, the family concept and what is held necessary for the well-being of the parents and the children, differs substantially from the German view. However, in recent years, German family policy has undergone a rapid change. Sweden and the Scandinavian world served as one of the major sources of inspiration for a variety of reform measures, along with France, which has a long-standing, specific child and family support policy.

Child-related family benefits are extremely manifold, often controversial, and can, in functional terms, form a part of all protection regimes. This very often leads to an overlapping of child/youth welfare law (originally intended as social compensation for specific disadvantages of children and adolescents) with other social welfare and support systems, school and education law, as well as with local government law and labour law. The increased labour participation of mothers, who to this day feel primarily responsible for child-rearing, has become a central social issue in all countries under comparison. The legal responses tend to vary, with individually differing needs often best met by a flexible mix of time-related rights (under labour law, by adapting workplaces and granting special rights to employees with caregiving duties), cash benefits (under social law, by cushioning parenting work in the family) and the provision of infrastructure (including public and private childcare facilities).

Owing to its comparative law approach, the study could not be confined to traditional "family benefits" or measures of family burdens equalisation with specific regard to children. However, specific benefits for additional needs, for instance on behalf of children with disabilities, were not considered for feasibility reasons. Nevertheless, the aforementioned multi-functionality of some family policy measures made it necessary to include schemes that cover child-related needs in an incidental way, even if they do not address them explicitly. Moreover, in some of the countries under comparison, the new generation's transition to economic independence is increasingly delayed beyond the age of majority, so that the treatment of these young adults in terms of maintenance and social benefit law constitutes an additional problem.

On the Project's Progress in the Period under Review

Due to the increasing dynamics regarding the development of family policy reform measures in the countries under comparison, the exhaustive country reports had to be brought up to date several times, and some parts had to be re-written. As the framework of constitutional and family law had likewise undergone changes, this required a careful assessment of potential repercussions on social benefits. After the complex integration of manifold statutory revisions, sometimes comprising major conceptual amendments, the country reports for Germany (*Hohnerlein*), France (*Kaufmann*), Italy (*Hohnerlein*) and Sweden (*Weber*) as well as the introduction (*Becker*) and the comparative evaluation (*Hohnerlein*) were finally completed and published in book form in 2014.

In charge of the project: *Ulrich Becker, Eva Maria Hohnerlein, Otto Kaufmann, Sebastian Weber.*



2.3. Transformation in Threshold Countries

2.3.1. Old-Age Pension Reforms in Latin America and Compliance with ILO Principles

Eva Maria Hohnerlein

After the reform is before the reform: Throughout the world, old-age social security systems belong to those "playing fields" of social policy which, due to their unbroken dynamics, are in the centre of public attention. A number of developing and threshold countries, but also various transition countries in Central and Eastern Europe reaching to as far as Uzbekistan have undertaken radical structural reforms of their public pension systems. A feature common to these structural reforms is the partial or full privatisation of the public pension systems through the shifting of old-age social security towards private saving for retirement under the management of commercial providers. Meanwhile the boom towards a spread of these reform strategies has declined. Realising that many of the expected improvements failed to materialise, some pioneering countries have changed tack with regard to the privatisation of old-age social security in recent years. Principally, these policy corrections aim at preventing poverty in old age and hence at the social inclusion of the elderly population. In Latin America, in countries as different as Bolivia, Argentina or Chile – the latter of which in 1981 under the military junta of Augusto Pinochet was the first country worldwide to privatise its public pension system as part of a neo-liberal reform strategy – all or part of the initial structural pension reforms have meanwhile been can-

celled, with the state having been reassigned greater responsibility for old-age social security. By returning the responsibility to the state, Latin America once more serves as a social policy "laboratory", where different paths are embarked upon in order to correct the negative impacts and side-effects of privatised old-age security: While Chile did not call the private system into question on principle, but complemented it with a basic solidarity pension in 2008 and introduced specific measures into the private system with a view to a better security especially for women, Bolivia started out by establishing a universal social pension and in 2010 nationalised the private system, with the individual accounts remaining guaranteed, however. Between 2004 and 2008, Argentina expanded the access to non-contributory pensions and pensions with reduced contributions in the insurance system instead of introducing a social pension, and finally closed down the private system of the second pension pillar at the end of 2008 by integrating it into the public pension system.

This double change of direction in the old-age social security systems of Chile, Argentina and Bolivia was the subject of a comparative analysis carried out in 2012 at the Institute and directed by *Carmelo Mesa-Lago*. As a further country for comparison, Hungary was included, which is the first country among the Central European states to have made a major change in its political course by nationalising the private pension systems. The particular approach of the project was to analyse and compare both reform processes – i.e. the initial structural reform and the later re-reform – on the basis of ten social security



View of La Paz, Bolivia.



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principles. Using these ten principles propagated by the ILO made it possible to identify the weaknesses of the relevant structural reforms and allowed an assessment as to whether and to what extent the reforms – which returned the responsibility for old-age security to the state – satisfied the ILO social security principles. The principles partially refer to legal provisions laid down in international conventions (such as ILO Convention No. 102 concerning Minimum Standards of Social Security of 28 June 1952) or human rights covenants, such as the UN Convention on the Elimination of All Forms of Discrimination against Women of 18 December 1979, and partially to recommendations regarding the structure of a sustainable old-age security system in the light of demographic change (e.g. the ILO Social Protection Floors Recommendation of 2012). The following principles were part of the investigation:

1. Social dialogue
2. Universal coverage
3. Equal treatment
4. Social solidarity
5. Gender equity
6. Benefits sufficiency
7. Efficiency and reasonable administrative costs
8. Social participation in the administration
9. State role and supervision
10. Financial sustainability

The project embraced uniformly structured country reports concentrating not only on legal principles but also on comparable statistical data (Chile: *Mesa-Lago*; Argentina: *Hohnerlein*; Bolivia: *Mesa-Lago* and *Ossio*; Hungary: *Simonovits*). The central piece is the comparative analysis of the pension reforms, the latter of which either – as in the case of Chile – comprise a substantial renunciation of the privatisation concept or a complete abandonment (Argentina, Bolivia, Hungary). From a social policy view, the findings on poverty reduction in old age through the paradigm shift achieved by the recent reforms must be particularly emphasised:

In the three Latin American states, general protection in old age has significantly improved through inclusion policies for the gainfully employed population and especially for elderly persons. Chile incorporated the self-employed into mandatory insurance, created specific financial incentives for low-income earners to join and abolished the access barriers to non-contributory pensions. Among other things, Argentina and Bolivia significantly broadened the scope of application of their non-contributory pensions. Particular attention was devoted to the old-age security of women. The increase of the number of minimum protection elements especially benefits women. In addition, the states took special measures to

reduce coverage gaps of mothers due to child-rearing, such as the new, non-contributory social pensions for mothers with seven or more children in Argentina, and the child-rearing credits in Chile (as well as the possibility to have pension credits split after divorce by court decision). Bolivia reduced the retirement age for mothers by one year per child (up to a maximum period of three years), a fact which also has an effect on the minimum contribution period of ten years required for the solidarity pensions.

In summary, the re-reforms have reduced the risk of poverty of the elderly population especially with regard to low-income earners and women, but should certainly not be considered as a panacea.

The project was concluded in 2012. The contributions were published in English and in Spanish.

Researchers involved: *Carmelo Mesa-Lago* (Pittsburgh), *Eva Maria Hohnerlein*, *Lorena Ossio Bustillos*, *András Simonovits* (Budapest).

2.3.2. The Implementation of Social Rights

Lorena Ossio Bustillos

The research project "The Implementation of Social Rights" started in April 2013 and will finish in June 2015. The research project "Right to Health" will end in May 2016.

The Issues

Over the last few years, the discourse of social rights has been revitalised in Europe and in Latin America. In some countries the starting point is still the question as to how social rights can be realised effectively. The discussion often revolves around the extent to which a society can afford to offer social benefits to those who are jobless, too incapacitated to work or disabled. In other countries, rearrangements of social systems are debated and accompanied by proposals for a reduction of social benefits. The growing literature on the judicial enforcement of economic, social and cultural rights in Latin America has been largely dominated by studies dealing with the effects of a judicialisation of social rights in terms of democratic political theory or with a legal analysis of their normative scope. Only a few studies refer to the implementation of social rights and even less to legislative strategies that have been or could be most effective for the implementation of social rights. Current academic publications centre on the judicial enforcement of social rights, especially the right to health in Colombia, Brazil,



Argentina and Costa Rica and take this line in submitting legal propositions for appropriate and effective access to health services. These studies, however, fail to highlight interactions with other government bodies – that is, the executive and legislative branches – hence other avenues of legal resolution. Also, Andean countries like Bolivia, Peru and Ecuador have not as yet been scrutinised to any great extent, but could prove important in tapping additional sources of relevance to the Latin American research venture and thus in contributing further solution approaches.

Objectives

We start by posing the following questions: What, precisely, do social rights in Latin American constitutions refer to and how can these rights be enforced? Latin American Social Constitutionalism and the protection of social rights started at the beginning of the 20th century. The first constitution that incorporated social rights in the Americas was the Constitution of the United States of Mexico in 1917 after the Revolution in 1910. On an international level there are, of course, the pioneering activities of the International Labour Organization with guiding principles for national legislation that inspired many social security codification processes in Latin America (e.g. Bolivia 1956); but on a national level, the first constitution-making process that incorporated social rights in the Americas began very early, although the legal concretisation came, as a matter of fact, decades later. The research project aims to analyse which core elements govern the process of implementation of social rights in national legislation. Particular interest is paid to the interaction of legislation and judicial control as well as to questions of legislative quality (legistics).

According to most of the Latin American new or reformed constitutions, as opposed to the relevant provisions in German Basic Law, social rights are not only perceived as purely objective, legal or programmatic guiding principles, but are also meant to afford direct, legally enforceable access to services. Moreover, a review of theoretical propositions also brings into play German legal doctrine, as it has been received to a remarkable extent in the teaching and jurisdiction of Latin American countries and thus plays a special role in the legal comparison. Thus, for example, the reformed constitutions of Ecuador, Colombia, Paraguay and Venezuela follow the German concept of "Social State". A guiding premise here is that social rights constitute a basic requirement for a decent existence, a life in dignity. At the same time, there are doubts at both national

and international level as to whether a corresponding subjective right to social rights exists. This follows from the discrepancy in many Latin American countries between the endeavour to achieve a life in dignity and the resources actually available to (large) parts of the population. The matter is compounded by the general difficulty of financing, for example, a comprehensive health care system on an enduring basis.

Activities and Outcomes

The implementation of social rights in countries such as Brazil and Colombia in Latin America and Germany and Spain in Europe was likewise the subject of a European-Latin American two-day colloquium held on 5 and 6 December 2013 at the German University of Administrative Sciences in Speyer. The event was hosted by the German Research Institute for Public Administration Speyer under the scientific direction of *Prof. Dr. Ulrich Becker* and *Prof. Dr. Karl-Peter Sommermann*, and under the academic coordination of *Dr. Lorena Ossio*. It was attended, inter alia, by scholars from Universidade Federal de Minas Gerais, Brazil; Universitat Jaume I; and Universitat de Gerona, Spain. The colloquium concentrated on four states which formed the subject matter of a comparative law case study analysis. A comparison of Brazil and Colombia, for instance, shows the contrast between the two different Latin American legal systems – namely, the federal system of Brazil and the unitary system of Colombia – especially with regard to their respective judicial structures. The extension of the country reports on Latin America beyond Brazil and Colombia was presented in a regional approach by *Lorena Ossio*, who pointed out some new developments in the different constitutions of the region (Bolivia, Peru and Ecuador). A special feature in some of the Latin American countries is that the judicial courts adjudicate social rights as a response to the omission of the legislator to enact statutes that are factually stipulated by the constitution. *Fabiana Menezes* pointed to a series of topics the Brazilian legislative has not as yet dealt with, thus hampering legislative decisions regarding: advance notice of dismissal; special pensions for health professionals; the right to strike for civil servants; a federal supplementary law for the creation of municipalities; audit courts. This conduces to inequalities as regards access to services. In Colombia and Brazil, there is a growing problem concerning the enforcement of social rights: the government has rejected the implementation of a judicial decision on the grounds that no financial resources are available. In the topically related workshops held on 22

and 23 November in Brasília, in cooperation with Instituto Brasileiro de Direito Público, a regional approach to social rights in Europe was presented by *Ulrich Becker*, while *Lorena Ossio* offered insights on the topic of implementation of social rights in Latin America. Furthermore, on 25 November a lecture was given on this topic by *Ulrich Becker* at a conference held in cooperation with the regional labour tribunal (Escola Judicial do Tribunal Regional do Trabalho) and the research group on social legislation (grupo de pesquisa em legislação social) in Belo Horizonte led by *Prof. Dr. Fabiana Menezes*.

The papers from the Speyer workshop were revised and the debate topics were incorporated and compiled by the organisers and editors *Ulrich Becker*, *Lorena Ossio* and *Karl-Peter Sommermann* into a volume to be published in English by Nomos Verlag in its periodical "*Studien aus dem Max-Planck-Institut für Sozialrecht und Sozialpolitik*". A summary of the conclusions will be presented in the Spanish journal *Revista Derecho Laboral* and the Portuguese *Revista da Faculdade de Direito da Universidade Federal de Minas Gerais*. A chapter on the *Implementation of Social Rights: A Latin American Perspective* was published in *Regulatory Reforms, Implementation and Compliance, Veliky Novgorod, Russia* (Ossio 2014), a book that specialises on legistics.

2.3.3. Principle of Equality and Prohibition of Discrimination in Social Security Law in Latin America

Lorena Ossio Bustillos

Background

This research project started in October 2012 and ends in October 2015.

Objective and Method

The starting point is the analysis of the strengths and weaknesses of the legal instruments in social security law and non-discrimination law in Latin America. For this purpose, we concentrate on the principle of equality. The pursuit of equality – in global history highlighted in the context of the French Revolution principles liberty, equality and fraternity – is anchored in every political constitution all over the world and should make the individual's right to protection from discrimination universally applicable. The legal framework is strong, and it is not limited to a specific range but can be applied to all legal areas. In Latin America, sociological research on the links between race, ethnicity and class has been carried out since the 1930s. Only a few legal studies refer from a historical perspective to transnational articulations of law and race in Latin America. The connection between equality, social change and social law in Latin America shall first be made by means of a general analysis of non-discrimination law. Following this general examination of Latin American new and reformed constitutions, we will focus on the mechanisms of non-discrimination acts particularly in the field of social security.

In Latin America there is a lively discussion about the legal form and the implementation of non-discrimination laws and the influence of the Inter-American Court of Human Rights on the national legal systems. This is also related to the recent adoption of non-discrimination legislation in the region. The cases ruled on by the Inter-American Court of Human Rights (IACHR) with regard to non-discrimination are not numerous, but controversial due to the inherent legal argumentation, particularly in relation to cases with non-permitted grounds of discrimination as listed in the American Convention



Prof. Dr. Ulrich Becker, Prof. Dr. Dr. h.c. Karl-Peter Sommermann (German University of Administrative Sciences, Speyer) and Dr. Lorena Ossio Bustillos.





Juan Pablo Ferrufino (FUNDAPPAC), Susanne Käss (Konrad-Adenauer-Stiftung), Rebeca Delgado (President of the Bolivian Congress), Luis Ossio Sanjinés (former Vice President of Bolivia), Prof. Dr. Ulrich Becker, Dr. Lorena Ossio Bustillos and Armando de la Parra (FUNDAPPAC) (left to right).

on Human Rights. In the context of pensions, the emblematic case of *Five Pensioners v. Peru* is the only case to date in which the IACHR has expressly spoken of the progressive development of rights that can be measured in relation to the growing coverage of protected rights among the entire population. In the context of unequal treatment, the significant case of the IACHR is the judgment of November 2010 in the case of *Vélez Loor v. Panama*. In the Advisory Opinion OC18 on the Juridical Condition and Rights of Undocumented Migrants, the IACHR specifically refuses to use the word "discrimination" to describe "affirmative action" or positive discrimination law. This led our research interest to the exploration and reconnection of different preconditions for the effectiveness of the principle of equality in the acquisition of the right to social benefits and the institutional framework to guarantee access to rights.

Our research focus will be on the regulation of the grounds of discrimination in social security law in Latin America: age, nationality and gender. Social

exclusion through unequal treatment on the grounds of sexual orientation (IACHR case of *Atalo Riffo and Daughters v. Chile*) or due to a disability condition (IACHR case of *Ximenes-Lopes v. Brazil*) will be explained in the context of the principle of equality and the development of a legal discrimination theory. An example at national level, the law enacted in Bolivia in January 2011 called "Ley contra el Racismo y Toda Forma de Discriminación", the law against racism and all forms of discrimination, provides for sanctions against racist acts. The establishment of preventive mechanisms and procedures against racism and discrimination is still the subject of discussion as the terms "discrimination" and "racism" could not be clearly defined.

The theoretical framework for the legal analysis is provided by the legislation of the European Union. According to European Union secondary legislation, the wording to prohibit both direct and indirect discrimination must be able to be interpreted in a sense that it can ensure the effectiveness of the non-discrimination provisions. The mechanism of the horizontal effect remains valid, which means that the principle of equality is binding for the administration, courts and legislative authorities, and extends beyond the public sphere to the legal relations, particularly employment relations.

Activities and Outcomes

From 2 to 4 October 2012 several academic events at Universidad Andina Simón Bolívar and at the Bolivian Foundation for Parliamentary Support and Citizen Participation (FUNDAPPAC) were organized in La Paz, Bolivia, in cooperation with Konrad-Adenauer-Stiftung and national representatives *Susanne Käss*



and *Lorena Ossio Bustillos*. During the workshop on the "Prohibition of Discrimination in Social Security Law" *Ulrich Becker* held a lecture entitled "Prohibition of Discrimination in Social Security Law in the European Union". The 50 participants, who had traveled from Santa Cruz and Sucre to La Paz for the occasion, mainly came from the legal field and included members of the Bolivian Constitutional Court, of the Ministry of Justice and of the law schools of Bolivia. A second workshop was held in Berlin on 5 July 2013 in cooperation with *Prof. Dr. Sergio Costa* of Freie Universität Berlin, (Lateinamerika-Institut/designALdades.net) and *Prof. Dr. Flavia Piovesan* of Pontifícia Universidade Católica de São Paulo. The debate topics from the La Paz and Berlin workshops were incorporated and compiled by the organiser, *Lorena Ossio Bustillos*, into a volume to be published in Spanish.

2.3.4. The Post-2015 Development Agenda and Global Social Protection

Lorena Ossio Bustillos

Starting Point

In the past year, global discussions on the issue of inequality have expanded alongside global debates about the future of the Post-2015 Sustainable Development Goals (SDGs). While the SDGs are of primary interest to developing countries, particularly regarding poverty, hunger, food security, health, education, gender equality and empowerment, and access to water, sanitation and social protection, the issue of inequality and sustainable development has been shown to affect everyone: developed as well as developing countries, and Least Developed Countries (LDCs). The SDGs address the challenges of inequality within and among countries; the need to introduce sustainable consumption and production patterns; and the case of peaceful and inclusive societies, access to justice for all, and effective, accountable and inclusive institutions at all levels. This is considered a remarkable advance over the Millennium Development Goals (MDGs).

The most significant aspect in these political negotiations in recent years would most likely be the shift in political discourse, or perhaps the growing attention of developing countries to the promotion of social protection in global development agendas. Increasingly so, developing countries are asserting concrete political demands (e.g. the Declaration 2014 of the Group of 77) to the Official Development Assistance (ODA) to improve the design and management of social protection systems. The sub-

ject of global social protection has become a transversal topic that extends beyond the ILO's social protection floors. The issue of law as a factor in development has long been neglected in the realm of development policies and discourses. Now, development cooperation and foreign aid laws are increasingly considered to be structured by legal rules. Many consider them to be no longer a matter merely of politics, economics or ethics. For instance, under the heading "The Road to Dignity by 2030: Ending Poverty, Transforming All Lives and Protecting the Planet" the Secretary-General of the United Nations, Ban Ki-Moon, presented in December 2014 the Synthesis Report on the Post-2015 Sustainable Development Agenda, which could be considered as a first step towards a social rights-based approach to development. As an improvement upon the MDGs of 2010, the Synthesis Report on the Post-2015 Sustainable Development Agenda "proposes one universal and transformative agenda for sustainable development, underpinned by rights, and with people and the planet at the centre." Furthermore, once the Post-2015 Development Agenda is adopted, the law will serve as a significant means of implementation of it and will also help develop theory and practice.



Research Objective and Methods

In light of the Post-2015 Development Agenda, the UN Secretary-General Synthesis Report emphasized that sustainable development should be underpinned by rights. The 17 Sustainable Development Goals (SDGs) of the Open Working Group's Report are summarized into six elements by the Synthesis Report: Dignity, Prosperity, Justice, Partnership, Planet and People. One set of goals, Dignity, builds on ending poverty and fight inequalities; another set of goals, People, builds on ensuring healthy lives, knowledge and the inclusion of women and children; and the third set of goals, Partnership, builds on catalyzing global solidarity for sustainable development. Global social protection could be situated here, within these three elements. The SDG document acknowledges the nexus between the political, the economic, the social and the environmental aspects of human development and social justice. The main challenge is to identify the normative character of the SDGs that conceptualizes them as rights-based. Women's and children's rights, and the rights of all structurally disadvantaged groups need to be related to the element of Dignity; further, this element must be connected to individual rights and human dignity; the element of Dignity cannot be defined simply in terms of a social policy against poverty and a fight against inequalities. Decent work and social protection need to be brought together as coherent and coordinated policies, as opposed to stand-alone, fragmented measures in the SDGs.

The research project poses the following topic regarding the implementation of the SDGs: "Access to Social Services and Social Benefits System through the Local Government or Municipalities in the context of the Post 2015 Development Agenda". The task of legal scholarship should be (a) to determine how sustainable development should be underpinned by rights, (b) to assess the content and dimensions of these rights in terms of global social protection, and (c) to distinguish and explore the social rights-based approach and means of implementation in global development, particularly in Latin America, through the local communities or municipalities.

The focus of the research is on the municipality as a central actor in Latin America in implementing social rights. The municipalities or local communities play significant roles in the provision of health care services and the fight against poverty. This concerns tax-financed social services, but also includes insurance-covered benefits.

The wider objective of this study shall be the positioning of municipalities and their social function of providing social benefits and access to social services in developing countries. It is against this background that a comparative investigation (Bolivia, Colombia, Costa Rica, Brazil and Argentina) shall be made of the question as to which constitutional or, respectively, legal basis obliges municipalities to act in which way in the field of social welfare and security, particularly in the field of disability assistance, child and youth welfare, in the fight against inequalities and poverty as well as in general social welfare, and how these municipal tasks are fulfilled.

The discussion on the Post-2015 Sustainable Development Agenda has stressed the importance of the specific conditions in each country, and the need to improve measures of progress in order to develop legal concretizations in social policy. A greater emphasis has been placed on attending to the needs of the most vulnerable members of society. The Post-2015 Strategy is considered a remarkable advance from the perspective of the Millennium Development Goals. The MDGs have made significant progress with a view to declining poverty around the world. However, much work remains to be done. With the MDGs concluding their function at the end of 2015, governments have called for an ambitious, long-term agenda to improve people's lives and preserve the planet. This Post-2015 Development Agenda is expected to tackle many issues, including ending poverty and hunger, improving health and education, making cities more sustainable, combating climate change, and protecting oceans and forests. Our research interest is the implementation of municipal duties and the allocations behind it with a view to the function and role of the municipalities in relation to the local community and the central administration.

Activities and Outputs

In cooperation with the Institute of Development Research and Development Policy (IEE) of Ruhr University Bochum, a workshop was organized at our institute on 30 June 2014 on the role of social protection in the Post-2015 Development Agenda. The aim was to discuss the question as to what role social policy would play in the future in global development cooperation and what the contribution of the Federal Republic of Germany could be to the methodologically sound design of social security systems.

A workshop and international conference will follow at the end of 2015.



Prof. Dr. Dr. h.c.
mult. Hans F. Zacher

2.4. Multi-Focus Research

2.4.1. Emeritus Workplace Hans F. Zacher: 80th Birthday of Franz-Xaver Kaufmann

The Good Story of Our Eighty Years

The Institute invited me to offer a little contribution to the Report 2012 – 2014. I was fascinated by the idea of complying with this demand by way of a short speech which I delivered on 31 August 2012 in honour of Franz-Xaver Kaufmann, a member of the Scientific Advisory Board of the Max Planck Institute for Foreign and International Social Law from 1985 to 1999, and in memory of the parallels of our academic and personal development: two academic lives that were closely aligned in time and yet were significantly different.

Let me tell you the good story which Franz-Xaver Kaufmann and I have lived through during the past eighty years. In the very beginning it was a very bad story. Then it changed into one of the best stories that people may ever remember. With a good story, I take the risk of telling you a boring story. But I think I should take that risk.

To describe the origins of our common ground, let me start by telling my own story. For the historical background featured more prominently in my life. I was born in 1928. Men of this birth cohort in Germany feel privileged by the unfolding of history. We have experienced the National Socialist regime ourselves. Not only as far as we were concerned, but also our families, our parents and their friends and so on. We have experienced war. And the military service, I myself as an Air Force helper and worker. For one and a half years. And yet, the death toll among soldiers of our age was relatively small. Any birth cohort earlier would have paid a higher blood tariff. We know about the hardship faced in the post-war period and about the fair support given by the Western occupying powers in order to give Germany a democracy and set the German rule of law on its feet. Finally, we saw the emergence of politicians "of the first hour" who, frustrated by the Weimar period and tormented by the terrors of National Socialism, first and foremost thought of the requirements of a common good and not just of the next opinion poll. We consider all this a precious treasure full of potential of political maturity.

You, Mr Kaufmann, viewed the events from a different location. From Switzerland, always being four years younger than myself. But nevertheless at close range and under conditions of high concern, fearing the imperialist mania of National Socialist Germany.

On the other hand, your scope of experience had remained more open and wide. Switzerland had stayed the neighbour of the whole world, while Germany had become Europe's conqueror and oppressor. This, too, provided you with an instructive view of Germany's political disaster and of Europe's political "resurrection". Thus, what you learned from history was in some way similar to what I learned during these years; in another way your knowledge was superior to mine.

This was the empirical ground from which we entered the path of steady growth toward a happy society, a path which led the way to Western Europe for decades: in an era of peace, prosperity, justice and technological progress as Europe had never known before. In an era of freedom in which, in the end, also late totalitarian socialism had to collapse. And for both of us simultaneously, this time was the time of our "best years". We could contribute to developing what was useful and, hopefully, what was good. We were given the opportunity to do so many new things and contribute to reconstruction. We had to and were allowed to assume so much responsibility.

It was on this path of possibilities that we met somewhere around 1970. You had become professor at the new University of Bielefeld in 1969. I had been professor at the young Saarland University since 1963. Each of us taught a broad subject: yours was sociology and mine was constitutional and administrative law. Each of our subjects contained a good measure of interdisciplinarity. Together, however, we had *one* particular focus which largely coincided in substance, *one topic* which we concentrated on from two different disciplines. For you this topic was social policy; for me it was the welfare state and social law. And it was a topic that led us to believe that, by ploughing these fields of social science, sowing the seeds of social justice, clearing these fields from weeds, and reaping the rewards, we could do something good to humanity. At this point, it would do our souls some good if we could take the time to give credit to our academic forefathers and to remember their reasons for showing us this land. Be it as it may: We went through these developments side by side – the developments in our countries, our societies, in Western Europe, in the Western Hemisphere and in the endless variety of other aggregations of mankind. We were conscious of these developments, understood and evaluated them. We analysed the problems inherent to these developments, and helped shape solutions. We read each other's work, we held conferences together, we learned from each other. We counselled each other. We understood more and more how everything was connected with





Dr. Viktória
Fichtner-Fülöp

everything else. We progressively realised how the truth of the "social" was running in front of us, always within sight, but always beyond touch. For whenever and wherever we deem this truth graspable we must come to see that the "social" in its entirety reaches much further. Now that the path of our lives is so noticeably drawing towards its end, we comprehend that also in social science the multiplicity of finitudes is inexhaustible, and that only infinity remains. A disappointment and victory in one!

This story, however, also transcends beyond itself in a surprising way. The times during which this story took place were increasingly also the times in which the world experienced globalisation. Yet, globalisation is not only an issue of a technical, economic, political or other specific nature. Globalisation is a deeply human phenomenon: it is the self-discovery of mankind as an entity of equals whose equality cannot go without freedom for all, and the universal acceptance of this discovery by mankind. The infinity of all possible social relations in human history in this expression of globalisation has reached a new level of meaning, as each and every impulse and consequence will always have to be taken into account.

This was the good story I wanted to tell you, to thank you, my faithful friend, and to thank the Lord above who led us along this path.

Almost three years have passed between the day when this short speech was delivered and today that it has found its way into this Report. And both of us – Franz-Xaver Kaufmann and I – are disturbed to observe how quickly this precious treasure might be destroyed again. What remains is concern and anxiety, but also hope and faith in the future.

Hans F. Zacher †

2.4.2. Sports Arbitration – Legal Vacuum or Successful Self-Regulation?, 9th Sports Law Symposium, 19 December 2012

Viktória Fichtner-Fülöp

In national and international sports a juridification of relations can be observed due to increasing commercialisation. The ensuing disputes are settled by the courts of arbitration for sport. The number of cases brought before the International Court of Arbitration for Sport (CAS) in Lausanne and before the national sports arbitral tribunal at the German Institution of Arbitration (DIS) in Cologne is on a constant rise, and the cases are also increasingly followed by the media. This new development presented an opportunity for *Reinhard Zimmermann*, director of the Max Planck Institute for Comparative and International Private Law, and *Ulrich Becker*, Director of the Max Planck Institute for Social Law and Social Policy to



Prof. Dr. Martin Schimke (Member of the International Court of Arbitration for Sport), Dr. Marius Breucker (Wüterich Breucker Rechtsanwälte), Jens Bredow (German Institution of Arbitration), Prof. Dr. Gerhard Wagner (Humboldt University of Berlin), Prof. Dr. Ulrich Becker and Prof. Dr. Dr. h.c. mult. Reinhard Zimmermann (MPI for Comparative and International Private Law, Hamburg) (left to right).



Prof. Dr. Udo Steiner (University of Regensburg) and Prof. Dr. Ulrich Becker.

invite legal practitioners and academics to Hamburg to attend the 9th sports law symposium held on the subject "Sports Arbitration – Legal Vacuum or Successful Self-Regulation?".

After *Reinhard Zimmermann* had introduced the subject-matter, *Gerhard Wagner*, the former managing director of the Institute of German and International Civil Procedure Law and Conflict Management at the University of Bonn, devoted his presentation to legal issues and, first of all, looked into the juridification of sport. He pointed out that this was a case of self-regulation, the particularity being that the state was completely replaced by private regulations. Following this, the speaker provided an overview of the arbitration procedure and expressed serious doubts about the independence and impartiality of arbitration courts. In his opinion, the national courts should take on the role of a "guardian" to ensure fairness.

Subsequently, *Jens Bredow*, former secretary general of the German Institution of Arbitration (DIS), *Marius Breucker* of Wüterich Breucker Rechtsanwälte and *Martin Schimke* of Bird & Bird LLP and CAS member, reported on arbitration procedures in sport as they are practised in Germany.

Martin Schimke commented on the practical working method of the CAS Ad Hoc Division during the London 2012 Olympic Games and argued that sport required its own, uniform rules, procedures and standards for the benefit of fair and true competition.

The seminar was concluded by a discussion chaired by *Ulrich Becker*. Finally, it was held that sports arbitration represented a successful attempt of self-regulation.

2.4.3. Sports Promotion – A Public Responsibility?, 10th Sports Law Symposium, 11 November 2013

Viktória Fichtner-Fülöp

The disappointing result regarding the medal count for the German athletes competing in the Olympic Games in London in 2012 has sparked off an ongoing debate on sports promotion in Germany. Athletes and representatives of associations criticised that sports promotion was "inefficient, non-transparent and sociopolitically questionable". The Forum on International Sports Law, which is supported by two Max Planck Institutes, took this development as an opportunity to discuss the subject "Sports Promotion – A Public Responsibility?" together with academics, legal practitioners and top athletes.

First, *Reinhard Zimmermann*, director of the Max Planck Institute for Comparative and International Private Law, presented the speakers and introduced the subject matter by giving an overview of sports promotion as it is carried out by the Federal Government, the federal states and the municipalities.

In his key note address, *Udo Steiner*, professor emeritus at the University of Regensburg and former judge at the Federal Constitutional Court, emphasised that the Federal Republic of Germany, in principle, had a positive attitude towards sports promotion, but also





Guests at the 11th Sports Law Symposium "Die Athletenvereinbarung – privatautonome Gestaltung oder Grundrechtseingriff?". Speakers: Dr. Thomas Summerer (Nachmann Rechtsanwalts GmbH), Dr. Franz Steinle (Higher Regional Court, Stuttgart), Munkhbayar Dorjsuren (sports markswoman and Olympic medal winner), Prof. Dr. Jens Adolphsen (University of Gießen), Prof. Dr. Burkhard Hess (Max Planck Institute Luxembourg for International, European and Regulatory Procedural Law) and Prof. Dr. Ulrich Becker.

benefited from the success in top-level sports, as top-level sports also meant "competition among national states". He stressed that promotion was carried out directly, for instance through investment in sports facilities, as well as indirectly through granting soldiers exemption from duty, for example. Furthermore, *Steiner* devoted his presentation to mass sports which, beyond health, also promoted further values as well as social integration. In addition, he pointed out that top-level sports needed mass sports as a "talent incubator" whereas conversely, top-level sports had a role model function for mass sports. Dual career paths or later career starts, as well as guarantees under employment law for trainers should be made possible.

The following speaker, rower *Max Munki*, world vice-champion in Germany's men's eight in 2013, gave an insight into the life of a top athlete beyond professional football. According to him, the average monthly income of a top athlete amounted to approximately 650 Euros. *Munki* also criticised that athletes in some cases had to bear the costs for training camps and sports gear themselves.

Subsequently, the federal hockey coach, *Markus Weise*, disputed an "assessment of the benefit of sport that is reduced to performance indicators" saying that this would lead to a unilateral redistribution policy. Sport should not only be considered in terms of costs but also as a capital good, especially with regard to its impact on education, health and integration.

Before the discussion was launched, *Christian Sachs*, head of the Berlin office of the German Olympic Sports Confederation (Deutscher Olympischer Sportbund, DOSB), underlined the importance of sports as a force of civil society and stressed the need to promote children and adolescents.

The symposium was concluded by a lively discussion on the resources of non-governmental sports promotion on the international level. The discussion was chaired by *Ulrich Becker*, director of the Max Planck Institute for Social Law and Social Policy, and *Reinhard Zimmermann*.

2.4.4. Athlete Agreements: An Instance of Private Autonomy or an Infringement of Fundamental Rights?, 11th Sports Law Symposium, 10 November 2014

Viktória Fichtner-Fülöp

In October 2013, *Claudia Pechstein* launched a petition against arbitration clauses that are contained in agreements concluded between associations and athletes, thereby generating a discussion both in the media and in sports law on the permissibility of such arbitration agreements. In the light of the recent events, the Forum on International Sports Law decided to treat the following subject at the 11th Sports Law Symposium: "Athlete Agreements: An Instance of Private Autonomy or an Infringement of Fundamental Rights?"

After *Reinhard Zimmermann*, director of the Max Planck Institute for Comparative and International Private Law, had opened the symposium, *Jens Adolphsen* from the University of Gießen devoted his presentation to the need for sports arbitration and the constitutional implications of the problematic nature of arbitration clauses. First, he pointed to the fact that athletes must sign the arbitration agreement contained in the athlete agreement in order to be admitted to competitions by the sports associations. According to *Adolphsen*, professional athletes were definitely caught in a dilemma that way. In the light of the *Pechstein* process he emphasised, however, that



Iris Meeßen

the findings of the Munich I Landgericht (Regional Court) on the clause's invalidity involved an *obiter dictum* and were therefore without any legal effect.

In the following, the speaker described the relationship between arbitration and ordinary jurisdiction, with special attention to the alleged non-public nature of arbitration. Moreover, *Adolphsen* highlighted that only comprehensive arbitration could guarantee global, uniform sporting activities. Without this obligation, the decisions on doping lawsuits would be inconsistent in substantive and procedural law.

Subsequently, *Adolphsen* discussed the problem as to what extent the obligation of professional athletes to sign arbitration agreements should be assessed on the basis of constitutional considerations. From a perspective of legal doctrine he advocated taking account of the athlete's general access to justice via the public policy exception. With respect to the procedures of the International Court of Arbitration for Sport (CAS) he emphasised that a potential for optimisation did exist. Nevertheless, he finally drew the conclusion that an obligation was necessary due to the need for uniform sports jurisdiction and that, with the entry into force of Art. 11 of the new anti-doping law, also the legal reservation of a general access to justice would be guaranteed.

Subsequently, the president of the German Ski Federation (DSV) and president of the Higher Regional Court (OLG) Stuttgart, *Franz Steinle*, commented on the interests of associations and athletes regarding the arbitration agreements. In his opinion, the monopoly position of the associations was not problematic per se, but only if it was abused. Sports arbitration was a valuable alternative to ordinary jurisdiction. He considered that uniform and efficient anti-doping processes were also in the interest of athletes.

In the following presentation, attorney *Thomas Summerer* of Nachmann Rechtsanwalt GmbH and *Claudia Pechstein's* defending counsel, reported why he considered the athletes' obligation to sign the arbitration clause as not justified. In addition, he explicitly delineated the deficits of the CAS.

Munkhbayar Dorsjuren, sports marksman and Olympic medal winner, commented on the subject from the perspective of the athletes and advocated taking greater account of the athletes' interest.

The symposium was concluded by a discussion with the audience chaired by *Ulrich Becker*, director of the Max Planck Institute for Social Law and Social Policy.

3. Promotion of Junior Researchers

Doctoral Group: "The Triangular Benefit Delivery Relationship in Social Law"

In general, the state or, respectively, the public funding agencies do not deliver social services or benefits in kind themselves. Rather, third parties are entrusted with these tasks, acting as service providers vis-à-vis the individual beneficiary. The organisation and governance of service provision within this multiple benefit delivery relationship constitute the research subject of the doctoral group.

Law as the essential governing instrument of service provision must answer the questions which ensue from this particular feature of state responsibility, and which have required solutions on the part of social law well before the model of the enabling state was born. The provision of social benefits and services requires both the involvement of suitable service providers and, particularly, quality control and price regulation. If required, service provision and an appropriate, efficient infrastructure must be arranged for in the first place.

In their dissertation projects, the members of the doctoral group founded in October 2007, *Iris Meeßen*, *Magdalena Neueder*, *Michael Schlegelmilch* and *Ilona Vilaclara* focus on the different aspects of service provision in the various fields of the social services system. All dissertations start out from a comparative legal approach. In addition to investigating into German law, the range of findings on the benefit delivery relationship shall be broadened by looking into the legal systems of Sweden (*Meeßen*), Switzerland (*Neueder*), Spain (*Schlegelmilch*) and France (*Vilaclara*).

The doctoral examination procedures of *Magdalena Neueder* and *Ilona Vilaclara* were successfully completed.

3.1. State Support for Further Education Measures in Germany and Sweden – Structures for the Involvement of Third Parties in the Delivery of Further Education Measures

Iris Meeßen

Gainful activity is a precondition for participation in economic life and a criterion relevant for many regulations pertaining to social law. However, in order to be able to keep up with technical, economic, demo-





Dr. Magdalena Neueder

graphic and sociocultural changes, gainfully active persons are required to continuously upgrade their qualifications. This can be achieved by means of further education. The state supports lifelong learning and, in doing so, not only promotes economic objectives but, above all, also objectives in terms of social law.

The targeted promotion of further education programmes by means of benefits in kind and cash benefits granted by the state makes sense in cases where a structural or individual deficit is to be compensated. An individual deficit on the part of the benefit recipient exists if the latter is – either due to current or imminent unemployment, or due to lack of financial means and/or of personal interest – in a specific situation of need that might be remedied through further education in the form of vocational training measures. A structural deficit exists if the market conditions do not allow a self-sustained form of competition resulting, for instance, from a lack of demand or poor price levels.

The first part of the paper examines the cash benefits and benefits in kind granted by the two countries under comparison for the purpose of supporting further education measures. It examines the types of deficits that are to be counterbalanced by the respective benefits and the goals that are to be accomplished by means of these benefits.

The promoted further education programmes in this context are largely provided by third parties, much like many other social services. For this purpose, an actual framework and certain legal structures are essential, and these are often competitive structures, given the fact that the system of further education has evolved historically. It is not necessarily so that the objective of the educational measure supported by a specific benefit is attained as intended. A second purpose of the examination is therefore to find out how the state ensures fulfilment of the objectives of the supporting measures. In order to determine whether this is the case particularly with regard to the provision of services by third parties, the two legal systems are compared. It is the normative framework of further education programmes at the international and the respective national level on the one hand, and the elaboration of steering instruments and forms of action in the context of political steering on the other that shall be used as a common analytical framework.

Taking an overall look at the benefits for the promotion of further education and at the regulatory instruments relevant for service provision, both countries

divide their executive competencies into further education for the promotion of employment and further education within the wider framework of educational policy. Fact is that Swedish law is characterised by a different legal culture, with the degree of regulation being lower than in Germany. Moreover, Sweden has much more intensively than Germany incorporated its further education programmes in an overall education system, meaning that the number of legal references between the two areas of competence is much greater.

The Swedish system of employment promotion is – probably also due to the superimposition by European law effected only a few years ago – characterised to a greater extent by procurement by way of allocation and thus by steering through competition. Both systems allow for the possibility of authorising the service provider by way of accreditation and of leaving the choice of the specific further training measure to the beneficiary. However, unlike in Germany, in Sweden it is not the participant but the employment agency involved in promoting employment that is charged with the potential risk of choosing an ineffectual education measure or with the problem that the participant might lack the ability to make a choice. Clearly, greater emphasis is in this case placed on social law aspects.

Finally, different social support benefits and different degrees of incorporation also have an impact within the context of quality assurance with a view to the further education measures. The different objectives have an influence on the quality standards. What is more, greater incorporation in the overall education system in Sweden results in the fact that the existing quality assurance mechanisms of the above system are used; in Germany, by contrast, purpose-built quality assurance systems are developed or certification programmes of private providers are resorted to.

3.2. Disability and Occupational Rehabilitation in Germany and Switzerland – Structures for the Involvement of Third Parties in the Delivery of Social Benefits and Services

Magdalena Neueder

On the one hand, the dissertation is to contribute to the understanding of the legal system in regard to German and Swiss social benefit law. For this purpose, it deals with the following three guiding research questions: How does a legal definition of disability have to be structured, what kind of measures are offered by the state in respect of occupational

rehabilitation, and how are third parties involved in the delivery of benefits and services? On the other hand, the dissertation is to contribute to legal theory in regard to the value of legal comparison.

The first chapter addresses the question as to how disability should be interpreted – also in the legal sense. The functional requirements of a legal concept are examined on the basis of the legal consequences related to the concept of disability in German and Swiss law. These functional requirements are to be assessed in the light of the already existing legal consequences which are the binding elements between the law and the legal concept of disability. In this context three categories of regulation must be distinguished: objective value-based decisions/requirements and prohibitions/distribution criteria for social benefits and services. These findings converge towards a suggestion for a new legal concept in German law. Thus it becomes clear that the definition of a legal concept of disability is possible in terms of a relational concept if a purely objective legal, value-based decision is expressed. For the disability concept as a point of departure for requirements and prohibitions or, respectively, the right to social benefits it is, however, indispensable that a causal link exists between damage and dysfunction or impaired participation.

The second chapter verifies the need of a disability concept for the life context of work that is more closely based on the WHO definition. In addition, the objectives regarding the activities of occupational rehabilitation are highlighted and the social benefit relationship is described as being the basis for the involvement of third parties in the delivery. In German and Swiss social law, persons with disabilities are entitled to educational and assessment services, to advisory and mediation services, medical and psycho-social services as well as assistive equipment, technical aid and services of work assistance. These measures can be provided in terms of services or benefits in kind and therefore require the involvement of third parties.

The third chapter is based on the description of the social benefit relationship and is devoted to the structures regarding the involvement of third parties. The peculiarities concerning the delivery of social benefits within this triangular relationship point to overarching structures between the social insurance branches, structures which, in this field, also apply to standardisation. This refers to provisions governing the assignment of responsibilities, the instruments of cooperation with non-governmental providers, and the funding methods. During the process of

involvement, the objective criteria for quality selection and the efficiency of benefits and services are assessed; aspects of demand-based planning are dealt with in respect of the selection as well as the need for further procedure. Involvement in this context is to be understood in terms of a process. At an abstract stage, the social security institution assumes its structural responsibility by adopting a decision for involvement, by purchasing services from qualified providers or by making services available through them, and by monitoring the criteria for the providers' suitability before and after acquisition. During the concrete process of service provision, the social security institution must decide on the involvement of a third party, and take account of the rights of request and choice, if applicable. The institution or the person with disabilities obtains the social service from a qualified provider. This is where the concrete and the abstract level cross paths. During this process, the core part of service provision passes the levels of qualification, service provision and obtainment of services, in which the selection criteria are specified and assessed. It has been shown that these structures and principles are also valid for German social law beyond the specific illustration of measures to be taken in the case of occupational rehabilitation.

Finally, chapter four reaches out from positive law to questions of legal theory addressing the value of legal comparison. The findings of the comparative legal analyses of chapters 1 to 3 are brought to fruition at an abstract level. By retracing the alienating effect when considering unfamiliar law by means of a specific example – the term of invalidity – and by elucidating the effect this reaction has on the classification of national law, the dissertation verifies the assumption that the instrument of legal comparison constitutes a tool for the systematisation and classification of national law.

3.3. Drug Prices and Drug Price Competition – The Structures of Drug Pricing under Service Provision Law in Germany and Spain

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. But also regulated pricing that is not determined by supply and demand but by state regulation does not always produce best results, as expenditure develop-



Michael Schlegelmilch





Dr. Ilona Vilaclara

ments 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 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. Increasing focus is put on solutions which make use of the economic conditions of the pharmaceutical market for the benefit of the service providers or, respectively, which are to alter the conditions to that effect (e.g. pharmaceutical discount agreements, benefit assessment of drugs with new active ingredients).

The aim of the study is, first and foremost, to systematically describe the pricing instruments used in the supply of pharmaceuticals through pharmacies 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 invoicing amount and its components paid to the pharmacies by the service providers. Within the framework of the study the relevant regulations are grouped by instrument according to the respective economic pricing mechanism. The legal basic structures of the pricing regulation for pharmaceuticals are identified and linked to the general (financing) structures of service provision law as elaborated by the doctoral group. Furthermore, the legal framework conditions of the pricing instruments used in competition are examined more closely, particularly against the background of the discussion on procurement law and the repeatedly demanded development of independent provisions for the different public procurement sectors.

A comparison with Spanish service provision law is suitable not only because of its diverging approach in price regulation. For, in Spain, the manufacturers' selling price is subject to mandatory regulation and predefined for all recoverable pharmaceuticals as soon as the products are authorised for marketing. Competitive instruments are also used more and more, such as the introduction of prices determined via bidding process for selected pharmaceuticals or the possibility of concluding discount agreements as created by the Autonomous Community of Andalusia. This development must also be viewed in light of the fiscal crisis, since it poses serious challenges to the Spanish national health system.

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 instrument in the pharmaceutical sector features a number of distinctive characteristics. It represents a special form of product law whose focus of regulation under social law is on the financing of pharmaceutical services through the health system. 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. In the Spanish legal system, the deployment of competitive pricing instruments involves the use of independent provisions for the different sectors in the contract award process. Spanish law can also offer impulses for the development of a modern doctrine with a view to public law contracts that may contribute to the envisaged advancement of the former in German research. This is particularly true for the Spanish Public Contracts Act (Real Decreto Legislativo 3/2011) which contains, apart from procurement legislation, differentiated regulations regarding public-private partnerships, thus providing answers to questions concerning the cooperative fulfilment of tasks by the administration.

3.4. Cooperative Price Control Mechanisms in the Provision of Medical Devices – A Comparison of Laws in Germany and France

Ilona Vilaclara

The impressive sportive achievements of athletes like Markus Rehm or Oscar Pistorius who, using high-tech prostheses to replace their amputated lower legs, competed with "non-disabled" athletes received significant media attention in the past years. The rapid development in the field of high-tech prostheses is an apt example of the dynamic and innovative medical devices market, which is characterized by short product cycles and a high degree of technical progress.

The increasing significance of benefits related to medical devices that are meanwhile being offered by the health insurance systems is also reflected by an increase in expenses incurred by the insurance systems due to the changes in demography and disease patterns as well as new and advanced technical developments. The stabilisation of expenditure by way of governmental cost regulation has therefore, in the past decades, gained pivotal significance in medical devices law with a view to reforms.

In 2007, the German legislator enacted a legal reform that changed the system by introducing the Act to Strengthen Competition in Statutory Health Insurance (GKV). For the first time ever, the health funds were given the possibility to benefit from competitive advantages by means of entering into selective contracts with specific service providers in order to hereby strengthen contract and price competition.

The French cost regulation system for medical devices, too, has recently seen significant changes. What triggered the recent fundamental reforms in this case was the criticism of the political system on the part of the French Court of Auditors who, in its report on social insurance in September 2011, criticised the existing cost regulation instruments as uneconomical and non-transparent. The reform processes gained further momentum due to the scandals caused by harmful breast implants and the pharmaceutical *Mediator*, which shocked the French health industry and made plain how urgently a reform of the medicinal products and pharmaceuticals system was needed.

The fundamental system changes in the two countries gave rise to an elaboration of possibilities of cooperative cost regulation methods for medical devices on the basis of the two legal systems under comparison; in this way, knowledge on potential legal solutions and steering mechanisms of cooperative cost regulation in medical devices provision was to be obtained.

By way of comparative analysis the structures of cooperative cost regulation could be mapped out. While the French system is based on direct, state-dominated and centralistic steering, cost regulation in the German medical devices law is, by contrast, organized in an indirect, competitive and decentralised way. These politically and historically grown system approaches show: In France, the system is based on the concept of a strong state that should, with the aid of a scientifically objective benefit analysis, be able to establish a balance of interests and thus determine a fair price; in Germany, on the other side, the regulation system is based on the idea that the appropriate price can best be found by way of competition through the balance of supply and demand.

The different cost regulation mechanisms were normatively assessed by means of legal provisions and principles applicable to both countries. While no infringements of the free movement of goods could be identified, both systems showed considerable deficiencies in the area of regulatory and market transparency. In both legal systems elements were found that strongly impeded innovation processes: in the German system, this referred to approval procedures

for medical devices to be listed in the catalogue of approved medical aids and appliances; in France, it was the strict verification requirements and exceedingly long procedure durations. While in Germany the introduction of competitive elements led to favourable conditions for a balance of interests, it resulted, in France, in a problematic confusion of different political fields of interest with a view to cost regulation.

To conclude, it must be noted that the competitive system established in Germany is a fragile one, which is suitable as a steering instrument only if it is protected from misuse and subversion by means of regulations. In France, the positive effects of French endeavours to establish an objective and fair state-dominated cost regulation procedure are lost in the personal and content-related confusion of interests and goals, as well as in the considerable insufficiencies regarding the implementation of relevant statutory provisions. In both legal systems the cooperative cost regulation instruments can develop their potency only to a limited extent due to the stark imbalances in power, with the contractual terms essentially being predefined quite unilaterally on the part of either the health funds or the public authorities.

The dissertation procedure was concluded in November 2014. The publication of the paper is scheduled for 2015.

Doctoral Group: "Social Security and Long-Term Care Dependency"

In July 2010, a doctoral group was set up working on "Social Security and Long-Term Care Dependency." *Vera Hansen* and *Marko Urban* were members of this group during the period under review.

Although there has always been a general need for long-term care services, long-term care dependency did not count among the so-called "classical" social risks. It has been conceived as a social risk of its own only in recent years. In Germany, long-term care dependency was given a legal basis only 20 years ago in terms of long-term care insurance. Due to deficiencies, this insurance was subject to several amendments and reforms already during its first years.

For this reason, the research focus of this doctoral group was put on the specific social situation of long-term care dependency, the social protection of which was examined from a comparative law perspective.





Vera Hansen



Marko Urban

The countries selected for comparison with Germany were the Netherlands (*Hansen*) and Austria (*Urban*). The doctoral candidates dedicated their attention to the aspect of social security and long-term care dependency in the context of disease and disability (*Hansen*) and to quality assurance in home care (*Urban*).

Both dissertations were submitted in 2014.

3.5. Social Security and Long-Term Care Dependency in the Context of Disease and Disability

Vera Hansen

Changes in demography and in traditional gender role models, in family structures as well as in the labour market have caused a decline in the number of people available for the provision of long-term care to an ever-growing number of people dependent on the latter. Social protection against long-term care dependency is therefore one of the greatest challenges that the social policies of the EU member states must address today.

It has proven difficult, however, to dovetail the complex social situation regarding long-term care dependency with the traditional social security systems, since the latter might not provide for the wide range of benefits and services required on a permanent basis in this context. Since long-term care dependency, disease and disability always arise from physical, cognitive or psychological impairments, overlaps are common. The dissertation therefore, first and foremost, seeks to give a better understanding of the emergence and scope of long-term care dependency as a social need, as well as of its relation to disease and disability. For this purpose, the scientific and technical principles of long-term care are explained, and the appurtenant human and fundamental rights as well as the international foundations are outlined. Furthermore, the study shows that long-term care dependency can be insured against in terms of a social risk in its own right or as one aspect of disease or disability.

The aim of this legal comparison was therefore to provide detailed knowledge of two fundamentally different security systems, to outline and explain structural problems and to offer potential solutions and show current reform trends with a view to social protection in the event of long-term care dependency. The comparison of the German and Dutch social security systems is particularly interesting in view of their dissimilar origins, the vast conceptual differences and the current reforms. The Netherlands have – apart from a social insurance scheme providing coverage for

acute diseases – since 1968 had a social insurance system that provides coverage for exceptional medical expenses (AWBZ – Dutch Act for Exceptional Medical Expenses). Long-term care dependency is thus covered as an aspect of disease. According to AWBZ, assistance is provided with activities of daily living in the event of long-term care dependency, disease or disability alike, without distinguishing in terms of a specific definition of the above. In addition, potential requirements for participation in society are met by means of a tax-financed system at the municipal level. In Germany, however, long-term care dependency has, since 1995, been insured against in terms of a social risk in its own right, i.e. separately from the social risks of disease and disability. What has developed is a fragmented system with coverage provided through health insurance (Social Code Book V), long-term care insurance (Social Code Book XI) and entitlements to rehabilitation and to participation on behalf of persons with disabilities (coordinated through Social Code Book IX).

The two systems were examined with a view to the implementation of targets as elaborated in the general part of the dissertation, as well as with regard to the execution of specific principles of service provision under social law. The change in perspective gained by means of legal comparison ultimately facilitates a new critical look at the divided structure of the German social security system. While the Dutch system is organised according to specific needs, the German system differentiates between specific social risks. Problems arise where the scopes of application overlap, and this in turn compromises the effectiveness of the service provision. The objective of adequate and sustainable service provision ultimately requires an overall concept ensuring social protection in the event of long-term care dependency, disease and disability.

The dissertation was submitted in December 2014.

3.6. Quality Assurance in Home Care in Germany and Austria

Marko Urban

In order to be able to cover the rising demand for long-term care services, new social security benefits and services have been created in Germany and Austria, and the infrastructure of facilities providing in- and outpatient care has been expanded. After initiating the essential measures required to cover the demand for long-term care services in quantitative terms, the qualitative aspect came to the fore. Naturally, both can generally only be seen in the context of the limited means available.

It is especially the limited means and also the applicability of the freedom of choice on the part of the person dependent on long-term care with regard to the place of care provision that make in-home care the core focus of attention. As a rule, care provision in the dependent person's home is not only less costly, but it is also given preference over inpatient care and made use of for as long as possible. However, limited means and freedom of choice have not only resulted in a prioritisation of in-home care on the part of those who need it but also, on the part of political actors, in the increased appreciation of and emphasis on long-term care provision through relatives and other non-professional caregivers. The focus of the study was therefore on quality assurance in non-professional care service provision, an aspect often neglected in legal studies. Potential solution strategies centring on quality assurance in non-professional care were identified by means of two comparisons: the first comparison was to assess quality assurance in professional and non-professional care within Germany; the second was to compare the legal situations in Germany and Austria by taking under review the exact same conditions, i.e. long-term care provision at home.

The theoretical framework developed in the general part of the study was laid out according to the concept of what is known in economics as the quality cycle, as well as to findings obtained in the legal discussion on governance. The objective of this theoretical framework was to systematise the legal instruments used for quality assurance in Germany and Austria so as to facilitate the two aforementioned comparisons.

The next task was to analyse the entire German law on quality assurance in the context of professional and non-professional home care by means of the framework developed in the general part of the study. Differences between professional and non-professional long-term care were identified in this context due to the various ways in which home care can be provided. Professional long-term care is provided in the form of benefits-in-kind, with quality assurance being exercised essentially within the legal relationship between the social benefit institution and the respective service provider (care service). No equivalent of this legal relationship can be found in non-professional care. The objective of the legislator is clearly for the quality of professional long-term care to be continuously upgraded, and this also requires a continuous upgrading of standards. In non-professional care, however, a fixed basic quality level is intended to suffice.

Also the Austrian legal system was examined with regard to provisions pertaining to quality assurance in home care; the relevant norms were systematised with the aid of the framework elaborated in the general part.

This is followed by the two comparisons. Here, the respectively deployed quality assurance instruments were compared at the individual levels of the quality cycle. The aim of the dissertation was to find a legal possibility to make use of the particular capabilities of family caregivers as well as of upgraded standards in professional care within the framework of service provision for individuals in need of long-term care. In practice, this is possible if professional and non-professional caregivers cooperate. On a legal level, efforts have been undertaken to incorporate such cooperation into the German system – where benefits-in-kind for professional care provision are combined with cash benefits for non-professional care provision – by means of a model whose origins are in Austrian professional law. For this purpose, a concrete proposal regarding the amendment of Social Code Book XI has been put forward. The last step in the analysis is to examine whether and to what extent such a sanction for more intensive quality assurance of non-professional care provision is required in terms of constitutional law and whether the latter allows for it in the first place.

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



Doctoral group on retreat in Niederalteich: Annemarie Aumann, Stefan Stegner, Lilia Medvedev, Dr. Daniela Schweigler and Julia Peterlini (left to right).





Annemarie Aumann

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 is investigated by the doctoral group focusing on "Social Law as a Specific Form of Administrative Law". The group started its research work at the Institute's Department for Social Law in October 2012. In their dissertation projects, *Annemarie Aumann*, *Diana Eschelbach*, *Lilia Medvedev* and *Julia Peterlini* have addressed social law issues in connection with problems inherent to general administrative law. The projects specifically deal with direct allocations in accident liability law, accident insurance cover for civil servants, and the treatment of military service accident victims (*Aumann*), the density of controls on the part of social and administrative courts (*Eschelbach*), administrative contracts in social and administrative law (*Medvedev*), as well as with the concept of subjective law in the two branches of law (*Peterlini*).

A more detailed account of the four projects shall be given below.

3.7. Direct Allocations in Security Systems under Public Law that Provide Compensation after an Accident

Annemarie Aumann

The Significance of Direct Allocations in Social Law

Direct allocations play a central role in many fields of law. They demarcate responsibilities and thus determine who is to be liable for a damage caused. In civil law, the obligation to assume liability is allocated to the respective private actors, while in penal law the elements of an offense can only be affirmed if the punishable action is attributable to the accused person. Also public law knows a variety of allocation mechanisms. These can be found, for instance, in state liability law and police law, but particularly in social law. In fact, the welfare state clause of the German Basic Law obliges the legislator – to quote the Federal Constitutional Court – "to endeavour to tolerably balance out the conflicting interests and establish supportable living conditions for all parties involved." This also includes the certainty to be rescued by the social safety net if a particular risk occurs. Manifestations of the welfare state can be seen in cases where risks that would normally, i.e. in the absence of specific legal regulations, have to be

borne by the aggrieved party (*casum sentit dominus*) are allocated *ex lege* to the general public or any other institution without actual fault of the latter. Such allocation mechanisms have the purpose of preventing the financial ruin of the individual. This is the case with statutorily regulated (compulsory) insurance schemes, for instance.

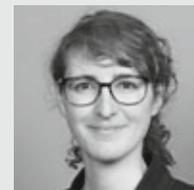
Direct Allocations in Accident Liability Law

The dissertation investigates the German accident liability law. This includes all regulations that serve to cover damages incurred in accidents: insurance claims in statutory accident insurance, accident insurance cover for civil servants, and the treatment of military service accident victims. Direct allocations become clearly identifiable in this field of law: Only if the occurrence of the damage can be qualified as a work-related accident will the accident insurance funds cover the damage incurred. The core question therefore is: Is the respective accident allocable to the work sphere or the private sphere of the aggrieved party?

To be able to answer this, the three accident liability systems apply a set of differently defined categories. These categories are only rudimentarily regulated and are thus subject to interpretation; the wording of the law merely reads: "as a result of employment on the basis of which the employee is insured" (§ 8 Para. 1 Social Code Book VII), "in the course of or in connection with the performance of his duties" (§ 31 Para. 1 of BeamtVG, the German law on pensions for civil servants) and "due to an accident in the course of the performance of military duties" (§ 1 Para. 1 of BVG, the German Federal War Victims Relief Act). The wording of the above has been specified by the relevant case law; however its applicability is disputed. According to common practice, for a work accident to qualify as such in line with the statutory accident insurance, a so-called causal relation must exist between the activity performed and the insured activity. Regarding accident insurance for civil servants, it is sufficient if the accident happened at the place of employment during working hours. In military pension law, a causal relationship is to exist between the harmful activity and the military service.

Cognitive Objectives of the Dissertation

Variably configured allocation mechanisms result in a dissimilar treatment of the respective groups of persons even though the actual accidents might be comparable. For similar or dissimilar treatment respectively, objective grounds in line with legal theory



Diana Eschelbach

shall be identified, with constitutional law playing a particular role in this context. A conceivable justification might, for instance, be found in the specifics of the statute law for civil servants.

The allocation mechanisms are closely examined with a view to their reasonableness and practicality. The aim is to determine whether the existing allocation mechanisms are to be replaced by less complicated ones. For this purpose, not only the system used in Germany is analysed in depth, but also the allocation mechanisms of the accident insurance systems in France and Switzerland are investigated. For in those countries, the issue of liability in the event of work-related accidents is sometimes solved in a different way.

Due to the ever-changing risk structures in society, social law is subject to continuous pressure to adapt and evolve; the aim is to find out whether the allocation mechanisms in public accident insurance law can handle this pressure.

3.8. Scope for Decision-Making of Social Security Administrations and Density of Judicial Scrutiny – The Example of Integration Assistance for Young Persons with Disabilities with respect to their Participation in Social and in Working Life

Diana Eschelbach

The aim of this dissertation is to investigate to what extent the administration is imparted a scope for decision-making – by general administrative law and social benefit law as a specific form of administrative law – which is beyond, or partially beyond, judicial scrutiny. The focus is on integration assistance for young persons with disabilities as set out in child/youth assistance law (Social Code Book VIII), social assistance law (Social Code Book XII) and employment promotion law (Social Code Books II and III). Wherever an entitlement to integration assistance is examined in the social administrative procedure, authorities may make mistakes that may be associated with advantages or disadvantages for the disabled persons concerned, the service providers or the rehabilitation providers themselves. Also other social benefit institutions which may assert claims for cost compensation, if appropriate, or which are confronted with such a claim by the relevant provider, may have a legitimate interest in ensuring that the agencies providing social assistance or youth assistance, the job centre or the German Federal Employment Agency act lawfully. All public administration is bound by law and statute. In addition, constitutional protection guarantees are provided (Art. 19 Para. 4

Basic Law) opening up access to justice in court. If, however, a scope for decision-making is left to the administration without the possibility of judicial scrutiny, this must be justified. The study examines as to what extent the same criteria on which general administrative law is based are also applicable to social law. The question arises as to whether the specific nature of social benefit law can allow for a justification for such scopes for decision-making in itself and as to what can be the relevant criteria in this regard – also in comparison to the case groups recognised under general administrative law. In particular, the grounds for justification may base on the complexity of the subject matter and hence the necessary expert knowledge of the authorities, as well as on the cooperative process of providing assistance involving the participation of the beneficiaries concerned. In this context, it will also be examined to what extent such justification plays – and may potentially play – a role in practice and what differences exist between the individual areas of integration assistance in this connection (Social Code Books VIII, XII, II, III).

Administrative action must abide by legality and appropriateness. If an error occurs on the part of the administration, the question arises as to how such an error can be detected, checked and remedied. If the administration (the original, the reviewing or the regulatory authority) deems its actions legitimate, a neutral supervisory institution is required outside the administration. Here, recourse to the courts comes into play. If the court is entrusted with the supervision of administrative action (administrative acts), the latter is reviewed with regard to its (procedural and substantive) legality. But how far does a court's supervisory competence go? What does legal protection mean in this context?

First, the scope for decision-making of public administration shall be dealt with as it is viewed and interpreted by case law and by the academic literature in connection with administrative law. The study will focus on the doctrine regarding the scope of discretion and the discretionary power as well as on recognised examples of debated issues from the (above-mentioned) specific form of administrative law.

In Germany, integration assistance benefits are granted – or refused – by various social benefit institutions on the basis of the relevant Social Code Books (Social Code Books VIII, XII, II, III). In all relevant parts of the Social Code, benefits and services are subject to various eligibility requirements containing loose legal terms. Some of the foundations for claims impart legal entitlements to benefits





Lilia Medvedev



Julia Peterlini

and services, others provide for a discretionary decision to be taken by the authority. The result is that young people are provided different benefit entitlements with regard to both content and implementation, and this only because they come within the jurisdiction of one or the other social benefit system. The density of juridical scrutiny is to be assessed in accordance with the respective legal basis; this means that claimants may enjoy reduced legal protection which, however, must be justified.

3.9. The Contract as a Management Tool in Compulsory Health Insurance

Lilia Medvedev

Cooperation between public and private actors is widely used to ensure the effective accomplishment of tasks in the healthcare sector. In compulsory health insurance, for instance, it is not the state itself that provides the necessary sickness benefits to the insured persons. The state rather relies on the services of third parties, the so-called service providers, such as physicians, psychotherapists or hospitals. In this context, the focus shifts to the contract as an instrument regulating the involvement of the service providers as well as the relations between the different actors.

While Germany can build on some hundred years of social law experience with contracts in compulsory health insurance, the use of this instrument for regulating insurance relations is relatively new to Russia. In Russia, the contract is less subject to doctrinal understanding than is, for instance, the administrative act. For the investigation, the German perspective is very helpful, since, in Germany, a profound legal doctrine has been developed regarding public law contracts.

The aim of the dissertation is to examine the contracts between the service providers and the health insurance bodies within the statutory health insurance scheme, to classify them systematically and to identify their nature by comparative analysis. The comparative approach helps to contribute to the legal classification.

First, the Russian statutory health insurance scheme will be explored in greater depth, namely by analysing the legal framework as well as the actors and the instruments governing the relations between them. In the following an appraisal will be made of the contracts applicable in Russia and in Germany. In Germany, the regulatory powers regarding the fulfilment of legal provisions are transferred to public corporations while, in Russia, despite contractual

arrangements, there is a stronger regulation via executive law provisions. In Russia, in line with the statutory provisions on the mandatory content of the relevant contract, an executive body draws up a model form for contracts concluded between the service providers and the health insurances. This construction exhibits a number of distinctive features and raises legal questions which have remained unanswered so far. The dissertation will examine the underlying contractual conditions in order to determine whether there is an obligation to conclude these contracts and whether and to what extent the parties involved are able to influence their content.

Finally, the abovementioned contracts need to be classified into the relevant national and doctrinal context. This also helps to illustrate the differences regarding the general systematisation of law in Germany and in Russia. While German law is divided into public law and private law, Russian law is systematised according to legal branches. The division of law into legal branches is a heritage of Soviet legal doctrine and is rarely found outside the CIS.

The dissertation seeks to create a regulatory, doctrinal framework, within which the individual kinds of contracts will be systematised according to their applicability in German and Russian law. By classifying the contracts according to the systematisation, it will be clarified whether or not the contracts are special administrative contracts. In this context, the particular features of the contracts shall be worked out, and the concept of the social law contract shall be defined and outlined more precisely.

3.10. Statutory Framework Conditions and Concretisation of the Right to Medical Services in Social Law as a Specific Administrative Law

Julia Peterlini

As Cicero said: "*Salus civitatis in legibus sita est*". This fundamental statement, according to which health is guaranteed by law to all citizens, implies that it is also up to the law to select the respective medical services that are provided to the general public.

The research paper is to illustrate how the law filters from a multitude of potential medical services those that are to be claimable by the individual at the expense of society. In this context, the study limits its focus to outpatient treatment and examination methods. The issue under research is to be clarified by way of a comparison of German and Italian law. The comparison with the Italian system is of particular interest, since the determination of the scope of medical

benefits and services to be provided is analysed in the context of two completely different health systems. Despite the fundamentally different system structures of the German social insurance system and the Italian National Health Service, parallels can be found – with differences in parts – with a view to the issues to be addressed by the legislator and legal doctrine. This also holds true for the implications regarding the individual legal positions in general administrative law, particularly in view of the fact that Italian law does not (ac)know(ledge) the German legal concept of "subjective public law" but differentiates between the "legitimate interest" (*interessi legittimi*) and "subjective right" (*diritto soggettivo*) of the individual vis-à-vis the administrative authorities.

The first epistemic goal will be to analyse and illustrate in a systematic way the legal structures and regulatory mechanisms selected by the legislator for the concretisation of medical services. By analysing the configuration and implementation of the concretisation of statutory health care provision, knowledge shall be obtained on the way in which the law steers the concretisation and substantive content of claims to the right to medical services, as well as on the question as to how much scope for action it grants to bodies with decision-making powers. The aim is to elaborate the differences and similarities of the normative specified targets with regard to the statutory objectives or, respectively, requirements for the provision of services, as well as to the division of competences and the evaluation procedure for the concretisation of the scope of benefits. Emphasis will be on the illustration as to how the bodies authorised by the legislator concretise and define the normative guidelines (in a legal and subject-specific way) as they determine relevant target figures and issues for debate in the stipulation of the abstract regulatory framework concerning procedures. In this context, various concepts shall be outlined and examined with a view to their compatibility with the normative guidelines.

To complete the study, the eligibility requirements and the review standard regarding the distinctly constitutional right to treatment shall be discussed in order to outline and compare the cognitive processes in court significant for decision-making. Owing to the structuredness of German legal doctrine and decades of studies in Italian academia of the right to health, both legal systems examined here may benefit from this part of the legal comparison. The aim is to examine the interrelationship of the constitutional "minimum provision" (BVerfGE 115, 25 recital 65) and the "essential core element of the right to health" (judgment of the Italian Constitutional Court of 06 July 1994, No. 304 et al.) in con-

nection to the right to health care services within the framework of the statutory scope of services of the relevant health systems under investigation.

The descriptive and comparative elaborations shall help develop the doctrinal epistemic goal of this study with reference to general administrative law. The preliminary attempts at some form of categorization according to a doctrinal system shall be assessed; an independent explanation and categorization shall then be offered based on the concretisation of the right to (new) examination and treatment methods as analysed in the previous chapters: Is citizen healthcare – in line with Cicero – anchored in the law or is it governed by a selection of medical services resulting from an abstractly regulated procedural framework of sub-legal provisions executed by bodies without any legislative authority? What doctrinal statements can be gathered from this and how are previous doctrinal explanatory approaches to be evaluated?

The research paper is supervised by *Prof. Dr. Ulrich Becker* and *Prof. Dr. Erminio Ferrari* within the context of a bi-national dissertation programme offered by Ludwig-Maximilian-Universität, Munich and Università degli Studi, Milan (Italy).

Doctoral Seminars

7 – 9 November 2012

Introductory Seminar for the Doctoral Group on "Social Law as a Specific Form of Administrative Law"

Abtei Frauenwörth, Frauenchiemsee

Ulrich Becker: Academic working methods
Daniela Schweigler, Marko Urban: Experience and guidance report

The introductory seminar concentrated on the basic dissertation requirements, the precise definition of the topics as well as the methodology of legal comparison.

31 March – 2 April 2014

Doctoral Seminar

Kloster Niederaltaich

Ulrich Becker, Lilia Medvedev, Annemarie Aumann, Julia Peterlini, Stefan Stegner

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





Dafni Diliagka



Jihan Kahssay

Individual Dissertation Projects

3.11. The Legality of Pension Reforms in Times of Financial Crisis

Dafni Diliagka

Since the end of 2009, Greece has been suffering from an unprecedented financial crisis. In an attempt to contain the crisis, Greece signed financial facility agreements with the member states of the Economic and Monetary Union and the International Monetary Fund. According to these agreements, Greece has, *inter alia*, had to reduce its public deficit in order to ensure release of financial support. As a result, it has restructured its public pension system and reduced the old-age pension benefits of the current pensioners.

The key focus of this dissertation funded by the MaxNetAging Research School is to propose a legal framework in which prospective and current pensioners can raise legal claims in court proceedings with a view to the ongoing pension reforms and reductions in old-age pension benefits. Furthermore, this dissertation aims to contribute to the legal academic knowledge regarding the role and influence of the financial crisis in the restriction of pension rights. In order to achieve the objectives of this dissertation, three legal research questions are examined: (1) Which rights are restricted by the pension reforms and cuts in pension payments? (2) To what extent does the financial crisis determine the legitimacy of the aim of the pension reforms and reductions, i.e. of meeting the fiscal interests of the state? (3) Which legal principles must the legislature take into account when reducing old-age pension benefits in times of financial crisis?

The dissertation is divided into three chapters. The first chapter gives a short account of the background regarding the internal and external factors that necessitated pension reforms prior to and after the fiscal crisis. This chapter clearly shows that, despite the serious socio-economic factors which predated the crisis, the efforts made to implement ground-breaking pension reforms were unsuccessful. However, after the financial crisis, significant pension reforms were introduced. This indicates that the seriousness of the financial crisis and the subsequent need for financial assistance acted as the major driving forces for cuts in public pension expenditure. Showing the influence of these two forces is important for the examination of the legality of potential restrictions in pension rights. The more urgent the need for restrictions in pension rights, the more likely it is for such restrictions to be classified as lawful.

The second chapter provides a detailed overview of the new legal framework of the Greek statutory pension system, as well as a description of the specific reductions in old-age pension benefits which have been undertaken progressively by the Greek Parliament since the beginning of the crisis. Through this systematic presentation, this chapter seeks to detail the provisions that recognise the old-age pension benefits of the public pillar as full-fledged rights.

The third and last chapter focuses on the compatibility of the public pension reforms and reductions in old-age pension benefits with the Greek Constitution and international law. The examination of such compatibility is based on a two-stage process. First, an attempt is made to establish whether any rights have been restricted at all and, if this is the case, if such a restriction can be justified in the context of the financial crisis. In light of this, the third chapter is divided into two parts. The first part examines whether any legal provisions could provide prospective and current pensioners with justiciable rights. The legal basis examined is the principle of legitimate expectations, the right to property and equality as well as the social rights guaranteed under international law and domestic constitutional law. The second part deals with the role of the financial crisis in the legality of old-age pension benefits reductions. It concludes that the financial crisis may shift the fiscal interests of a state from non-legitimate to legitimate national interests. However, even in times of financial crisis, the fiscal interests of the state cannot constitute an overriding aim *per se* that is able to outweigh the restricted pension rights. As balancing concepts for examining whether the fiscal interests constitute an overriding aim, the following three constitutional principles must be applied by the legislature: (a) the principle of proportionality; (b) the principle of legitimate expectations; and (c) the principle of equal contribution to public charges.

3.12. The Regulation of Non-State Service Providers in Certain African States

Jihan Kahssay

Increasingly so, some African states have enacted, drafted or proposed to draft restrictive legislation meant to monitor and regulate the operations of non-state providers of welfare services (NSPs). These NSPs normally include civil society organizations (CSOs) and nongovernmental organizations (NGOs). Some of these legislative measures severely limit the ability of NSPs to accept foreign funding. Others forbid NSPs from engaging in human rights advocacy, and at least one law prohibits NSPs from conducting



Maximilian Kressner,
M.Jur. (Oxon)



any development work at all without prior state approval. Notably restrictive 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), and Kenya (2013, 2014) have each drafted similarly restrictive bills.

Most legal analysts considering the impact of these legislative acts have written about the rights of NSPs. The literature focuses mainly upon a state's violation of the provider's freedoms of association and speech. Considering, however, the significant role that NSPs play in providing welfare services in many African states, there ought to be more legal inquiry into the rights of African beneficiaries. This dissertation aims to explore the ways in which the actions of, and interactions between, states and NSPs affect the rights of certain African beneficiaries to access welfare services. The main investigations concern the status of beneficiaries' right to access welfare services in the domestic and continental contexts, their ability to realize those rights, and the respective duties and interests of NSPs and states.

Highly restrictive CSO laws will likely have the effect of substantially limiting the quantity and quality of services provided to beneficiaries. At present, Ethiopia has enacted one of the most restrictive CSO laws, resulting in the reduction of CSO operations within the country. Since 2009, CSOs receiving more than 10% of their funding from a foreign source may not engage in any human rights advocacy in Ethiopia. This restriction also applies to NSPs, and thereby considerably weakens any connection between the human rights approach and welfare service delivery. NSPs play a significant role in Ethiopia. For their intended beneficiaries, the restrictive CSO law raises a dilemma by jeopardizing their access to aid and welfare services. The case of Ethiopia presents a critical issue for investigation: the extent to which low-resource or low-capacity states may permissibly cause or acquiesce in the termination of welfare services (especially essential services) provided by NSPs.

Restrictive CSO laws are often justified by the desire to curb improper or ineffective NSP operations. In exploring the obligations of NSPs, due consideration must be afforded to the proposal that NSPs perform a traditional state function when they provide welfare services to a substantial segment of the population. This recognition renders visible a crack in the universal human rights framework: NSPs are not bound as states are by international laws to protect, promote and respect the social rights of beneficiaries. Although

states are obliged to protect the holders of social rights against the harmful acts of third parties, international law imposes virtually no explicit or direct legal obligations upon NSPs to refrain from obstructing or limiting equal access to welfare services.

The legal community's understanding of the relationship between the rights of beneficiaries and NSPs remains dim. Further study is warranted into the duties that NSPs owe to beneficiaries, as well as how states must act to protect beneficiaries from inefficient, ineffective or discriminatory NSP practices. Of primary concern is the extent to which the rights of beneficiaries may impede, limit or impose upon a state's attempt to regulate NSPs. In considering the right of beneficiaries to access welfare services, this dissertation explores the extent to which states must and may regulate NSPs.

The vulnerability of NSPs – just as of all institutions – to the affliction of corruption, apathy, inefficiencies and other improper practices, compels the presence of an adequate legal order to govern non-state provision of welfare and essential services. In the absence of state intervention, beneficiaries in lesser-developed countries rely heavily upon inadequately regulated service providers whose actions are not subject to important international human rights laws. On the extreme side of the spectrum, beneficiaries may live in countries where the state's regulation of NSPs is so obstructive as to suffocate the provision of any welfare services. Academic inquiry into this legal dilemma would encourage the development of social rights jurisprudence as well as the advancement of beneficiaries' rights in lower-income states.

3.13. Health Promotion in the Welfare State – The Reduction of Health Inequities through Health Promotion and Disease Prevention as a Challenge to Constitutional and Social Law

Maximilian Kressner

Good health is a valuable asset. As the common saying goes, health is not everything, but without health everything is nothing. But also from a constitutional point of view, health seems to be a valuable good that needs to be protected – since good health is an indispensable prerequisite for exercising the rights of a liberal and democratic constitutional order, as well as for being able to lead an autonomous life.

If, at a time, a person's health is not at its best, the culprit seems to be quickly identified. It is the individual himself who eats unhealthily, takes too little exercise, smokes too much, drinks alcohol, and



Dr. Daniela Schweigler

hence causes damage to his health through his own behaviour. On closer inspection it is to be noted, however, that it is not only the individual health-damaging habits that lead to a higher risk of disease. Especially environmental conditions and social determinants like the unequal distribution of resources have a major impact, with the result that the susceptibility to disease is inversely proportional to a person's social standing.

A successful health-promoting and preventive policy can significantly contribute to improving the general health of the entire population and – contrary to the medical-curative system – also to thwarting the development of diseases in general. With health policy focussing on medical treatment, the potentials of health promotion and disease prevention are, however, getting out of sight.

The finding that a person's health is gradually dependent on his socio-economic conditions *prima facie* appears to be an intolerable deficiency.

Based on the premise that, in a liberal and democratic order, social inequalities have to be accepted to some extent due to this very exercise of freedom, the question arises as to whether normative foundations can be identified regarding the assumption that the welfare state is to ensure the reduction of health inequities. In terms of the constitution, the basis for such a foundation might especially emerge from the welfare state principle (in conjunction with fundamental rights). The question as to what extent this vague and broadly defined principle may serve as a normative foundation regarding the constitutional duty to reduce health inequities will be discussed in this dissertation.

Here, however, we already face the first challenges. It will be necessary to identify the social determinants for health and to highlight not only the correlations, but also the causalities.

The next question to be answered is whether and to what extent the welfare state has to respond to health inequities. In this context, it is important to work out to what extent the welfare state is under the duty to level health inequities, while at the same time pointing out the constitutional limits to potential, health-promoting action. While the main objective of health promotion and disease prevention ultimately is to allow the individual to achieve a "healthier" life, the regulating hand of the welfare state quickly runs the risk of channelling the thinking and the behaviour of its citizens into a certain direction, hence restricting their freedom in a paternalistic manner. Moreover,

the ways and means have to be dealt with by which the welfare state can achieve the objectives of health promotion and disease prevention; another question is whether the present regulatory instruments of social law comply with the alleged constitutional rules and theoretical approaches of political regulation or whether there is a possible need for reform.

The aim of this dissertation therefore is to capture and classify the basic assumptions and results of public health research and the concept of health promotion and disease prevention from a constitutional and a social law point of view and to analyse the present regulatory instruments under social law with regard to health promotion and disease prevention.

3.14. The Right to Hear a Specific Physician (§ 109 SGG) – Dogmatic Classification of a Controversial Procedural Instrument with regard to Social Court Practice

Daniela Schweigler

Social court proceedings often involve complex medical issues that can only be solved with the assistance of a medical expert. Apart from obtaining expert opinions through the official channels the court may, due to the particular nature of § 109 of the German Social Court Act (SGG), have a physician of the plaintiff's choice testify as expert witness. This dissertation project, which was concluded in 2012, examined the extent to which such expert opinions may impact the outcome of social court proceedings. The project also serves as a contribution to the relationship between legal doctrine and empirical law research.

The expert's evaluation pursuant to § 109 SGG is to complement the case according to the inquisitorial principle, as the requested opinion may only be obtained once the court has exhaustively investigated the facts and circumstances from a legal perspective within the context of the administrative court procedure. Furthermore, it is to promote equal treatment in proceedings, as social court proceedings are characterised by structural inequality to the detriment of the plaintiff. The right of application pursuant to § 109 SGG is to enable the plaintiff to be actively and adequately involved in the proceedings. This is to promote the acceptance of the proceedings as well as peaceful settlement between the parties. One problem in this regard is the cost bearing regulation: The court may demand from the claimant party to advance the costs for the expert opinion, a measure which threatens to thwart the objective of upgrading the procedural position of the plaintiff.

In 2010, a random selection of cases ruled on in the first instance was made from 65 out of the 69 social courts existing in the country. With regard to these cases, the deciding judges and the plaintiff's representatives involved were asked standardised questions on a variety of aspects. All in all, data based on a total of 368 proceedings were evaluated.

In contrast to what has often been criticised it was found that, as a rule, obtaining an expert opinion in line with § 109 SGG does not lead to a significant procedural delay. The procedural cases examined showed that such opinions may have a considerable impact on the further progress and the outcome of the proceedings. This could be verified with a view to the way in which the cases were settled as well as to the success of the respective legal action. A distinction is to be made with regard to the functional levels of "equal treatment in proceedings" and "peaceful settlement": On the one hand, the right of application objectively strengthens the subject status of the plaintiff by enabling the former to substantially influence the clarification of the facts of the case and ultimately also the outcome of the proceedings. On the other hand, the right of application does not per se contribute to the subjective appeasement of the plaintiff in a sense that a less favourable outcome of the proceedings would be accepted more readily by the former if a physician of their choice has been heard beforehand. The concerns regarding the advance on costs were found confirmed, since the cost risk is an essential factor in the decision on whether or not to make use of one's right of application. The unexceptional charging of an advance payment in practice therefore runs contrary to the purpose of promoting equal opportunities in the proceedings.

As the established legal facts only to a limited extent confirmed the assumptions based on the doctrinal analysis, the question arose as to the interrelation between these findings. Are legal doctrine and empirical law research self-contained closed systems that are immune against mutual influences? Or is legal doctrine open for empirical findings and, if so, where are the breaching points for an integration of these findings?

In any case, legal doctrine must open up for factuality at points where it bases itself on empirical premises. This is the case particularly within the context of a teleological interpretation – for instance with a view to the basic assumption that greater involvement in the procedural process would always lead to a higher level of satisfaction. But even if the court is, by law, granted a certain scope of discretion – such as with the advance on costs – findings from legal

practice may give indications for suitable discretionary criteria that comply with the purpose of the regulation. Conversely, legal doctrine generally remains unaffected by deviating legal practice in those areas where its premises are of a normative character. If applicable in such cases, the legislator can interact and draw conclusions from empirical findings with a view to a modification of the law.

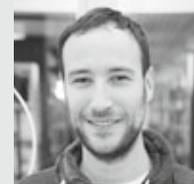
3.15. Non-Nationals in the Welfare State and the Genesis of Transnational Social Rights: Poland and the German Social Insurance from 1918 to 1945

Stefan Stegner

When, under the aegis of Bismarck, German social insurance was created in the 1880s, nobody ever thought – neither during the legislative process nor during the socio-political debate – about whether special laws should apply to non-national workers within social insurance. It was only in around 1900 that first attempts in accident insurance could be observed in terms of providing non-national workers with fewer rights than nationals. Polish agricultural seasonal workers were even completely excluded from accident insurance. As the Polish state did not exist, the exclusion of those workers was not compensated for by bilateral agreements as was the case between some Western European countries. After the First World War, old-age pension insurance was nationalised, too, and the export of benefits to foreign countries was made more and more dependent on the beneficiary's nationality.

In light of the fact that a special treatment of non-nationals in German social insurance did not exist from the very start, the present study addresses the development of special rights for Polish workers in Germany during the period between the end of the First and the end of the Second World War. Fact is that until 1939, a gradual inclusion of Polish migrant workers into German social insurance could be observed, which is to be attributed to diplomatic initiatives on the part of the Polish state, which had come into existence after the end of the First World War. Also the problematic situation of minorities promoted by the Treaty of Versailles provided a basis for comprehensive mutual understanding between the two countries with a view to social insurance.

Against the background of the history of social law coordination, the study inquires the political functionality and rationality of the nationalisation and, subsequently, transnationalisation of social rights. In doing so, it seeks to contribute to the present debate



Stefan Stegner





Nikola Wilman

about the social rights of migrants, which often draws on human rights. The knowledge gained in that regard is of topical concern, since the implementation of social human rights often meets with politically and economically motivated resistance which reflects those historically evolved rationalities. Thus, valuable information can be provided regarding the political and economic conditionalities of the opening process that can be observed in the social security systems.

The study is divided into three conceptual steps. The first chapter points to legal and socio-philosophical approaches regarding the assignment of the individual to a body politic or an organisation of solidarity that can be used for an analysis of the development of positive law during the period under investigation. In this context, the modern nation state is understood as a risk-insurance-association that is determined by the political rationality regarding the efficient administration of human life. In order to define and consolidate this risk association, the nation state applies exclusive practices against migrants, on which the present study will focus in its empirical-historical part.

The historical part addresses, in two chapters, the legal history of the exclusion and inclusion of Polish migrant workers from/in German accident and old-age insurance. The first chapter deals with the period of the German Empire and the First World War as background history, and puts the focus on the social insurance diplomacy that originated in the Weimar Republic, as well as on the subsequent agreements. Their genesis is investigated via the appraisal of archive material of the Reich Ministry of Labour and the German Foreign Office. The second chapter focusses on the situation of Polish workers in social insurance under National Socialism. In this context, the emphasis is on the objective of implementing the "völkisch"-racialized rule in Europe through social insurance, thus turning social insurance into a regulatory instrument of population policy.

Based on the findings obtained, the last chapter attempts to make new suggestions regarding the present debate on social human rights. In this context, it is argued that the human rights discussion is rather to focus on the regulatory structure or attribution problems of social law instead of concentrating on the definition of hardly justiciable minimum standards. Controlling the arbitrariness on the part of the state as to giving and taking social rights could be an important task and also a major opportunity for the legal debate on social human rights.

3.16. Evidence-Based Assessment of Pharmaceuticals as a Basis for Regulatory Decisions – The German SHI and English NHS in Comparison

Nikola Wilman

Innovations in the field of medicinal products contribute substantially to progress in medicine and hence to a rise in life expectancy and quality of life, but, at the same time, they represent a significant cost factor for modern health care systems. The regulation of pharmaceuticals is thus a major political and also scientific topic in all modern health care systems. The safety evaluation of the pharmaceutical product as part of the marketing approval procedure is meanwhile followed by a reimbursement regulation in many countries. What these regulatory systems have in common is an additional assessment of the innovative content and the benefit of the pharmaceutical product beyond the assessment made by the market approval authority, as well as the determination of the economic consequences of the pharmaceutical's integration into the public health market. Moreover, an assessment of cost-efficiency is conducted (in terms of the cost-benefit ratio), either explicitly on the basis of defined decision-making criteria (so-called "value-based pricing"), or implicitly, for example in terms of negotiation mechanisms.

Also with respect to the SHI, the German legislator has adopted the criteria of medical effectiveness and cost efficiency. Statutory benefit assessment of pharmaceuticals was introduced in 2004. In addition, the cost-benefit-assessment of pharmaceuticals through the German Institute for Quality and Efficiency in Health Care (IQWiG) became mandatory in 2007. The intensive methodological discussion, which has been ongoing since but has not yet led to any conclusive results, is one of the main reasons why, with the adoption of the Law for Reforming the Market for Pharmaceuticals (AMNOG) in the beginning of 2011, the determination of an appropriate cost-benefit ratio has been moved to the level of negotiation. However, also the early benefit assessment introduced by the AMNOG, as well as the optionally feasible cost-benefit assessment of newly marketed pharmaceuticals leave numerous questions unanswered as regards methodology and procedure.

The Law stipulates (cf. Art. 139a Para. 4 Sent. 1, Art. 35b Para. 1 Sent. 5 Social Code Book V) that the assessment of (additional) medical benefit is to be conducted in accordance with the internationally recognised standards of evidence-based medicine, and that economic evaluation must be made in line

with the relevant internationally recognised standards, in particular those of health economics. This explicit reference thus extends the discussion on the methodology and procedure of assessment beyond national borders and suggests recourse to the often long-standing experience gained by other countries regarding the systematic Health Technology Assessment (HTA).

One of the most renowned HTA institutions abroad is the National Institute for Health and Care Excellence (NICE). Since 1999 it has, on behalf of the English National Health Service (NHS), been involved in the assessment of new and already existing health technologies and in the elaboration of relevant guidelines.

The specific regulation of the access of pharmaceuticals to public health care is of considerable relevance from a fundamental rights point of view. The sale of pharmaceuticals is part of the constitutionally protected entrepreneurial activity and entrepreneurial freedom. For the individual, the provision with medicines, but also the protection against adverse effects is of existential significance. It is against this background that the dissertation shall, based on a comparison with the assessment system of the English NHS, analyse the role of evidence-based evaluation of pharmaceuticals in the SHI, and evaluate this role from a constitutional perspective. The focus shall be on the following research issues:

- (1) As regards methodology and procedure, how is benefit assessment or, respectively, cost-benefit-assessment implemented in the SHI and in the English NHS?
- (2) To what extent are benefit assessments or, respectively, cost-benefit assessments of pharmaceuticals in the SHI generally limited by constitutional law?
- (3) To what extent are specific aspects of the assessment methodology and assessment procedure compatible with constitutional law? Are the approaches of the assessment system of the NHS more in accordance with constitutional rules?

Doctorates

Supervision:

Ulrich BECKER

2012: Daniela SCHWEIGLER, "Das Recht auf Anhörung eines bestimmten Arztes (§ 109 SGG) – Dogmatische Einordnung und sozialgerichtliche Praxis eines umstrittenen Prozessinstruments", Ludwig-Maximilians-Universität München.

2013: Magdalena NEUEDER, "Behinderung und berufliche Rehabilitation in Deutschland und der Schweiz – Strukturen der Einbindung Dritter in die Erbringung von Sozialleistungen", Ludwig-Maximilians-Universität München.

2014: Ilona VILACLARA, "Kooperative Kostensteuerung in der Versorgung mit medizinischen Hilfsmitteln – ein deutsch-französischer Rechtsvergleich", Ludwig-Maximilians-Universität München.



4. Events

4.1. Symposia, Conferences, Workshops

5 – 6 July 2012

Doctoral Seminar 2012 held by Deutscher Sozialrechtsverband e.V., Max Planck Institute für Social Law and Social Policy, Munich.

Florian Wilksch: Recht auf Krankenbehandlung und dessen Beschränkung

Jessica Völger: Rechtswirkungen von Gutachten und medizinischen Stellungnahmen des Medizinischen Dienstes der Krankenkassen am Beispiel der stationären Abrechnungsprüfung durch die gesetzlichen Krankenkassen

Sandra Isbarn: Stellen zur Bekämpfung von Fehlverhalten im Gesundheitswesen nach den §§ 81a, 197a SGB V

Anna Baumann: Gesundheitskartellrecht – kompetitive Strukturen als ordnungspolitisches Instrument im Gesundheitssektor

Stefan Werner: Die Abwicklung gesetzlicher Krankenkassen nach den §§ 171b ff. SGB V zwischen Insolvenzrecht und Sozialrecht

Marko Urban: Die Qualitätssicherung in der häuslichen Pflege in Deutschland und Österreich

Patrick Zahnbrecher: Werkstorprinzip in der Unfallversicherung

Jeannine Dimmebier: Opferentschädigung als Sozialleistungstatbestand

Jochen Hartmannshenn: Die Regelungssysteme zur Arbeitsmarktintegration behinderter Menschen

Sebastian Philipp Walter: Rechtliche Konsequenzen der Ratifizierung der ILO-Konvention Nr. 189 durch die Bundesrepublik Deutschland

Benjamin Urban: Treu und Glauben im Sozialrecht

Torsten Soffner: Mediation im sozialbehördlichen (Widerspruchs-) Verfahren

23 – 24 July 2012

Symposium: **Social Dimensions of International Law**, in cooperation with Seoul National University, Ritsumeikan University and Ludwig-Maximilians-Universität München, Max Planck Institute für Social Law and Social Policy, Munich.

I. Opening Session

Ulrich Becker: Welcoming remarks

Dean of the Faculty of Law: Welcoming remarks

Seog-Yun Song: Remarks

Masahisa Deguchi: Remarks

II. Introductory Remarks

Rudolf Streinz: Social Dimensions of International Law

III. 1st Round of Presentations

Hyesoo Won: Social Dimension of Sustainable Development

Martin Heidebach: We the People?

Direct Democracy and Large Scale Projects

Hans-Peter Folz: Closing Remarks

IV. 2nd Round of Presentations

Jong-Hyeok Lee: International Protection of Cultural Property: A Northeast Asian Perspective

Christian Gomille: The Forum Delicti Commissi under European Procedural Law

Kimio Yakushiji: Compensation for Damages of Fukushima Accidents: Japanese Domestic Law and the Convention on Supplementary Compensation (CSC)

V. 3rd Round of Presentations

Wonhee Kim: Implications of the ICJ Judgment in Jurisdictional Immunities of the State for War Reparation Proceedings in South Korea

Stephan Lorenz: The Right to Strike between ILO-Standards and Human Rights

Rudolf Streinz: Closing remarks

14 September 2012

Alumni Meeting: **Der Sprung in die Praxis: Vom MPI in die Hochschule, in die Gerichtsbarkeit, in die Politik- und Rechtsberatung**, Max Planck Institute für Social Law and Social Policy, Munich.

Ulrich Becker: Welcome address

Yasemin Körtek: Vom MPI in die Hochschule

Luise Lauerer: Vom MPI in die Gerichtsbarkeit

Christina Walser-Peters: Vom MPI in die Politikberatung

Martin Landauer: Vom MPI in die Rechtsberatung

17 – 18 September 2012

Workshop: **Desigualdades interdependientes en América Latina: Regímenes de bienestar, fiscales y macroeconómicos y desigualdad en América Latina**, in cooperation with desiguALdades.net, Berlin.

Carmelo Mesa-Lago: Análisis comparativo de las características legales y los efectos de las Re-Reformas de las reformas estructurales de privatización en Argentina, Bolivia, Chile y Hungría

Barbara Fritz: La investigación sobre regímenes de bienestar y regímenes fiscales en el contexto de DesiguALdades.net

Ingrid Wehr: Introducción: Regímenes de bienestar en América Latina: ¿frente a un cambio paradigmático? Desafíos empíricos y metodológicos

Juliana Martínez-Franzoni, Diego Sánchez: Los enlaces entre regímenes de bienestar y regímenes de producción

Lorena Ossio: Las reformas de los regímenes de bienestar en América Latina: desafíos para los sistemas legales nacionales

Lena Lávinas: Anti-Poverty Schemes instead of Social Protection. Focus on Brazil

Rodrigo Rodrigues: Regímenes subnacionales de bienestar: posibilidades empíricas, retos metodológicos

María Fernanda Valdés: Crises and Socioeconomic Inequality, Is There a Tax Link?

Barbara Fritz: Policy Space for Emerging Markets?

New Approaches to Capital Flow Management and the Case of Brazil

2 October 2012

Workshop: **Prohibition of Discrimination in Social Security Law**, in cooperation with Konrad Adenauer Stiftung and Universidad Andina Simón Bolívar, La Paz.

Susanne Käss: Palabras de Bienvenida

Ulrich Becker: La prohibición de discriminación en el derecho de la seguridad social

Lorena Ossio: Guía de Casos Prácticos en el derecho de la seguridad social

4 – 5 October 2012

Conference: **La protection sociale: entre rigueur et nouveaux développements**, XXXVIIIe Rencontre Ipse, in cooperation with Eurofound, Dublin.

15 – 16 November 2012

Conference: **Unionsbürgerschaft, Patientenfreizügigkeit und Begrenzung der Ausgaben für Gesundheit**

(Colloque "Citoyenneté européenne, circulation des patients et maîtrise des dépenses de santé"), in cooperation with the Institut de l'Ouest: Droit et Europe (IODE), Université de Rennes 1.

Guy Cathelineau, Edouard Verny, Sylvie Hennion, Otto Kaufmann: Opening of the Conference

I. Auswirkungen der Freizügigkeit auf das Gesundheitswesen

Philippe Pierre: Chair

Sylvie Hennion: Ausgabenbegrenzung im Gesundheitswesen und Personenfreizügigkeit

Otto Kaufmann: Freizügigkeit des EU-Bürgers und die gesetzlichen sowie beruflichen sozialen Sicherungssysteme

Caroline Wagner: Demografische Aspekte der Grenzüberschreitungen aus medizinischen Gründen

Jean-Marie Andre: Die Gesundheitsausgaben in der europäischen Wirtschaft

II. Die Freizügigkeit des EU-Bürgers im Gesundheitswesen

Ulrich Becker: Chair

Laetitia Raze: Wohnsitz des europäischen Patienten und Koordinierung der gesetzlichen Systeme der sozialen Sicherheit

Amandine Giraud: Fragen, die sich für die Umsetzung der Richtlinie 2011/24/EU vom 9. März 2011, insbesondere unter finanzieller Hinsicht stellen

Jean-Philippe Lhernould: Die Zugangsvoraussetzungen zu transnationalen Gesundheitsleistungen

Eva Maria Hohnerlein: Die Vorabgenehmigung für grenzüberschreitende Gesundheitsleistungen

Hans-Joachim Reinhard: Kostenerstattung grenzüberschreitender Gesundheitsleistungen

Marion Del Sol: Missbrauch und Kontrollfunktionen

III. Das Zusammenwirken der Gesundheitssysteme und die Grundrechte der Patienten

Danielle Charles-Le Bihan: Chair

Sylvie Hennion, Otto Kaufmann: Introduction

Dominique Libault: Die Auswirkungen des Rechts der Patientenfreizügigkeit auf die öffentlichen Ausgaben: das Beispiel der allgemeinen Krankenversicherung

Violette Peigné: Grenzüberschreitende ärztliche Versorgung und die Patientendaten: die elektronische Patientenakte (Video)

IV. Expertengespräch: Transnationale Zusammenarbeit im Gesundheitswesen und Gesundheitsausgaben: welche Perspektiven?

Roland Ollivier, Anne Dussap-Köhler: Chair
Dominique Boucher, Gilles Huteau, Rémi Pellet, Danielle Portal, Vincent Rouvet, Carola Giesinger

V. Findings

Anne Laude: Summary

19 November 2012

Symposium: **Sportschiedsgerichtsbarkeit – Rechtsfreier Raum oder gelungene Selbstregulierung?**, co-organised with the Max Planck Institute for Comparative and International Private Law and the Forum on International Sports Law, Hamburg.

Reinhard Zimmermann: Welcome address

Gerhard Wagner: Sportschiedsgerichtsbarkeit – Rechtsfreier Raum oder gelungene Selbstregulierung?

Jens Bredow, Marius Breucker, Martin Schimke: Comments

Ulrich Becker: Chair of discussion

19 March 2013

Expert Workshop: **Individualisierte Gesundheitsversorgung** im Rahmen des BMBF-Verbundprojekts "Individualisierte Gesundheitsversorgung: Ethische, ökonomische und rechtliche Implikationen für das deutsche Gesundheitswesen", in collaboration with the Institute for Ethics, History and Theory of Medicine at Ludwig-Maximilians-Universität München, and Heimholtz Zentrum München.

Georg Marckmann: Welcome address and introduction

Sebastian Schleidgen: Individualisierte Medizin – was ist das? Ergebnisse einer systematischen Literaturrecherche

Sebastian Schleidgen: Individualethische Implikationen der individualisierten Medizin

Simone v. Hardenberg: Individualisierte Medizin und genetische Gesundheitsinformationen – Chancen und Risiken aus rechtlicher Sicht

Wolf Rogowski: Wie soll individualisierte Medizin priorisiert werden? Zur Entwicklung eines europäischen Modells für die Priorisierung genetischer Tests

6 September 2013

Alumn Meeting: **33 Jahre MPI für Sozialrecht & 85 Jahre Gründungsdirektor – Begegnungen mit dem Sozialrecht und der sozialrechtlichen Forschung**, Max Planck Institute für Social Law and Social Policy, Munich.

Ulrich Becker: Welcome address, Bildergeschichte in 3 Aufzügen

Franz Ruland: Die Saarbrücker Zeit

Franz-Xaver Kaufmann: Stationen einer Weggenossenschaft

Bernd Baron von Maydell: Einige sozialrechtliche Fragen aus der Arbeit des Instituts

Hans-Joachim Reinhard: Das "Amerika-Projekt"

Eva Maria Hohnerlein: Das Korrespondentennetz

Maximilian Fuchs: Der Preis der Ungleichheit

Makoto Arai: Eine sozialrechtliche Brücke zwischen Deutschland und Japan



Herbert Szurgacz: Hans F. Zacher in der polnischen Sozialrechtswissenschaftsliteratur
George L. Mpedi: Striking a Balance between Learning from Developed Countries and the Need to be Innovative
Eberhard Eichenhofer: Der Binnenmarkt als sozial-politisches Vorhaben
Rolf Schuler: Zu den Auswirkungen der sogenannten "Nikolausrechtsprechung" des Bundesverfassungsgerichts für die Sozialgerichte
Olga Chesalina: Folgen der Zunahme atypischer Arbeitsverhältnisse für das Sozialrecht
Hans F. Zacher: Concluding remarks

20 – 21 September 2013

International Conference: **Social Rights and Social Policy: in Pursuit of a New European Social Paradigm**, in cooperation with the University of Rijeka and the Jean Monnet Inter-University Centre of Excellence, Opatija, Villa Antonio, Opatija, Croatia.

Ulrich Becker: The Development and Future of European Social Law
Marija Kaštelan Mrak: Perspectives on the Economic Viability of the Social State
Stefan Stegner: From Bilateral Social Security Agreements to Coordination Rules
Hans-Joachim Reinhard: European Trends in Old Age Security
Nada Bodiroga-Vukobrat, Ana Poščić, Adrijana Martinović: Reasons behind the Increasingly Economic and Decreasingly Social Nature of the ECJ Decisions in the Last Decade
Bernd Baron von Maydell: Social Rights in Transition Countries and the Practice of Old EU Member States
Sandra Laleta: The Transition from the World of Employment to the World of Unemployment – A Comparative Analysis of Social Benefits
Gerald G. Sander, Steffen Karcher: The Conflict between Fundamental Market Freedoms and Social Rights: The Case of German Tariftrübesetze
Vesna Crnić-Grotić: International Covenant on Social, Economic and Cultural Rights – A Source of Inspiration or Obligation for EU Member States?
Gian Antonio Benachio: European Union: Nice Girl without Soul
Mira Dimitrić: Personal Bankruptcy in Context of Social Security
Barbara Novak: Decision Making in Dead End in Slovenia
Nataša Žunić Kovačević: Tax Reform and Social Security System
Milan Tómes: The Position of Social Rights in the Czech Constitution/Charter of Fundamental Rights
Mario Jelušić: Social Rights in the Constitutional Order of the Republic of Croatia
Sanja Barić, Matija Miloš: Social Rights in the Republic of Croatia: Scattered to the Four Winds of Regulation
Mario Vinković: Discrimination in Employment Matters in Croatia – At the Crossroads of Legal Provisions, Implementation and Court Interpretation
Anita Blagojević: Social Rights in Economic Crisis – The Role of Local Self-Government
Hana Horak: Cross-Border Companies' Activities and Workers' Social Rights

11 November 2013

Symposium: **Sportförderung – Eine Staatsaufgabe?**, co-organised with the Max Planck Institute for Comparative and International Private Law and the Forum on International Sports Law, Hamburg.

Reinhard Zimmermann: Welcome address
Udo Steiner: Sportförderung – Eine Staatsaufgabe?
Max Munki, Michael Vesper, Markus Weise: Comments
Ulrich Becker: Chair of discussion

5 – 6 December 2013

Colloquium: **The Implementation of Social Rights: A Comparison of Case Studies from Latin America and Europe**, in collaboration with the German Research Institute for Public Administration (FÖV), German University of Administrative Sciences, Speyer.

Karl-Peter Sommermann, Ulrich Becker: Introduction
Karl-Peter Sommermann: Constitutional Requirements for the Implementation of Fundamental Social Rights by Ordinary Legislation
Lorena Ossio Bustillos: Implementation of Social Rights in Latin America
Axel Piesker, Corinna Sicko: Regulatory Impact Assessment and Social Legislation in Germany
Luzius Mader: Social Goals, Social Rights and Legislative Powers in the Field of Social Policy in the Swiss Federal Constitution
Szymon Mazur: Fundamental Social Rights in Brazil
Fabiana de Menezes Soares: Implementation of Social Rights: The Case of Brazil
Manuel Góngora Mera: Implementation of Social Rights: The Case of Colombia
Ricardo García Macho: Fundamental Social Rights in Spain
Dolors Canals Amatller: Regulatory Impact Assessment and Implementation of Social Rights: The Case of Spain
Ulrich Becker: Implementation of Social Rights: Conclusions

14 February 2014

1st German-Czech Legal Dialogue: **Social Rights of Third-Country Nationals**, in cooperation with the Institute of State and Law, Czech Academy of Sciences, Prague, Czech Republic.

Jan Barta, Ulrich Becker: Introduction

I. Grundsatzfragen beim Zugang zu sozialen Rechten

Petr Agha: The Boundaries of Humanness
Ulrich Becker: Migration und soziale Rechte
Martin Štefko: Soziale Rechte von Drittstaatsangehörigen in Tschechien mit verfassungsrechtlichen Bezügen
Eva Maria Hohnerlein: Soziale Rechte von Migranten: Grund- und menschenrechtliche Aspekte

II. Rechtliche Inklusion in einzelnen Lebenslagen

Diana Eschelbach: Zugang zu Leistungen der Kinder- und Jugendhilfe für Drittstaatsangehörige
Tomáš Doležal: Gesundheitsversorgung für Migranten
Adam Doležal: Informed Consent and Problems with Patients' Autonomy

Anemarie Aumann (unable to attend): Spezielle Barrieren beim Zugang zum Arbeitsmarkt
Lenka Bezoušková: Religion und Arbeitsverhältnis

Otto Kaufmann (unable to attend): Closing remarks

27 February 2014

Symposium: **Individualisierte Gesundheitsversorgung in der GKV: Implementierung und Priorisierung** within the framework of the cooperative project of the Federal Ministry of Education and Research (BMBF) "Individualisierte Gesundheitsversorgung: Ethische, ökonomische und rechtliche Implikationen für das deutsche Gesundheitswesen", in collaboration with the Institute for Ethics, History and Theory of Medicine at Ludwig-Maximilians-Universität München, as well as the Institute of Health Economics and Health Care Management (IGM) at Helmholtz Zentrum München, Langenbeck-Virchow-Haus, Berlin.

Georg Marckmann: Welcome address and outline of the cooperative project
Sebastian Schleidgen: Priorisierung individualisierter Gesundheitsversorgung: Ethische Grundlagen und praktische Umsetzung
Silke Schick Tanz: Comment from an ethical point of view
Franziska Severin: Ökonomische Evaluation individualisierter Gesundheitsversorgung: Das Beispiel Darmkrebs
Uwe Siebert: Comment from an health-economic point of view
Stefan Lange: Priorisierung individualisierter Gesundheitsversorgung: Welche Anforderungen sind aus der Sicht des IQWiG zu stellen?
Simone von Hardenberg: Individualisierte Medizin für Patienten der GKV: Möglichkeiten und Grenzen aus rechtlicher Sicht
Christian Dierks: Comment from a legal point of view
Ulrich Becker: Chair

Panel Discussion: Priorisierung individualisierter Gesundheitsversorgung – Umsetzungsperspektiven im deutschen Gesundheitswesen:
Regina Klakow-Franck, Bernhard Egger, Gerd Maass, Michael Hennrich, Stefan Lange, Wolf-Dieter Ludwig
Georg Marckmann: Summary and outlook

30 June 2014

Workshop: **Soziale Sicherung und die Post2015-Agenda**, in collaboration with Universität Bochum, Institut für Entwicklungsforschung und Entwicklungspolitik (IEE), Max Planck Institute für Social Law and Social Policy, Munich.

I. Keynote speeches as an introduction to the topic

Heiner Janus: Die Post2015-Global Agenda
Markus Kaltenborn: Der rechtliche Rahmen globaler sozialer Sicherung
Markus Loeve: Globale soziale Sicherung aus polit-ökonomischer Perspektive
Michael Cichon: Social Protection Floor, Post2015-Agenda und die Zivilgesellschaft

II. Globale soziale Sicherung aus der Perspektive unterschiedlicher Akteure

Ulrich Becker: Globale soziale Sicherung als Thema der Sozialrechtsforschung

Ingolf Dietrich: Soziale Sicherung in der Debatte um die Post2015-Agenda – Die Position der Bundesregierung

Helmut Schwarzer: Soziale Sicherungssysteme im globalen Süden – Beispiel Brasilien

Gabriele Köhler: Globale soziale Sicherung als Aufgabe der Vereinten Nationen

Rudi Delarue: Promotion of Social Protection in the World by EU External Policies and Actions

Johanna Knoess: Soziale Sicherung als Aufgabe der bilateralen Entwicklungszusammenarbeit

4 July 2014

Workshop: **Non-Discrimination, Human Rights and Social Inequalities: Latin America and Global Perspectives**, in cooperation with desiguALdades.net, Boltzmannstr. 1, Berlin.

1st Session: Law and Social Inequalities in Latin America

Lorena Ossio: La influencia de la normativa internacional en la configuración de la legislación nacional antidiscriminatoria latinoamericana: hacia una "Buena legislación"? – Caso de la CRPD y los países andinos
Belén Olmos: Rethinking Environmental Justice and Access to Water in Latin America: The Contribution of the Latin American Water Tribunal

Manuel Gongora-Mera: Discriminación y derecho a la salud a la luz de experiencias judiciales latinoamericanas
Magdalena Benavente Larios: Intersexualidad en menores de edad y el principio de autonomía
Ligia Fabris: The Role of the Concept of Harm in the Recognition of Transgenders' Rights in Brazil and Germany
Laura Aguirre: Trafficking, Human Rights and Moral Discourses: New Spaces of Violence and Inequality

2nd Session: Human Rights and Equality from a Global Perspective

Sérgio Costa: Minority Rights and Negotiation of Differences in Latin America
Ulrich Becker: Prohibition of Discrimination in Social Security Law
Flavia Piovesan: Human Rights, Equality and Non-Discrimination in the Global System and Inter-American Regional System

10 November 2014

Symposium: **Die Athletenvereinbarung – privat-autonome Gestaltung oder Grundrechtseingriff?**, co-organised with the Max Planck Institute for Comparative and International Private Law and the Forum on International Sports Law, Hamburg.

Reinhard Zimmermann: Welcome address
Jens Adolphsen: Die Athletenvereinbarung – privat-autonome Gestaltung oder Grundrechtseingriff?
Franz Steinle, Thomas Summerer, Munkhbayar Dorjsuren: Comments
Ulrich Becker: Chair of discussion



4.2. Guest Lectures

13 September 2012

Prof. Dr. Carmelo **MESA-LAGO**, University of Pittsburgh, United States: "Comparative Analysis of Legal Features and Effects of Re-reforms of Pension Structural Reforms – Privatization – in Argentina, Bolivia, Chile and Hungary".

21 November 2012

Prof. Dr. Katja **BENDER**, International Centre for Sustainable Development, Hochschule Bonn-Rhein-Sieg: "Soziale Sicherung in Entwicklungsländern: Erfolgreiche Armutsreduzierung oder politisches Wunschdenken? – Das Beispiel der sozialen Absicherung im Krankheitsfall".

28 November 2012

Prof. Dr. Marina Y. **FEDOROVA**, International Centre for Sustainable Development, Hochschule Bonn-Rhein-Sieg: "Das Konzept der erworbenen sozialen Rechte in der russischen Theorie und Praxis des Sozialrechts ("Концепция приобретенных социальных прав в российской теории и практике социального обеспечения").

11 December 2012

Prof. Dr. Konstantinos **KREMALIS**, National and Kapodistrian University of Athens: "Sozialrechtliche Reformen von einer verfassungsrechtlichen Perspektive am Beispiel des Schuldenschnitts der griechischen Anleihen".

12 April 2013

László **ANDOR**, EU Commissioner for Employment, Social Affairs and Inclusion, Brussels, Belgium: "The Employment and Social Situation – Europe's Social Crisis: Is there a Way Out?".

11 July 2013

Prof. Dr. Flavia **PIOVESAN**, Pontifical Catholic University of São Paulo, Brazil: "Human Rights, Diversity and Affirmative Action".

8 January 2014

Xi **LIN**, Southwestern University of Finance and Economics Chengdu, Sichuan Province, PR China: "Different Retirement Pathways in China".

9 April 2014

Prof. Dr. Yu-Jun **LEE**, Department of Public Policy and Administration, National Chi-Nan University, Puli, Taiwan: "Der Rechtsrahmen für die Soziale Wohnungspolitik in Deutschland".

7 May 2014

Gabriella **BERKI**, University of Szeged, Department of Labour Law and Social Security Szeged, Hungary: "Free Movement of Patients within the EU? Current Flaws and Obstacles".

3 June 2014

Dirk **GILLIS**, Ghent University, Department of Social Law, Belgium: "Some Preliminary Thoughts on Legal Remedies, Impediments and Pitfalls when Tackling (Crossborder) (Organised) Social Fraud".

18 June 2014

Dr. Jeff **KING**, University College London, UK, "The Lessons of the Sozialstaatsprinzip for Comparative Constitutional Law – A Research Agenda".

9 July 2014

Xi **LIN**, Southwestern University of Finance and Economics Chengdu, province Sichuan China: "A Study of Retirement Institutions: the Framework and the Practice in China".

10 July 2014

Prof. UAM Dr. habil. Daniel Eryk **LACH**, LL. M., Member of the Research and Analysis Office at the Supreme Court (Warsaw) and Professor at the Faculty of Law and Administration of Adam Mickiewicz University in Poznań, Poland: "Die Patientenrechte-Richtlinie und die sozialrechtliche Koordinierung".

3 December 2014

Prof. UAM Dr. habil. Daniel Eryk **LACH**, LL. M., Member of the Research and Analysis Office at the Supreme Court (Warsaw) and Professor at the Faculty of Law and Administration of Adam Mickiewicz University in Poznań, Poland: "Organisation (Akteure und Verhältnisse) im polnischen System der Gesundheitsfürsorge".



László Andor (EU Commissioner for Employment, Social Affairs and Inclusion) holding a guest lecture at the MPI for Social Law and Social Policy in Munich.

4.3. Visitors and Delegations

1 – 14 February 2012 and April – June 2012

Research stay of Dr. Julinda Beqiraj, University of Trento.

Support: *Eva Maria Hohnerlein.*

August – September 2012

Research stay of Prof. Dr. Carmelo Mesa-Lago, Pittsburgh.

Support: *Eva Maria Hohnerlein.*

September – November 2012

Research stay of Zhou Zhihua, research fellow of the Legislative Affairs Office (LAO) of Shanghai.

Support: *Eva Maria Hohnerlein.*

26 – 28 November 2012

Assistant to the visiting professor from the Russian Federation Prof. Dr. Fedorova.

Support: *Olga Chesalina.*

15 January 2013

Meeting for a delegation of PUCRS Porto Alegre, Brazil, under the leadership of Prof. Dr. Joaquim Clotet, Rector of PUCRS.

Support: *Eva Maria Hohnerlein, Lorena Ossio.*

22 March 2013

Meeting for a delegation of the Institute for Monitoring of Current Legislation under the President of the Republic of Uzbekistan, promoted by the German Foundation for International Legal Cooperation (IRZ).

Support: *Eva Maria Hohnerlein, Hans-Joachim Reinhard, Annemarie Aumann, Olga Chesalina.*

14 May 2013

Meeting hosted for a visiting group of students of the Corporación Universitaria Empresarial Alexander von Humboldt, from Columbia, funded by DAAD.

Support: *Lorena Ossio, Eva Maria Hohnerlein, Annemarie Aumann, Lilia Medvedev.*

22 August 2013

Briefing with Prof. Dr. Daisuke Takahashi, Ibaraki University Japan, on family and youth assistance law.

Support: *Eva Maria Hohnerlein and Diana Eschelbach.*

18 October 2013

Meeting for a delegation of the Universidade do Oeste de Santa Catarina, Social Rights Research Group, Brazil, with Prof. Dr. Rogério Nery and Major Wagner de Souza.

Support: *Eva Maria Hohnerlein and Hans-Joachim Reinhard.*

25 April 2014

Meeting for a delegation of university teachers and students from the faculty of law of Buryat State University, Ulan Ude, Republic of Buryatia, Russian Federation (under the leadership of the Dean of the Faculty of Law, Viktor Melnikov).

Support: *Eva Maria Hohnerlein, Hans-Joachim Reinhard, Lilia Medvedev.*



Delegation of Buryat State University under the supervision of Viktor Melnikov (front row, centre).



5. Publications

Ulrich BECKER

— Die Entwicklung der deutschen Kranken- und Pflegeversicherung angesichts von Geburtenrückgang und einer alternden Gesellschaft. In: Japanisches Kulturinstitut Köln (ed.), Vorträge und Aufsätze zum 150. Jubiläum der deutsch-japanischen Freundschaft. Munich 2012, pp. 28-41.

— Die Finanzmarktkrise und die Zukunft der Arbeits- und Sozialrechtsordnungen – Krisenbewältigung und grundlegender Reformbedarf im Rechtsvergleich – 33. Tagung der Gesellschaft für Rechtsvergleichung, Fachgruppe Arbeits- und Sozialrecht, Trier, 15 – 17 September 2011. Einführung. In: Zeitschrift für ausländisches und internationales Arbeits- und Sozialrecht (ZIAS) 26 (2012) 2, pp. 121-124.

— Leistungen für langjährige Rentenversicherte in Südeuropa – Eine rechtsvergleichende Analyse. In: Zeitschrift für ausländisches und internationales Arbeits- und Sozialrecht (ZIAS) 26 (2012) 1, pp. 1-15.

— Das Opferentschädigungsgesetz im europäischen Kontext. In: Weisser Ring e.V. (ed.), Moderne Opferentschädigung. Baden-Baden 2012, pp. 71-82.

— Organisation und Selbstverwaltung der Sozialversicherung. In: Bernd von Maydell/Franz Ruland/Ulrich Becker (eds.), Sozialrechtshandbuch. 5th ed. Baden-Baden 2012, pp. 673-694.

— Preamble, Re-Reforms of Privatized Pension Systems in the World. In: Zeitschrift für ausländisches und internationales Arbeits- und Sozialrecht (ZIAS) 26 (2012) 3, pp. 189-190.

— Prohibition of Discrimination in Social Security Law. In: Pravník 67 (2012) 3/4, pp. 229-248.

— Der Schutz der Kommunen vor Aufgabenänderungen, Aufgabenübertragungsverbot und Konnexitätsgebot am Beispiel des Bildungs- und Teilhabepakets und des Vormundschaftsänderungsgesetzes. Gutachten. Materialien hrsg. von Städtetag Nordrhein-Westfalen. Cologne 2012.

— Die Sozialpolitik im Spannungsverhältnis von Nationalstaat und supranationalen Institutionen. In: Sozialer Fortschritt (SF) 61 (2012) 5, pp. 86-92.

— Unionsrechtliche Vorgaben für die Arbeitnehmerfreizügigkeit. In: Ulrich Becker/Bernd von Maydell/Herbert Szurgacz (eds.), Die Realisierung der Arbeitnehmerfreizügigkeit im Verhältnis zwischen Deutschland und Polen aus arbeits- und sozialrechtlicher Sicht. Baden-Baden 2012, pp. 65-74.

—; Bauschke, Hans-Joachim: Bericht über den XX. Weltkongress der IGRASS. In: Neue Zeitschrift für Arbeitsrecht (NZA) 29 (2012) 24, pp. XI-XII.

—; Kingreen, Thorsten (eds.): SGB V. Gesetzliche Krankenversicherung. Kommentar. 3rd ed. Munich 2012.

—; Kingreen, Thorsten: Einführung. In: Ulrich Becker/Thorsten Kingreen (eds.), SGB V. Recht des öffentlichen Gesundheitswesens. 17th ed. Munich 2012, pp. VII-XXXVI.

—; von Maydell, Bernd; Szurgacz, Herbert (eds.): Die Realisierung der Arbeitnehmerfreizügigkeit im Verhältnis zwischen Deutschland und Polen aus arbeits- und sozialrechtlicher Sicht. Baden-Baden 2012.

von Maydell, Bernd; Ruland, Franz; —: Sozialrechtshandbuch. 5th ed. Baden-Baden 2012.

—; Meeßen, Iris; Neueder, Magdalena; Schlegelmilch, Michael; Schön, Markus; Vilaclara, Ilona: Strukturen und Prinzipien der Leistungserbringung im Sozialrecht (Teil 2). In: Vierteljahresschrift für Sozialrecht (VSSR) 30 (2012) 1, pp. 1-47.

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Schwarze, Jürgen; —; Hatje, Armin; Schoo, Johann: EU-Kommentar. 3rd ed. Baden-Baden 2012.

—; Schweitzer, Heike: Wettbewerb im Gesundheitswesen – Welche gesetzlichen Regelungen empfehlen sich zur Verbesserung eines Wettbewerbs der Versicherer und Leistungserbringer im Gesundheitswesen? In: Neue juristische Wochenschrift (NJW) Teil 3 (2012), pp. 82-86.

—; Schweitzer, Heike: Wettbewerb im Gesundheitswesen – Welche gesetzlichen Regelungen empfehlen sich zur Verbesserung eines Wettbewerbs der Versicherer und Leistungserbringer im Gesundheitswesen? Gutachten B zum 69. DJT. Munich 2012.

Schweitzer, Heike; —: Preisregulierung und Wettbewerb in der Arzneimittelversorgung der gesetzlichen Krankenversicherung (Teil 1). In: Wettbewerb in Recht und Praxis (WRP) (2012) 4, pp. 382-388.

Schweitzer, Heike; —: Preisregulierung und Wettbewerb in der Arzneimittelversorgung der gesetzlichen Krankenversicherung (Teil 2). In: Wettbewerb in Recht und Praxis (WRP) (2012) 5, pp. 533-539.

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— Art. 3, 7, 50-52 EUV (gemeinsame und abschließende Bestimmungen). In: Jürgen Schwarze/Ulrich Becker/Armin Hatje/Johann Schoo (eds.), EU-Kommentar. 3rd ed. Baden-Baden 2012, pp. 67-73, 138-142, 389-395.

— Art. 34-36 AEUV (Warenverkehrsfreiheit). In: Jürgen Schwarze/Ulrich Becker/Armin Hatje/Johann Schoo (eds.), EU-Kommentar. 3rd ed. Baden-Baden 2012, pp. 572-632.

— Art. 48 AEUV (Koordinierung der sozialen Sicherheit). In: Jürgen Schwarze/Ulrich Becker/Armin Hatje/Johann Schoo (eds.), EU-Kommentar. 3rd ed. Baden-Baden 2012, pp. 749-767.

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— Art. 222 AEUV (Solidaritätsklausel). In: Jürgen Schwarze/Ulrich Becker/Armin Hatje/Johann Schoo (eds.), EU-Kommentar. 3rd ed. Baden-Baden 2012, pp. 2033-2037.

— Art. 335, 343, 344, 349, 354-356 AEUV (allgemeine und Schlussbestimmungen). In: Jürgen Schwarze/Ulrich Becker/Armin Hatje/Johann Schoo (eds.), EU-Kommentar. 3rd ed. Baden-Baden 2012, pp. 2497-2500, 2559-2562, 2578-2579, 2596-2603.

— §§ 107-110, 112-115b, 116-118, 120-122 SGB V (Krankenhausrecht). In: Ulrich Becker/Thorsten Kingreen (eds.), SGB V. Gesetzliche Krankenversicherung. Kommentar. 3rd ed. Munich 2012, pp. 897-925, 938-964, 965-998, 1005-1021.

— §§ 135a, 137-137c, 137e, 306-307, 318 SGB V (Qualitätssicherung, Erprobung, Straf- und Bußgeldvorschriften, Übergangsvorschriften). In: Ulrich Becker/Thorsten Kingreen (eds.), SGB V. Gesetzliche Krankenversicherung. Kommentar. 3rd ed. Munich 2012, pp. 1184-1187, 1189-1206, 1209-1216, 1768-1771, 1786-1787.

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Annemarie AUMANN

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Olga CHESALINA

— *Verfassungsrechtlicher Schutz von Sozialversicherungsansprüchen in Deutschland und in Russland, Materialien der dritten internationalen wissenschaftlich-praktischen Konferenz "Rechtswissenschaft als Rechtsgrundlage der innovativen Entwicklung in Russland".* Moscow 2012, pp. 195-198.

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— Freiburger Kreise – ihr Ort in der europäischen Geschichte. In: Hans Maier (ed.), Die Freiburger Kreise. Akademischer Widerstand und Soziale Marktwirtschaft. Paderborn 2014, pp. 245-258.

— Geburt, Entwicklung und Krise der Sozialen Marktwirtschaft. In: Hans Maier (ed.), Die Freiburger Kreise. Akademischer Widerstand und Soziale Marktwirtschaft. Paderborn 2014, pp. 195-205.

6. Papers and Lectures

6.1. Papers

Ulrich BECKER

"Selbständigkeit und Abhängigkeit der Dogmatik des Sozialrechts", welcome address and chair of discussion. Sozialrechtslehrertagung Hannover 2012, Leibniz-Universität Hannover (23 February 2012).

"Die Entwicklung der deutschen Kranken- und Pflegeversicherung angesichts von Geburtenrückgang und einer älter werdenden Gesellschaft". Symposium: "Fort-schreitender Geburtenrückgang und alternde Gesellschaft in Deutschland und Japan – Wohin führt Japans Weg im Zeitalter der über 80-Jährigen?", Aoyama Gakuin University, Tokyo, Japan (8/9 March 2012).

"Das Soziale im Primärrecht (Grundfreiheiten und Wettbewerbsrecht)". Symposium 20 Jahre Zentrum: "Grundfragen der europäischen Union", Teil 1: Die Entwicklung der Union zu einem "sozialen Europa", University of Bonn, Zentrum für Europäisches Wirtschaftsrecht, Bonn (27 April 2012).

"Aufgaben und Handlungsspielräume der Kommune". Expert Conference: Inklusion und Sozialraum – Behinderntenrecht und Behindertenpolitik in der Kommune, Max Planck Institute for Social Law and Social Policy, Munich (18 June 2012).

"Social Dimensions of International Law", welcome address and chair of discussion. Symposium, Ludwig-Maximilians-Universität München, Deutscher-Akademischer-Austauschdienst (DAAD), Ritsumeikan University Kyoto, Max Planck Institute for Social Law and Social Policy, Munich (23 – 24 July 2012).

"Posthumously Conceived Children and their (In) eligibility for Survivors Benefits: Implications for the South African Social Security System", responding remarks to the inaugural lecture of Prof. Letlhokwa George Mpedi, University of Johannesburg, Johannesburg, South Africa (22 August 2012).

"Der Sprung in die Praxis: Vom MPI in die Hochschule, in die Gerichtsbarkeit, in die Politik- und Rechtsberatung", welcome address and chair of discussion. Alumni Meeting, Max Planck Institute for Social Law and Social Policy, Munich (14 September 2012).

"Wettbewerb im Gesundheitswesen – Welche gesetzlichen Regelungen empfehlen sich zur Verbesserung eines qualitätsorientierten Wettbewerbs der Versicherer und Leistungserbringer im Gesundheitswesen?". 69. Deutscher Juristentag, Munich (19 – 20 September 2012).

"Die europäische Unionsbürgerschaft". Colloquium: "Die jüngere Rechtsentwicklung der EU", Europa-Institut Freiburg e.V., Institut für Öffentliches Recht, Abt. Europa- und Völkerrecht, University of Freiburg (22 September 2012).

"Diskriminierungsverbot im Sozialrecht". Workshop: "La prohibición de discriminación en el derecho de la seguridad social", Konrad-Adenauer-Stiftung, La Paz, Bolivia (2 October 2012).

"Rentenreform in Europa". Noche Parlamentaria: "La crisis global de los sistemas de pensiones", Fundación de Apoyo al Parlamento y la Participación Ciudadana, La Paz, Bolivia (4 October 2012).

"Citoyenneté européenne, circulation des patients et maîtrise des dépenses de santé", chair of discussion. Colloque international, Université de Rennes 1, Rennes, France (15 – 16 November 2012).

"Sportschiedsgerichtsbarkeit – Rechtsfreier Raum oder gelungene Selbstregulierung?", chair of discussion. Symposium, Max Planck Institute for Comparative and International Private Law, Hamburg (19 November 2012).

"Wettbewerb und Wettbewerbsrecht in der Sozialversicherung". 18. Münsterische Sozialrechtstagung: "Wirtschaftsrecht und Sozialrecht – Unversöhnliche Gegensätze?" Münsterische Sozialrechtsvereinigung e.V., Münster (30 November 2012).

"Die Zukunft der Alterssicherung in einer älter werdenden Gesellschaft". Symposium: "Aktuelle arbeitsrechtliche Herausforderungen in Japan und Deutschland", University of Cologne and The Japan Foundation, Cologne (10 January 2013).

"Issues of solidarity", welcome address and chair of discussion. Workshop, University of Groningen, Netherlands (1 March 2013).

"The Employment and Social Situation – Europe's Social Crisis: Is there a Way Out?", welcome address and introduction. Lecture held by László Andor, EU Commissioner for Employment, Social Affairs and Inclusion Brussels, Max Planck Institute for Social Law and Social Policy, Munich (12 April 2013).

"Social Law and Social Policy in Times of Financial Crisis – A European Perspective", 9th International Conference on Social Security, Renmin University of China, Hangzhou, China (23 – 26 August 2013).

"Die Entwicklungstendenz der deutschen und europäischen Gesundheitssicherung", Zhongnan University, Changsha, China (27 – 28 August 2013).

"EU-Sozialgesetzgebung und die Koordinierung von Altersrenten". Conference: "Aktuelle Entwicklungen und Herausforderungen der Gesetzgebung zur sozialen Sicherung in China und Deutschland", Renmin University, Friedrich-Ebert-Stiftung, Beijing, China (31 August 2013).

"Begegnungen mit dem Sozialrecht und der sozialrechtlichen Forschung", welcome address and chair of discussion. Alumni Meeting, Max Planck Institute for Social Law and Social Policy, Munich (6 September 2013).

"The Development and Future of European Social Law". International Conference: "Social Rights and Social Policy in pursuit of a new European Social Paradigm", University of Rijeka, Jean Monnet Inter-University Centre of Excellence Opatija, Max Planck Institute for Social Law and Social Policy Munich, Opatija, Croatia (20 September 2013).

"Rechtsfragen der Ambulanten Spezialfachärztlichen Versorgung (ASV) aus der Sicht der Rechtswissenschaft", keynote speech and Q&A session. Juristischer Arbeitskreis des Gemeinsamen Bundesausschusses: "Mindestmengenregelung – ein Neuanfang und ausgewählte Rechtsfragen der ambulanten spezial-fachärztlichen Versorgung", Berlin (25 September 2013).



"Sozialrechtliche Forschung". First visit of Prof. Dr. Martin Stratmann, Max Planck Institute for Social Law and Social Policy, Munich (9 October 2013).

"Sportförderung – Eine Staatsaufgabe?", chair of discussion. Symposium, Max Planck Institute for Comparative and International Private Law, Hamburg (11 November 2013).

"Verfassungsrechtliche Vorgaben für Sozialversicherungsreformen". Meiji University, Tokyo, Japan (21 October 2013).

"Sozialrecht und Sozialpolitik des Alterns", welcome address and chair of discussion. 1st MPISOC Annual Conference, Munich (15 November 2013).

"The Implementation of Social Rights". Seminário Internacional de Direitos Sociais, Instituto Brasileiro de Direito Público: "A implementação dos Direitos Sociais em perspectiva latino-americana", Brasília, Brazil (22 November 2013).

"The Right to Health in Germany". Workshop: "Project Right to Health", Pontifícia Universidade Católica do Rio Grande do Sul Porto Alegre, Brasília, Brazil (23 November 2013).

"The Implementation of Social Rights". Escola Judicial do Tribunal, Regional do Trabalho, University, Belo Horizonte, Brazil (25 November 2013).

"Demographischer Wandel und Gestaltung der sozialen Sicherungssysteme. Grenzen und Spielräume zur Lösung von Verteilungskonflikten innerhalb und zwischen den Generationen". 8. Berliner Rechtspolitische Konferenz: "Der demographische Wandel als Herausforderung für das Recht", Konrad-Adenauer-Stiftung, Berlin (29 November 2013).

"Implementation of Social Rights: Conclusions". Colloquium: "The Implementation of Social Rights: A Comparison of Case Studies from Latin America and Europe", German University of Administrative Sciences, Speyer (5 – 6 December 2013).

"Soziale Sicherheit in einer alternden Gesellschaft". Münchener Juristische Gesellschaft e.V., Munich (21 January 2014).

"Überblick über die systematische Rechtsentwicklung der Alterssicherungssysteme in Europa". FNA Annual Conference 2014: "Alterssicherung und die Entwicklung in Europa", Berlin (23 – 24 January 2014).

"Historisch-gesellschaftspolitische Einordnung der sozialen Selbstverwaltung in Deutschland". Gesundheitspolitische Tagung der Siemens Betriebskrankenkasse: Feigenblatt Selbstverwaltung, Berlin (11 February 2014).

"Migration und soziale Rechte". 1st German-Czech Legal Dialogue: "Soziale Recht von Drittstaatsangehörigen", Prague (14 February 2014).

"Wettbewerbsrecht im Gesundheitswesen" aus Sicht der Wissenschaft. 9. Medizinrechtliche Jahresarbeits-tagung im Gemeinsamen Bundesausschuss des Deutschen Anwaltsinstituts DAI, Berlin (28 February – 1 March 2014).

"Legal Aspects of Personalised Medicine". Symposium: "Personalised Medicine: New Medical and Social Challenges", University of Rijeka, Croatian Academy of Science and Arts, Rijeka, Croatia (7 March 2014).

"Die Entwicklung der differenzierten Integration". Polish-German Symposium: "Verfassungsrechtliche Aspekte der Mitgliedschaft in der Europäischen Union im polnisch-deutschen Vergleich", Kanzlei des Sejm und Institut für Ostrecht der Universität zu Köln, Warsaw (16 – 18 March 2014).

"Mehrleistungsausgleichspflicht der Länder bei bundesgesetzlichen Aufgabennormierungen". Professorenge-spräch, DLT Deutscher Landkreistag, Budenheim near Mainz (24 – 25 March 2014).

"Forschung der Abteilung für ausländisches und internationales Sozialrecht". Meeting of the Board of Trustees, Max Planck Institute for Social Law and Social Policy, Munich (24 May 2014).

"Die Sozialstaatlichkeit der Europäischen Union". Colloquium in honour of Prof. Dr. Dr. h.c. Jürgen Schwarze: "Zwischen Krise und Bewährung: Verfassungszustand und Verfassungsentwicklung der Europäischen Union", Landes-vertretung Baden-Württemberg, Berlin (27 – 28 June 2014).

"Globale soziale Sicherung als Thema der Sozialrechtsforschung". Workshop: "Soziale Sicherung und die Post2015-Agenda", Max Planck Institute for Social Law and Social Policy, Munich (30 June 2014).

"Wissenschaftliche Forschung zum Sozialrecht – Bilanz und Perspektiven aus Sicht der Rechtswissenschaften". FNA-Workshop: "Sozialpolitik und Sozialrecht – Bilanz und Perspektiven für die wissenschaftliche Forschung", Deutsche Rentenversicherung Bund, Berlin (4 July 2014).

"Prohibition of Discrimination in Social Security Law". Workshop: "Non Discrimination, Human Rights and Social Inequalities: Latin American and Global Perspectives", Berlin (4 July 2014).

"Rechtliche Grundlagen der beruflichen Teilhabe von Menschen mit Behinderungen". Conference: "Homo Faber Disabilis? – Teilhabe am Erwerbsleben", Max Planck Institute for Social Law and Social Policy, Munich (7 – 8 July 2014).

"Denkschrift 60 Jahre Bundessozialgericht". Presentation to the Federal President, Kassel (11 September 2014).

"60 Jahre Sozialgerichtsbarkeit in Bayern". Ceremonial address on the occasion of the 60th anniversary of social jurisdiction, Gerolfingen near Hesselberg (16 September 2014).

"Security from a Legal Perspective". EISS 2014 Yearly Conference: "Social Integration through Social Security", Leuven, Belgium (10 October 2014).

"Armutsmigration in der Europäischen Union" Fakten, Problemfelder, Lösungsansätze. Max Planck Forum, Munich (15 October 2014).

"Armutsmigration in der Europäischen Union". University of Applied Labour Studies of the Federal Employment Agency, Mannheim (22 October 2014).

"Rechtsprechung des BSG und Handlungsspielräume des Gesetzgebers". Congress: "Spaltung der Anwaltschaft und Folgen für die Freien Berufe verhindern" of vbw-Vereinigung der Bayerischen Wirtschaft e.V., Munich (28 October 2014).

"Der europäische soziale Rechtsstaat". 10th SIPE Conference (Societas Iuris Publici Europaei): "Die Zukunft des Sozialen Rechtsstaates in Europa", Athens (31 October 2014).

"Die Athletenvereinbarung – privatautonome Gestaltung oder Grundrechtseingriff?", chair of discussion. Symposium, Max Planck Institute for Comparative and International Private Law, Hamburg (10 November 2014).

"Sozialstaatlichkeit in der Europäischen Union". 2nd MPISOC Annual Conference, Lenbach-Palais, Munich (14 November 2014).

Olga CHESALINA

Consecutive translation from Russian into German. Guest lecture held by Prof. Dr. Fedorova (Russian Federation): "Концепция приобретенных социальных прав в российской теории и практике социального обеспечения [The concept of acquired social rights in Russian social law theory and practice]", Max Planck Institute for Social Law and Social Policy, Munich (28 November 2012).

"Sozialrechtliche Aspekte der Menschenwürdegarantie (am Beispiel der Bundesrepublik Deutschland)". 9th International Scientific-Practical Conference: "Wege der Realisierung eines Programms für menschenwürdige Arbeit und menschenwürdige soziale Sicherheit in Russland", Moscow State Law Academy, Russia (30 May 2013).

"Temporary Employment in the Russian Federation". Conference: "Labour Law Research Network Inaugural Conference", Pompeu Fabra University, Barcelona, Spain (15 June 2013).

"Atypical Employment Relationships in Germany and Its Consequences for Social Security". 12th International Conference in memory of Prof. Marco Biagi: "Labour and Social Rights: An Evolving Scenario", Marco Biagi Foundation, University of Modena and Reggio Emilia, Italy (18 March 2014).

Tineke DIJKHOFF

"The Contested Value of International Social Security Standards in the European Union". Scientific Advisory Board Meeting, Max Planck Institute for Social Law and Social Policy, Munich (29 March 2012).

"The ILO Social Protection Floor Recommendation: Bringing Social Security to Workers in the Informal Economy?". International Labour Law and Social Protection Conference, Faculty of Law and Centre for International and Comparative Labour and Social Security Law (CICLASS), University of Johannesburg, South Africa (29 August 2012).

"Reform of the Dutch Care System by the New Government". Max Planck Institute for Social Law and Social Policy, Munich (5 December 2012).

"Reinforcing Decentralisation: An Upgrade of the Dutch Social Support Act". Max Planck Institute for Social Law and Social Policy, Munich (12 December 2012).

"The ILO Social Protection Floor Recommendation – Basic Principles for Innovative Solutions". Max Planck Institute for Social Law and Social Policy, Munich (19 June 2013).

"The Draft Dutch Social Support Act 2015: Between Local Tasks and Central Regulations". Max Planck Institute for Social Law and Social Policy, Munich (5 December 2013).

"The Development of European Social Security Standards". Workshop: "Opposition Sessions European Social Security Law – Edward Elgar Research Handbook", University of Groningen, Netherlands (26-27 September 2014).

Dafni DILIAGKA

"The Legal Protection of Vested Pension Rights". Annual Conference: "Pension Systems in the Crisis: Response and Resistance", European Institute for Social Security, Budapest, Hungary (20 September 2012).

"The Proper Functioning of the EMU as a Legitimate National Interest". Conference: "The National Interest in European Union Law and Governance", Hungarian Academy of Sciences, Budapest, Hungary (3 July 2014).

"The Reforms of the Greek Public Pension System under the View of the Financial Crisis". Annual Conference: "Beyond the Crisis in Europe", ESPANet, Oslo, Norway (4 September 2014).

Diana ESCHELBACH

"Aktuelle Rechtsfragen der Pflegekinderhilfe: Auswirkungen des Bundeskinderschutzgesetzes – Sicherung der Hilfekontinuität". ASD-Leiter-Tagung des Deutschen Vereins für öffentliche und private Fürsorge e.V., Berlin (9 October 2012).

Chair and input. Working group: "Kinder in Pflegefamilien – Schritte zur Qualitätsentwicklung durch das Jugendamt" (with Holger Gläss), "Zweijahrestagung" des Deutschen Instituts für Jugendhilfe und Familienrecht e.V. (DIJuF), Berlin (24 October 2012).

Chair and input. Working group: "Zuständigkeitsstreit und Kostenerstattung – eine Steuerungsaufgabe für Leitung", "Zweijahrestagung" des Deutschen Instituts für Jugendhilfe und Familienrecht e.V. (DIJuF), Berlin (25 October 2012).

"Auswirkungen des neuen Kinderschutzgesetzes auf die Pflegekinderhilfe". Meeting of the expert group: "Qualität in der Pflegekinderhilfe", LVR-Landesjugendamt Rheinland, Cologne (13 November 2012).

"Rechtliche Grundlagen der Hilfen für benachteiligte Kinder und Jugendliche in Deutschland". Expert exchange hosted by the Japanese-German Center, Berlin (27 November 2012).

"Soziale und berufliche Integration junger Menschen – Rechtliche Grundlagen der Schnittstellen zwischen den Hilfesystemen (SGB VIII – II – III)". Expert forum: "Soziale und berufliche Integration junger Menschen" of Deutscher Verein für öffentliche und private Fürsorge e.V., Bildungszentrum Erkner (25 April 2013).

"Auswirkungen des Bundeskinderschutzgesetzes auf das Pflegekinderwesen/die Pflegekinderhilfe". Conference for professionals of the foster care services of public and voluntary youth welfare organisations, LWL-Landesjugendamt Westfalen-Lippe, Münster (28 June 2013).



Chair and input. Working group: "Tatsächliche und rechtliche Situationen von Pflegefamilien" (with Prof. Dr. Klaus Wolf), 20. Deutscher Familiengerichtstag, Brühl (20 September 2013).

"Jugendhilfe an der Nahtstelle zum SGB II: Schnittstellenproblematik in der Jugendberufshilfe und praktische Lösungsansätze" (with Heiko Bennewitz). Youth Welfare Congress 2013, Kommunales Bildungswerk e.V., Berlin (25 October 2013).

"Die Instrumente der Hilfeplanung des Jugendamtes nach §§ 36, 37 SGB VIII". 12. Göttinger Workshop zum Familienrecht 2013: "Das Pflegekindverhältnis – zeitlich befristete oder dauerhafte Lebensperspektive für Kinder?", Faculty of Law, Georg-August-Universität, Göttingen (29 November 2013).

"Jugendhilferrelevante Gesetzesänderungen seit 2010 – eine Übersicht". Development seminar hosted by Jugendamt Stuttgart (13 December 2013).

"Zugang zu Leistungen der Kinder- und Jugendhilfe für Drittstaatsangehörige". 1st German-Czech Legal Dialogue: "Soziale Rechte von Drittstaatsangehörigen", Institute of State and Law, Czech Academy of Sciences in cooperation with the Max Planck Institute for Social Law and Social Policy, Prague, Czech Republic (14 February 2014).

Chair of the working group: "Zusammenwirken von Familiengericht und Jugendamt in der Pflegekinderhilfe", 6. gemeinsamer Kinderschutztag für Jugendämter und Familiengerichte, Kommunalverband für Jugend und Soziales, Justizministerium und Ministerium für Arbeit und Sozialordnung, Familien und Senioren Baden-Württemberg, Gültstein (10 March 2014).

"Grundlagen der Förderung von benachteiligten Kindern und Jugendlichen in Deutschland aus rechtlicher Perspektive". Expert exchange hosted by the Japanese-German Center, Berlin (8 October 2014).

"Beratung und Unterstützung von Pflegeeltern – Anspruch nach § 37 SGB VIII, Wunsch und Wahlrecht nach § 5 SGB VIII". Joint expert conference: "Rechte und Pflichten von Pflegekindern und Pflegeeltern", Pflegeelternschule und Kommunalverband für Jugend und Soziales Baden-Württemberg, Gültstein (13 October 2014).

"Die Rechtsstellung von Pflegeeltern". Lecture series: "Hilfe zur Erziehung in Vollzeitpflege" of Niedersächsisches Landesamt für Soziales, Jugend und Familie, University of Hildesheim, Holzminen (12 November 2014).

"Rechtliche Grundlagen zu den Schnittstellen in der Jugendberufshilfe". Discussion forum Schnittstelle zwischen Arbeitsverwaltung und Jugendhilfe, DIJuF-Zweijahrestagung, Bonn (9 December 2014).

Henning FRANKENBERGER

Report on the Open Access Meeting of the Max Planck Society. 37th Librarians' Meeting of the Max Planck Society, Max Planck Institute for Molecular Genetics, Berlin (13 May 2014).

Simone von HARDENBERG

"Individualisierte Medizin und genetische Gesundheitsinformationen – Chancen und Risiken aus rechtlicher Sicht". Expert Workshop: "Individualisierte Gesundheitsversorgung" within the framework of the cooperative project of the Federal Ministry of Education and Research (BMBF): "Individualisierte Gesundheitsversorgung: Ethische, ökonomische und rechtliche Implikationen für das deutsche Gesundheitswesen", Zahnklinik Innenstadt, Munich (19 March 2013).

"Individualisierte Medizin für Patienten der GKV: Möglichkeiten und Grenzen aus rechtlicher Sicht". Symposium: "Individualisierte Gesundheitsversorgung in der GKV: Implementierung und Priorisierung" of the interdisciplinary cooperative project of the Federal Ministry of Education and Research (BMBF): "Individualisierte Gesundheitsversorgung: Ethische, rechtliche und ökonomische Implikationen für das deutsche Gesundheitswesen", Langenbeck-Virchow-Haus, Berlin (27 February 2014).

Eva Maria HOHNERLEIN

"Die Alterssicherung in Italien ab 2012 – Rentenreformen im Zeichen der Finanzkrise". Internal lecture, Max Planck Institute for Social Law and Social Policy, Munich (8 February 2012).

"Die Vorabgenehmigung für grenzüberschreitende Gesundheitsleistungen in der EU". Conference: "Citoyenneté européenne, circulation des patients et maîtrise des dépenses de santé – Unionsbürgerschaft, Patientenfreizügigkeit und Begrenzung der Ausgaben für Gesundheit", Université de Rennes, France (15 November 2012).

"Aktuelle sozialrechtliche Reformen in Italien: Die sozialen Stoßdämpfer in Zeiten der Wirtschaftskrise". Internal lecture, Max Planck Institute for Social Law and Social Policy, Munich (9 January 2013).

"Das MPI für Sozialrecht und Sozialpolitik – Aufbau, Forschungsthemen und Rolle bei der Weiterentwicklung des Sozialrechts". Meeting for a delegation of the Institute for Monitoring of Current Legislation under the President of the Republic of Uzbekistan, Max Planck Institute for Social Law and Social Policy, Munich (22 March 2013).

"Das Korrespondentennetz des Instituts". Alumni Meeting, Department of Foreign and International Social Law, Max Planck Institute for Social Law and Social Policy, Munich (6 September 2013).

"Aktuelle Entwicklungen auf dem Gebiet des Sozialrechts in Deutschland und Europa". Seminar held by the Institute for Monitoring of Current Legislation under the President of the Republic of Uzbekistan, in cooperation with the German Foundation for International Legal Cooperation (IRZ), Tashkent, Uzbekistan (24 September 2013).

"Comparative Comment on Preschool Developments in Italy and Spain". International Research Conference: "Kindergarten and Preschool Developments in Europe and North America – a Historical and Comparative Approach to Institutional Change", University of Hildesheim (10 October 2013).

"Auf dem Prüfstand: Migration und Beschränkungen beim Zugang zu Sozialleistungen in Italien". Internal lecture, Department of Foreign and International Social Law, Max Planck Institute for Social Law and Social Policy, Munich (5 February 2014).

"Soziale Rechte von Migranten: Grund- und menschenrechtliche Aspekte". 1st German-Czech Legal Dialogue: "Soziale Rechte von Drittstaatsangehörigen", Institute of State and Law, Czech Academy of Sciences in cooperation with mit the Max Planck Institute for Social Law and Social Policy, Prague, Czech Republic (14 February 2014).

"Rentensplitting statt Hinterbliebenenrente – europäische Erfahrungen mit der Aufteilung von Rentenansprüchen zwischen Ehepartnern". Conference: "Halbe halbe für die Rente: ist Rentensplitting eine Lösung?", Bolzano, South Tyrol (14 November 2014).

Otto KAUFMANN

Einführung in die Problematik und Moderation. Conference: XXXVIIIe Rencontre Ipse "La protection sociale: entre rigueur et nouveaux développements" in cooperation with Eurofound, Dublin, Ireland (4 – 5 October 2012).

"L'économie sociale de marché et la protection sociale". Annual Conference EUROPA 2012 "Quel avenir pour le modèle politique européen?", Limoges, France (23 November 2012).

"Freizügigkeit des EU-Bürgers und die gesetzlichen sowie beruflichen sozialen Sicherungssysteme". Conference: "Citoyenneté européenne, circulation des patients et maîtrise des dépenses de santé – Unionsbürgerschaft, Patientenfreizügigkeit und Begrenzung der Ausgaben für Gesundheit", Université de Rennes, France (15 November 2012).

Introduction to the topic "Die Rahmenabkommen und Konventionen für die grenzüberschreitende Patientenmobilität". Conference: "Citoyenneté européenne, circulation des patients et maîtrise des dépenses de santé – Unionsbürgerschaft, Patientenfreizügigkeit und Begrenzung der Ausgaben für Gesundheit", Université de Rennes, France (16 November 2012).

"Länderbericht Frankreich: Rolle des Staates und der Sozialpartner bei der Festlegung des Mindestlohns". VI. Internationaler arbeitsrechtlicher Dialog (IAD): "Staatliche Eingriffe in das System der Mindestentgelte – im internationalen Vergleich", Institute of Labour Law and Social Security Law, University of Graz, Austria (11 – 12 October 2012).

"Vorstellung des deutschen Systems der Sozialversicherung: Zuständigkeiten und Aktuelles". Conference: "Systeme der Sozialversicherung: Entstehung, Zuständigkeiten und Herausforderungen – ein deutsch-französischer Vergleich", Hochschule für öffentliche Verwaltung, Kehl (15 June 2012).

"Santé et constitution en Allemagne". Conference: "Constitutions et Santé – Regards comparatifs", Université Paris Descartes, Paris, France (17 June 2013).

"La protection sociale en Europe: L'interdépendance entre le public et le privé". Conference: "La Protection sociale et les relations UE-Maghreb", European Parliament, Brussels, Belgium (10 April 2013).

Chair and keynote speech "De nouveaux emplois, de nouvelles adaptations pour une protection sociale renouvelée". Conference XXXIXe Rencontre Ipse "Andauern de Krise: Akteure und Lösungsvorschläge/Face à une crise qui s'éternise: des acteurs, des propositions de solutions", Munich (27 – 28 June 2013).

"La prise en charge des personnes âgées ou handicapées en droit allemand". Conference: "Les articulations entre les aides sociales et les mécanismes civils dans la protection patrimoniale des personnes âgées ou handicapées", Faculté de droit de l'université et de science politique de Rennes, IODE, Université de Rennes, France (16 May 2014).

"La protection sociale construite par des générations pour d'autres générations". Conference Quarantième Rencontre Ipse "Renouveler la solidarité entre générations pour la protection sociale", Bologna, Italy (4 July 2014).

"Die Arbeitszeitregelung in Frankreich". VII. Internationaler Arbeitsrechtlicher Dialog (IAD) 2014: "Arbeitszeiten", University of St. Gallen, Switzerland (30 October 2014).

Lilia MEDVEDEV

"Der Vertrag als Steuerungsinstrument in der Pflicht-krankenversicherung". Colloquium of Dissertationsverbund "Innovatives Gesundheitsrecht" of Robert-Bosch-Stiftung, Bundesarbeitsgemeinschaft für Rehabilitation e.V., Frankfurt am Main (17 September 2014).

Lorena OSSIO BUSTILLOS

"The Implementation of Social Rights in Latin America". Keynote Speaker at Panel: "Reform of Legal Regulation in Social Legislation", 10th Congress of the International Association of Legislation (IAL), Weliki Nowgorod, Russia (29 June 2012).

"Las reformas de los regímenes de bienestar en América Latina: desafíos para los sistemas legales nacionales". Workshop: "Desigualdades interdependientes en América Latina: Regímenes de bienestar, fiscales y macroeconómicos y desigualdad en América Latina", Berlin (18 September 2012).

Chair of the working group "Prohibition of Discrimination in Social Security Law". Workshop: "Prohibition of Discrimination in Social Security Law", in cooperation with Konrad-Adenauer-Stiftung and Universidad Andina Simón Bolívar, Comunidad Andina, La Paz, Bolivia (2 October 2012).

"Reforma del Sistema de Pensiones en América Latina". Conference: "La Crisis Global de los Sistemas de Pensiones", Fundación de Apoyo al Parlamento y a la Participación Ciudadana (FUNDAPPAC), La Paz, Bolivia (4 October 2012).

"Internationalisation of Social Law and the Transformation of Social Benefits Systems in Developing and Thershold Countries (On the basis of ongoing academic projects of the MPI)", Max Planck Institute for Social Law and Social Policy, Munich (14 May 2013).

"Indigenous People in Latin America, Non-renewable Natural Resources and Social Benefits: The Bolivian Case". Law and Development Conference, The Law and Development Institute (LDI), Kyoto, Japan (31 May 2013).



Respondent to the Lecture "The Implementation of Social Rights: Jurisprudence, Policies and Challenges in Germany", Escola Judicial do Tribunal Regional do Trabalho e grupo de pesquisa em legislação social, Belo Horizonte, Brazil (25 November 2013).

"The Right to Health in Argentina". Workshop: "Project Right to Health", Pontifícia Universidade Católica do Rio Grande do Sul, Porto Alegre, Brazil (23 November 2013).

"A implementação dos Direitos Sociais em perspectiva latino-americana". Seminário Internacional de Direitos Sociais, Instituto Brasiliense de Direito Público (IDP), Brasília, Brazil (22 November 2013).

"The Implementation of Social Rights in Latin America". Colloquium: "The Implementation of Social Rights: A Comparison of Case Studies from Latin America and Europe", Deutsches Forschungsinstitut für Öffentliche Verwaltung (FÖV) Speyer (6 December 2013).

"Rechtsforschung im Bereich "Diversity": ein Rechtsbegriff?". In: "Diversity: Forschung und Projekte in der Max-Planck-Gesellschaft und anderen Forschungseinrichtungen", 18. Jahrestagung der Gleichstellungsbeauftragten der Max-Planck-Gesellschaft, Munich (25 March 2014).

"La Perspectiva Latinoamericana, un Comentario al período fundacional del constitucionalismo latinoamericano de Roberto Gargarella". In: "Constitucionalismo latinoamericano", 40. Aniversario del Instituto Iberoamericano de Derecho Constitucional, Max Planck Institute for Comparative Public Law and International Law, Heidelberg (14 May 2014).

"Access to Justice and to Social Rights for Indigenous People in Latin America". Workshop: "Global-Regional-Local, Institutions, Relations, Networks. Past and Future of Sociology of Law", Oñati International Institute for the Sociology of Law, Spain (22 May 2014).

Chair of the working group "Human Rights and Equality from a Global Perspective". Workshop: "Non-Discrimination, Human Rights and Social Inequalities: Latin America and Global Perspectives", Freie Universität Berlin – Desigualdades.network Research Network on Interdependent Inequalities in Latin America, Berlin (4 July 2014).

"La influencia de la normativa internacional en la configuración de la legislación antidiscriminatoria latinoamericana: Aplicación de La Convención sobre los Derechos de Personas con Discapacidad". Workshop: "Non-Discrimination, Human Rights and Social Inequalities: Latin America and Global Perspectives", Freie Universität Berlin – Desigualdades.network Research Network on Interdependent Inequalities in Latin America, Berlin (4 July 2014).

Julia PETERLINI

"Gesetzliche Rahmenbedingungen und Konkretisierung des Anspruchs auf ärztliche Leistung im Sozialrecht als besonderes Verwaltungsrecht in Deutschland und Italien". Colloquium of Dissertationsverbund: "Innovatives Gesundheitsrecht" of Robert-Bosch-Stiftung, Bundesarbeitsgemeinschaft für Rehabilitation e.V., Frankfurt am Main (17 September 2014).

Hans-Joachim REINHARD

"Envejecimiento y Protección Social en Alemania". 9° Coloquio Internacional Multidisciplinario de Seguridad Social: "Envejecimiento Poblacional y Protección Social", Universidad Autónoma de Morelos, Cuernavaca, Mexico (20 August 2012).

"La situación de los adultos mayores en Alemania". Workshop: "La situación de los adultos mayores en España, Colombia, Canadá, Alemania y México", Centro Iberoamericano de Seguridad Social, Mexico-City, Mexico (25 August 2012).

"La Protección social en Alemania". Seminario Internacional sobre Protección Social comparada, Universidad de Sevilla, Facultad de Derecho, Departamento de Derecho del Trabajo y de la Seguridad Social, Sevilla, Spain (20 September 2012).

"Tendencias Globales del Derecho de la Seguridad Social". 1er Congreso Mundial de Derecho del Trabajo y de la Seguridad Social, Asociación de Juristas Mexicanos del Derecho de Trabajo y Seguridad Social, Chihuahua, Mexico (12 October 2012).

"Kostenerstattung grenzüberschreitender Gesundheitsleistungen". Conference: "Citoyenneté européenne, circulation des patients et maîtrise des dépenses de santé – Unionsbürgerschaft, Patientenfreizügigkeit und Begrenzung der Ausgaben für Gesundheit", Université de Rennes, France (15 November 2012).

"Structure and Problems of Long-Term Care (LTC) Insurance in Germany". Symposium: "Trilateral Wisdom on Ageing, Long Term Care Insurance in Germany, Korea and Japan", University of Tsukuba, Japan (14 March 2013).

"Koordination der Systeme der sozialen Sicherheit in Europa". Symposium: "Reforming the Social Security Systems in Response to Demographic Change and Free Moving Labour Markets. Cases & Experiences of Germany, EU and China", Friedrich-Ebert-Stiftung in cooperation with Nanjing University and Fudan University, Shanghai, PR China (11 April 2013).

"European Trends in Old Age Security". Conference: "Social Rights and Social Policy in Pursuit of a New European Social Paradigm", University of Rijeka, Opatija, Croatia (22 September 2013).

"Aktuelle Entwicklungen auf dem Gebiet des Sozialrechts in Deutschland und Europa". Seminar held by the Institute for Monitoring of Current Legislation under the President of the Republic of Uzbekistan, in cooperation with the German Foundation for International Legal Cooperation (IRZ), Tashkent, Uzbekistan (24 September 2013).

"Rolle des MPI für Sozialrecht und Sozialrechtspolitik bei der Gestaltung der aktuellen Entwicklungstendenzen auf diesem Rechtsgebiet in Deutschland". Seminar held by the Institute for Monitoring of Current Legislation under the President of the Republic of Uzbekistan, in cooperation with the German Foundation for International Legal Cooperation (IRZ), Tashkent, Uzbekistan (25 September 2013).

"Einfluss der wissenschaftlichen Tätigkeit und Forschung auf die Gesetzgebung und Rechtsprechung".

Seminar held by the Institute for Monitoring of Current Legislation under the President of the Republic of Uzbekistan, in cooperation with the German Foundation for International Legal Cooperation (IRZ), Tashkent, Uzbekistan (25 September 2013).

"Elemente der Mindestsicherung – weshalb und für wen?". 9. Europatagung der Deutschen Rentenversicherung Bund, Berlin (21 October 2013).

"Conciliación de las tareas familiares y la vida laboral". 9º Coloquio Internacional Multidisciplinario de Seguridad Social: "Equidad de Género", Universidad Autónoma de Morelos, Cuernavaca, Mexico (20 March 2014).

"Internationales und Europäisches Sozialrecht". Expert Meeting of VdK Hessen, Fulda (2 June 2014).

"Challenges and Achievements in Addressing All Age Groups in Northern Europe". Conference Quarantième Rencontre Ipse "Renouveler la solidarité entre générations pour la protection sociale", Bologna, Italy (4 July 2014).

"Ältere Beschäftigte im Fokus des Sozialversicherungsrechts – Rechtliche Bestandsaufnahme im Arbeitsmarktrecht". Conference of Deutsche Rentenversicherung Nord, Lübeck (13 November 2014).

Daniela SCHWEIGLER

"Are Some More Equal than Others? Winners and Losers of Reductions in the Retirement Age" (with Michela Coppola, Johannes Rausch, Hans-Joachim Reinhard). Joint Social Law – MEA Seminar, Max Planck Institute for Social Law and Social Policy, Munich (16 April 2014).

Stefan STEGNER

"From Bilateral Social Security Agreements to Coordination Rules". Conference: "Social Rights and Social Policy in Pursuit of a New European Social Paradigm", Opatija, Croatia (20 September 2013).

Sebastian WEBER

"Die Kommunen als Ort der Gestaltung einer sozialen Gemeinschaft". Scientific Advisory Board Meeting, Max Planck Institute for Social Law and Social Policy, Munich (29 March 2012).

"Wirtschaftlichkeitsprüfungen in sozialen Einrichtungen". Development seminar for executives, Markt Lappersdorf near Regensburg (22 June 2012).

"Die Abrechnung von Investitionskosten für Pflegeeinrichtungen". Lecture, Katholische Akademie für Berufe im Gesundheits- und Sozialwesen, Regensburg (31 October 2012).

"Regionale Strukturen in europäischen Gesundheitssystemen". Conference: "Herausforderungen der regionalen Versorgung nach dem Versorgungsstrukturgesetz", Sozialrechtsverbund Norddeutschland e.V., Hamburg (15 November 2012).

"Einführung in das Jugendhilferecht". Development seminar for executives, Markt Lappersdorf near Regensburg (17 December 2012).

Working group "Forderungen zur MAVO-Novellierung".

Conference: "Interessenvertretung im kirchlichen Arbeitsrecht", 16. Fachtagung zum kirchlichen Arbeitsrecht, Eichstätt (4 – 5 March 2013).

"Ökonomische und rechtliche Voraussetzungen einer obligatorischen privaten Zusatz-Rentenversicherung in Deutschland". MEA-Seminar, Max Planck Institute for Social Law and Social Policy, Munich (24 April 2013).

"Einstellung, Personaleinsatzplanung, Konfliktmanagement". Development seminar on labour law for executives, Regensburg (25 April 2013).

"Zur Übertragbarkeit der schwedischen Prämienrente auf Deutschland". Expert discussion, Friedrich-Ebert-Stiftung, Berlin (25 October 2013).

"Rechtliche Gestaltungsspielräume für Reformen der Alterssicherung". 1st MPISOC Annual Conference: "Sozialrecht und Sozialpolitik des Alterns", Munich (15 November 2013).

Nikola WILMAN

"Individualisierte Gesundheitsversorgung". Scientific Advisory Board Meeting, Max Planck Institute for Social Law and Social Policy, Munich (29 March 2012).

Hans F. ZACHER

"Die gute Geschichte unserer 80 Jahre" zum 80. Geburtstag von Prof. Dr. Franz Xaver Kaufmann, Gießbach, Switzerland (31 August 2012).

Zeitzeugenbericht, Tagung "Die Verwaltungswissenschaft in der frühen Bundesrepublik (1949 – 1977)". DFG-Netzwerk, Evangelische Akademie in Tutzing (10 October 2013).



6.2. Lectures and Courses

Annemarie AUMANN

WS 2013/2014: Tutorial complementing the basic course "Zivilrecht für Bachelorstudierende", University of Munich (LMU) (2 hrs.).

Ulrich BECKER

Ludwig-Maximilians-Universität (LMU), Munich

WS 2011/2012: Lecture (elective subject area 5): "Grundlagen des Sozialversicherungsrechts" (2 hrs.).

WS 2011/2012: Social law seminar (with Prof. Dr. Thorsten Kingreen, University of Regensburg) (2 hrs.).

SS 2012: Sports law seminar (elective subject area 5 and fundamentals seminar) (with Dr. Dirk-Reiner Martens) (2 hrs.).

WS 2012/2013: Lecture (elective subject area 5): "Grundlagen des Sozialversicherungsrechts" (2 hrs.).

WS 2012/2013: Social law seminar (with Prof. Dr. Thorsten Kingreen, University of Regensburg) (2 hrs.).

SS 2013: Examinatorium (elective subject area 5) (with Prof. Dr. Martin Franzen, University of Munich, LMU) (1 hr.).

SS 2013: Sports law seminar (elective subject area 5) and fundamentals seminar) (2 hrs.).

SS 2013: Public law seminar (2 hrs.).

WS 2013/2014: Social law seminar (elective subject area 5 and fundamentals seminar) (with Prof. Dr. Thorsten Kingreen, University of Regensburg) (2 hrs.).

SS 2014: Examinatorium (elective subject area 5) (with Prof. Dr. Martin Franzen, University of Munich, LMU) (1 hr.).

SS 2014: Seminar on data protection law (elective subject area 5 and fundamentals seminar) (2 hrs.).

WS 2014/2015: Seminar on aliens law and asylum law (elective subject area 5 and fundamentals seminar) (2 hrs.).

WS 2014/2015: Lecture (elective subject area 5): "Grundlagen des Sozialversicherungsrechts" (2 hrs.).

Guest Lectures

01 – 06/08/2012: "Sozialrecht", NCCU Sommerschule für Deutsches Recht, National Chengchi University, College of Law, Taipei, Taiwan.

02 and 04/10/2012: "Einführung in das Sozialrecht der Europäischen Union" ("Introducción al Derecho Social Europeo y del derecho Social"), Universidad Andina Simón Bolívar, Comunidad Andina, La Paz, Bolivia.

18/10/2013: "Einführung in das deutsche Sozialversicherungsrecht", Chuo University, Tokyo, Japan.

24/04/2014: "Systematisierung des Sozialrechts – Ansätze und Bedeutung", University of Wroclaw, Faculty of Law, Wroclaw, Poland.

Diana ESCHELBACH

SS 2013: Seminar "Familienrecht", Fachbereich Soziale Arbeit, Alice-Salomon-Hochschule Berlin (3 hrs.).

Otto KAUFMANN

Teaching Assignment

June/July/September/November 2012: Education of lawyers (CRFPA), "Droit du travail – Arbeitsrecht", Faculté de Droit, Institut d'Etudes Judiciaires, Université de Poitiers, France.

June/July/September/November 2013: Education of lawyers (CRFPA), "Droit du travail – Arbeitsrecht", Faculté de Droit, Institut d'Etudes Judiciaires, Université de Poitiers, France.

June/July/September/November 2014: Education of lawyers (CRFPA), "Droit du travail – Arbeitsrecht", Faculté de Droit, Institut d'Etudes Judiciaires, Université de Poitiers, France.

Lectures as a Professeur Invité

February/March 2012: Cours Master 1 "Introduction au droit allemand – Einführung in das deutsche Recht", Faculté de Droit et de Sciences Politiques, Laboratoire d'Etude du Droit Public, Université de Rennes I, France.

February/March 2012: Lectures "Deutsches Recht, Rechtsvergleichung und Sprache" within the context of the programme of the German-French legal training (bilingual German/French), Université de Rennes I, France.

March/April 2013: Lecture "Introduction au droit allemand – Einführung in das deutsche Recht", Faculté de Droit, Université de Rennes I, France.

March/April 2013: Lecture "Droit social communautaire: Droit comparé", Faculté de Droit, Université Rennes I, France.

March/April 2014: Lectures "Deutsches Recht, Rechtsvergleichung und Sprache" within the context of the programme of the German-French legal training (bilingual German/French), Université de Rennes I, France.

March/April 2014: Cours Master 1 "Einführung in das deutsche Recht (Staat, Verfassung, Strukturen)", Faculté de Droit et de Sciences Politiques, Laboratoire d'Etude du Droit Public, Université de Rennes I, France.

Seminars and Lectures Delivered at Universities

February/March 2012: Seminar on the Lisbon judgment, Université de Rennes I, France.

February/March 2012: Lectures "Einführung in das deutsche und europäische Recht", Université de Rennes I, France.

8 March 2012: Seminar "La Cour constitutionnelle allemande: recours et contrôle – les droits fondamentaux", Master 2 Droit privé général, Université de Rennes I, France.

March 2013: Seminar "Die Arbeitsbeziehungen in Deutschland. Gewerkschaften und Arbeitnehmervertretung", Master 2 Europarecht, Université de Rennes I, France.

27 March 2013: Seminar "La Cour constitutionnelle allemande: recours et contrôle – les droits fondamentaux", Master 2 Droit privé général, Université de Rennes I, France.

March/April 2013: Lectures on comparative law and legal language, Université de Rennes I, France.

Sonstiges

15 February 2013: Lecture "Introduction au système allemande de protection sociale", Executive Training Programme "A Forecast on the Development of the German Welfare State", Hertie School of Governance, Berlin.

9 December 2013: Oral defense of Laetitia Razé's dissertation (under co-directed supervision) entitled "L'âge en droit social. Etude en droit européen, français et allemand", Faculté de Droit, Université Rennes 1, France.

Maximilian KRESSNER

WS 2014/2015: Tutorial "Grundkurs Zivilrecht für Bachelorstudierende (Recht im Nebenfach)", University of Munich (LMU) (2 hrs.).

Lilia MEDVEDEV

SS 2014: Tutorial "Grundkurs Öffentliches Recht II", University of Munich (LMU) (2 hrs.).

WS 2014/2015: Tutorial "Grundkurs Öffentliches Recht I", University of Munich (LMU) (2 hrs.).

Lorena OSSIO BUSTILLOS

WS 2013/14: Colloquium "Rechtskultur in Lateinamerika, Grundkenntnisse – Cultura jurídica en América Latina, conocimientos básicos", German University of Administrative Sciences Speyer (2 hrs.).

Hans-Joachim REINHARD

Lectures and Seminars Delivered at Universities

WS 2011/12 – WS 2014/15: Various lectures on the German Civil Code (BGB) and on social law, Hochschule Fulda.

Guest Lectures

29 August 2012: "Trabajo decente para trabajadores y trabajadoras domésticos – El convenio 189 de la OIT", Universidad Autónoma de Morelos, Cuernavaca, Mexico.

Daniela SCHWEIGLER

SS 2014: Tutorial "Grundkurs Öffentliches Recht II – Grundrechte", University of Munich (LMU) (2 hrs.).

WS 2014/15: Tutorial "Grundkurs Öffentliches Recht I – Staatsorganisationsrecht", University of Munich (LMU) (2 hrs.).

Stefan STEGNER

WS 2013/2014: Tutorial "Grundkurs Zivilrecht für Bachelorstudierende", law as a minor subject, Faculty of Law, University of Munich (LMU) (2 hrs.).

SS 2014: Tutorial "Grundkurs Öffentliches Recht für Bachelorstudierende", law as a minor subject, Faculty of Law, University of Munich (LMU) (2 hrs.).

WS 2014/2015: Tutorial "Grundkurs Zivilrecht für Bachelorstudierende", law as a minor subject, Faculty of Law, University of Munich (LMU) (2 hrs.).

Sebastian WEBER

SS 2012: Lecture "Recht II", Masters programme "Social Work", Faculty for Social Work, Catholic University of Eichstätt-Ingolstadt (2 hrs.).

WS 2012/2013: Lecture and practice seminar "Rechtliche Rahmenbedingungen I", Bachelor programme "Nursing Studies", Faculty for Social Work, Catholic University of Eichstätt-Ingolstadt (4 hrs.).

SS 2013: Lecture "Sozialrecht im Gesundheitswesen", Faculty for Applied Social Sciences, Hochschule München (3 hrs.).

WS 2013/2014: Lecture "Rechtliche Rahmenbedingungen I", Bachelor programme "Nursing Studies", Faculty for Social Work, Catholic University of Eichstätt-Ingolstadt (2 hrs.).



7. Guests

23/10/2011 – 13/03/2012: Deok Hwan **KIM**, Hanil University & Presbyterian Theological Seminary, Südkorea, "Leistungserbringung und Gesetzgebung – aufgezeigt am Beispiel der Einführung des Pflegefachkräftesystems im dt. und koreanischen Pflegeversicherungsrecht".

30/01/2012 – 15/03/2012: Brynn **O'BRIEN**, University of Technology (UTS), Sydney, Australien, "Ubi jus ibi remedium".

01/02/2012 – 31/03/2012: Prof. Dr. Konstantinos **KREMALIS**, National and Kapodistrian University of Athens, Faculty of Law, Greece, "Rechtsprobleme der aktuellen Sozialrechtsreform in Griechenland. Blick in die Zukunft".

02/05/2012 – 31/07/2012: Dr. Julinda **BEQIRAJ**, University of Trento, Faculty of Law, Italy, "Wirtschaftliche und soziale Rechte der Arbeitsmigranten: Eine Analyse der Rechtsprechung des EUGH und des EGMR" in preparation of a monograph entitled "Studie über die Rechte von Arbeitsmigranten im Lichte des Völkerrechts".

03/05/2012 – 31/10/2012: Ying **HUA**, Renmin University of China, Beijing/China, "Negotiation Mechanism for German Social Self-Governing Health Insurance and its Implications for China".

04/06/2012 – 31/07/2012: Nóra **JAKAB**, Miskolc University, Faculty for Political and Legal Sciences/Hungary, "Legal Capacity and its Labour Law Issues".

30/06/2012 – 08/07/2012: Prof. Dr. Letlhokwa George **MPEDI**, University of Johannesburg, South Africa.

01/07/2012 – 30/09/2012: Nino **MTCHEDLISHVILI**, Friedrich-Schiller-Universität Jena, "Wirkungsanalyse deutscher und georgischer Alterssicherungssysteme – Europäische Strategien und der georgische Weg".

09/07/2012 – 12/07/2012: Adrijana **MARTINOVIC**, University of Rijeka, Croatia, "Die Europäisierung der nationalen Gesundheitssysteme: zwischen Solidarität, Binnenmarkt und Wettbewerb – Kroatische Erfahrungen, Erwartungen und Perspektiven".

17/07/2012 – 23/08/2012: Prof. Dr. Miyoko **MOTOZAWA**, University of Tsukuba, Japan, "Familienpolitik".

01/08/2012 – 30/09/2012: Prof. Dr. Carmelo **MESA-LAGO**, Pittsburgh, USA, "Comparative Analysis of Legal Features and Effects of Re-reforms of Pension Structural Reforms – Privatization – in Argentina, Bolivia, Chile and Hungary".

26/08/2012 – 11/09/2012: Ania **NAPIÓRKOWSKA**, Nicolaus Copernicus University, Toruń, Poland, "The Limits of the Protection of Employees in Case of Temporary Incapacity for Work due to Sickness".

20/08/2012 – 20/09/2012: Prof. Dr. Makoto **ARAI**, Chuo University, Tokyo, Japan, "Verhältnis des Betreuungsrechts zum Pflegeversicherungsrecht".

01/09/2012 – 30/11/2012: Zhihua **ZHOU**, Legislative Affairs Office of Shanghai Municipal Government (LAO), Shanghai, PR China, "German Welfare Administration Theory (Leistungsverwaltung) focusing on the Social Security System".

01/10/2012 – 31/10/2012: Zsuzsanna **FARKAS**, University of Szeged, Ungarn, "Supplementary Systems being Outside of the State's Pension System".

01/10/2012 – 15/03/2013: Prof. Sachiyo **HASHIZUME**, Tokyo Keizai University, Japan, "Prevention of Child Abuse and Family Support Services".

08/10/2012 – 30/11/2012: Prof. Dr. João Carlos **LOUREIRO**, University of Coimbra, Portugal, "Poverties and Law in a Time of Crisis: Towards an Interconstitutional Approach".

08/01/2013 – 28/02/2013: Adrijana **MARTINOVIC**, University of Rijeka, Croatia, "Die Europäisierung der nationalen Gesundheitssysteme: zwischen Solidarität, Binnenmarkt und Wettbewerb – Kroatische Erfahrungen, Erwartungen und Perspektiven".

09/01/2013 – 31/03/2013: Prof. Dr. João Carlos **LOUREIRO**, University of Coimbra, Portugal, "Poverties and Law in a Time of Crisis: Towards an Interconstitutional Approach".

01/04/2013 – 30/06/2013: Prof. Alexandre de le **COURT**, Pompeu Fabra University, Barcelona, Spain, "Decommodifying Social Rights: Welfare State Policies in a Multilevel Perspective".

01/05/2013 – 30/06/2013: Matthias **STEPAN**, VU University Amsterdam, Netherlands, "Vergleichende Perspektive der Anpassung der Sozialsysteme in der VR China und der EU".

01/05/2013 – 30/06/2013: Ariel **PRZYBYLOWICZ**, University of Wroclaw, Wroclaw, Poland, "Pflegeversicherung – ein polnischer-deutscher Vergleich".

10/06/2013 – 23/06/2013: Dóra Rozália **LADOS**, University of Szeged, "Private Pension Schemes in the European Union".

01/07/2013 – 06/09/2013: Prof. Dr. Maria Isabel **GARRIDO GÓMEZ**, University of Alcalá, Alcalá de Henares, Spain, "The Contribution of Social Rights to Social Link".

10/07/2013 – 30/07/2013: Javier **SALVADOR RUIZ-GÓMIZ**, University of Seville, Spain, "Soziale Grundrechte".

11/07/2013 – 31/07/2013: Prof. Dr. Nai Yi **SUN**, National Chengchi University, Taipei, Taiwan, "Health Care Reform 2007 in Germany: The Principles of Compulsory Insurance, Solidarity and Risks Sharing of Social Health Insurance Systems in Taiwan and in Germany", "The Rights of People with Disabilities to Equally Participate in the Society and the Positive Obligations of the Public Sectors to Create Barrier Free Environment".

15/07/2013 – 31/08/2013: Dr. Dr. Ku-Yen **LIN**, National Open University Taipei, Taiwan, "Das Leistungserbringungsrecht der deutschen Pflegeversicherung – Implikationen für Taiwan auf dem Weg zur gesetzlichen Pflegeversicherung".

01/08/2013 – 31/10/2013: Prof. Dr. Herbert **SZURGACZ**, University of Wroclaw, Wroclaw, Poland, "Rechtliche Lage der polnischen Arbeitnehmer in Deutschland 1880 – 2004", "Entwicklungstendenzen im Sozialrecht".

05/08/2013 – 30/09/2013: Prof. Dr. Makoto **ARAI**, Chuo University, Tokyo, Japan, "VN-Behindertenrechtskonvention und Betreuungsrecht".

07/08/2013 – 06/02/2014: Fengyuan **CHEN**, Renmin University Beijing, China, "Riester Pension Reform and its Implications for China".

08/08/2013 – 08/02/2015: Dr. Sung-An **CHA**, judge at the South Seoul Regional Court in South Korea, comparative legal studies on Germany and Korea focusing on "Funktion und Rolle des Sozialgerichts", "Barrierefreiheit am Gericht und Gleichstellung behinderter Menschen in Gerichtsverfahren" and "Schwarzarbeit und Rentenversicherung".

01/09/2013 – 30/09/2014: Xi **LIN**, Southwestern University of Finance and Economics Chengdu, Province of Sichuan, China, "Public Pension and Individual Retirement Behaviour in China".

09/12/2013 – 12/12/2013: Prof. Dr. Katsuaki **MATSUMOTO**, Hokkaido University, Sapporo, Japan, "Personenfreizügigkeit und soziale Sicherheit in Japan".

01/02/2014 – 30/04/2014: Prof. Dr. Yu-Jun **LEE**, National Chi-Nan University, Puli, Taiwan, "Die Wohnungspolitik und sozialrechtliche Wohnungsgesetze in Deutschland".

01/03/2014 – 31/05/2014: Gabriella **BERKI**, University of Szeged, Hungary, "Cross-Border Patient Mobility: The Legal Framework of Obtaining Healthcare Abroad Within the European Union – A Patient's Perspective".

03/03/2014 – 16/03/2014: Prof. Dr. Miyoko **MOTOZAWA**, University of Tsukuba, Japan, "Familienpolitik – Kindererziehung und Altenpflege".

18/03/2014 – 01/04/2014: Prof. Yue **FUE**, Ibaraki University, Tsukuba, Japan, "Nationality, its Significance and Impact on Stateless Persons".

01/04/2014 – 30/06/2014: Tiago **FENSTERSEIFER**, Defensor Público in São Paulo & Pontifícia Universidade Católica do Rio Grande do Sul, Porto Alegre, Brazil, "The Juridical Protection of the Fundamental Rights (Liberal, Social and Ecological) of the Vulnerable Individuals and Social Groups through their Access to Justice".

05/05/2014 – 25/06/2014: Dirk **GILLIS**, Ghent University, Belgium, "Legal Possibilities and Pitfalls in the Fight Against Cross-Border Social Fraud".



09/06/2014 – 29/06/2014: Dr. Martha Elisa **MONSALVE CUELLAR**, La Gran Colombia University, Bogotá, Colombia, "Equality and Gender".

09/06/2014 – 29/06/2014: Prof. Dr. Gabriela **MENDIZÁBAL BERMÚDEZ**, Morelos State Independent University, Mexico, "Der Schutz der mexikanischen Arbeiterinnen im internationalen Sozialrecht und in der Rechtsvergleichung aus der Perspektive der Sozialschutzböden".

01/07/2014 – 30/09/2014: Prof. Dr. Alpay **HEKIMLER**, Namık Kemal University, Tekirdağ Turkey, "Die Deutsche Pflegeversicherung – ein Vorbild für die Türkei".

01/07/2014 – 30/06/2015: Güldane Zeynep **KILICKAYA**, Bilkent University, Ankara, Turkey, "The Right to Work in International Labour Law: Within the Framework of Economic and Social Foundations".

17/07/2014 – 24/08/2015: Prof. Dr. Miyoko **MOTOZAWA**, University of Tsukuba, Japan, "Familienpolitik – Kindererziehung und Altenpflege".

01/08/2014 – 30/09/2014: Prof. Dr. Makoto **ARAI**, Chuo University, Tokyo, Japan, "UN-Behindertenrechtskonvention und Betreuungsrecht in Deutschland und Japan".

01/08/2014 – 30/09/2014: Adrián **TODOLÌ SIGNES**, University of Valencia, Spain, "Research on the German Institution of 'geringfügige Beschäftigung'".

01/09/2014 – 12/09/2014: Prof. Yue **FUE**, Ibaraki University, Tsukuba, Japan, "Nationality and Statelessness in Europe".

14/09/2014 – 14/11/2014: Prof. Dr. Arkadiusz **RADWAN**, Allerhand Institute Krakow, Poland, "Die Rechtsnatur obligatorischer privater Altersvorsorge sowie der verfassungsrechtliche Prüfstand bei gesetzlichen Umgestaltungen des Pensions-systems und beim Eingriff des Staates".

27/11/2014 – 12/12/2014: Prof. UAM Dr. habil. Daniel Eryk **LACH**, LL.M., Adam Mickiewicz University of Poznan, Poland, "Die Problematik der grenzüberschreitenden Gesundheitsfürsorge".



Güldane Zeynep Kilickaya (Bilkent University, Turkey), Prof. UAM Dr. habil. Daniel Eryk Lach, LL.M. (Adam Mickiewicz University Poznan, Poland) and Dr. Sung-An Cha (South Seoul Regional Court, South Korea) with Sabine Weilingner (left to right).

8. Honours

Ulrich BECKER

18 August 2012: Nomination as Distinguished Research Fellow (Professor), Center for Collaborative Innovation of Social Transformation and Management of Renmin University of China, Beijing, PR China.

02 December 2014: Teaching Innovation Award of LMU for "Praxismodul Flüchtlingsrecht".

Lorena OSSIO BUSTILLOS

March – April 2014: Visiting Fellow at Freie Universität Berlin – Desigualdades.network, Research Network on Interdependent Inequalities in Latin America, Berlin.

Hans-Joachim REINHARD

12 October 2012: Medalla al Mérito Dr. Oswaldino Rojas Lugo, Asociación Iberoamericana de Juristas del Derecho de Trabajo y la Seguridad Social.

Daniela SCHWEIGLER

2012: Otto Hahn Medal awarded to junior researchers of the Max Planck Society for her dissertation entitled "Das Recht auf Anhörung eines bestimmten Arztes (§ 109 SGG) – Dogmatische Einordnung und sozialgerichtliche Praxis eines umstrittenen Prozessinstruments".

2012: Dissertation award of Gesellschaft zur Förderung der sozialrechtlichen Forschung e.V. for her dissertation entitled "Das Recht auf Anhörung eines bestimmten Arztes (§ 109 SGG) – Dogmatische Einordnung und sozialgerichtliche Praxis eines umstrittenen Prozessinstruments".

2013: Bavarian Culture Prize of Bayernwerk AG for her dissertation entitled "Das Recht auf Anhörung eines bestimmten Arztes (§ 109 SGG) – Dogmatische Einordnung und sozialgerichtliche Praxis eines umstrittenen Prozessinstruments".

9. Work of Institute Members in External Bodies

Ulrich BECKER

Editorships

- Neue Zeitschrift für Sozialrecht (NZZ) (co-editor since 2000)
- Schriften zum Sozialrecht, Baden-Baden (since 2000)
- (until 2011: Schriften zum deutschen und europäischen Sozialrecht)
- Kommentar zum SGB I (editor of the volume), editorial director: W. Noftz, Berlin (since 2001)
- Schriftenreihe für internationales und vergleichendes Sozialrecht, Berlin (since 2002)
- Studien aus dem Max-Planck-Institut für ausländisches und internationales Sozialrecht, Baden-Baden (since 2002)
- Zeitschrift für ausländisches und internationales Arbeits- und Sozialrecht (ZIAS), Heidelberg (co-editor since 2002)
- Zeitschrift für europäisches Sozial- und Arbeitsrecht, Wiesbaden (ZESAR) (co-editor since 2002)

Memberships of Steering Committees, Executive Boards, Research Associations

- Steering Committee of GVG (until November 2014)
- Executive Board of the Social Insurance Division of Deutscher Verein für Versicherungswissenschaft
- Executive Board, Gesellschaft für Rechtsvergleichung
- Executive Board (chairman) at the German Section of the International Society of Labour and Social Security Law (ISLSSL)
- Executive Board (vice president), Deutscher Sozialrechtsverband



Memberships of Advisory Boards, Boards of Trustees, Committees, Research Organisations and Research Journals

- Selection Committee of Alexander von Humboldt-Stiftung for the programme "Förderung von Institutspartnerschaften" (until 31 July 2013)
- Advisory Board of the research network on old-age pensions (FNA), DRV Bund
- Research Advisory Board of the journal "ZFSH/ SGB Sozialrecht in Deutschland und Europa" (since July 2003)
- Advisory Board, Bremen International Graduate School of Social Sciences (BIGSSS, formerly GSSS), University of Bremen (until July 2014)
- Editorial Advisory Board of the International Social Security Review
- ISSA Advisory Board on Social Security Policy and Research
- Research Advisory Board of the journal "Social Security Studies" (Shehui baozhang yanjin), Beijing
- Board of Trustees of the Institute for Labour Law and Industrial Relations in the European Community (IAAEG), Trier (until December 2014)
- Board of Trustees, Institut für europäische Verfassungswissenschaften, FernUniversität Hagen
- Selection Committee of Alexander von Humboldt-Stiftung

Other Memberships (selection)

- Academia Europaea (The Academy of Europe), London, United Kingdom
- Disciplinary Committee of the German Athletics Association (DLV)
- Selection Committee for the conferral of the dissertation award of Gesellschaft zur Förderung der sozialrechtlichen Forschung e.V.
- Arbitrator at the German Court of Arbitration for Sport of the German Institution of Arbitration (DIS)

Diana ESCHELBACH

- Member of Standing Conference 1 "Grund- und Strukturfragen des Jugendrechts" of Deutsches Institut für Jugendhilfe und Familienrecht e.V. (DIJuF)
- Participation in the working group "Pflegekinderhilfe" of Deutscher Verein für öffentliche und private Fürsorge e.V., Berlin

- Participation in the working group "Weiterentwicklung Pflegekinderhilfe" of IGfH (Internationale Gesellschaft für erzieherische Hilfen e.V., Frankfurt) and of Kompetenzzentrum Pflegekinder
- Participation in the group of experts "Pflegekinderhilfe" of Deutsches Institut für Jugendhilfe und Familienrecht e.V. (DIJuF)
- Participation in the Federation-Länder working group "Örtliche Zuständigkeit und Kosten-erstattung im SGB VIII" of the German Ministry of Family Affairs, Senior Citizens, Women and Youth
- Participation in the working group "Schnittstellen SGB II, III, VIII" of Deutscher Verein für öffentliche und private Fürsorge e.V., Berlin

Henning FRANKENBERGER

- Member of the Standing Committee of the International Federation of Library Associations (IFLA), Law Libraries Section – Representative of the Federal Republic of Germany
- Executive Board Member and Chairman of Arbeitsgemeinschaft der Spezialbibliotheken e.V. (AspB)
- Advisory Board (chairman) of Section 5 of Deutscher Bibliotheksverband (dbv) – Spezialbibliotheken
- Advisory Board Member of Deutscher Bibliotheksverband (dbv)
- Executive Board Member of BID – Bibliothek & Information Deutschland (until 31/12/2013)
- Advisory Board Member of Bayerischer Bibliotheksverband
- Representative of the spokesmen of librarians in the Max Planck Society

Otto KAUFMANN

- Conseil Scientifique du Comité de Pilotage Europa, Association **EUROPA** (NGO, Limoges)
- Vice chairman, Comex (Comité exécutif), Commission Europe (chair), Conseil d'orientation (expert advisor), Institut de la Protection Sociale Européenne (Ipse)

Hans-Joachim REINHARD

- Research Advisory Board of the journal *Revista Internacional de Direito Tributario*

Sebastian WEBER

- Executive Board (vice chair), Aktion Sühnezeichen Friedensdienste e.V. (until 5/2013)
- Board of Trustees, Ev. Versöhnungskirche Dachau e.V.
- Advisory Board, KZ-Gedenkstätte Neuengamme, Hamburg

Hans F. ZACHER

(selection)

- Honorary chairman of Deutscher Sozialrechtsverband e.V.
- European Institute of Social Security
- Research Advisory Board at the German Federal Ministry of Economics and Technology
- Bavarian Academy of Sciences and Humanities
- Academia Europaea
- Pontifical Academy of Social Sciences (honorary member since June 2013)
- International Board of Weizmann Institute of Sciences

10. Expert Opinions

Ulrich BECKER

2012: Which statutory regulations can be recommended to strengthen competition among insurers and service providers in the health system? Opinion on the occasion of 69. Deutscher Juristentag in Munich, Department of Social Law, by Ulrich Becker and Heike Schweitzer.

11 August 2014: Expert opinion for ArbG Wesel Reiche ./ hET GmbH regarding the question of applicability of Dutch social law in the context of employment of non-Germans in Germany/cross-border employment, opinion by Ulrich Becker and Tineke Dijkhoff.

Tineke DIJKHOFF

4 September 2014: Expert opinion for ArbG Wesel Reiche ./ hET GmbH regarding the question of applicability of Dutch social law in the context of employment of non-Germans in Germany/cross-border employment, opinion by Ulrich Becker and Tineke Dijkhoff.

Henning FRANKENBERGER

16 September 2013: Meeting of experts, Fachinformationsdienste für die Wissenschaft, Deutsche Forschungsgemeinschaft DFG, Bonn.

17 December 2014: Expert opinion, database project regarding press releases for Deutsche Forschungsgemeinschaft DFG, Bonn.

Eva Maria HOHNERLEIN

24 July 2012: Expert opinion on issues regarding maternity protection in Belgium for the Superior State Social Court of North Rhine-Westphalia, Essen.

Hans-Joachim REINHARD

15 March 2012: Expert opinion for the Social Court of Nürnberg Beckham/Job-Center Nürnberg regarding comparability of the US American "service-connected compensation" with the German Federal War Victims Relief Act (BVG) with a view to allowability according to Social Code Book (SGB) II.

12 July 2012: Expert opinion for the Superior State Social Court of North Rhine-Westphalia Kern/Landschaftsverband Rheinland regarding the legal basis of the Spanish "renta mínima de inserción".

27 December 2014: Expert opinion for the Regional Court of Stuttgart Dumitrache/Feess regarding the liability privilege in Romanian occupational accident insurance.

Sebastian WEBER

18 October 2012/17 June 2013: Expert opinion for the Regional Court of Bremen on issues regarding exemption from liability and reimbursement obligations pursuant to the law of the Norwegian accident insurance.



11. Alumni

Lorena Ossio Bustillos

Alumni Meeting 2012

The fourth alumni meeting was held on 14 September 2012 in Munich. It was attended by former staff members who had been active at the Institute over the last three decades as well as by guests from various countries. Within the context of this event, which was entitled "Making the Leap into Practice: From the Max Planck Institute to University, to Judicial Practice, to Legal and Policy Counselling", four former scientific staff members reported about their own entry into the world of work.

Prof. Dr. Yasemin Körtek, who used to work at the Institute as a fellow researcher for the country section on Turkey, talked about her transition from the MPI to the Mannheim University of Applied Labour Studies of the Federal Employment Agency, stating the contents and organisation of teaching, particularly regarding social law, in her new position. An equally interesting and vivid presentation was given by *Luise Lauerer* on her transition from the MPI to judicial practice: she reported from her perspective from within the administrative court system and spoke about the repute of judges, as well as about probationary judges and the proceedings in court. *Dr. Christina Walser-Peters*, former fellow researcher for the country section on the Netherlands and first alumni representative of the Institute, offered a peek behind the scenes at the Landtag of Bavaria and into the work involved as a member of a political party in

the Committee for Family, Employment and Social Affairs. She described how her field of work had led her from the MPI into policy counselling. Following this, *Dr. Martin Landauer* described his occupation as a lawyer in an office specialised on labour and social law. Having managed to secure himself a job in the field of legal counselling after his time at the MPI, he drew a line to the actual topic of the alumni meeting showing that the Institute can be considered to be a stepping stone for further success. The presentations were followed by a pleasant get-together that afforded ample opportunity for both personal and scholarly exchange.

Alumni Meeting 2013

In 2013, the Max Planck Institute for Foreign and International Social Law, today called Max Planck Institute for Social Law and Social Policy, celebrated its 33rd anniversary – and if one takes the establishment of the first project group in 1976 as a starting point, the period during which social law has been researched at the Institute even spans four decades.

The fifth alumni meeting on 6 September 2013 was characterised by a particular highlight: *Prof. Dr. Hans F. Zacher* had celebrated his 85th birthday in June that very year, and this was to be the occasion for exchange between the founding director and former staff members and guests of the Institute. Under the title "*Begegnungen mit dem Sozialrecht und der sozialrechtlichen Forschung*" [Encounters with social law and social law research], invitations were sent out by *Prof. Dr. Ulrich Becker* to all alumni, and separate invitations to friends of the Institute, in order to offer



Attendants of the 4th Alumni Meeting in Munich on 14 September 2012.



Prof. Dr. Becker opens the 5th alumni meeting on the occasion of the 85th birthday of the Institute's founding director.

them the possibility to present little talks of about 10 minutes consisting of anecdotes, ideas or perspectives: "We would like to gather memorabilia that are remarkable, of lasting purport and that give food for thought, as well as breakthroughs, pressing issues and desiderata, problems, pathways and research results – in the form of a colourful bouquet of personal experiences, insights, discoveries and ventures with, in and related to the Institute and with *Hans F. Zacher*." The response was huge and it was noted with great pleasure that many of the research staff participated in shaping the agenda.

The programme was divided into four parts: The first part was devoted to the history of the Institute, particularly with regard to the work of the founding director. To start with, *Prof. Becker* welcomed the many former staff members and guests of the Institute who had accepted the invitation. In the introductory deliberations that followed, he recalled the development of the Institute in the past 33 years both with personal regard to founding director *Prof. Dr. Hans F. Zacher* and with regard to the content of its research by offering an impressive collection of images in the form of a picture story in three acts. The past became tangible; then followed a report on *Zacher's* time in Saarbrücken, with shared memories presented by *Franz Ruland* and personal impressions offered by *Franz-Xaver Kaufmann* on the sequences of a journey together.

The second part dealt with research at the Institute. *Prof. Dr. Bernd Baron von Maydell* selected a sample of social law issues representative of the work at the Institute. *Prof. Dr. Hans-Joachim Reinhard* reported on the "America Project" and *Dr. Eva Maria Hohnerlein* informed us of the origin and evolution of the correspondent network at the Institute. A presentation entitled "*Der Preis der Ungleichheit*" [The price to pay for inequality] was given by former academic staff member *Maximilian Fuchs*, who thereby acknowledged the research efforts undertaken in the field of social law with a view to developing countries.

The third part focused on the impact of the Institute in an international context and particularly with regard to its long-standing connection with *Prof. Zacher*. Guests and former staff members from Japan, Poland and South Africa had prepared the following topics for this point on the agenda: Fellow researcher *Makoto Arai* reported about the link between Germany and Japan with regard to social law ("*Eine sozialrechtliche Brücke zwischen Deutschland und Japan*"); fellow researcher *Herbert Szurgacz* paid tribute to *Hans F. Zacher's* role in the Polish scientific literature on social law ("*Hans F. Zacher in der polnischen Sozialrechtswissenschaftsliteratur*"); fellow researcher *George Letlhokwa Mpedi*, who had travelled the furthest to attend the event, presented a speech on "Striking a Balance between Learning from Developed Countries and the Need to be Innovative".





Prof. Dr. Dr. h.c. mult. Hans F. Zacher and Prof. Dr. Becker.

The fourth and last part addressed the more recent issues pertaining to social law. *Prof. Dr. Eberhard Eichenhofer* gave a paper on the internal market as a socio-political project, while *Rolf Schuler* commented on the impacts of the so-called *Nikolaus* ruling [*Nikolaus-Rechtsprechung*] of the Federal Constitutional Court on the social courts; following this, *Olga Chesalina* talked about the repercussions that the increase in atypical employment relationships had on social law. The closing words were reserved for the guest of honour, founding director *Prof. Dr. Hans F. Zacher*. The 2013 alumni meeting was a both touching and profoundly human and memorable event.

Alumni Network

The alumni network serves to foster the exchange of ideas among current and former Institute members as well as guest researchers, and provides an opportunity to keep in contact with one another and with the Institute.

A first issue of the alumni newsletter was published in April 2012. The feedback from alumni far and wide was positive and encouraging. To enable personal and not just virtual contact between members, an alumni meeting is scheduled to take place at the Institute every two years as of 2015, and a newsletter is to be issued in the years in between.

For further information please turn to the alumni representative at the following e-mail address: alumni-beauftragte@mpisoc.mpg.de.

*II. Munich Center
for the Economics of Aging (MEA)*



1. MEA: Overview

1.1. Mission, Frame of Thinking and Research Approach

Demographic change is one of the grand challenges of the 21st century. The sheer size of the upcoming change – a doubling in the number of older individuals per young and middle-aged individuals within three decades – is historically without precedence. The implications for our social systems (public and private pensions, health care, long-term care, in a broader sense also the system of labor market policies) have been discussed many times. Reforms, however, come only reluctantly and recently some major backlashes occurred. A prominent example is the recent re-introduction of early retirement at age 63 without actuarial adjustments in Germany. Macroeconomic growth and the international balance of trade and capital flows are affected as well when fewer domestic employees are at disposal to produce goods and services for an essentially stable number of consumers (at least over the next two decades) and when these older consumers will draw down their assets. Some speculate that the emerging imbalances might create intergenerational frictions and endanger societal cohesion. These are the research themes at MEA, the Munich Center for the Economics of Aging. They encompass not only social policy in a narrow sense but also macroeconomic performance and societal change.

Such research has become even more relevant in recent years when the strong interactions between the financial crisis and demographic change have become apparent in Europe. On the one hand, the high indebtedness especially of the Mediterranean countries is to a large extent also an implication of generous pension benefits and early retirement. Even worse, the explicit debt which has increased so quickly over the recent 15 years is dwarfed vis-à-vis the implicit debt of future pension promises. Demographic change thus reduces the credibility of debt reduction programs, and capital markets anticipate this. Regarding the other direction, the crisis and its consequences have created social problems with implications not yet known. The large youth unemployment carries the danger of a lost generation which may end up in old-age poverty; in some crisis countries, old-age poverty has already increased for current pensioners. Almost everywhere inequality has risen in the aftermath of the crisis. Research at MEA thus focusses on the structural challenges which Europe is facing when it wants to preserve its social safety net and at the same time needs to overcome the still ongoing crisis.

MEA's research focus on structural challenges has received particular importance through the recent monetary policy decisions. The structural problems of Europe which are reflected in the European system of social and labor market policies appear to make monetary policies less effective than, e.g., in the US. Without sufficient flexibility, much of the positive impact of quantitative easing appears to get lost in the failure to turn money into jobs, e.g., in the complex interactions between financial and labor markets which result in a low volume of credit to companies which in turn fail to create new jobs. At the same time, the low interest rates reduce the future payments from private pension plans and old-age saving, discouraging the younger generation to provide for old age – another channel through which the crisis, demographic change, monetary policy and social institutions negatively interact.

Against this background, MEA was founded to help evaluate, anticipate and accompany the micro- and macroeconomic aspects of demographic change. MEA's mission is to develop and administer models that predict these developments and provide a scientific framework to analyze policy measures that affect these developments. These models are based on German, European and global data, to a significant extent collected by MEA itself, and are centered at the micro- and macroeconomic effects of social and labor market policies. Analyses of structural failures and their micro- and macroeconomic consequences are key. Models at MEA 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.

While the work at MEA is primarily targeted at scientific publications, its mission includes communicating its research results to the policy community and the public at large, including substantial efforts of scientific consulting for governments in Europe and elsewhere, the OECD and the World Bank. 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 leading SHARE, the Survey of Health, Ageing and Retirement in Europe, a major enterprise which takes up about two-thirds of MEA's human resources, and why MEA is a member of various international research networks. This strategy has given MEA great international visibility.

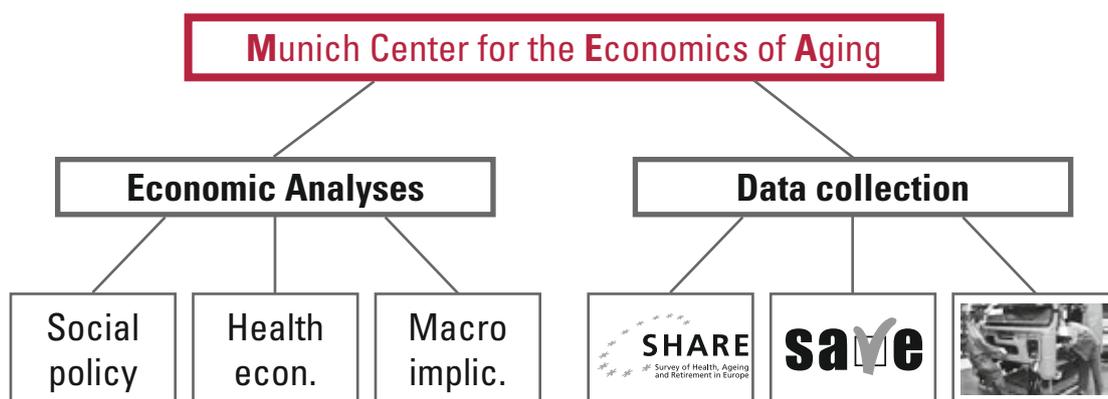


Figure 1.2: Structure of MEA.

As MEA's name suggests, the Center's core analytical work is geared to economics. Interdisciplinary collaboration, however, with empirical sociology as well as epidemiology has grown extensively since MEA was first founded. Cooperation with the social law department adds to MEA's institutional modelling. In addition, MEA also undertakes methodological research to accompany its various data collection efforts, especially SHARE.

The following Section 1.2 describes the structure of MEA. Section 1.3 then summarizes the main achievements during the 2012 – 2014 reporting period, thereby citing work by MEA researchers. They are detailed in Section 2 which describes all our research projects, followed by Section 3 on support for junior researchers, Section 4 on public policy advice and media impact, and Section 5 on publications. This introductory summary concludes with a research outlook (Section 1.4).

1.2. Structure: Research Infrastructures and Units for Analytical Research

The diversity of scientific tasks is reflected in MEA's structure, see Figure 1.2. Analytical work is done in three research units ("Social Policy and Old-Age Provision", "Macroeconomic Implications of an Aging Society", and "Health Econometrics"). In addition, MEA pursues three major data collection efforts (SHARE, SAVE and a set of company studies on age and productivity) in the 2012 – 2014 reporting period.

SHARE, the "Survey of Health, Ageing and Retirement in Europe", is a major investment into a research infrastructure by MEA. It makes MEA very different from other Max Planck Institutes in the Humanities and Social Sciences Section. SHARE is the counterpart of the US Health and

Retirement Study (HRS) but encompasses 20 European countries rather than a single country. Similar to the US HRS, SHARE's objective is to document and better understand the repercussions of demographic ageing for individuals and society as a whole, and to form a sound scientific basis for countermeasures adopted by health and social policy.

SHARE uses strictly harmonized methods to collect data on the health, economic status and social integration of persons aged 50 and over in 20 European countries with a large sample of some 70,000 individuals. The focus is on the interdependence of these characteristics. SHARE is based on (a) an extensive thematic and multidisciplinary scope with measurements that are as objective as possible, (b) longitudinality, and (c) strict cross-national comparability with ex-ante harmonized survey tools and methods. This set-up enables the users of SHARE at MEA and in the world-wide research community to perform comparative analyses of the causes for, and the effects of, social, economic and health-related developments in the course of demographic change on an international scale. The research projects resulting from the analyses of SHARE data and the infrastructure work for SHARE are described in Sections 2.4 and 2.5.

The second data collection effort by MEA concerns how and why households save, the so called **SAVE study ("Sparen und Altersvorsorge in Deutschland")**. This is a 10-wave longitudinal household database which has built up information on saving decisions and their economic, psycho-social, and health context between 2001 and 2013. Since saving behavior in Germany appears to deviate substantially from the consumption-smoothing paradigm, own data collection was instrumental for an in-depth study of the different aspects of long-term planning and saving behavior in an institutional environment which encourages households to build up assets in



long-term saving contracts rather than discretionary saving decisions. Results from SAVE are described in Sections 1.3.2, 2.1 and 2.2.

The third data collection effort by MEA specifically addresses the prejudice that **productivity** peaks at a relatively young age and then declines, implying yet another blow to economic growth of aging societies. We have involved three large enterprises in the automotive, the chemical and the insurance industry and assembled a very large amount of company-internal process data in order to shed light on the relation between age and productivity. The (surprising!) results from these studies are described in Sections 1.3.3 and 2.2.

Among MEA's three analytical research units, the **"Social Policy and Old-Age Provision"** unit is the closest to actual policy, especially public pension policy in Germany. While it includes international comparisons and will focus more on it in the future, see Sections 1.3.4, 2.1 and 1.4.2, our main work is on the reform process towards a demographically more stable multi-pillar public pension system and its recent backlashes in Germany. A detailed simulation model is used as a tool to model the German public pension system (MEA-PENSIM) and the effects of, e.g., the re-introduction of early retirement at age 63 in Germany. The unit also exploits the SAVE panel to study the development of the occupational pensions' and individual accounts' pillars, especially the highly subsidized "Riester pensions", with a focus on tax incentives, nudging mechanisms and the provision of financial information. In its international work, the unit exploits the SHARE data to study retirement behavior, especially the interaction between work and health, partially in collaboration with several projects under the auspices of the National Bureau of Economic Research (NBER). In its econometric work, the research unit studies the advantages and shortcomings of the option value model which has received so much prominence in analyzing retirement decisions. This work is based on SHARE data as well as a large administrative data set provided by the German public pension provider ("Deutsche Rentenversicherung").

The research unit **"Macroeconomic Implications of an Aging Society"**, see Sections 1.3.5 and 2.2, constructs dynamic macroeconomic models that project the overall economic implications of demographic change for labor, capital and goods markets, and compiles the microeconomic foundations for "feeding" these macroeconomic models, namely saving, employment and productivity which rest on the data collection efforts and the analytical research

already sketched. The work centers on the consequences of demographic change for growth, capital accumulation and returns on investment, international capital movements, consumer demand and productivity as a function of social policies. This term is taken in a very broad sense, starting with education and health at childhood, and continuing with positive and negative feedback cycles during adult life strongly influenced by economic, health and social policies. Our main work horses are variants of overlapping generation models which are calibrated to historical data of the three major European economies: France, Germany, and Italy with their strong variation in demography and social policy.

The third analytic research unit **"Health Econometrics"** (Sections 1.3.6 and 2.3) adds health and life expectancy to the abstract figures of modern economics. Key economic decisions taken by individuals, such as labor force participation and saving behavior, depend on their health status – just as, vice-versa, people's economic and social status will influence their health and longevity. This correlation is based on numerous – partly self-reinforcing, partly countervailing – mechanisms such as the effect of education on health behavior; the potentially rationing effect of the health care system and its financing in particular the design of insurance systems; the design of the workplace with a view to occupational health and ergonomics; the effect of serious illness on performance ability, often already experienced by school children; and the effect of the general macroeconomic environment on long-term health outcomes. Measuring and identifying the importance of these mechanisms in each individual case with its life circumstances constitutes a difficult empirical task which is supported by SHARE, especially its life histories, and other data sources. Specific projects on which we are currently working include the effects of retirement on health and cognitive abilities, the long-term effects of fertility and labor market choices on parental health and selection problems in insurance markets. Our focus thereby is on advancing econometric methods and developing strategies to estimate causal effects.

1.3. Main Achievements

1.3.1. SHARE

As measured by user uptake, published scientific articles and policy reports, SHARE has been a huge success (see Börsch-Supan et al. 2013, *International Journal of Epidemiology*). SHARE has succeeded surprisingly fast to create a large user community.

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 about doubled its users. SHARE has more than 4,300 registered users (January 2015) from all over the world and from a broad range of organisations and disciplines (see <http://www.share-project.org/data-access-documentation/user-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 Figure 1.3.1a.

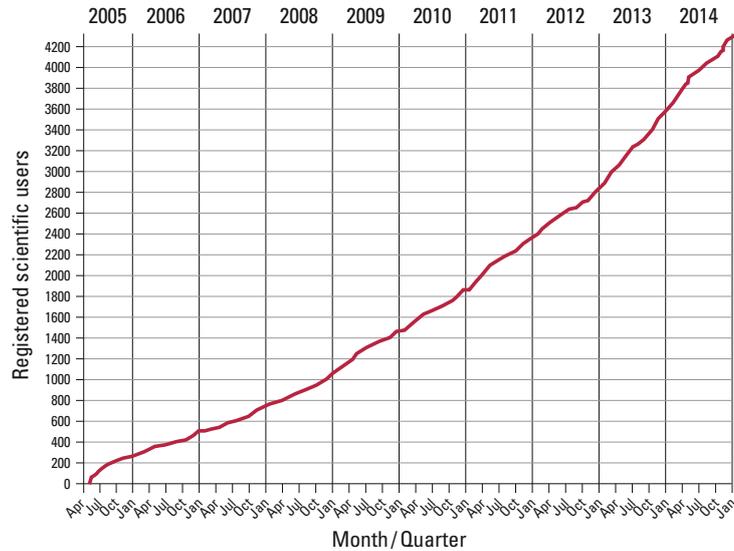


Figure 1.3.1a: Increase in SHARE registrations.

SHARE is currently used in 61 countries (32 European, 5 North and Central American, 3 South American, 6 African, 13 Asian, and 2 Oceanian). The largest user groups (see Figure 1.3.1b) are located in Germany, followed by the United States as second largest user group. It is remarkable that two non-SHARE countries (US and UK) are among the heaviest user nations of the SHARE data. 78.6% of users are affiliated to a university, 8% to non-university reseach institutes, and 13.3% to other institutions, among them the European Commission as single-largest user and several central banks.

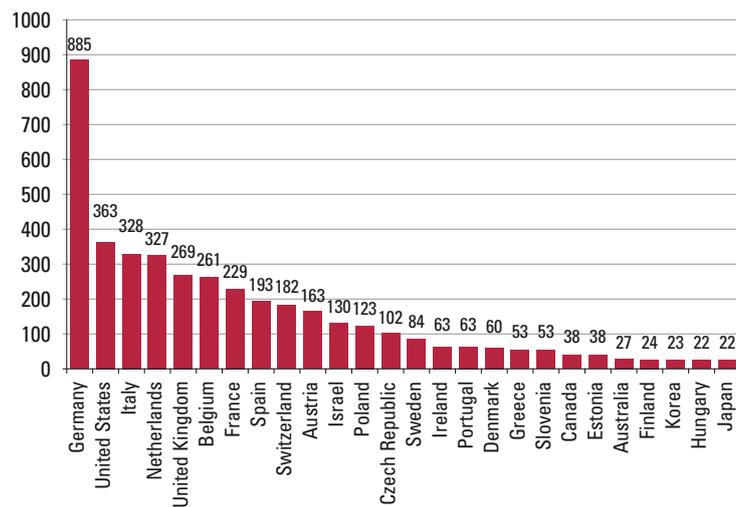


Figure 1.3.1b: Number of SHARE registrations by country.

SHARE has led to a large number of fundamental and application-oriented research results, see Figure 1.3.1c. SHARE has by now generated more than 1,000 publications, 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 the American Economic Review, the American Journal of Public Health, British Journal of Psychiatry, Demography, Economic Journal, Economic Policy, the

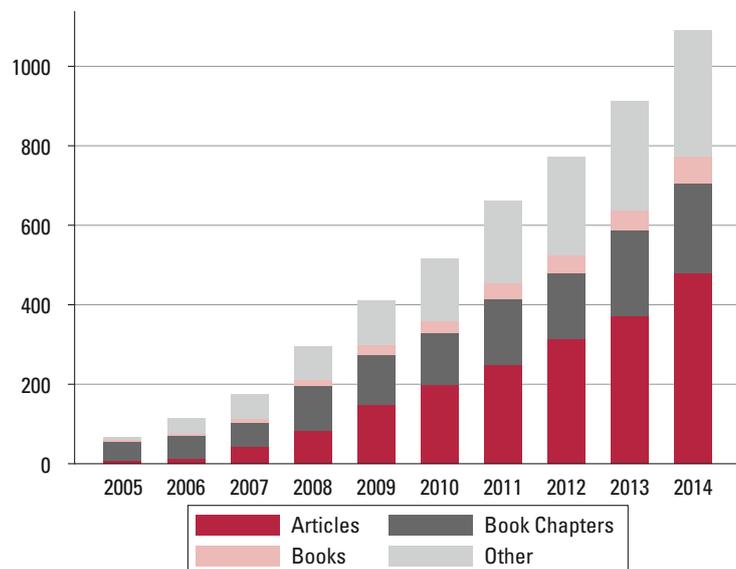


Figure 1.3.1c: Cumulated Number of Publications using SHARE.



European Journal of Public Health, the European Sociological Review, the Gerontologist, Health Affairs, Health Psychology, the International Journal of Epidemiology, the Journal of Economic Perspectives, the Journal of Epidemiology and Community Health, the Journal of Health Economics, the Journal of Marriage and Family, Lancet, Occupational and Environmental Medicine, Proceedings of the National Academy of Sciences of the United States of America, the Review of Economics and Statistics, and Social Science & Medicine. The multidisciplinary study of individual and population ageing has become a top scientific field in Europe, not the least due to the rich multidisciplinary data provided by SHARE.

SHARE has generated some surprising findings, which have received widespread attention. The following examples may show the breadth and quality of successful SHARE-based research, and where they lead to new questions and data requirements.

- Already the first wave of data revealed and later waves confirmed a European North-South gradient in many more dimensions than previously documented (Börsch-Supan et al. 2005, *European Journal of Ageing*; Börsch-Supan 2012, *European Journal of Ageing*; Olshansky et al. 2012, *Health Affairs*; Börsch-Supan 2013, *Journal of the Economics of Ageing*). While the income gradient was known thanks to earlier Eurostat data, the health and subjective well-being differences between the North and the South of Europe was surprising because they contradict mortality data and folklore about a healthy Mediterranean life style. For instance, individuals with a low education are 70% more likely to be physically inactive, and 50% more likely to be obese than individuals with a higher education (Börsch-Supan et al. 2013 *SHARE First Results Book*). More specifically, cross-country differences between cognitive impairment rates are in line with cross-country differences in education level (Mazzonna 2014, *Social Science & Medicine*), and, maybe surprisingly, there is a clear negative association between depression and income or wealth in the Northern countries, but such an association is completely absent in the South of Europe (Schaan 2013, *The Journals of Gerontology Series B: Psychological and Social Sciences*, Schaan 2014, *Social Science & Medicine*; Kruk and Reinhold 2014, *Social Science & Medicine*).

These observations have inspired the Research Unit on Health Econometrics for much of their work, see Section 1.3.6. They also pose new fundamental questions, e.g., about the economic, social and medical causes for a divergence between mortality and morbidity, which require more data collection efforts. Since the decrease in mortality and the compression of morbidity are slow processes affecting cohorts differently, the international organization underlying SHARE (i.e., SHARE-ERIC which is managed by MEA) is currently set for five further waves until 2024. Moreover, since the typical self-reported health measures are not only reflecting genuine health differences but also cross-national differences in response styles, an important desideratum for future research are objective health measures. SHARE has therefore pioneered the collection of dried blood spot samples (DBSS) in a large international social survey. Assays derived from DBSS include glycated hemoglobin (HbA1c), a marker of diabetes; C-reactive protein, a marker of cardio-vascular disease; cytokines such as TNF- α , IL-6 and BDNF, involved in low-grade inflammation, frailty and cognitive function; Vitamin D, and heavy metals. MEA has hired two biologists to support this endeavour.

- Another surprising finding from SHARE has sparked an entire new area of research and a lot of controversy: SHARE data revealed a strong correlation between early retirement and the loss of cognitive abilities both within and between European countries (Rohwedder and Willis 2010, *Journal of Economic Perspectives*; Mazzonna and Peracchi 2012, *European Economic Review*; Mazzonna 2014, *Social Science & Medicine*). A fruitful cooperation between cognitive psychologists, gerontologists, economists, and sociologists has begun to identify the causes for this finding which range from the cognition-stimulating effect of work – even if it is experienced as unpleasant – to the social isolation experienced by many retirees. It sheds new light on the EU's strive for active ageing. The causal identification is achieved using variation in national pension policies. This finding would not have been possible without cross-national and at the same time multidisciplinary data such as SHARE and its sister surveys such as HRS in the US and ELSA in the UK. SHARE also allowed digging deeper into the mechanisms behind this finding hinting at retirement related changes in social networks and the type of occupation as possible mechanisms (Börsch-Supan and Schuth 2014 in *Wise (ed)*; Mazzonna and Peracchi 2014, *EIEF Working Paper 09/14*).

- The SHARE data have provided evidence on the long-term scarring effects of recessions and financial hardship episodes, especially if experienced at school-leaving age, both on economic outcomes, such as employment, and health outcomes late in life measured in several dimensions (Brandt et al. 2012, *Social Science and Medicine*; Schröder 2013, *Advances in Life Course Research*; Antonova, Bucher-Koenen and Mazzonna 2014, *MEA Discussion Paper 20-2014*; Brandt and Hank 2014, *Journal of Social Policy*). The SHARE data also identified substantial negative short-term effects of the current crisis on the health of older Europeans (Bucher-Koenen and Mazzonna 2013 in Börsch-Supan, Brandt, Litwin, and Weber, (eds.)). In order to more precisely distinguish which aspects of the welfare state have caused better or worse outcomes, SHARE has started with designing another round of collecting detailed life histories to be fielded starting in 2016, see Section 1.4.1 for a detailed concept. This will support a broad research area on life-time events, e.g. the different long-term consequences of divorce as a function of the applicable divorce laws (Reinhold et al. 2013, *Journal of Population Economics*, and Kneip et al. 2014, *Demography*).
- The SHARE data have provided insights on the interplay between family help and support by the welfare state: Differences in arrangements of inter-generational support are shaped by welfare regimes. A well-developed welfare state does not "crowd out" familial support (e.g. caring for older parents or grandchildren) but rather fosters specialization (Brandt 2013, *European Societies*; Brand and Deindl 2013, *Journal of Marriage and Family*). The complex patterns of substitution and complementarity may well change over time as new cohorts change behavior which we will be able to observe in the ongoing SHARE data collection.
- Surprising is also the finding that the large international differences in the uptake of disability benefits are not at all correlated with health or demographic differences in Europe, such as those mentioned above between the North and the South. For example, the prevalence of disability insurance in the early retirement window varies from about 16% in Denmark to about 3% in Greece. Rather, they are almost completely explained by the different rules and regulations of the various disability insurance schemes in the member states and document how powerful economic incentives are for retirement behaviour (Börsch-Supan and Jürges 2012 in Wise (ed), Jürges et al. 2014 in Wise (ed)).

SHARE has also enhanced the state-of-the-art in survey methodology. Recording the most salient indicators on health, family, social conditions, work, accommodation and economic factors in a reasonable amount of time and in a harmonized fashion across 20 participating countries with more than 30 languages (including Arabic, Hebrew and Russian) is a highly ambitious enterprise. SHARE's main achievement is the development of a set of electronic tools which harness the potentially centrifugal forces of cross-cultural cooperation in the survey process, starting with designing the instrument, translating and updating it, controlling the integrity of the sample, aiding the personal interviews, to managing the data base. In addition, we have conducted several experiments to better understand response behavior and integrated their results in the electronic sample management system. We have validated the survey data with record-linked administrative data, and we have introduced biomarkers (physical performance tests and capillary blood samples) in this large-scale international social survey. This has produced a host of methodological publications (Schröder 2011 (ed), Hunkler et al. 2011 in Schröder (ed); Blom et al. 2012 in Soeffner (ed); Schaan and Korbmacher 2012 in *National Center for Health Statistics*, (ed); Blom and Korbmacher 2013 in *Survey Methods: Insights from the Field*; Korbmacher and Schröder 2013 in *Survey Research Methods*; Börsch-Supan and Krieger 2013 in *Malter and Börsch-Supan* (eds); Malter and Börsch-Supan 2013 (eds); Bristle et al. 2014, *SHARE WP: 19-2014*; Korbmacher 2014, *SHARE WP 20-2014*, *SHARE WP 21-2014*; Malter 2014, *Survey Methods: Insights from the Field*).

1.3.2. Main Achievements: SAVE

SAVE has provided a fascinating account of the transition process from a rather monolithic public pension system as it dominated in Germany until 2001 to a multi-pillar system with a supplementary mix of subsidized and unsubsidized individual accounts and several types of occupational pensions. Figure 1.3.2a depicts the evolution from 2003 through 2013 during which the percentage of households which relied solely on the pay-as-you-go public pension decreased from 73% to 39%. Figure 1.3.2b depicts the evolving pension mix, consisting of an increase in private subsidized Riester pensions, occupational pensions and other private pension contracts. Supplementary pension now make up about 20% of old-age income; this share is supposed to increase to about 33% by 2040.



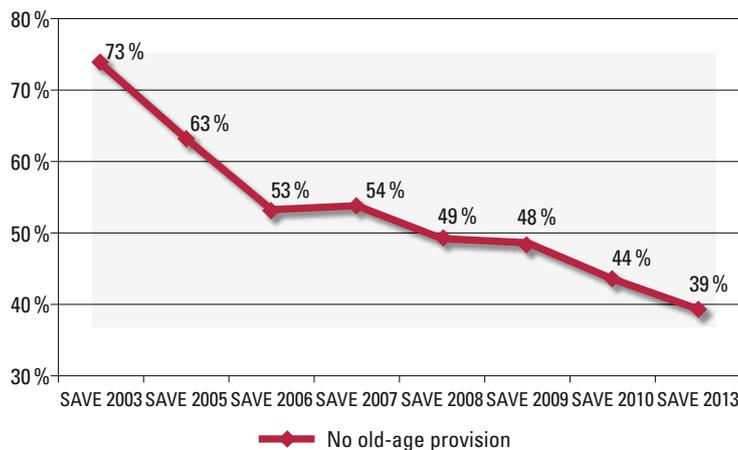


Figure 1.3.2a: Fraction of households without supplementary pensions.

The main value of the SAVE data is their richness of observable behaviors and possible economic, social and psychological explanations. The SAVE data reveal a shocking lack of information. This holds for both individual accounts (mainly the Riester scheme) and occupational pensions. Coppola and Gasche (2011), *MEA DP 244-11* and Coppola (2014), *Journal of Socio-Economics* show that a large share of the population does not understand the incentives provided by the Riester scheme. Especially low-income households are ignorant of their eligibility for subsidies under the Riester scheme. In a similar context, Ziegelmeyer and Nick (2013, *Empirica*) analyze the reasons behind the termination of Riester contracts. The SAVE data show that in about one third of the cases miscounseling or missold products were the only cause for terminating or not serving Riester contracts. Lamla and Coppola (2013, *MEA DP 12-2013*) link wave 2011 SAVE data with administrative data from the German Federal Employment Agency to create an employer-employee data set. They find that only about half of the workers are aware that their employer has to provide an occupational pension to them.

The interaction between lack of knowledge and therefore misleading incentives is particular strong in the lower income classes. Lamla and Gasche (2013, *Schmollers Jahrbuch*) show that 38% of the households expect to rely on means-tested social assistance in old age which would claw back savings accumulated in Riester accounts. The actual share, however, is less than 3%, and more than half of those households already have accumu-

lated sufficient public pension claims to place them above the threshold of the means test. Bucher-Koenen and Kluth (2012, *MEA DP 14-2012*) use the SAVE information on subjective life expectancy to find that women and men underestimate their life expectancy by about 7 and 6.5 years, respectively, again leading to lower saving rates.

More generally, Germany is no exception among the many countries with low financial literacy (Bucher-Koenen and Lusardi 2011, *Journal of Pension Economics and Finance*; Bucher-Koenen 2011, *MEA DP 250-11*; Bucher-Koenen and Lamla, 2014, *MEA DP 05-2014*). In particular, women, East Germans, those with low levels of education, the unemployed and persons with low income display low levels of financial literacy. The SAVE data show that less than a quarter of Germans below age 65 attempted to find out how much they needed to save to close the pension gap created by the recent pension reforms.

The SAVE panel also offers an observatory of the recent financial crisis and its shocks to private wealth (Börsch-Supan et al. 2010, *Zeitschrift für Wirtschaftspolitik*; MEA Studies 9 and 10; Bucher-Koenen and Ziegelmeyer 2013, *Review of Finance*). Since households with low financial literacy are less likely to own risky assets, fewer of them report financial losses. More importantly, however, financially illiterate households more often sold assets immediately when their value declined and thereby did not participate in the quick recovery in Germany. Hence, households with lower financial literacy suffered more from the crisis in the longer run.

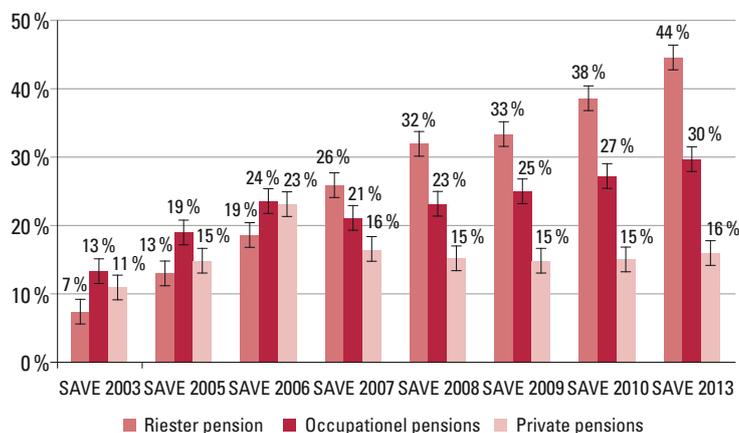


Figure 1.3.2b: Households with supplementary pensions.

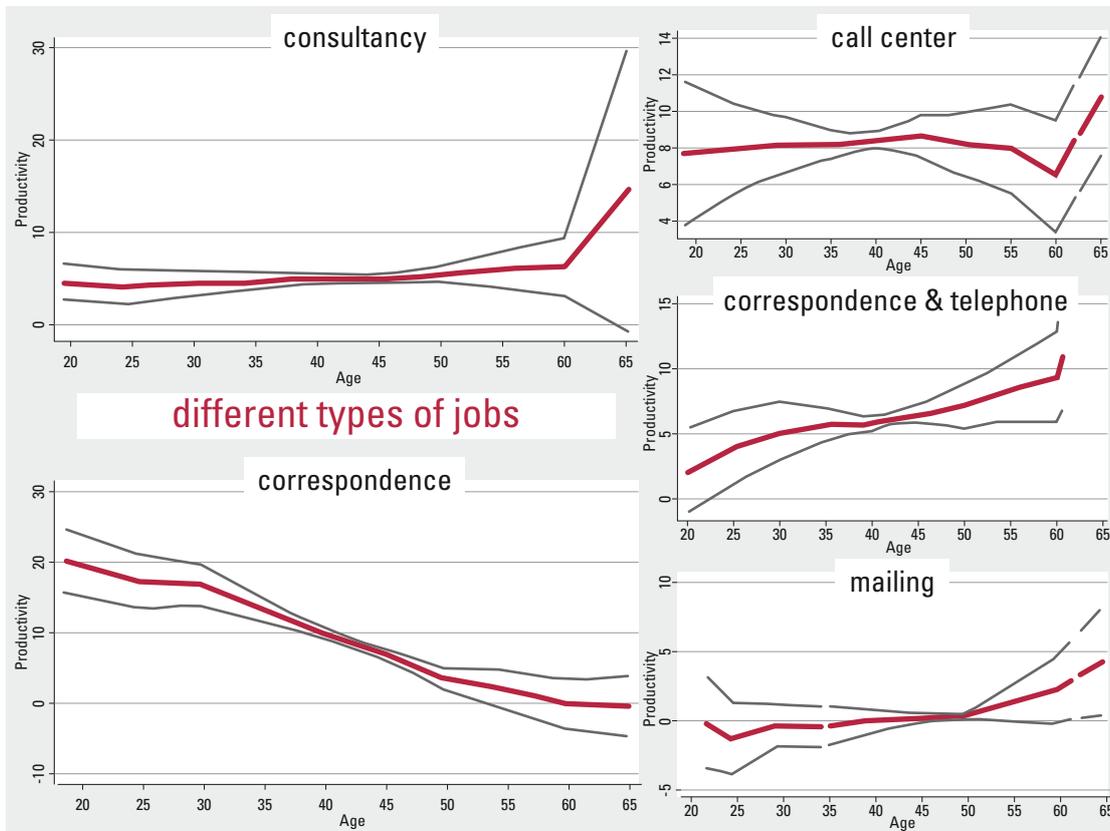


Figure 1.3.3: Age Productivity Profiles for different tasks in the insurance industry.

1.3.3. Main Achievements: Age and Productivity

Aging not only affects the population as a whole but specifically also the workforce. If older workers were less productive than younger ones, aging would imply lower aggregate productivity. After our successful project on age and productivity in a large manufacturing company (see Section 2.2) which showed that the prejudice of a negative age-productivity link has no empirical support in that company, we extended our study to the service sector. We approached a large insurance company and measured productivity by performance indicators for office workers such as 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.

These huge data (we have almost 5 million data points) permit us to overcome a number of methodological problems in unprecedented ways. First, we merged the daily performance data of 1,623 work teams on 908 days (unbalanced) with longitudinal personnel data of 11,143 workers. This permits us to hold a broad range of workers' characteristics constant. In addition and most importantly, this longitudinality allows us to difference out combined worker

and workplace fixed effects, so we are able to correct for the selection effects marring so many earlier studies due to the endogeneity of early retirement and team composition.

Second, we measure the joint productivity of workers in a work team. This takes into account the individual workers' contribution to their co-workers' productivity. Particularly the contribution of older workers may be underestimated if productivity is measured at an individual level. Examples for such potential contributions to a team's productivity are the instruction of younger workers, being relaxed in tense or hectic situations, and contributing positively to the work climate. This approach solves the serious aggregation problems in so many studies in this literature.

Preliminary results are depicted in Figure 1.3.3. They show that on average over the entire insurance company the age-productivity profile is flat. If we look at the profiles for different tasks separately, however, we find considerable differences: At workplaces with rather simple tasks (e.g. correspondence) productivity significantly declines with age while at workplaces with more complex tasks (especially longer phone calls) productivity increases with age.



1.3.4. Main Achievements: Social Policy and Old-Age Provision

We have completely re-designed our main pension policy evaluation tool, the MEA-PENSIM model (Gasche et al. 2012, *Zeitschrift für Wirtschaftspolitik*). It is the only non-government pension simulation model that allows for the simulation of the future development of the German public pension system. The main new feature is a flexible modeling of the current and alternative institutional environments, e.g. early retirement rules and indexation formulae with respect to wages, employment and demography. 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 and their consequences be analyzed at relatively short notice. The most recent working papers using MEA-PENSIM are related to the 2013/2014 pension reform package that re-introduced early retirement at age 63 (Börsch-Supan et al. 2012 *MEA DP 05-2012* and Börsch-Supan et al. *MEA DP 17-2014*) and more generous pension benefits for mothers (Bach et al. 2014, *Expertise for Initiative Neue Soziale Marktwirtschaft* and *MEA-DP 8-2014*).

MEA's Social Policy Unit has been an important consultant for pension reforms independent of the governing coalition (2012 – 2014 consultants for the former CDU&FDP led government as well as for the current CDU&SPD led government). The Social Policy Unit has completed three large consultancy projects for two ministries of the German Federal government: on current and future old-age poverty, on actuarial adjustments in the public pension system and on flexible pathways to retirement, see Section 4.1. All three expert reports produced a large media echo, see Section 4.4, especially the

study on old-age poverty (Börsch-Supan 2013, *Orientierungen zur Wirtschafts- und Gesellschaftspolitik*; Börsch-Supan, et al. 2013, *Aus Politik und Zeitgeschichte*).

Another prominent study evaluated the costs of Riester pensions (the heavily subsidized individual accounts, see Gasche et al. 2013, *MEA DP 04-2013* and Börsch-Supan et al. 2012, in *Hinz, Tuesta, Takayama, (eds.)*, as well as *MEA-DP 04-2012* and *NBER WP 18014*). The study revealed a very large heterogeneity among Riester contacts. Measured as percent of contributions, administrative and marketing costs ranged between 2 and 20%, with an average of 12%, see Figure 1.3.4.

The Unit for Social Policy and Old-Age Provision is also the German participant in the International Social Security Project (ISSP) led by David Wise (and formerly Jon Gruber). Main focus between 2012 and 2014 was an econometric estimate of the probability to exploit disability insurance as a pathway to early retirement (Börsch-Supan and Jürges 2012 in *Wise (ed)*; Jürges et al. 2014 in *Wise (ed)*). These studies have precipitated some methodological research on the suitability of the option value as a tool to analyze retirement decisions (see Börsch-Supan 27-2014 *MEA DP*).

1.3.5. Main Achievements: Macroeconomic Implications of an Aging Society

MEA's computational general equilibrium model of aging economies combines a set of features which is globally unique and therefore continues to produce interesting results. It provides a detailed model of retirement and pensions and their implications for saving and growth in an international setting of free trade and capital flows which is so important for European countries. Recent refinements of the model

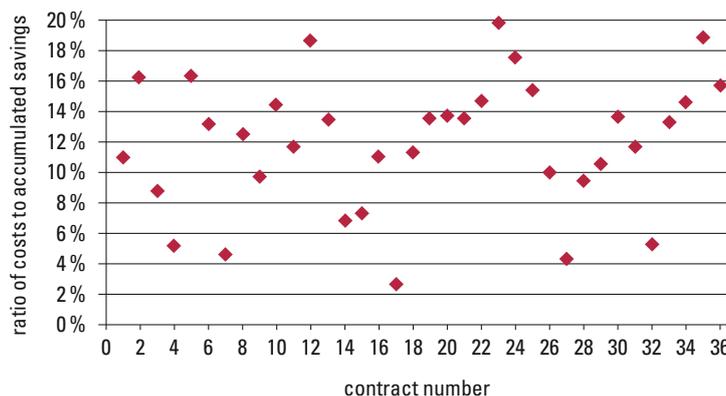


Figure 1.3.4: Administrative and marketing cost of Riester pensions.

include a labor supply function that is partially exogenous (e.g. via a stiffening of early retirement rules) and partially endogenous (e.g. allowing workers to partially circumvent such stiffened rules). This feature permits an estimate of the expected behavioral backlash to pension reform. Results could be published prominently (Börsch-Supan and Ludwig 2013 in *Economic Modelling*; Börsch-Supan et al. 2014 in the *American Economic Review, Papers and Proceedings*).

This model has provided projections for the commission on "Long-Term Implications of Aging for the U.S. Economy" of the U.S. National Academies of Science. It also attracted the World Economic Forum (Bloom, Börsch-Supan, McGee and Seike 2012, in *World Economic Forum (ed)*) and the World Bank which organized a workshop of MEA researchers with World Bank staff at MEA discussing the current state of knowledge on the economics of aging, in particular its expected impact on growth, labor productivity, fiscal balances, and behavioral change.

1.3.6. Main Achievements: Health Econometrics

The focus of the Research Unit is on applying state-of-the-art statistical and econometric methods to applied questions with focus on health economics and insurance. In most of our work, we combine empirical questions with theoretical contributions in terms of novel identification strategies or advances in econometric modelling.

The Unit has published in leading journals, among others, the *European Economic Review*, *The Economic Journal*, *Journal of Business and Economic Statistics*, *Journal of Applied Econometrics*, *Health Economics*, and *Statistics in Medicine*, see the topics summarized below. Moreover, a paper is forthcoming in the *American Economic Review*, *Papers and Proceedings*. Its work has been presented at highly reputable conferences like the European and the North America Summer Meeting of the Econometric Society and the Annual Meeting of the American Economic Association. Moreover, the research unit has established research cooperations with the University of Bristol (Frank Windmeijer), Massachusetts Institute of Technology (Victor Chernozhukov), University of Chicago (Christian Hansen), Singapore Management University (Liangju Su), and Harvard School of Public Health (Lisa Berkman). The Unit organized two conferences on health and health econometrics: CESifo-MEA-LMU Health Economics conference, Munich, 2013 and 23rd European Workshop on Econometrics and Health Economics, Starnberg, 2014.

Using a unique identification strategy, we analyzed the 2004 health care reform in Germany (Farbmacher and Winter 2013, *Health Economics*). When health insurance reforms involve non-linear price schedules tied to payment periods (for example, fees levied by quarter or year), the empirical analysis of its effects has to take the within-period time structure of incentives into account. The analysis is further complicated when demand data are obtained from a survey in which the reporting period does not coincide with

the payment period. We illustrate these issues using as an example a health care reform in Germany which imposed a per-quarter fee of 10€ for doctor visits and additionally set an out-of-pocket maximum. As opposed to less sophisticated evaluation studies, we find a substantial reform effect – especially so for young adults. Moreover, nonlinear price schedules generally have heterogeneous effects on health care demand (Farbmacher et al. 2013 *CESifo WP 4499*).

A second central theme was the extent of asymmetric information in insurance markets. We developed a new nonparametric test for asymmetric information (Su and Spindler 2013, *Journal of Business and Economic Statistics*) and analysed selected insurance markets (Spindler 2014, *The Geneva Risk and Insurance Review*; Spindler et al. 2014, *Journal of Risk and Insurance*). Motivated by the literature on testing conditional independence, we propose a new nonparametric test for asymmetric information which is applicable in a variety of situations (Su and Spindler 2013, *Journal of Business and Economic Statistics*). While Finkelstein and McGarry (2006, *American Economic Review*) find no positive correlation between risk and coverage in the long term care insurance market, our test detects asymmetric information using only the information that is available to the insurance company. With regard to insurance that pays cash benefits for each day spent in hospital we detect asymmetric information for low insurance sums but not for high sums.

A third important topic of the Unit between 2012 and 2014 was the analysis of cognitive abilities at older ages. Using a minimum school-leaving age reform in England, we find a large effect of education on males' memory and executive functioning. This result is particularly remarkable as the reform had a powerful and immediate effect on about half the population of 14 year olds (Banks and Mazzonna 2012, *Economic Journal*). Furthermore, we investigate the relationship between retirement and cognitive abilities using SHARE (Mazzonna and Peracchi 2012, *European Economic Review*; Mazzonna 2014, *Social Science & Medicine*; Börsch-Supan and Schuth 2014 in *Wise (ed)*; Mazzonna and Peracchi 2014, *EIEF WP 09/14*). The human capital framework suggests that retirement may cause an increase in cognitive decline, since after retirement individuals lose the market incentive to invest in cognitive repair activities. Our empirical results, based on an instrumental variable strategy to deal with the potential endogeneity of retirement, confirm this key prediction. They also indicate that education plays a fundamental role in explaining heterogeneity in the level of cognitive abilities.



1.3.7. Main Achievements: Public Policy Consulting

Since it was launched 15 years ago in Mannheim, 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 of Economic Affairs; advisory support to the Federal President as well as the Federal Ministers of Finance, of Health and Social Affairs, and of the Interior), advisory support to the Minister of Economics and Finance of the Republic of Italy, the Minister of Finance of the Republic of France, the Ministry of Finance of Finland, the Greek Central Bank, the United States Secretary for Health and Human Resources, the U.S. Special Senate Committee on Aging, the European Commission, the OECD, and the World Bank, among others.

All MEA research units provided input to Axel Börsch-Supan in his function as one of the nine members of the Expert Council on Demography ("Expertenrat Demografie"), instituted by the German Federal Government. This body meets regularly at the Federal Ministry of the Interior in order to analyze the ramifications of demographic change. The computational general equilibrium models of the global aging process developed by the MEA research unit "Macroeconomic Implications of an Aging Society" provided the groundwork for Axel Börsch-Supan as a member of the commission on "Long-Term Implications of Aging for the U.S. Economy", installed by the U.S. Senate and based at the U.S. National Academies of Science. Axel Börsch-Supan was a member of the Global Council on Aging and then 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."

Many of the SHARE findings have strong policy implications, many of them controversial, such as tighter targeting rules for disability insurance or a stricter handling of early retirement pathways. SHARE has been successful in providing help for evidence-based policy making, both at the European Union and the member-state level. SHARE is also intensely used by the Organisation for Economic Cooperation and Development (OECD) and the World Health Organisation (WHO). Three examples on the EU level may illustrate this:

- The European Commission's Directorate-General for Economic and Financial Affairs (DG ECFIN) has used SHARE data to add detail for its long-term projections of pension and health care expenditures. Such detailed data included health services utilisation, morbidity by age and years before death, and retirement propensities by age and health.
- DG for Health and Food Safety (SANTE) uses SHARE for their set of indicators, including the demographic and socio-economic situation (e.g., income inequality); health status (e.g. cancer incidence); health determinants (e.g., consumption of fruit); and health services (e.g. insurance coverage). SHARE was also used to compute health-adjusted life expectancies in Europe.
- The policy of the DG for Employment, Social Affairs and Equal Opportunities (EMPL) on active ageing, highlighted during the European Year of Active Ageing and Solidarity between Generations, is based on many findings from SHARE. Its recent report on Employment and Social Developments in Europe, for instance, stresses the importance of health prevention and work place quality to foster labour force participation at older ages. Evidence on these cross-cutting themes has only become possible through the multi-disciplinarity of SHARE data.

The public policy consulting activities have resulted in MEA Discussion Papers; most resulted in later publications mostly in German-speaking journals, see especially Section 1.3.4. Some of the studies precipitated a large media echo, especially on old-age poverty and the recent pension reform package, see Section 4.4.

1.3.8. 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, 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. 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 (see Section 3.1). Dissertations are usually tightly linked with a project at MEA (Section 3.2). From the very beginning, all researchers present their work periodically in our weekly MEA Seminar (Section 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). 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). In addition to these course programs, we have set up a MEA Course Program "Empirical Methods" which is tailored to the needs of the MEA researchers (Section 3.5). We also co-organize the weekly Research Workshop "Empirical Economics" together with the faculty from the Economics Department of the Ludwig-Maximilians-Universität München (LMU), a further possibility for our researchers to meet other researchers, learn about related research and how to discuss academic issues (Section 3.6).

Beyond Munich, we encourage our researchers to take part in courses that are offered elsewhere (Section 3.7), prompt them to present their work at international conferences and workshops (Section 6) and encourage them to visit other researchers abroad (Section 3.8). In turn, we have a guest program (Section 10) 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 (Section 3.9).

The success of our strategy is documented, e.g., in best dissertation prizes, best paper prizes, and the excellent placements of researchers who leave MEA (Section 11). We are also proud that MEA has a balanced gender balance and a family-friendly environment for young fathers and mothers.

1.4. Research Outlook

While this report is mainly retrospective and describes what MEA has achieved between 2012 and 2014, MEA pursues a well-defined strategy for the future which is continuously further developed during special sessions of the MEA seminar (see Section 3.3) and the annual MEA retreat (see Section 3.4).

1.4.1. Data Collection

We will focus our data collection efforts on SHARE. SAVE has ended with its 10th wave in 2013, and we expect the last data delivery on age and productivity by the involved insurance company in early spring 2015.

SHARE will remain the most labor intensive project. MEA and the SHARE network have developed a

10-wave plan for data collection and research which addresses the most urgent issues as demographic change proceeds:

Wave 6 has started fieldwork in February 2015. Its main innovation is to integrate the collection of dried blood spot samples (DBSS) into a socio-economic survey to add a new dimension of objective health data to the existing physical performance measures. DBSS will detect undiagnosed illnesses, such as diabetes, and their potential health and social determinants, and largely eliminate cultural biases in cross-national comparisons of health. The measurement of cytokines will put light on bio-medical pathways in the link between social and economic circumstances on health, for example how work-related stress affects mental and physical health.

Wave 7 will administer structured life histories to about 50,000 respondents in 20 countries who have been added to the SHARE panel since the third wave in 2008.

This will be a major data collection effort. The theoretical framework for this endeavor is the insight that health, economic and social status in later life emerge from complex interactions over the entire life course, see Figure 1.4.1. Departing from a person's biological make-up, parental conditions and early education (indicated by the left box in Figure 1.4.1), the trajectories of health, economic status and social embeddedness are not determined in isolation but in mutual interaction over the entire life course (as indicated by the many two-sided arrows between the three trajectories). Health, for instance, influences economic status because healthier bodies are likely to support higher learning capacities at younger ages and higher working loads at older ages. In turn, income inequalities are likely to also cause inequalities in health because richer individuals can afford higher out-of-pocket health care costs and may have easier access to health care especially in certain health care systems. Health behaviors, lifestyle, environmental and occupational conditions add to these mutual interactions between health and economic status and at the same time introduce interactions with the social environment in which individuals live. For example, there is ample evidence that embeddedness in a good family background is beneficial for the health of the family members. An important insight of recent research is that these interactions manifest their effects starting very early in life and then accumulate in positive and negative feedback cycles over the entire life course before they determine later-life health, economic and social outcomes at older ages (right box in Figure 1.4.1).



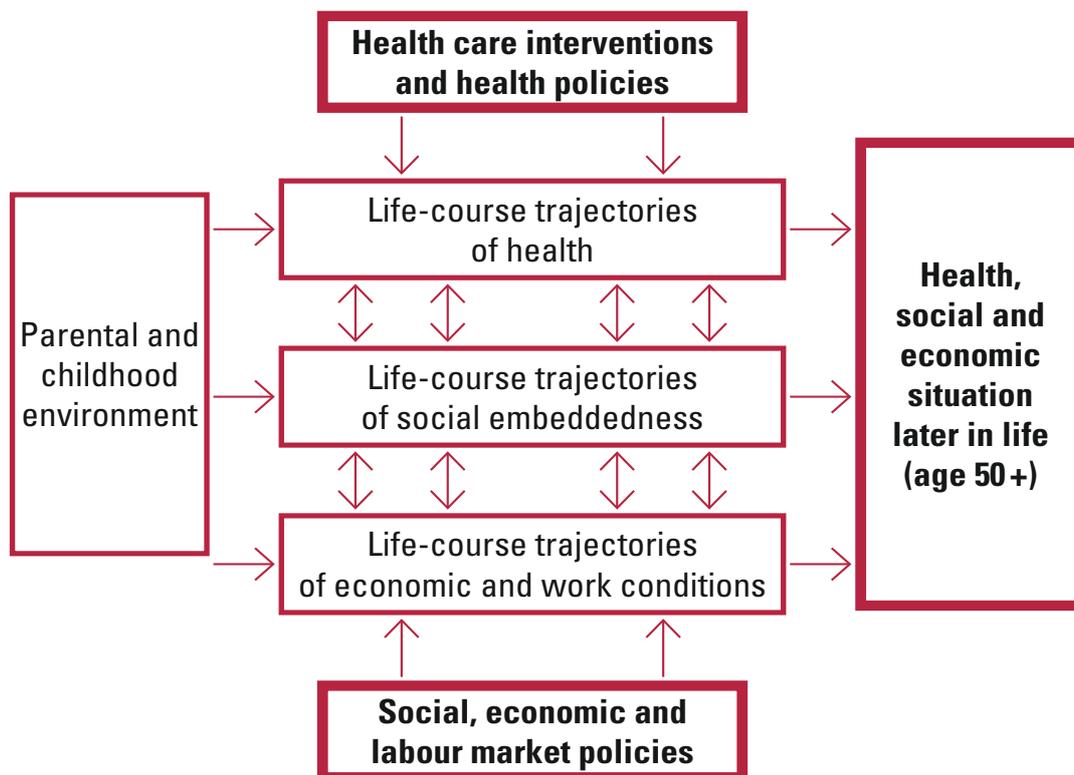


Figure 1.4.1: Life-course view.

Many of these interactions are modifiable by policies, such as education, work place regulations, poverty prevention or health care (indicated by the boxes at the top and bottom of Figure 1.4.1). Some welfare state interventions affect health and employment directly. Early retirement, for example, is directly and often immediately influenced by the rules of the pension, disability and unemployment systems. Health is directly affected by the health care systems. In addition, there are long-run interventions of the welfare state – such as education, preventive health care and work place regulations – which have complex indirect and interrelated effects over the life course on both health and employment. Preventive health care, for instance, not only increases health but it also makes meaningful occupation feasible at older ages. High work place standards do not only improve employment at older ages by reducing early retirement, they also tend to improve physical and mental health. The effects of welfare policies are very large and fundamental. For instance, the difference in life expectancy between low and high socio-economic status is as large as the difference between men and women. The SHARE life histories with their international variation will provide excellent data to understand which welfare state policies are most efficient to improve health, economic and social well-being and at which point of the life-course interventions should take place.

Wave 8 (2019-20) will add in tight coordination with the US Health and Retirement Study an in-depth measurement of cognition and mild, moderate and severe cognitive impairment. The module 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.

Waves 9 and 10 (2021-24) will be devoted to the retirement of the baby boom since during those years the peak baby-boomer generation cohorts of the participating SHARE countries will have entered the retirement window. Topics will include how health and well-being will change in the years immediately before and after retirement, how consumption and time use will adapt to the respondents' new financial and social situation after retirement, and which level and distribution of living standards will emerge from the combination of private and public pension resources.

1.4.2. Social Policy and Old-Age Provision

The Social Policy Unit will keep maintaining its routine portfolio of continuously monitoring German pension policies and commenting on the ups and downs of the pension reform process based on the MEA-PENSIM policy evaluation tool. This will become especially interesting in the coming decade during which the baby boom will retire. The baby boom is particularly sharp and pronounced in Germany due to the postponement of births during the hunger years after World War II. The coming decade will thus be a historically unique chance to observe and analyze the demographic transition in Germany with its huge impact on pensions, health care and economic growth. MEA is well equipped to benefit from this unique chance.

Notwithstanding MEA's specific role in Germany, the Research Unit intends to put more emphasis on international comparisons and econometric analyses, in particular based on the SHARE data and data from associated aging surveys such as HRS, ELSA, JSTAR and CHARLS. We will focus on comparative analyses of retirement and saving behavior in Europe, the US, Japan and China, exploiting the network of international researchers that has been formed through these surveys. We are especially interested in better understanding contractual saving (most prominently old-age provision) which varies a great deal across these countries and appears to generate a non-smoothing consumption behavior. International comparisons will also shed more light on the role of information for the successful implementation of pension policy reforms.

A third aim for this Research Unit is to exploit combinations of survey data with large administrative data sets that have become available in Germany and increasingly also in other European countries. For instance, the SHARE data have been linked by MEA with the employment and earnings histories of the public pension files (Korbmacher 2014, *SHARE WP 20-2014 and SHARE WP 21-2014*). Analyzing these data requires enhanced econometric methods due to the different selection and data generation processes. We are especially interested in using these data for retirement analyses with more sophisticated models than the option value model which appears to create systematic biases.

1.4.3. Macroeconomic Implications of an Aging Society

The Unit has hired an additional researcher to intensify the work on our OLG-model. Special focus will be on (a) an even more refined labor supply model in order to endogenize the retirement decision in a complex institutional environment, and (b) to include health and education choices into the OLG model in a way that can be linked with the life history data that is obtained in SHARE Wave 7, see Section 1.4.1. The key idea is to feed life-course data from SHARE in order to calibrate such a multi-state OLG model and to better understand the long-run growth of aging economies as a function of the trade-off between investments into the younger generation and benefits for the older generation.

The second research area is age and productivity. Our data (see Section 1.3.3) offer many so far unexploited possibilities. First of all, we will study which factors affect the slope of the age-productivity profile. We have a wide range of variables to be considered here: Individual characteristics like sex, education, job tenure; team characteristics like team size, female share, average education, average job tenure, fluctuation within the team, work load; more global factors like weather variables, seasonal variables, days of the week, time trend. They all might affect how productivity evolves with age and understanding these relations is important to keep older workers productive.

The fact that we have daily information on productivity (and also on sick leave) allows us to study questions where daily timing is important: Is vacation productivity enhancing? If so, how long does it last? How many days of leave are productivity maximizing? How long a period without any vacation is harmful to productivity? Are there differences between young and old workers? Similar questions can be studied looking at sick leave rather than productivity. We will also exploit our high-frequency data to study whether productivity among older workers is more stable and thus more reliable. We will thus look not only at the expected productivity conditional on age but also on its second conditional moment.

Finally, we will study the effects of team composition with regard to age, sex, education, turnover, etc. on productivity and sick leave. The main research question is to better understand under which circumstances diversity is productivity enhancing, and when it will impede communication and team cohesion and thereby harm productivity or increase sick days.





Prof. Axel
Börsch-Supan, PhD

1.4.4. Health Econometrics

The Unit will set one future focus on the relation between fertility and maternal education, working status, income, and health. A central problem 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. Using Swedish administrative data, we will be able to link mothers with complete fertility histories to all their children and at the same time observe their long-run health outcomes. We are particularly interested in stress-related diseases and causes of mortality as they may shed light on the double burden from job and family.

The group will also deepen their focus on high-dimensional methods ("big data") and continue their efforts in GMM methods. High-dimensional statistical methods are relevant for the SHARE project, e.g., in the analysis of biomarkers or genetic information. Potential applications include how biomarkers can be used to predict the subjective well-being grounded on objective measures. The task is to find a parsimonious model with high predictive power. In the case of the collection of genetic information, high-dimensional methods are needed for feature selection, a field which is well-established in biostatistics.

2. Research Projects

2.1. Research Projects of the Research Unit "Social Policy and Old Age Provision"

2.1.1. Maintaining Social, Economic and Political Stability in Times of Demographic Change

Axel Börsch-Supan

The above project is sponsored as a subproject by the MacArthur Foundation under the "Aging Societies Network" (subproject: "Social Cohesion" in collaboration with Dr. Lisa Berkman, Harvard University, and Prof. James Jackson, Ph.D., University of Michigan). It spotlights the individual, social, political and economic adjustments required to strengthen intergenerational solidarity in the wake of demographic change and to avoid generation conflicts. With the help of international comparisons, MEA tests economic hypotheses about potential losses of social cohesion on account of demographic change. These premises refer to politico-economic aspects, intergenerational networks, economic consequences and behavioral changes. One question is whether today's sense of responsibility vis-à-vis other generations has waned and, if so, what institutions (general statutory requirements, taxation and transfer schemes, or financial markets) might have brought this about. In conjunction with the analysis of fiscal transfers and non-monetary assistance between generations, a special focus is on whether state interventions tend to encourage or stifle private intergenerational support.

2.1.2. International Social Security Project: Incentive Effects on Early Retirement

Axel Börsch-Supan

The project under the auspices of the National Bureau of Economic Research, (NBER) based in Cambridge, Massachusetts, is a long-term international research program led by Prof. Dr. Jon Gruber (Massachusetts Institute of Technology) and Prof. David Wise, Ph.D. (Harvard University), with the aim of scrutinizing interaction between social security schemes and retirement behavior. Researchers from altogether 12 western industrialized countries (nine EU states, 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.

Early retirement is a well-known and costly phenomenon in all these countries. Thus, findings obtained in the initial phase of this project have shown that

early retirement incentives are indeed laid out in the German pension insurance system. The second phase seeks to estimate the extent to which such incentives affect the supply of older manpower. To that end, we use a variety of specifications and incentive variables. The results of these estimates are applied in the third phase to simulate the ramifications of stylized reforms for the German statutory pension insurance budget. We thereby ascertain the "mechanic effect" resulting from changes to fiscal variables at unchanged employment histories. At the same time, we quantify the "behavioral effect" arising from adjustments to the labor supply. The fourth phase inquires how early retirement affects the well-being of older persons, while the fifth highlights the effect of early retirement on the younger generation's job market opportunities. The sixth project phase was dedicated to the special incentive effects of disability pensions. Work horse for the project is the option value model to postpone retirement. Current work centers on the econometrics of this model and its approximation quality vis-à-vis a full optimization model.

2.1.3. International Social Security Project: Health Capacity to Work

Axel Börsch-Supan

This externally funded project (National Bureau of Economic Research) evaluates SHARE and other data sources to compute the health capacity to work among individuals aged 50 and more. It computes an index of health for all individuals, relates this index to the hours worked by those who actually work, and then imputes the hours of work for those individuals who have already retired. The project is part of the International Social Security Project led by David Wise, Harvard University and encompasses 12 developed countries. MEA together with the University of Wuppertal represent Germany in this international comparison.

2.1.4. Savings in Times of Demographic Change: Lessons from the German Experience

Axel Börsch-Supan with Tabea Bucher-Koenen, Michela Coppola, Bettina Lamla

Pension reforms in many developed countries make individuals shoulder a bigger share of longevity and income risks. The desired response is that individuals accumulate private assets for retirement. Whether this actually takes place, is of paramount relevance for scientists and policy makers. We take Germany as an example: Twenty years of pension reform have transformed the monolithic German pension system

into a multi-pillar system. Formerly generous public pension benefits are gradually being reduced, while substantial incentives are granted to occupational and private saving schemes. Has this transition worked out? We survey the reform steps and household's reactions: How did individuals adjust their labor market behavior? How did private and occupational pension plans take off? How do behavioral adjustments vary in the population?

Most Germans adapted to the new situation. Both actual and expected retirement decisions changed and the share of households without supplementary pensions decreased from 73% to 39% in little more than a decade. This is a remarkable success. Nonetheless, households with low education, low income and less financial education did neither adjust their retirement behavior nor pick up supplementary pension plans and are thus likely to face difficulties in bridging the gap arising in future pension income.

This project covers a review of the work done at MEA, mainly based on the 10 waves of SAVE data. One product is a survey paper which has been submitted for publication (Journal of Economic Surveys), another product will be an update of a book collecting the work done with the SAVE data.

2.1.5. Financial Literacy and Private Pension Provision

Tabea Bucher-Koenen

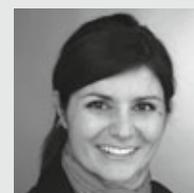
The objective of this project is to determine the relationship between financial literacy and savings behavior for retirement. State-subsidized Riester pensions prove to be particularly beneficial for individuals with a lower income and for families with children. Lower income groups including single mothers have been identified to be at risk of low financial literacy. Thus, the central question arising is: Is the Riester scheme successful at targeting individuals at risk of low financial literacy and low retirement savings in order for them to provide privately for their old age income?

Hypotheses regarding the relationship between financial literacy and private old age provision and Riester savings in particular have been developed. In the empirical part of the paper, the relation between financial knowledge and ownership of state-subsidized Riester and other non-subsidized private old age savings contracts is analyzed. The analysis is based on SAVE 2009.

Financial literacy is positively related to private pension saving behavior.



*Dr. Tabea
Bucher-Koenen*



Dr. Michela Coppola



Dr. Bettina Lamla





Dr. Sebastian Kluth

This is true for standard private pensions as well as state-subsidized Riester contracts. Levels of private pension coverage are particularly low among individuals in the lowest income quartile, even though it is they that would profit most from the state subsidies. At the same time they show the lowest levels of financial literacy.

The results have been summarized in a working paper. For a revision of the paper precise subsidy rates have been calculated and the analysis will be refined.

2.1.6. Instant Gratification and Self-Control in an Experiment with Children and Teenagers

Tabea Bucher-Koenen

We observe school children's preferences over time in a food choice experiment slightly modified from that of Read and van Leeuwen (Organizational Behavior and Human Decision Processes, 1998). We examine the behavior of individuals aged between 6 and 18 in order to evaluate how time-related preferences evolve with age. In contrast to existing literature dealing with changing discount rates over the life cycle we do not ask for preferences between hypothetical payoffs but offer tangible choices in the form of Smarties (small sugar-coated chocolate sweets) and apples. The pupils are to choose between the healthy and the unhealthy food item on two consecutive days.

On the first day they are to state their preference regarding the following day's consumption, while on the second day they may pick a food item for immediate consumption. We find that most of the 6- to 7-year-olds consistently choose chocolate for both future and immediate consumption. With pupils aged 8 to 12 an increase in time-inconsistent behavior – pupils naively planning to consume an apple the next day and then choosing chocolate for immediate consumption – can be observed. From age 14 on, a larger share of pupils is sophisticated in the sense that they plan to and actually do consume an apple in most cases. In accordance with the literature, we observe that girls change their minds more often.

This project is conducted in cooperation with Dr. Carsten Schmidt (University of Mannheim) and financed through Collaborative Research Center 504 on "Rationality Concepts, Decision Behavior, and Economic Modeling" of the German Research Foundation (DFG). The working paper has been submitted for publication.

2.1.7. Who Lost the Most? Financial Literacy, Cognitive Abilities, and the Financial Crisis

Tabea Bucher-Koenen

This project set out to investigate in what way and to what extent the 2007/2008 financial crisis impacted private households, as well as to analyze how the crisis influenced their decision-making behavior.

In particular, the following questions were posed:

- (1) Do persons with a lower level of financial literacy and lower cognitive abilities suffer crisis-related financial losses more frequently?
- (2) Are persons with a lower level of financial literacy and lower cognitive abilities impacted more in cases where losses are expressed as a percentage of assets?
- (3) Do persons with a lower level of financial literacy and lower cognitive abilities tend to realize their losses by selling?

The survey based on SAVE data, a representative panel of German households (see project 4.4.), showed that persons with a lower level of financial literacy invested less often in the stock market and therefore less often reported crisis-related losses. Nevertheless, the probability of selling assets that had fallen in value was greater in the case of financially less literate persons. The reactive behavior of persons with low financial literacy levels could have substantial long-range consequences, particularly with a view to the increasing demands on personal responsibility in old-age provision.

The project was conducted in collaboration with Michael Ziegelmeyer (former member of MEA, University of Mannheim; now with the Banque Centrale du Luxembourg). The paper has been published in the Review of Finance in 2014.

2.1.8. Riester Pensions and Life Expectancy

Tabea Bucher-Koenen with Sebastian Kluth

One important parameter in the decision process when buying a private annuity is individuals' subjective life expectancy, because it directly influences the expected rate of return. We examine the market for private annuities in Germany and evaluate potential selection effects based on subjective life expectancy. First individuals are pessimistic about their life span compared to the official life tables.

Second we find a significant selection effect based on subjective life expectancy for women who invest in private annuity contracts – so-called Riesters pensions. For men there seems to be no difference in subjective life expectancy by Riesters ownership. Comparing the size of this selection effect with the underlying loading in life expectancy charged by the insurance industry shows that the latter appears to be in line for women but very high for men. Our findings have strong policy implications. On the one hand misperceptions about longevity risk might prevent individuals from providing sufficiently for retirement. On the other hand mandated unisex tariffs might especially discourage men from investing in Riesters pensions, for them premiums in life expectancy are particularly high compared to subjective expectations.

The results from this project have been documented in a MEA discussion paper and presented at various conferences. The paper has been submitted for publication.

2.1.9. Do Smarter Consumers Get Better Advice? An Analytical Framework and Evidence from German Private Pensions

Tabea Bucher-Koenen

The existing theoretical and empirical literature considers expert advice to be a substitute for a consumer's information: More informed consumers should ignore the advice given to them, but the advisor does not (or cannot) take this into account. We show in a simple analytical framework that higher signals of consumer information should indeed lead advisors to provide better services. The model also suggests an identification strategy, i.e. to focus on consumers with bad signals (proxied by low education and being female) but high financial literacy and vice versa.

To verify our main hypotheses, we choose a two-pronged approach using data from the SAVE-panel. First we show that individuals with higher financial literacy are more likely to solicit financial advice. Conditional on financial advice those with lower signals and high actual levels of financial literacy are less likely to follow it, on average. Then, we turn to data on the market for subsidized private pension plans in Germany. The data is uniquely suited to our investigation, as we observe whether consumers buy a contract with the firm employing their financial advisor. We show that individuals are strongly influenced by their source of advice – with dependent and independent financial advisors steering

customers towards choice options yielding higher kickbacks. We finally demonstrate that individuals with higher financial literacy are less susceptible to this effect.

This is a joint project with Johannes Koenen (ifo). The discussion paper has been presented at various conferences and submitted for publication.

2.1.10. How Financially Literate are Women? Perspectives on the Gender Gap

Tabea Bucher-Koenen

Levels of financial literacy are low in many developed countries. One group that shows consistently low levels of financial literacy across countries is women. Because of lower incomes during their working lives, interrupted employment histories, and longer life expectancies, women are increasingly at risk of not having enough resources to support themselves in retirement. In this project we document gender differences in financial literacy in several countries, including the United States, the Netherlands, and Germany. When asked to answer questions measuring knowledge of basic financial concepts, women are not only less likely to answer correctly, but they are also more likely to indicate that they "do not know" the answer to the financial literacy questions. This is an important finding as financial literacy has been linked to economic behavior, including retirement planning and wealth accumulation. In addition to providing information about the respondents' demonstrated financial knowledge, we offer data on the respondents' self-assessed knowledge. We have found significant gender differences in self-assessed knowledge as well; women give themselves lower scores than men and the mismatch between actual and self-assessed knowledge also differs between women and men.

We investigate reasons for the gender differences in financial literacy. We discuss the role of specialization within the family, the traditional roles of women in society, and the effect of framing and confidence in financial knowledge. As individuals are increasingly being put in charge of their financial well-being before and after retirement, it is critically important to enhance women's financial knowledge to equip them with the tools that are needed to make informed saving decisions. Several studies show that financial education programs can be an effective way to promote financial well-being among women.





Dr. Martin Gasche



Dr. Marlene Haupt



Felizia Hanemann



Dr. Vesile Kutlu Koc

This project is conducted in cooperation with Prof. Annamaria Lusardi, Ph.D. (George Washington University, Washington, USA), Prof. Dr. Rob Alessie (University of Groningen, Netherlands) and Maarten van Rooij, Ph.D. (De Nederlandsche Bank, Netherlands) and funded by Netspar and the European Investment Bank Institute. The results have been summarized in a working paper. An invitation to revise and resubmit by the Journal of Consumer Affairs has been received.

2.1.11. 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. 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 asked the same financial literacy questions twice – once with a "do not know" response option and once without this option – and we asked respondents to indicate their level of confidence in their answer. We use the data from the two survey waves to disentangle knowledge and confidence and develop an empirical estimation strategy to consistently estimate whether the respondent knows the correct answer.

Our findings show that women are less confident in their knowledge than men. They disproportionately more often answer "do not know" to financial knowledge questions even if they know the correct answer. Using the improved metric for knowledge the gender gap diminishes by about a half but does not disappear. An important implication of our findings is that traditional measures for financial literacy are plagued by a confidence bias or measurement error. We show that it is important to include improved measures of knowledge in regression analyses. 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, Ph.D. (George-Washington-University, Washington, USA), Prof. Dr. Rob Alessie (University of Groningen, Netherlands) and Maarten van Rooij, Ph.D. (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 conferences.

2.1.12. Comparing the Costs of Riester Pensions *Tabea Bucher-Koenen with Martin Gasche, Marlene Haupt*

We compare costs of 36 representative classic Riester pension contracts using two alternative indicators: the cost-to-savings-ratio and the reduction-in-yield. Due to the mathematical link between the two indicators both reveal an identical ranking of contracts. There are very low and very high priced contracts. The big spread in costs could be related to complicated cost structures and lack of transparency. We consider different savers' characteristics, like income, the subsidy ratio, and contract duration, and find that they have an influence on the cost indicators. Furthermore, the indicators are only moderately sensitive to changes in the interest rates. Costs are calculated separately for the accumulation and the decumulation phase as well as for the complete contract duration.

Cost comparisons have been completed and results documented in a discussion paper. The paper has been submitted for publication.

2.1.13. Facilitating Employment Possibilities for Older Workers

*Tabea Bucher-Koenen with Axel Börsch-Supan,
Sebastian Kluth, Felizia Hanemann,
Marlene Haupt, Vesile Kutlu Koc*

In June 2014 the German government passed a law (RV-Leistungsverbesserungsgesetz) that extended the possibilities to retire before the statutory retirement age. Since the 1st of July 2014 all cohorts, born before 1953, are entitled to draw a pension without any actuarial reductions, given they possess a so-called waiting period (contribution period) of 45 years. In return, the employment possibilities for workers past their statutory retirement age were supposed to be improved. Related to the reform the German Bundestag requested a proposal from the Federal Government on how to design and imple-

ment flexible transition from work into retirement. As a result the parliamentary working group "Flexible Übergänge in den Ruhestand" (flexible transition to retirement) was established. The working group had the objective to develop appropriate measures in order to not only increase the flexibility for workers shortly before they reach the statutory retirement age but also to make working beyond that age limit more attractive. Furthermore, the working group should reconsider the practice of "forced retirement" concerning unemployed individuals, who are entitled to social security benefits (SGB II-Leistungsberechtigte).

In this project we follow and evaluate the discussions about possible reform options.

2.1.14. At What Age do you Expect to Retire? Retirement Expectations and Increases in the Statutory Retirement Age

Michela Coppola

Population ageing poses an evident threat to the financial sustainability of pension systems based on a "pay-as-you-go" (PAYG) scheme, where contributions by the young directly finance benefits for the old. Increasing the statutory retirement age is one of the reform measures widely recommended in order to cope with these upcoming demographic challenges. It is supposed to keep people longer at work, thus alleviating the pressure on public pension finances.

Early retirement windows, however, are provided in most of the western countries so that an increase in the statutory retirement age does not necessarily imply an equivalent postponement of actual retirement. Thus, in terms of the effectiveness of such type of reform an important question is to what extent people adjust to it. While several studies analysed the effect of increases in the statutory retirement age on actual retirement behaviour very little is known about how such a reform affects individuals' retirement expectations. The present work, conducted in cooperation with Dr. Christina Wilke (Hamburg Institute of International Economics) sheds new light on the latter link. Our analysis is based on data from the SAVE study ("Saving and old-age provision in Germany"). We look at subjective retirement expectations over time and use a difference-in-differences (DiD) approach to estimate to what extent they can be attributed to the 2007 German pension reform. In a second step we investigate if there is heterogeneity in the response to the reform focussing on the role played by education.

Our results show that the retirement expectations of the younger cohorts increased by almost two years in response to the reform. However there is some heterogeneity in the response, with better educated individuals revising their expectations to a greater extent. This result has important policy implications. As individuals with lower educational attainments are also those being more at risk of having lower state pensions in the future and also those who are less likely to save for the old-age, the fact that they have been slower in updating their retirement expectations causes concern regarding their well-being after retirement.

The results of this project have been published in *Fiscal Studies*.

2.1.15. Phased Retirement through Flexible Partial Pensions

Martin Gasche

Among politicians, there is a degree of consensus that phased retirement should be facilitated – that is, employees should be enabled to withdraw from employment gradually through a progressive reduction of working hours, with the attendant loss of earnings compensated by a wage supplement.

The best-known example of phased retirement is part-time employment prior to retirement. Under this model, employees reduce their working time to 50%, while the employer assumes an additional payment of at least 20% of the part-time wage as a supplement. Before 2010 and under certain conditions, the German Federal Employment Agency covered the 20% augmentation. The variant in which working hours are actually scaled back to 50% throughout the entire transition period is only seldom claimed. A much preferred alternative is the so-called block model whereby employees continue to work full-time for the first half of the transition period and then cut back to 0% for the second half.

Another much less known phased retirement option is the so-called partial pension. Here, employees likewise reduce their working hours but receive a partial pension comprising two-thirds, a half or one-third of their old-age pension. Their earnings in addition to the partial pension must not exceed specific limits. This semi-retirement model is seldom if ever used, although it exhibits advantages over the part-time employment concept.

This project sought to outline the different phased retirement options (early retirement, partial pension plus additional earnings, and part-time employment



prior to retirement), then to compare them by means of diverse criteria, and ultimately to elaborate an appropriate reform proposal.

Part-time employment prior to retirement, the partial pension, and early retirement were compared using the following criteria: gross income in the transition period, net income in the transition period (each assuming maximum additional earnings and a reduction of working hours to 50%), income after attainment of the age limit, as well as net present value both of pension incomes over the entire pension term and of total incomes. Reform measures and proposals are analyzed and assessed with the help of a wide array of MEA instruments (e.g. MEA-PENSIM, see Project 2.10.; and MEA-GKV-SIM, see project 2.14.).

All in all, the comparison of the different phased retirement options shows that part-time employment prior to retirement does not present any great advantage from the point of view of the insured. This scheme's popularity, contrasted with the "wallflower existence" of partial pensions, is thus not to be explained from this angle. Rather, the part-time employment alternative is doubtless preferred because it can be structured as a block model and thus also does justice to employer interests, for example in facilitating manpower organization. For this reason, the block model is often offered as the sole variant of part-time employment prior to retirement. In addition, part-time employment arrangements are more attractive because they can already commence at the age of 55, whereas the partial pension cannot be claimed until early retirement is likewise permissible.

As for income in the transition period, the partial pension model proves superior to the other gradual retirement options, in both gross and net terms. After retirement, the part-time employment scheme fares somewhat better than the partial pension model. Viewed over the entire period, there are scarcely any pension income differences between the given options. Only when taking additional account of earned income does part-time employment display slight advantages.

The partial pension's disadvantage nevertheless lies in the complicated provisions governing caps on additional earnings and rigid partial pension levels. The latter entail marginal tax rates of far over 100% as soon as additional earnings exceed the cap specified for a particular level. This detracts from any incentive to increase work in the transition period prior to full retirement. MEA has therefore drafted a reform proposal for a "flexible partial pension". Under this model, the partial pension's disincentives are elimi-

nated by removing its benefit levels and by introducing a "tariff" that guarantees a constant "pension withdrawal rate", meaning that a certain percentage of additional earnings is always left to the insured. Such a regulation is simple and calculable. In this way, partial pensions would gain more appeal, rendering part-time work prior to retirement obsolete, at least from the insured's point of view. A truly smooth transition to retirement could thus be achieved.

Compared with this evolutionary approach towards a flexible partial pension, a more radical step would be to drastically raise or abolish caps on additional earnings prior to normal retirement, while scaling up pension reductions for early retirement to an incentive-neutral level. Such a measure would likewise foster genuine phased retirement, while making it possible to extend employment offers to early retirees in the absence of fixed caps on additional earnings.

In the fall of 2011, the German Federal Ministry of Labor and Social Affairs submitted a proposal for a so-called combi pension which, just like the above recommendation for a flexible partial pension, amounts to a reform of the partial pension. Hence, our project remains up to speed. The study was published as MEA Discussion Paper No. 243-11; a slightly modified version was published in 2012 in the journal *Sozialer Fortschritt*.

2.1.16. Correct Actuarial Calculation of Pension Reductions

Martin Gasche

The level of correct pension reductions for early retirement has often been a matter of contention among scientists, depending on whether actuarial calculations are based on the perspective of the individual or that of the pension insurance scheme. The two methods thereby applied have been termed the incentive-neutral and the budget-neutral approach. From the standpoint of the insured person, reductions are incentive-neutral if early retirement and regular retirement render the same net annuity value. From the standpoint of the pension insurance scheme, retirement age is irrelevant as long as contribution rate development remains unchanged (budget-neutral approach).

The project aimed to conceive and apply new approaches for the computation of correct benefit reductions, and to compare these approaches, setting the reductions thus obtained in opposition to the currently applicable 3.6% rate of reduction. In addition, the various determinants of correct reductions were elaborated.

The correct level of reductions for early retirement was initially calculated with the help of three "net present value (NPV)-based" approaches – (i) incentive-neutral, (ii) budget-neutral and, as a novelty, (iii) yield-neutral. It was found that all of them ultimately differed not in their mode of calculation but only in respect of the discount rate used. Another finding was that the incentive neutrality of the first approach ensued if the implicit taxation of contributions equaled the implicit tax on early retirement pensions. Hence, incentive neutrality was accomplished through the creation of two disparate distortive taxes, rendering this approach problematical. Correct reductions were moreover calculated also for cases in which the relevant alternative to early retirement was not the ongoing pursuit of a gainful occupation but unemployment and inactivity. The NPV approaches were subsequently contrasted with the utility-oriented approach, where results are highly dependent on the imputed utility function and parameter values. All in all, the currently valid statutory reductions are too low when applying the NPV approaches.

Correct reductions are subject to numerous determinants. Thus, life expectancy is of considerable significance as it determines the duration of pension payments, hence the timeframe throughout which reductions can be distributed. Dependence on life expectancy also explains the disparities between correct reductions for men and women, as well as among birth cohorts. Of equal importance is the discount rate as it determines how heavily future pension payments are weighted. Accordingly, correct reductions decline in proportion to

- longer life expectancies,
- younger birth cohorts,
- lower imputed discount rates,
- larger gaps between actual and regular retirement age,
- higher wage increase rates and/or pension adjustment rates, and
- prolonging effects of survivors' pensions on the duration of pension payments.

Consequently, if uniform reductions are applied to all birth cohorts, to men and women, and to every early retirement age, this will always be a mistake.

The amount of reductions also depends on the relevant alternatives available for the period between potential early retirement and the statutory, i.e. normal, retirement age. The standard approach used for the calculation of reductions presumes sustained employment subject to social insurance contributions as the relevant alternative. Yet that need not be the case. If the relevant alternative before reaching normal retirement age is unemployment or inactivity, incentive-neutral reductions will be much lower. If an early retiree achieves additional earnings in the phase prior to normal retirement, the correct reductions must be higher.

Analogous to reductions, pension credits can likewise be calculated; they are awarded if the insured extend their gainful occupation beyond the statutory age limit, thus delaying retirement. The condition for the computation of incentive-neutral credits, mirroring that for reductions, is that the taxation of contribution payments must just equal the subsidy paid to the late retiree. Here again, the statutory credits currently set at 6% are as a rule too low. To remove the incentive for regular retirement as per the statutory age limit, the rates would have to be about 7% to 8%.

In sum, the findings suggest that statutory pension reductions and, where applicable, pension credits should be increased. This holds true all the more if the planned introduction of the "combi pension" is to be flanked by drastically raised limits on early retirees' additional earnings. Beyond augmenting reductions, another meaningful step would be to distinguish according to retirement age and birth cohorts. The study has been published in *Jahrbuch für Wirtschaftswissenschaften*.

2.1.17. Redistributive Flows in the German Social Insurance System

Martin Gasche

The German social insurance system is characterized by large redistributive flows. Aside from the redistribution typical of pay-as-you-go schemes, such as financial flows from compulsorily ensured employees to pensioners, numerous other redistributive flows arise, for example, from income-related contribution assessment, or from the contribution-free co-insurance of children and non-employed spouses under statutory health and long-term care insurance. The individual social insurance branches moreover comprise a host of special provisions that generate inter-personal and intergenerational redistributive effects. The manifold triggers of such effects are accountable



for a great lack of transparency in overall redistribution within the social insurance system.

The project set out to make the various redistributive flows more transparent and to quantify them. To that end, the contributions paid by specific insured groups (employees, the unemployed, pensioners and children), age cohorts, income groups, and by men and women were compared with the benefits they receive, in order to determine a "net contribution" flow from one group to another, or profiting one group rather than another.

The first step was to analyze the group of compulsorily insured employees as the main source of redistributive flows. This group's net contributions – under each of the social insurance branches and separated according to age, sex and income – to other groups such as pensioners, children and the unemployed were ascertained, along with the interpersonal flows within the group itself (cf. MEA Discussion Paper No. 189-09).

The second step focused on the group of statutory pension recipients (cf. MEA Discussion Paper No. 203-10). Prospective steps are to include all other insured groups in the analysis, thus ultimately creating a "redistribution balance sheet" for the whole German social insurance system. That would heighten the transparency of social-insurance-induced redistribution and provide a point of departure for future reforms.

2.1.18. Analysis and Assessment of Policy Measures in the German Health and Long-Term Care Insurance Sectors

Martin Gasche

Reform measures and proposals in these sectors are analyzed and assessed with the help of numerous MEA instruments (e.g. MEA-PENSIM, MEA-GKV-SIM, or the implicit return and implicit tax models). Thus, for instance, MEA-GKV-Sim was used to evaluate the German Statutory Health Insurance Funding Act (GKV-Finanzierungsgesetz) of 2010. This law allows health insurance funds to impose lump-sum contribution surcharges without limitation. The concomitant reform of social compensation on behalf of low-income earners sought to repair two constructional defects of the former system. For one thing, by calculating the amount of social compensation on the basis of the average contribution surcharge, an incentive has been created for low-income earners to switch to a less costly health insurance fund. For another, the announced

external financing of social compensation through the overarching "health fund" avoids competitive distortions potentially resulting from intra-fund compensation under the previous system. If the standard contribution rate is fixed at 15.5% and future spending increases are covered by contribution surcharges, the share of these surcharges in the funding of total expenditure is projected to rise by 2030 to 14% under the baseline scenario and 25% under the realistic scenario. The volume of social compensation paid to pensioners and compulsorily insured employees is likely to be relatively low until 2015; however, by 2030, it is anticipated to grow to €15 billion under the baseline scenario and €41 billion under the realistic scenario. Together with the general federal subsidy, the federal government's current 8% funding proportion is expected to climb to 9% (baseline scenario) and correspondingly 18% (realistic scenario) by 2030.

Compared with the former purely income-oriented contribution system without lump-sum surcharges, low-income earners now bear a somewhat greater burden, whereas higher earners have been relieved – yet only if the actual surcharge corresponds to the average surcharge. If a sickness fund with a lower contribution surcharge is chosen, rate progressions are partially reversed and low-income earners may likewise profit from reductions, which will be all the greater, the lower their income.

2.1.19. Old-Age Poverty in Germany

*Axel Börsch-Supan with Martin Gasche,
Bettina Lamla*

There is an increasing perception in the popular press that old-age poverty is high and increasing in Germany. This project sheds light on the current situation and projects future old-age poverty. The project is an initiative by the Council of Advisors to the German Federal Ministry for Economic Affairs.

Current old-age poverty is low in Germany: less than 3% of individuals aged 65 and older receive an income below the German poverty line and thus social assistance (Grundsicherung im Alter). This is much lower than in opinion polls (between 30 and 40%), lower than in the German population at large (about 7.5%) and also low compared to other EU countries.

Future poverty is expected to rise for three reasons: (1) the current reform process will lower public pension benefits in reaction to population aging; only few households in the lowest income quintile have supplemental private or occupational pensions. (2) the share of workers with jobs not covered by the public pension system has been increasing. While most of these individuals will end up with a covered job, they will accumulate fewer earnings points in the public system and are therefore expecting lower public pensions. (3) As opposed to current pensioners in East Germany, young workers in East Germany have already now much lower pension claims, partially due to higher unemployment, partially due to lower wages.

The project has used a simulation approach to project that current old-age poverty will increase to about 2.5 times the current share. While this is substantial, the share will still be lower than the expected poverty in the German population as a whole. Most poverty is shown to be concentrated at young families, especially in single-parent families and families with migration background.

This project has led to several publications and a very large media echo.

2.1.20. Retirement due to Reduced Earning Capacity and Reform Proposals

Martin Gasche with Klaus Härtl

In the spring of 2012, the German Federal Ministry of Labor and Social Affairs (BMAS) launched the so-called "pension package" (Rentenpaket), which contains two measurements aimed at increasing benefits for pensioners who are the most exposed to poverty risk due to reduced earning capacity.

On the one hand, a two-year prolongation of the non-contributory supplementary period was discussed. Thus, disability pensioners receive benefits as if they had worked until the age of 62, instead of 60, assuming the average income which they had earned before their earning capacity was reduced. On the other hand, a most-favored-test was suggested. The problem is that many people earn less just before they retire because of disability. The process of becoming disabled is gradual. When calculating average earnings, this circumstance might lead to lower benefits. Therefore, the idea is to conduct a most-favored-test. It compares the average earnings before the disability pension, one time for all working years and another time not counting the (possibly less healthy) four years just before the retirement, and takes the higher value.

In our project, we simulate the impact of these two measurements on pension benefits using a dataset of the German Pension Insurance (Deutsche Rentenversicherung) from the year 2010 containing 33.227 life histories. The simulation uses these and calculates hypothetical benefits under the reform proposals. We find that the prolongation of the non-contributory supplementary period and the most-favored-test lead, on average, to an increase of pension benefits by roughly 4.5 percent and 1 percent, respectively. Taking into account the reform of 2011, which counts times of receiving social assistance (ALG II) as creditable periods, payments for disability pensioners even increase by overall 8 percent.

The results were published in the German journals *Deutsche Rentenversicherung* and *Sozialrecht + Praxis*.

2.1.21. Individualized Supply of Retirement Planning Information in Sweden

Marlene Haupt

The sweeping reforms to old age security schemes over the past 10 to 15 years were responses to changing social, political, economic and demographic parameters. In many European countries, these reforms were even paradigmatic in nature, meaning they were no longer inbuilt but entailed an overhaul of the entire old-age pension system. In the process, governments mostly adhered to the three-pillar model outlined by the World Bank in 1994, comprising statutory, i.e. public, occupational and private retirement planning.

Consequently, the progressive extensions to multi-pillar systems have resulted in heightened information requirements on the parts of all actors, depending on the degree and reach of revisions. This applies equally to system administration, including the legislator and social insurance institutions, as well as to the insured, namely present and future beneficiaries. Higher demands are thus placed on system administration owing to additional tasks such as the introduction of information systems and changed infrastructures (notably the expansion of Internet offers). On the other hand, insured persons experience a greater need for information, especially because of the altered structures and more complex organization of old age provision systems, flanked by wide-ranging personal decision options and obligations with regard to occupational and/or private supplementary insurance.



It follows that the supply of comprehensive information concerning individualized benefits and claims under the respective pillars and schemes often forms a major part of the reform process. All the while, European states have adopted differing strategies in tackling these issues, with the social democratic regimes in Scandinavia playing a pioneering role here. The Swedish example, in particular, is often cited as commendable in this context. It involves a mix of information instruments, comprising the statutory pension insurance letter (orange kuvertet) and communications of the occupational pension facilities, as well as the Internet portal minpension.se.

This project, launched at the University of Koblenz-Landau and continued at the Max Planck Institute for Social Law and Social Policy, aims to analyze the Swedish model of retirement planning information, and to assess the possibilities and limits of applying it to the German system. Profiting from Swedish experiences and problems, these findings can eventually contribute to the discourse about introducing a similar information model for cross-pillar old age provision in Germany. The project is financed through the Research Network on Pensions (FNA) of the German Pension Authority.

The main results of this project have been published in 2012 in the journal *Deutsche Rentenversicherung*. The full research report has been published in 2013 by the Research Network on Pensions (FNA) of the German Pension Authority.

2.1.22. Pension Information, Financial Literacy, and Retirement Saving Behavior in Germany

Marlene Haupt

Detailed information regarding pension entitlements from the public pension scheme is essential for individuals to make an informed decision whether to engage in a supplementary pension plan. For this reason, the German pension authority implemented a pension information statement (Renteninformation) in 2004, which is sent annually to all insured members.

The basis for the empirical analysis provides the SAVE data set, a German longitudinal household survey focused on saving behavior. The survey collects detailed quantitative information on both the financial structure and relevant socio-psychological aspects of a representative sample of German households. In addition, several measures of financial literacy have been collected over the years. The

data of the 2011 survey were collected during spring 2012 including three questions on the annual pension information statement.

After ten years, the statement is well-known and widely read. However, it transpires that certain groups prove to be more difficult to inform as they don't read the information properly or sometimes not at all. In addition to that, receiving and reading the statement only relates to a change in savings behavior of a smaller group of individuals.

The results of this project have been published in 2014 in the journal *Sozialer Fortschritt* and as a chapter of the dissertation thesis.

2.1.23. Market-Based Freedom of Choice, Limitations of Consumer Sovereignty, and Pension Policy-Making – Evidence from Behavioral and Institutional Economics

Marlene Haupt

In 2001, the Riester pension reform led to a paradigm shift in Germany's pension system as it abolished the monolithic pay-as-you-go system and introduced a multi-pillar pension system with small, but growing supplementary pillars. Especially the state-subsidized but voluntary Riester pension plans were established to fill the emerging pension gap. In Germany, the desired adjustment of the behavior to those changing institutional conditions has to take place on an individual level. Several other countries have taken a competing road by making supplementary pension plans mandatory.

By now, findings from behavioral and institutional economics however reveal that many consumers only have limited consumer sovereignty when it comes to supplementary pension and individual choice. Goal of this paper is to analyze the German Riester pension reform from a behavioral and institutional economic perspective trying to explain the gap between the neoclassical approaches to economics and the empirical evidence demonstrating that about two-third of the population has not enrolled in a private Riester contract while other terminate contracts or stop paying contributions.

The results of this project have been published in 2013 as a chapter of the book "Die Grenzen der Konsumentensouveränität" and as an article in the journal *WISU – Das Wirtschaftsstudium* as well in 2014 as an article in the journal *Wirtschaftsdienst*.

2.1.24. Can the Swedish Premium Pension Serve as a Role Model for Germany's Riester Scheme?

Marlene Haupt with Sebastian Kluth

In the course of the ongoing debate regarding the critique of the German Riester pension the Swedish premium pension has often been referred to as a role model regarding potential amendments and reforms. The Swedish pension reform of 1998 has led to a reorganization towards a stratified scheme, consisting of a pay-as-you-go and a fully funded element. The mandatory implementation of the Swedish premium pension has proved to be the major difference in comparison to the voluntary German Riester pension. In addition, numerous differences between the two systems can be outlined, of which most are due to the differing methods of implementation in the country's old age provision system. This paper evaluates the possibilities and limitations of a complete adaptation of the Swedish premium pension (German premium pension) as well as a partial modification of the existing Riester scheme (Swedish-Riester). It becomes evident, that despite systematic differences between the two schemes, the German Riester pension can in particular benefit from the Swedish premium pension with regard to transparent, coherent and consistent product information. The results of this project have been published in 2012 in the *Vierteljahrshefte zur Wirtschaftsforschung* and in 2013 as a MEA working paper.

2.1.25. The Role of Actuarial Reduction Rates in Individual Retirement Planning in Germany

Sebastian Kluth

This paper provides a two-part empirical analysis on how actuarial reduction rates for early retirement affect current pension payments in Germany and to what extent the existence and the magnitude of such reduction rates influence people's retirement planning. First, when looking at administrative records, early retirement shows a high prevalence at the extensive and at the intensive margin, in particular for women and medium income insurant. Second, a special question in the 2011 SAVE survey is exploited where respondents are offered a hypothetical deal for early retirement if in turn they are willing to accept an actuarial reduction on their pension. It becomes evident that the maximal reduction rate people would be willing to accept is widely dispersed and on average roughly double the current legal rate. Furthermore, respondents seem to make consistent choices and high endowment of financial assets and additional old age provision, high subjective life ex-

pectancy, bad health as well as being a man are positively correlated to the actuarial reduction rate the respondents would accept at most. Given that policymakers aim to increase the average retirement age, the results emphasize the need for a simultaneous increase of not only the statutory retirement age but the minimum early retirement age as well, since actuarial reduction rates cannot be expected to change the retirement behavior of workers with a strong preference for early retirement or those who rely on social benefits. The results are summarized in a working paper and are currently presented at conferences.

2.1.26. Employment after Retirement in Germany

Sebastian Kluth

Increasing the employment rate of older citizens is one of the major remedies to mitigate the negative effect caused by the shift in the population structure which affects most OECD countries in the coming decades. Germany has experienced a steep increase in the labor force participation rates of older workers. However, despite this major behavioral change, not much is known about people's motives to expand their working life. This paper sheds some light on different reasons for remaining in the workforce beyond retirement. Looking at workers and retirees alike by using the SAVE dataset as a representative cross-section of German households allows for an ex-ante as well as an ex-post perspective on this topic.

From an ex-ante perspective, the active workforce shows a trisection with one third aiming to work after retiring, one third aiming to ultimately quit work when retiring, and one third that is still undecided. When looking at the motives of those who claim to remain working after retirement, one half states financial needs as the main reason whereas the other half declares that they simply enjoy their work. This picture changes when looking at the ex-post perspective, where around 15.6 % of the respondents still at least occasionally work after retirement. At this moment, positive associations with employment, like enjoying work and being of use for the society, outmatch the pure monetary reasons to remain in the workforce by two to one. These findings have the strong policy implication that pension regulations should facilitate the combination of work and retirement.



2.1.27. Replacement Rates in the Statutory Pension System in Germany

Sebastian Kluth with Martin Gasche

A replacement rate aims to quantify the percentage of an individual's income from employment that is replaced by his or her pension entitlements. The "classic replacement rate" measures the relation of pension payments to income from employment in the year before retirement. A frequently used figure is the replacement rate of a so called standard pensioner, a hypothetical person with a full insurance record – that is 45 years of average contributions. However, this approach bears certain risks because in reality one is often faced with short and discontinuous earnings profiles. When looking at the official administrative data provided by the German pension authority regarding insurant that retired in the year 2010 it becomes evident that the "classic replacement rate" is prone to distortions and can only be calculated for just over half the sample due to a missing last salary before retirement. This paper presents an alternative measurement – the life cycle replacement rate – which relates individuals' pension payments to the average real income over their whole working history. The analysis of the newly retired in 2010 shows that only insurant with a long continuous earnings history can match the replacement rate of the standard pensioner. Low replacement rates of regular old age pensioners can be explained by the group's heterogeneity. Furthermore, non-contribution based pension entitlements (e.g. for periods of child raising) can significantly increase the replacement rate of low to medium income women. Additionally, work history related characteristics like marital status, income or retirement age have a strong influence on individuals' replacement rates. This paper is forthcoming in the *Journal of Economics and Statistics (Jahrbücher für Nationalökonomie und Statistik)*.

2.1.28. Pension Benefits Adjustment in Germany – What can be Considered the Best Pension Adjustment Formula?

Sebastian Kluth with Martin Gasche

Due to its complexity and incomprehensibility, the mechanism for the annual pension adjustment has experienced rising criticism. The objective of this project is to evaluate the actual formula as well as alternative adjustment proposals on the basis of different criteria. Furthermore, the consequences of the different adjustment formulas for the statutory pension insurance are analyzed applying a pension simulation model. Primarily, the simulation provides

a comparison between the current legal rule and the potential alternative formulas.

It becomes evident that the current formula is better than its reputation suggests. However, a salary indexed adjustment formula extended to include a sustainability factor presents a valid alternative. Such a formula is coherent and predictable as it guarantees pensioners' participation in the technological progress, balances the opposing goals of stable contribution and replacement rates, limits intergenerational inequality and leads to a self-stabilizing pension system. Adjustment formulas that are indexed to the wage bill or the inflation rate turn out to be less appropriate because they do not adequately account for future demographic changes.

This project has been published as "Dynamisierung der Rente: Was ist die beste Rentenanpassungsformel?", *Zeitschrift für Wirtschaftspolitik* in the year 2012.

2.1.29. The Retirement-Consumption Puzzle and Unretirement

Vesile Kutlu Koc

This project uses data from the Health and Retirement Study which represents the population of Americans over age 50 and their spouses. We investigate the drop in consumption at retirement, i.e. the so-called retirement-consumption puzzle by taking into account the fact that individuals may go back to work after retirement. The evidence from the United States shows that about 26 percent of Americans re-enter the labor force following a retirement spell. Focusing on the consumption drop at retirement only may be misleading while unretirement among retirees is so prevalent. For example, those who retired earlier than expected due to unemployment may experience a negative income shock at retirement and therefore may choose to re-enter the labor force to finance their consumption after retirement. Therefore, in this project we investigate consumption behavior of retirees also after they re-enter the labor force.

The findings show that moving back to the labor force after retirement is very common among older Americans and most of the unretirement transitions are anticipated before retirement. We also find that the amount of individuals' accumulated savings at the time of retirement plays a role in the decision of unretirement, suggesting that arrival of new information after retirement regarding the financial situation may cause individuals to update their expectations

of work during retirement. In contrast with the earlier studies in the literature, we do not find a significant drop in consumption at retirement when retirement is fully anticipated. Similarly, consumption does not respond to unretirement if it is fully anticipated. One of the reasons for this finding could be that post-retirement jobs pay much less than pre-retirement jobs and therefore individuals' income does not increase significantly when they unretire. Overall, this project concludes that individuals are forward-looking and they have saved enough to smooth their consumption around retirement.

The results of this project were presented at a number of conferences and published as the Netspar Discussion paper No. DP 11/2014-049.

2.1.30. Consumption Behavior, Annuity Income and Mortality Risk of the Elderly

Vesile Kutlu Koc

This project investigates whether individuals use their self-reported survival expectations when they make economic decisions. In particular, we focus on the role of survival expectations in explaining the consumption decisions of older Americans. For this purpose we use data taken from the Health and Retirement Study supplemented with the Consumption and Activities Mail Survey. Economic theory predicts that individuals save when they are young and draw down their assets after retirement. As the mortality risk increases with age, individuals increase current consumption at the expense of future consumption; therefore, it is expected that mortality risk is negatively associated with the growth rate of consumption.

One of the main findings is that more than half of the individuals in the sample spend more than their annuity income after retirement, suggesting that there is some evidence in favor of wealth decumulation by older Americans. Moreover, consumption growth decreases with higher subjective mortality rates for singles which indicates that self-reported survival expectations play a role in consumption decisions of singles. On the other hand, the finding that subjective survival expectations do not explain couples' consumption decisions deserves further analysis. The assumption of the theoretical model regarding the same risk preferences for men and women may not hold in real life. For instance, one can account for the fact that women are in general more risk averse compared to men. A richer model can capture the relationship between mortality risk and consumption decisions of couples.

This project is conducted in cooperation with Prof. Dr. Rob Alessie (University of Groningen, The Netherlands) and Adriaan Kalwij, Ph.D. (Utrecht University, The Netherlands). The preliminary results were presented at a conference in November, 2014.

2.1.31. Family Background and the Decision to Provide for Old Age: A Siblings Approach

Bettina Lamla

The main objective of this paper is to investigate the role of family background in the decision to buy a so-called Riester pension. Families do not only shape the way we make our financial decisions through genetic and social factors, they can also be a source for cost-effective and reliable information. More specifically, in the Riester context, narrow sub-groups might be of special importance as long as scepticism towards Riester products is high.

The first part of the paper relates the key features of the Riester legislation to the existing literature on the influence of families in financial decision-making. Based on this, three main hypotheses are developed. In order to test these hypotheses empirically, I construct a sample consisting of siblings who are matched by the identification number of their mother, using data from the SOEP. The second part of the paper investigates if there is an association between family characteristics and Riester ownership by subtracting a family-fixed effect and through the inclusion of proxy variables, capturing the level of financial sophistication of parents and siblings. Adding a dynamic element to the analysis, a discrete-time hazard model is estimated which considers sequential correlations in Riester ownership between siblings over time.

Individuals with low education and low income seem to find it difficult to make use of the Riester subsidies. Furthermore, family financial sophistication, proxied by parental education as well as ownership of private pensions in the family, has an influence on the decision to take up a Riester pension. The hazard of subscribing to such a pension significantly increased over time, with a steep increase after 2005 when simplifications to eligibility rules and product design were introduced. Sequential correlations in Riester ownership among siblings become weaker over time, which might suggest that the family as a source of cost-effective and reliable information becomes less important as the number of Riester owners in other social circles grows.

Results from this project have been published in *Empirica*.



2.1.32. Do you have an Occupational Pension? On the Interplay between Demand, Supply and Information

Bettina Lamla with Michela Coppola

Understanding how households form their long-term saving and investment decisions to shoulder risks not covered by social security systems has been of primary importance in all countries which introduced major reforms to face the challenges of an aging population. Recognizing the increasing importance of supplementary pension, this study investigates the determinants for participation in an occupational pension scheme.

While most of the available evidence on occupational pensions is based on the USA or the UK, countries where the multi-pillar system has a much longer tradition, very little is known about their diffusion in countries where public pensions used to be very generous until recently and where the tradition to save privately for retirement is thus lacking. This study therefore focuses on Germany, a country which transitioned towards a multi-pillar pension system about a decade ago. Using a rich dataset linking survey data on the household context with administrative information on individuals and establishments, our study provides new evidence on the interplay between demand and perceived availability of occupational pensions.

Our analysis proceeds in two steps. First, we analyse differences in the perceived availability of occupational pension schemes by workers characteristics. Moreover, we will extend our comparison to characteristics of the establishment these workers are currently employed at. In a second step, we will consider the correlates with participation in an occupational pension scheme conditional on perceived availability.

We find that while major differences exist between respondents who work for an establishment offering an occupational pension and those who report not to know or who say that there is no occupational pension, some of these differences are not pervasive in the decision to participate once we control for perceived availability.

Additional research is needed to investigate causal relationships between the regulatory framework and the cost and benefits of occupational pensions for both sides of the labor market. We consider our paper as a first step in this direction.

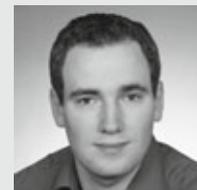
2.1.33. Expecting Means-Tested Benefits in the Old Age: Behavioral Differences and Misjudgments

Bettina Lamla with Martin Gasche

Means testing of social benefits has been criticized for discouraging individual saving and work effort. At the same time means testing helps targeting benefits to those in need. In Germany basic security in the old age, so called "Grundsicherung im Alter" is means tested. In our analysis we investigate how many German households expect to receive basic security and whether they differ in their socio-demographic characteristics, their saving behavior and labor supply from those who do not have this expectation. Finally, we analyze whether some households have wrong expectations on which they ground their saving decisions and propose two possible reasons for their misjudgment.

In the first part of the paper we present theoretical considerations on the relationship between the expectation to rely on means-tested benefits in the old age, saving and labor supply. In the second part of the paper, we divide the sample in two groups based on their self-assessed probability to receive basic security in the form of so-called "Grundsicherung im Alter" and document how these groups differ in their mean characteristics. Furthermore, we identify a fraction of households who most likely misjudge their eligibility based on survey answers on their public pension entitlements. The analysis is based on SAVE 2011.

We find that 38% of German households believe with a high probability that they will be dependent on "Grundsicherung im Alter". Households who expect to receive basic security differ significantly in their socio-economic characteristics from the households that do not expect to be dependent on this particular program. We further observe that these households exhibit a different savings and labor market behavior. Our analysis suggests that half of the households expecting to receive basic security misjudge their eligibility as they have already accumulated enough public pension rights today to place them above the threshold of the means-test. Finally, we argue that these misjudgments could be based on low (financial) knowledge and pessimism and show that differences between the two groups exist.



Johannes Rausch

2.1.34. 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 private funded retirement arrangements, and can thus be regarded as a simulation model for the entire multi-pillar system of old-age provision in Germany.

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 2012, the reconfiguration and re-conception of MEA-PENSIM was finished. This includes especially the module for the calculation of average cohort-specific personal earning points. Also, the computation of retirees, i.e. the number of persons entering retirement, was likewise revised.

The simulation model is documented in a MEA-PENSIM manual. Additionally, MEA-Pensim is described in a MEA Discussion Paper, along with an investigation of the effects of various assumptions regarding population and labor market projections as well as wage developments on both the

contribution rate and the pension level in the statutory scheme. In the last section of the paper the effects of the reform to increase the supplementary period ("Zurechnungszeit") for the disability pension are analyzed. In the year 2012, the discussion paper was published in the journal *Zeitschrift für Wirtschaftspolitik*.

Since 2012, MEA-Pensim was improved in several ways. This includes:

- a new method for the computation of the retirees using retirement probabilities
- the integration of the pension reform 2014 and
- the expansion of MEA-Pensim by modules to calculate the future development of the expenditures and receipts, as well as contribution rates and surcharges in the German Statutory Health Insurance (GKV) and Social Care Insurance (SPV).

Therefore, MEA-Pensim includes now nearly all social insurances of Germany.

2.1.35. What Would Be if We Were Sweden? Is the Swedish Pension System Transferable to Germany?

Johannes Rausch

Time and again, the well performing Swedish Notional Defined Contribution (NDC) pension system is mentioned as a model of how the German pension system could possibly be reformed. However, these suggestions are normally not taking into account the demographic differences between the two countries in an appropriate way. In this project we analyze the meaning of these differences for the development of a PAYG pension system exemplified by the German public pension insurance (GRV). Thereby, we want to show that the German Pension System would perform considerably better under the Swedish population. Additionally, we evaluate whether or not the Swedish NDC-system represents an alternative to the actual GRV-system. A NDC-system is a PAYG-system which is designed like a fully funded pension system. Normally, it has a constant contribution rate thus the budget restriction has to be guaranteed by adjusting the pension level in an appropriated way (this is also the case in Sweden). We answer the questions of this project by using the pension simulation model MEA-Pensim. First, we simulate the development of the GRV using population forecasts of both the German and Swedish population. In a second step, we replace the Ger-



man Pension System through the Swedish NDC-system and analyze its behavior under different assumptions.

In fact, we observe on the one hand side a better performance of the German Public Pension System under a Swedish population forecast. On the other side, we see that the Swedish NDC-system with its constant contribution rate would lead to very low pension levels in Germany. Hence, the good performance of the Swedish NDC-system is a result of the less severe demographic challenges in Sweden and not a result of the differences in both pension systems.

The results of the project have been summarized in a discussion paper and will be submitted for publication.

2.1.36. Retirement Decisions in Germany Revisited – Evidence from an Option Value Model

Johannes Rausch with Tabea Bucher-Koenen, Axel Börsch-Supan

For the evaluation of pension reforms and reform options it is necessary to understand their effect on retirement behavior. A common method used for estimating retirement behavior is the option value model. The probability to retire at a given age is estimated by using a probit model with an option value as explanatory variable. The option value itself describes the monetary incentives to retire now versus in the future.

Using a new administrative data from the German public pension provider (Versichertenkontenstichprobe 2006 and 2010) we evaluate the effects of past reforms on the one hand and estimate the impact of different pension reforms which are currently discussed on the other hand. With respect to the data sets used earlier for this type of estimation on Germany the administrative data set has advantages: Especially, the accurate information on the earnings and labor history and the pension claims are important. Additionally, we can distinguish between the point in time when a person left the labor market and the point in time when a person starts to draw a pension. We are the first to model both optimization loops simultaneously, that means individuals pick the best point in time for retiring from the labor market and the best point in time for drawing their pension.

Additionally we are dealing with some methodological problems in the estimation process: Specifically

the choice of the utility function, the estimation of the leisure parameters, the specification of the control dummies for age and eligibility.

The empirical model was implemented in Matlab and Stata and results a currently refined.

2.1.37. Inclusion of Self-Employed Persons in the German Pension System

Johannes Rausch with Martin Gasche

The assumption of an existing high risk of old age poverty among self-employed persons led to the discussion whether self-employed persons should be obligatorily insured in the German Pension System or not. This project analyses the theoretical and empirical effects of an inclusion of self-employed persons in the German Pension System.

First, the theoretical consequences for the contribution rate are analyzed using a simple OLG model. Second, the implications for the contribution rate are simulated for different scenarios using the pension simulation system MEA-Pensim.

Apparently, the inclusion of the self-employed persons leads to a reduction in the contribution rate in the short and in the middle run. The magnitude of these temporary effects depends essentially on the assumed contribution assessment basis, the size and characteristics of the included group of people (all self-employed persons or only the self-employed persons without employees) and the age at which a conservation of the status quo will be established for older currently self-employed persons (inclusion of self-employed persons under the age of 50 or the age of 30). The maximal effect on the contribution rate and standard pension level can be observed if all self-employed persons are included and the net income is chosen as the contribution basis. In this case, the contribution rate is not more than 1.3 percentage points smaller and the standard pension level not more than 2.1 percentage points higher. In the long run (until 2060), and regardless of the underlying assumptions, the contribution rate reaches the same level as in a status quo scenario where the self-employed persons are still exempt. Given a higher life expectancy of the self-employed, their inclusion increases slightly the contribution rate in the long run. In terms of people who are already insured by the German Pension System, the reform positively influences effectiveness. Furthermore, the possibility of equal treatment between generations promotes those who are already insured.

The results of this project are summarized in a discussion paper and have been published 2013 in: *Perspektiven der Wirtschaftspolitik*.

2.1.38. Development of the Contribution Rate in the German Statutory Health Insurance (GKV) and the Social Care Insurance (SPV) – Projections and Determinants

Johannes Rausch with Martin Gasche

It is assumed that the contribution rate will increase for both the German Statutory Health Insurance and the Social Care Insurance. While the determinants for this development are mostly known their isolated quantitative effects are not explicitly analyzed yet. Therefore, the goal of this project is to isolate and quantify the determinants of the development of the contribution rates. We split the development of the contribution rate of the GKV and SPV analytically into a demographic effect, an expenditure effect and an income effect. It appears that in the medium term the demographic effect represents a considerable factor for both insurances. However, due to the steeper expenditures' profiles the effect of the demographic development is much larger in the SPV compared to the GKV. Actually, the contribution rate of the SPV is mainly driven by the demographic development, while the GKV contribution rate is mainly determined by the expenditure effect. Due to its characteristics of a partially comprehensive insurance with given flat service charges the expenditure effect plays only a minor role in the SPV. In a flat-rate contribution system the demographic effect becomes smaller while the relevance of the expenditure effect remains unchanged and the income effect disappears completely. A higher fertility rate leads to a temporary larger increase of the GKV contribution rate due to higher expenditures for children. However, until 2060 this effect will be compensated by the increasing number of contributors. For the empirical analysis we use an expanded simulation model MEA-Pensim.

The results of the project are summarized in a discussion paper which has been submitted for publication.

2.1.39. Labor and Budget Effects of Actuarially Correct Pension Adjustment Factors in the Public Pension Insurance

*Martin Gasche, Johannes Rausch with
Tabea Bucher-Koenen, Axel Börsch-Supan*

A central element of the federal government's demographic strategy is to increase the labor market par-

ticipation rate of older people. In this context, it is necessary to implement "accurate" adjustment factors for an earlier or later retirement age in order to avoid negative incentive effects. However, several studies (Börsch-Supan 2004, Gasche 2012 und Werding 2012) come to the conclusion that the adjustment factors currently implemented in the German public pension system are too small. This project analyzes the effects of higher adjustment rates on labor market participation of older workers and on the budget of the German Public Pension Insurance.

We first estimate the effects of higher adjustment rates on the retirement probability using an option value model (see project 2.1.36). Afterwards, we simulate the effects on the labor market and the Public Pension Insurance by using the results of the first step in the pension simulation model MEA-Pensim (see project 2.1.34). In a last step we simulate the effect on all social insurances and the public finances using the Social Insurance Model, Version 2011 (SIM.11).

Compared to older studies we receive a smaller effect after increasing the deduction rate. This is partially related to some changes in the estimation strategy, but also to many different recent reforms of the incentives in the public pension system. In fact, the maximal effect appears for men living in West Germany. Their average retirement age increases by 0.32 years. Consequently, the effects on the labor market, social insurances and public finances are also small. The labor force increases in the best case at first by 150.000. The contribution rate to the public pension system decreases by 0.6 percentage points. The total contribution rate of all social insurances decreases by 0.8 percentage points. The financial deficit of the general government budget decreases by 0.5% of the BIP.

The results were summarized in a final report. This project was a cooperation with Prof. Dr. Martin Werding (Ruhr-Universität Bochum).

2.1.40. The German Pension Reform Package 2014: Consequences of the "Mütterrente" and "Rente mit 63"

*Johannes Rausch with Axel Börsch-Supan,
Michela Coppola*

The great coalition's pension reform of 2014 includes two controversially discussed components: the so called "Mütterrente" (additional pension benefits for mothers who gave birth before 1992) and "Rente mit 63" (early retirement without actuarial reductions at age 63 for individuals with a contribu-



tion history of at least 45 years. This project analyzes the reforms' effects on the contribution rate and pension level as well as the employment effects due to the changed contribution rate. We assume that all individuals eligible for the "Rente mit 63" will take it up. The size of this group before and after the reform is then estimated using the scientific use file of the pension systems administrative data called "Versichertenkontenstichprobe" (VSKT). The effects on the contribution rate and the pension level are calculated with the pension simulation model MEA-Pensim, the employment effects with the micro-simulation-model STSM of the DIW Berlin.

On average we find that the contribution rate will increase by 0.3 percentage points until 2035. At the same time the pension level will decrease on average by 0.6 percentage points. The change in behavior due to the "Rente mit 63" will reduce the labor force on average by 120,000 persons. However, all effects will decrease in the long run. The higher contribution rate would lead to a loss of about 25,000 full-time positions.

The results of this project are summarized in a report for "Initiative Neue Soziale Marktwirtschaft GmbH – INSM" which partially financed this project. Additionally, the isolated effects of the "Mütterrente" were presented in a discussion paper (MEA Discussion Paper 08-2014). The isolated effects of the "Rente mit 63" as well as a more detailed analysis of the eligible and non-eligible group before and after the reform are summarized in another discussion paper (MEA Discussion Paper 17-2014) which will be submitted for publication.

This is a joint project with Stefan Bach und Peter Haan (both Deutsches Institut für Wirtschaftsforschung (DIW) Berlin).

2.1.41. The Social Welfare State during the Demographic Revolution: The Reformprocess of the German Pension System

Axel Börsch-Supan

This project, commissioned by the Bundessozialgericht (German Federal High Court for Social Law), has evaluated the 2001 – 2007 reforms of the German public pension system. It analyzed three conceptionally distinct transitions which have been bundled in several reform steps: (a) a gradual transition from defined benefits to defined contributions in the public pension system, effectively creating a version of the Swedish Notional Defined Contribution (NDC) system, (2) a gradual transition from a

declining life-time work phase to a substantially later retirement age, and (3) a gradual transition from an almost monolithic pay-as-you-go pension system to a much higher share of prefunded pension income. The results have been published as a "Denkschrift" (think piece) for the Bundessozialgericht.

2.1.42. Lessons from the Historical Reform Process in Germany

Axel Börsch-Supan

This project extends the preceding project and evaluates the development of the German public pension system between 1972 and 2014. In addition to the 2001 – 2007 sustainability reforms, this evaluation includes the large expansion of the system in 1972 which introduced flexible retirement age without actuarial adjustments, the 1992 reform which introduced actuarial adjustments and changed the indexation of pensions to net rather than gross wages, and the re-introduction of early retirement in 2014. The project looks at the economic as well as the political dimensions of these ups and downs in pension policy. The project will serve as the foundation for several newspaper articles and a scientific paper in the German Wirtschaftsdienst.

2.1.43. Myths, Scientific Evidence and Economic Policy in an Aging World

Axel Börsch-Supan

There are many myths about individual and population aging that are not backed and often squarely contradicted by evidence. Demystifying aging by juxtaposing the myths with sober scientific evidence on the challenges and chances of aging is, as we claim, therefore one of the most important tasks of the economics of aging. This task is important since population aging requires adaptation through economic policy reforms which are frequently obstructed by such myths.

The aim of this project is therefore threefold: to collect scientific evidence from the economics of aging in order to demystify popular fallacies; to review where we stand in the more subtle mechanisms behind these fallacies and where more data and research is needed to fully understand the economics of aging; and to emphasize the link between theory, evidence, and political economy in the economics of aging.

Demystifying aging is doable since there is a growing body of data at the macro and micro level, some specific to certain countries, but many also internation-

ally comparable. The international dimension is especially valuable since learning about aging requires variation in aging and aging-related policies.

The project has resulted in two prominent publications, one in English and one in German, each in a new (or newly set-up) journal: the *Journal of the Economics of Aging* and the *Perspektiven der Wirtschaftspolitik*.

We find ample evidence that health at older ages has improved to support increasing labor force supply at these ages. There is even some evidence – although not uncontroversial – that health is positively related to active aging beyond current retirement ages. The evidence does not support the myth of quickly falling productivity after youth. Finally, there is no evidence that older regions and countries have less of the intergenerational cohesion that is so important to make economic policy reforms feasible.

2.1.44. Social Security and Public Insurance

Axel Börsch-Supan

This project is devoted to an article in the *Handbook of the Economics of Population Aging* edited by John Piggott and Alan Woodland. It is planned to set three accents in this article: (a) Public pensions have large positive/negative impacts on macroeconomic performance: If well designed, they prevent poverty, yield incentives for labor force participation and stabilize consumption in times of crises; if ill designed, the opposite is possible. The macro implications are still underestimated in actual international pension policy decisions. (b) The main channels for large macro impacts are behavioral impacts on labor supply, saving and intergenerational exchange. We know a lot about these micro implications; often, they are nevertheless ignored in policy decisions. (c) The underestimation/ignorance of micro/macro implications is an example why economic design cannot abstract from political economy aspects.

2.1.45. Flexible Retirement

Axel Börsch-Supan with Tabea Bucher-Koenen, Felizia Hanemann, Vesile Kutlu Koc

The current discussion (Winter 2014/15) in German pension policy focusses on making retirement more flexible by making part-time work and part-time retirement options more attractive. While gradual retirement appears to be a sensible institution both from an economic and a social point of view and is

a popular demand in opinion polls, it is highly controversial because one party of the current grand coalition wants to use flexible retirement to increase early retirement options even earlier than the newly introduced retirement option at age 63, while the other coalition party wants to increase old-age labor participation beyond the statutory retirement age of 65. Moreover, if workers have the choice between gradual and full work, then full retirement in certain corporate agreements ("Altersteilzeit"), they overwhelmingly choose the full work/full retirement model.

This project employs data by the German pension insurance as well as SHARE and SAVE data linked with these administrative data. Part of the work is to analyze who is eligible for certain reform proposals and the distributional implications w.r.t. income, health, gender etc. A second part is to estimate the incentive effects for more/less labor force participation by age range using econometric models of retirement decisions. One of the key parameters are the age-specific actuarial adjustment factors which are particularly controversial in the current political discussion.

2.1.46. Population Aging and Intergenerational Cohesion

Axel Börsch-Supan

As the US undergoes a dramatic demographic transformation, the question frequently arises as to whether the US can learn important lessons from Europe, which has "aged" ahead of America. Such lessons might be helpful in predicting social changes as well as indicating which policies might be more or less effective.

This project relates to the concern regarding future tension between generations. Population aging changes the fabric of the entire society. It puts strain on the pay-as-you-go financed social security systems and is likely to lead to higher contributions and lower implicit rates of return for the younger generation. At the same time, it moves the political power towards the elderly as the median voter's age rises. Will such strains tear the social fabric apart? Is the horrible vision of "generational warfare" coined by the media a realistic one?

If we want to test whether the horrible vision of "generational warfare" or a break down of intergenerational cohesion has at least some truth to it, we should see it in "Old Europe". Our approach is to investigate several dimensions of intergenerational





Klaus Härtl

cohesion, e.g. family relations, non-family ties, values, and political preferences. We measure these dimensions by variables collected in the European Social Survey (ESS) and the Survey of Health, Ageing and Retirement in Europe (SHARE). We analyze the relation between intergenerational cohesion and aging on the regional level in order to exploit as much variety as possible.

Our findings suggest that intergenerational cohesion is not systematically and significantly related to the age structure of European regions. Both positive and negative interrelations between the old age dependency ratio and our measures of intergenerational cohesion can be found. Some aspects of intergenerational cohesion fare better in older societies, like trust to older and younger family members or that fewer people experience age discrimination. On the other hand there are fewer people having young friends or meeting socially in older regions. We conclude that the fear in the US about aging populations becoming gerontocracies in which the old exploit the young is highly exaggerated.

2.1.47. Entitlement Reforms in Europe

Axel Börsch-Supan

Many European countries provide large entitlement programs, in particular public pensions, especially when compared to the United States. Current costs are high, and the pressures will increase due to population aging and negative incentive effects.

This project is part of a NBER initiative led by Alessandro Alesina and Francesco Giaviza and focuses on the pension reform process in Europe. It links the causes for current problems to the cures required to make the pay-as-you-go entitlement programs in Continental Europe sustainable above and beyond the financial crisis. It discusses examples which appear, from a current point of view, to be the most viable and effective options to bring entitlement systems closer to fiscal balance and still achieve their key aims.

There is no single policy prescription that can solve all problems at once. Reform elements include a freeze in the contribution and tax rates, an indexation of benefits to the dependency ratio, measures to stop the current trend towards early retirement, an adaptation of the normal retirement age to increased life expectancy, and more reliance on private savings – elements of a sustainable but complex multipillar system of pensions and similar entitlement programs.

2.1.48. The Lump of Labor Fallacy

Axel Börsch-Supan and Alan Murray

This project, commissioned by the World Economic Forum, summarizes the evidence against the lump of labor fallacy. It exploits international comparisons based on OECD employment data and German time series evidence based on German Bureau of Labor Statistics. Identifying instruments are labor market and pension policies from 1972 through 2007 which sometimes increased and at other times reduced employment of older individuals. We do not find a systematic negative (positive) correlation between the observed changes in older-age employment with employment (unemployment, respectively) of younger individuals but rather the opposite: in most cases, policy interventions either strengthened employment for all ages or reduced it for all ages.

2.2. Research Projects of the Research Unit "Macroeconomic Implications of an Aging Society"

2.2.1. Aging in Europe: Reforms, International Diversification, and Behavioral Reactions

Axel Börsch-Supan with Klaus Härtl, Duarte Nuno Semedo-Leite

This project extends a line of research based on multi-country overlapping generations models to study the effects of population aging on the interactions between economic growth and living standards with relatively mild labor market, pension, and educational reforms, behavioral adaptations, and international capital flows. It focuses on the three largest Continental European countries – France, Germany, and Italy – and juxtaposes them with the United States. A key question is which policy mixes are suitable to maintain living standards despite the strong decline in the support ratio.

The main message of the project is twofold. First, it is misleading to argue that Europe could resolve all aging related problems by mobilizing the employment pool. Such policy proposals target the extensive margin of labor supply and ignore behavioral reactions at the intensive margin. Hence, responses to demographic change require not only structural reforms of labor markets and pension systems but also changes in the attitudes towards reform. Second, these attitudes are embedded in the interplay between preference parameters and the number of constrained households in our model. The strong substitution between the endogenous and exogenous



Dr. Matthias Weiss

part of labor supply for the unconstrained households may generate too pessimistic an estimate of the reform backlash and its effects on economic growth and living standards. On the other hand, all three new governments in France, Germany, and Italy are currently reversing pension and labor market reforms enacted by their predecessors, giving credibility to the force of reform backlash. The results were published in the American Economic Review, P&P in May 2014. Further work will refine the retirement decision and its institutional context in the OLG model.

2.2.2. Age and Labor Productivity in Manufacturing

Matthias Weiss with Axel Börsch-Supan

Demographic change will bring in its wake a massive aging of manpower over the next 20 years. Against this background, we have set out to explore the relation between worker age and labor productivity. For this, we have compiled a unique data from a truck assembly plant owned by a large German car manufacturer with plants in Asia, Europe and the U.S. At this plant, trucks are assembled by work teams on an assembly line. We have selected this plant because it features a taylorized production process typical for the manufacturing industry, and because it stacks our cards against finding flat or increasing productivity with age. Compared to many service-sector jobs, productivity in this plant requires more physical strength, dexterity, agility etc. (which tend to decline with age) than experience and knowledge of the human nature (which tend to increase with age).

These data permit us to overcome a number of methodological problems in an unprecedented way. The data have three innovative elements. First, we measure productivity in an assembly line environment in which the time to produce a unit of output is as standardized as the quality of the final product. As the assembly line has the same speed for all work teams and the design of the trucks is pre-defined, more productive work teams are not able to produce more or better output than less productive work teams. Workers, however, make errors which are detected at end control. More productive work teams differ from less productive work teams only in the errors they make. We therefore use the number and severity of production errors during the assembly process as a precise and well-observed measure of productivity. We exploit the daily variation in the team composition of work teams over four years to identify the age-productivity profiles.

Second, we have merged the daily production error data (almost 1000 days) with longitudinal personnel data (3,800 workers in 100 work teams). This permits us to hold a broad range of workers' characteristics constant. In addition, and most importantly, by differencing out worker-workplace fixed effects we are able to correct for the selection effects marring so many earlier studies due to the endogeneity of early retirement and team composition.

Third, we measure the joint productivity of workers in a work team. This takes into account the individual workers' contribution to their co-workers' productivity. Particularly the contribution of older workers may be underestimated if productivity is measured at an individual level. Examples for such potential contributions to a team's productivity are the instruction of younger workers, being relaxed in tense or hectic situations, and contributing positively to the work climate. We think that our approach solves the major aggregation problems in earlier studies.

Our results are striking. Due to the very large number of observations and our identification strategy, we are able to estimate rather precise age-productivity profiles at the individual level and at the level of a work team. These profiles do not show a decline in the relevant age range between 25 and 65 years of age. On the individual workers' level, our average productivity measure actually increases monotonically up to age 65.

We conclude that even in a work environment requiring substantial physical strength, its decline with age is compensated by characteristics that appear to increase with age and are hard to measure directly, such as experience and the ability to operate well in a team when tense situations occur, typically when things go wrong and there is little time to fix them.

2.2.3. Are Age-Diverse Teams Better?

Matthias Weiss

Age-diverse teams have been demanded time and again as an option for the productive employment of older manpower. Empirical research on the productivity effects of mixing ages is nevertheless missing so far, and so this project aims to help close this gap. The advantages of heterogeneity (in terms of age, but also education, nationality, seniority and gender) are obvious: heterogeneous groups meld the strengths of different employees and can thus profit from complementarities. The downsides are somewhat subtler: heterogeneity in work teams is apt to impede communication and lessen group cohesion.





Dr. Christian Hunkler

Which of these aspects predominate constitutes an empirical question. To answer it, I use the data obtained for the above project, "Age and Labor Productivity in Manufacturing", conducted at the Mercedes-Benz Plant in Wörth. The results suggest that age diversity is harmful in teams that perform rather homogeneous tasks and it may be productivity enhancing in teams that perform rather heterogeneous tasks.

2.2.4. Age and Labor Productivity in Services

Matthias Weiss with Axel Börsch-Supan,
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 work teams 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 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. Further econometric analyses will involve robustness checks and further analyses at more disaggregate levels suggested in discussions with managers from the firm. In addition, we are going to study which factors affect the age productivity profiles.

2.2.5. Vacation, Sick Leaves and their Effect on Productivity

Christian Hunkler with Matthias Weiss

Using the data described in "Age and Labor Productivity in Services" we focus on whether older workers need more vacation to recover, i.e. recover their full productivity, than younger workers in service occupations. At this stage we consider various specifications to find effects of duration and frequency of vacation on productivity.

2.2.6. Saving and Old-Age Provision in Germany (SAVE)

Michela Coppola with Bettina Lamla,
Axel Börsch-Supan

A major acknowledgement of previous research projects on savings formation in Germany has been that the available data (such as those obtained from the income and consumption sample (EVS), the debit & credit questionnaire "Soll und Haben", or the socio-economic panel (SOEP)) set narrow limits to findings because of considerable gaps in the scope and breadth of such surveys. To bridge this gap, MEA initiated the study "Saving and Old-Age Provision" (SAVE) in 2001. The main goal of the study was to create a sound empirical base to better understand households' saving behavior and asset choices. It was thus designed to collect at the household level detailed information on income, financial and real assets as well as debt in combination with a rich set of psychological questions, questions on health, expectations and attitudes. Furthermore, it was set up as a longitudinal study to allow monitoring developments over time and studying reactions to macroeconomic and institutional changes.

Several tasks such as the preparation of the questionnaires, the processing of the data as well as the development of a procedure for the imputation of missing responses are conducted by researchers at MEA. The final datasets are stored at the German Central Data Archive (ZA) in Cologne and are publicly available for scientific research. By now more than 100 external researchers have used the data for various projects. SAVE data are also used internally at MEA within the scope of various research endeavors.

Although much has been learnt in the last years on the behavioral aspects of handling risk, uncertainty, and long-term planning, the specific challenges posed by the recent socio-economic and political developments such as the shift toward towards defined contribution (DC) plans and the recent economic and financial crises require an extensive amount of detailed data to provide pointed answers. To test the feasibility of such a procedure the ninth wave of the SAVE survey (conducted in 2011/2012) was run in collaboration with the Institute for Employment Research (IAB) of the German Federal Employment Agency; Stefan Bender is in charge on the part of IAB. Respondents and their partners were asked for written consent to link their survey data with their administrative records stored at the Federal Employment Agency (BA).

The administrative records contain daily information on wages and social transfer payments received since 1975, as well as information on the participation in active labor market programs (from year 2000 onwards). The labor market histories are further enhanced with additional information on the employers at the establishment level (such as economic sector of activity or qualification and age structure of its labor force) drawn from the Establishment History Panel. All individuals who have worked at least one day as an employee paying social security contributions in Germany are included in these administrative records. About 58% of the households successfully interviewed in 2011/2012 agreed to data linkage. While the survey data are already available to the scientific community, their linkage with the administrative records is not concluded yet.

After funding by the German Research Foundation (DFG) has expired, a proposal (jointly with Prof. Ulrich Becker, from the Social Law department) for the funding of a further wave in 2013 has been successfully submitted to the German Insurance Science Association (DVFVW). The fieldwork started in the late spring of 2013. By the end of the year 2014 a public version of the dataset was made available to the scientific community. The data supports research on many topics related to saving behavior, such as the role of information, trust and attitudes on the demand for old-age provision products, or the trade-off between increased saving and longer working lives.

2.2.7. Household Finance and Contractual Saving in Germany

Axel Börsch-Supan with Tabea Bucher-Koenen, Michela Coppola and Bettina Lamla

The idea that households smooth their consumption in order to keep its marginal utility constant over time is a cornerstone of the life-cycle model of consumption and saving. Within this framework, household saving represents just a residual leftover after all the expenditures have been subtracted from current income. As such, saving is passive and should react more strongly to transitory changes in household income whereas temporary shocks should have only a very small effect on consumption. The empirical evidence, however, shows that this is not the case. Household consumption tracks current income more closely than household saving, which reacts only modestly even to big shocks. A possible explanation for this puzzle is that household finances are dominated by contractual saving which is relatively stable over long time periods.

In this project, we provide empirical evidence for this explanation, using several waves of the SAVE study, a survey focused on household saving behavior in Germany. The panel character of the data will allow us to measure how much saving has reacted to shocks at the micro and macro level, and to test if the presence of contractual saving has significantly contributed to explain the low elasticity of savings to micro and macro shocks. The SAVE study has four particularly interesting features which we will exploit to shed new evidence on this old puzzle: first, the panel character of the data exhibits within-individual variation of current income as well as changes in household composition ("micro shocks"); second, the data span the financial crisis of 2008/2009 as an example of a large macro shock; third, the data distinguish various forms of discretionary and contractual saving; and fourth, the data contain information which allows us to see whether saving is an independent object of active decision making rather than a passive residual.

2.2.8. The Income and Asset Situation of German Baby Boomers

Michela Coppola

The financial circumstances and pension prospects of so-called baby boomers (i.e. persons belonging to the post-war generation characterized by high birth rates) have in recent years been a cause of worry in the United States, and have thus roused a great deal of attention there. In Germany, by contrast, these issues have only seldom been addressed so far.

Based on the above SAVE study on saving and old-age provision in Germany, the project examines the present income and asset situation of the baby-boomer generation, the aim being to obtain preliminary insights into this generation's retirement arrangements for the future. It has been found that in comparison to other cohorts, German baby boomer households are relatively well off in terms of both their incomes and their assets. Despite more frequent spells of unemployment, their average disposable net income per month corresponds to that of other cohorts at the same age. In addition, these households have accumulated larger monetary assets than the previous generation.

The income situation expected after retirement, however, is less favorable for the baby boomer generation, especially as the anticipated early age of retirement could entail marked pension cuts. To what extent such potential reductions can be cushioned by private assets remains an open question.



At any rate, for a large majority of these households, hitherto accrued net assets do not appear high enough. Yet the message that government pensions alone will no longer suffice to sustain their habitual standard of living in the future has evidently reached the baby boomers themselves. To mitigate this generation's old-age poverty risk, steps must be taken to extend their working lives and to reinforce their skills and work capacity through further training.

The results of this project have been published in *Vierteljahreshefte zur Wirtschaftsforschung*.

2.2.9. When Money is Tight and Requirements are High: Using Nonprobability Samples in Longitudinal Household Studies

Michela Coppola

Longitudinal studies are of paramount importance to study how people's circumstances change over time and have become increasingly popular in many different research fields. Recent years have seen however a surge in the challenges posed to longitudinal designs. In particular, while the rising pressures on government coffers have clearly limited the amount of resources available for scientific research, the demand for high-quality (panel) data rose considerably as well as the costs necessary to provide the desired quality standard. Against this background, increasing attention is devoted to the use of nonprobability samples for scientific research as cost-effective alternatives. To date, quite a few studies have compared the representativeness of probability and nonprobability samples as well as the quality of the collected measures, both in term of accuracy (i.e. the difference from trusted benchmarks) and validity (such as testing the correlation with theoretically related items or the predictive power of the answers). The evidence so far is however scanty. Furthermore, no study has carried such comparisons within a longitudinal setting. The present work contributes to this literature analyzing the validity of the answers given by a probability and a nonprobability sample in the household panel survey "Saving and Old-Age Provision in Germany" (SAVE), which consists of two subsamples differing by their sampling scheme. The concurrent and predictive validity of the answers as well as the degree of satisficing are taken to assess measurement quality and are compared over time.

2.2.10. Decision Areas and Risk Preferences

Michela Coppola

This project inspects how far risk preferences can be distinguished according to decision areas. While economists model risk preferences by means of individual parameters (e.g. curvature of the utility function), and hence suggest that risk preference is a singular and stable construct, psychologists consider this point highly debatable.

The SAVE data analysis using confirmatory factors shows that the area in which decisions are made affects subjective risk preferences, although the correlation between preferences in the different areas is higher. Separate analyses based on age groups moreover confirm that risk structures are not uniform for younger and older respondents. In particular, correlation between risk preferences may be greater among younger respondents in some decision areas, but greater among older respondents in others.

2.2.11. Risk Preferences and Savings Behavior of German Baby Boomers: A SAVE Data Analysis

Michela Coppola

This research undertaking entitled "Subproject 2 – Loss Aversion and Savings Behavior in Aging German Baby Boomers: Analyses of the German SAVE Survey" forms part of the project "Behavioral and Neurobiological Foundations of Risk Preferences in American and German Baby Boomers" sponsored by the Volkswagen Foundation. Project collaborators are the Institute for the Study of Labor (IZA) (Armin Falk, Thomas Dohmen, David Huffman, Uwe Sunde, "Subproject 1 – The Economic Importance of Preferences in an Aging Society: Analyses of the German Social Economic Panel Survey Data"), the Max Planck Institute for Human Development and the Berlin Neuroimaging Center (Hauke Heekeren, Ulf Lindenberger, Shu-Chen Li, "Subproject 3 – Neural Basis of Risk Processing and Investment Behavior in Aging American and German Baby Boomers"), as well as Stanford University (Brian Knutson, Laura Carstensen; likewise Subproject 3).

The savings behavior of baby boomers constitutes a key element in discerning the economic effects of an aging society. The above venture uses a multimodal research approach in its investigation of age-related differences in risk-laden decision areas. Numerous empirical studies already suggest that risk preferences are dependent on age. Now, additional criteria such as financial standing, gender or level of education are to be appraised with the help of SAVE data.

Imaging studies conducted by the Berlin project group provide insights into the neuronal foundations underlying age-linked variations in risk processing. Concurrently, significant SAVE questions (regarding socio-demographic issues as well as financial circumstances, risk preferences and motives for saving) permit a comparison of sample representativeness. In taking this approach, German baby boomers are contrasted with younger adults in respect of their risk-seeking behavior and their corresponding neuronal correlates.

2.2.12. Please Sign Here: Asking for Consent without Interviewers

Michela Coppola with Bettina Lamla

In order to link survey data with administrative records the informed consent of the respondent is needed. While there is a large and growing string of literature studying the underlying mechanisms that lead to the consent decision in interviewer based surveys, no evidence exists for self-administered surveys in the social sciences. This study fills the gap identifying the correlates of obtaining consent in the German SAVE survey, a longitudinal mail survey. It further complements previous works using an even wider set of variables controlling for psychological traits and attitudes of the respondents. Our results are similar to those obtained for interviewer based surveys: The achieved consent rate is comparable to other studies and the pool of consenting individuals is at least as biased as in interviewer-based studies. We find only mild evidence that general trust beliefs and psychological traits influence the willingness to give consent. Among the determinants of consent, privacy concerns and general resistance towards the interview give the largest contribution in explaining the consent decision.

2.2.13. Eliciting Risk-Preferences in Socio-Economic Surveys: How do Different Measures Perform?

Michela Coppola

Using data from a general socio-economic survey on a representative sample, this paper contributes to the debate on the adequate elicitation of individual risk attitudes comparing the quality and predictive validity of different risk measures: a general multi-item question on the willingness to take risks similar to Dohmen et al. (2011); a very short form of the DOSPERT scale developed in Weber et al. (2002) and a series of lottery tasks. It turns out that the quality of the collected data is high. All the elicited

risk measures are informative about individuals' attitudes. In particular, the answers to the lottery choice tasks appear to be meaningful and reasonably coherent. Also item nonresponse is mostly unproblematic, although weak evidence of selective patterns of item nonresponse to the lottery questions can be found. The measures however differ in their predictive power, with the lottery-based measures exhibiting only weak predictive validity. When the scope of the assessment is to predict behavior, domain specific risk measures seem to be more appropriate. Embedding a short DOSPERT scale in general surveys appears to be very promising for empirical applications in social sciences using survey-based risk measures.

2.2.14. Would you like to Add Anything? Open-End versus Closed-End Questions in a Mail Survey

Bettina Lamla

One way to combine the advantages of closed- and open-ended questions is to give the respondent an exhaustive list of categories she can choose from as well as the option to answer with the category "other" and to specify in an open-ended format. In many cases these answers can and need to be re-coded in order to prevent bias. Aim of this paper is to investigate whether cognitive aspects or topic interest motivate respondents to use this option and to elaborate on their choice. I use data from the longitudinal German SAVE study which is conducted as a self-administered mail survey. I investigate who uses the open-end option in closed-end questions and whether these respondents display the same pattern for similar questions as well as across time.

2.2.15. Whose Closure? Gender Inequality and Access to Skill Training

Christian Hunkler

This project is conducted in cooperation with Roberto M. Fernandez (MIT Sloan School of Management, Cambridge, MA, USA). Job sex segregation is well-documented, and has been shown to be an important contributor to gender wage inequality. Some scholars argue that exclusionary processes by employers and/or workers which limit females' access to training opportunities are important contributing factors to the sex segregation of employment. However, extant research falls short of documenting the alleged mechanisms of exclusion. We examine the allocation process for training opportunities for new labor market entrants. We study gender patterns in the pipeline of candidates for these opportunities





Dr. Martin Spindler



Fabrizio Mazzonna,
PhD

from initial application to final placement, and identify which actions by which actors produce gendered outcomes in access to training. We find that gendered outcomes are evident at each step of the allocation process. A simple model of opportunity hoarding on the part of employers cannot explain our findings.

2.2.16. Can Statistical Discrimination Explain Inequality?

Christian Hunkler

Statistical discrimination starts from the notion of employers' incomplete information about the real productivity of applicants even some time after hiring. This project focuses on the disputed question whether Phelps's measurement model of statistical discrimination can explain group inequality in hiring, i.e. group discrimination, using dynamic micro simulations.

2.2.17. Human Capital or Discrimination? Labor Market Entry Disadvantages of Second-Generation Turkish Migrants in Germany

Christian Hunkler

Earlier studies disagree over whether average differences in human capital endowments or employer discrimination explain second-generation migrants' disadvantages at labor market entry. I use data from the German Socioeconomic Panel Study to comprehensively test the human capital mechanism as well as corollary hypotheses derived from statistical and taste discrimination theory. I find human capital, including receiving-country specific resources as e.g. German language abilities or the ethnic composition of networks, to not fully explain the ethnic penalties Turkish migrants experience when entering the labor market. When analyzing who starts and completes a vocational education, significant residual effects for the Turkish remain. Estimating labor market entry models, I find vocational education to be one of the strongest predictors of a successful transition into paid labor. Finally, interaction models show that a completed vocational education pays off less for Turkish migrants as compared to German graduates. The latter finding can be interpreted as evidence for statistical discrimination.

2.3. Research Projects of the Research Unit "Health Econometrics"

2.3.1. How do Unisex Rating Regulations Affect Gender Differences in Insurance Premiums?

Martin Spindler

As of December 21, 2012, the use of gender as an insurance rating category was prohibited. Any remaining pricing disparities between men and women will now be traced back to the reasonable pricing of characteristics that happen to differ between the groups or to the pricing of characteristics that differ between sexes in a way that proxies for gender. Using data from an automobile insurer, we analyze how the standard industry approach to simply omit gender from the pricing formula, which allows for proxy effects, differs from the benchmark for what prices would look like if direct gender effects are removed and other variables do not adjust as proxies. We find that the standard industry approach will likely be influenced by proxy effects for young and old drivers. Our method can simply be applied to almost any setting where a regulator is considering a uniform-pricing reform.

This project is a cooperation with Vijay Asservatham (University of Munich) and Christoph Lex (University of Munich).

2.3.2. Migration and Health

Fabrizio Mazzonna

There is large evidence in the literature of the so-called "Health Immigrant Effect" (IME): immigrants that arrive in the host country have better health than compared with the natives but this "health-advantage" disappears across-time or generations.

The aim of this project is to explain this phenomenon. Among the possible explanations, we investigate whether immigrants' health depreciates faster over-time because immigrants substitute natives in physically demanding occupations. Therefore, we also investigate whether the presence of immigrants has an effect on natives' health.

This project exploits the German Socio-economic Panel (GSOEP), a long panel survey that has started in 1982 and contains reach socio-economic information including information on health.

Moreover this survey contains a large sample of immigrants for which we have information on their migration background.

Finally, to evaluate the presence of an effect on natives' health, GSOEP data will be linked with time series data on immigration rates in German local areas.

This project moved with Fabrizio Mazzonna to Università della Svizzera italiana in Lugano.

2.3.3. Increasing the Credibility of the Twin Instrument

Helmut Farbmacher with Raphael Guber

There exists a large literature relating fertility to maternal outcomes such as working status, income, education and health.

One of the central problems of this literature is the endogeneity of the fertility decision. Therefore, instrumental variable techniques are widely employed to identify causal effects. A particular popular instrument are twin births. Getting twins – particularly dizygotic twins – is not a random event however. It is well-known that dizygotic twinning depends on e.g. maternal age, height, weight and race. On the other hand, monozygotic twin births are considered a random event.

We first develop a strategy that allows us to correct the classical twinning instrument from the literature by the bias induced from dizygotic twinning. More specifically, we construct a new IV that will correct for selection bias in OLS and IV estimation. We employ US census data and administrative data from Sweden to illustrate our approach. The usual twin instruments are strongly related to observed and unobserved maternal characteristics, while our instrument is not. We demonstrate the improvement by the new instrument in a fertility-labor market application.

2.3.4. Macroeconomic Crunches during Working Years and Health Outcomes Later in Life

Tabea Bucher-Koenen with Fabrizio Mazzonna

The recent economic crises and high unemployment rates especially among young Europeans have spiked a debate about the short- and long-term effects of macroeconomic conditions on population well being. Economic crises are seen as times of severe economic downturn, i.e., times of low economic growth, high inflation, and high unemployment. Generally, they are perceived to put a burden on population health. Most of the studies so far only consider immediate effects of economic crises. Fewer studies

have looked into the long-term effects of economic fluctuations experienced during critical periods in life.

We investigate the long-term effects of macroeconomic crises experienced during prime working age (20 to 50) on health outcomes later in life using data from 11 European countries. We use the first and second wave of the Survey of Health Aging and Retirement in Europe (SHARE) and we match information about the number of country-specific macroeconomic crises during individuals' potentially active years (age 20 to 50) to the SHARE data.

Experiencing a severe crisis in which GDP dropped by at least 1% significantly reduces health later in life. Respondents hit by such a shock rate their subjective health as worse, are more likely to suffer from chronic diseases and mobility limitations, and have lower grip strength. The effects are larger among high-school dropouts. Experiencing a crisis year decreases the probability of being in good health later in life equivalent to being 2 years older in the overall sample or 4 years older in the low-educated subsample. Highly educated respondents' health is not affected by crises and additionally economic booms have a positive effect on their health. Controlling for health and economic conditions early in life measured by height, childhood health or fathers' occupation do not change the outcomes.

This project is joint work with Liudmila Antonova (Ca' Foscari University of Venice) and Fabrizio Mazzonna (Università della Svizzera italiana, Lugano). The empirical results have been summarized in a working paper and are currently being presented at conferences.

2.3.5. Demography and the Costs of Health Care in Germany

Axel Börsch-Supan

This project, commissioned by the Konrad Adenauer Foundation, provides projections of future health care costs in Germany. These projections are based on age-cost profiles which vary by age of patient as well as proximity to death. They also include a wide range of assumptions on the compression of morbidity and future price changes split by wages and pharmaceutical products. It also includes an analysis of health care productivity based on earlier studies by McKinsey and Co. The resulting cost projections therefore vary widely depending on such assumptions. Key point of the study is to show how future costs depend on current and future policy changes.



Dr. Helmut Farbmacher



Raphael Guber





Johanna Schütz

2.3.6. The Long Shadow of Socialism: On East-West German Differences in Financial literacy

Tabea Bucher-Koenen with Bettina Lamla

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. Extending empirical and theoretical models by including differences in attitudes and values might improve our understanding of financial literacy acquisition.

The empirical results have been summarized in a discussion paper and are currently presented at conferences.

2.3.7. Long-Term Care in Europe

Tabea Bucher-Koenen with Martin Spindler, Johanna Schütz

In many developed countries, especially in Europe and Japan, populations are aging. This is driven by both an increase in life expectation and low fertility rates leading to an increase in the share of older people. Some of these extra years of life will most likely be spent with some level of dependency requiring care. Moreover, a drastic change in the family structures with more childless households or more mobile children requires the provision of formalized care arrangements. An important question in many countries is how to adapt the provision of long-term care (LTC) to the changing needs of aging populations.

Long-term care can be financed by different means involving individuals and households (self-insurance, e.g. by real estate, or through family members who can provide care), private insurance, and public insurance (contribution or tax-based). The combination of the instruments differs by country with some

countries employing only pure forms. Determining the efficient mix is a challenging task and currently under debate in many countries. A related point is the so called LTC insurance puzzle, stating that in most countries (except France and the USA) private LTC insurance markets are underdeveloped despite the high risk and costs associated with long-term care.

The goal of the first sub-project is to give empirical insights into the structure of long-term care provision using the SHARE data set. A possible explanation for the LTC insurance puzzle is a lack of information about the provision and organization of long-term care from the perspective of the individuals/households. We inserted a new question on LTC insurance in wave 5 of SHARE. Combining the answers of the survey on LTC provision and insurance coverage with information about the institutional design in the corresponding countries conclusions about the actual understanding of the system can be drawn. This is important for the efficient design of LTC.

The second sub-project focuses on LTC insurance in Germany. We examine public and private LTC coverage over time among the German population using the SAVE data set. One interesting feature of the German LTC market is the combination of private and public coverage. In addition to that in 2012 public subsidies for private LTC insurance designed similarly to the so-called Riester subsidies for old-age pensions have been introduced. Based on the new SAVE data 2013 we provide first evidence how the subsidies change the coverage with private LTC insurance among German households. We are particularly interested which households are aware of and have already responded to the new subsidies shortly after their introduction. This sub-project is conducted in cooperation with Prof. Dr. Annette Hofmann (HSBA Hamburg).

2.3.8. The Recent Economic Crisis and Old-Age Health in Europe

Tabea Bucher-Koenen with Fabrizio Mazzonna

European countries experience turbulent times: the 2007/2008 financial crisis was followed by a severe economic downturn in many countries and most recently the European Union members struggle from the sovereign debt crisis. Even though many countries have taken quick policy measures to prevent the worst impact, unemployment rates increased dramatically and, more recently, budget crises are demanding grave cuts in government expenditure. Concerns have been raised that the recent shock to



Morten Schuth

the macroeconomic conditions might have negative consequences for public health. We analyse the effects of the most recent adverse macroeconomic conditions on health outcomes across European countries in order to shed light on the relationship between macro-shocks and health among the older population.

More specifically, we match information about the severity of the current crisis at the regional level measured by the changes in the age-specific employment rates, i. e. employment among the 55 to 64 year old, at NUTS (Nomenclature des unités territoriales statistiques) 1 level to the SHARE data and analyse the relation between macro-conditions and individuals' subjective health of the population aged 50 to 70. We look at the overall effect of the economic crises on changes in health among older persons. Therefore, we measure health before the start of the crisis in 2006 (Wave 2) and again in 2010 (Wave 4). The effects are analysed for specific subsets of countries, by labour market status, and by education.

The results have been published in the SHARE first results book of wave 4.

2.3.9. Co-Payments and the Demand for Health Care

Helmut Farbmacher

In this project I analyze the 2004 health care reform in Germany. An important aim of the reform was to strengthen cost consciousness and personal responsibility of the insured. The focus is on a particular element of this reform, namely a per-quarter fee for doctor visits, and the question how this treatment affects individuals' decision to visit a doctor. In this project I make various contributions to the literature. Firstly, I exploit the fact that the treatment status depends on previous health care demand to form a unique identification strategy. When health insurance involves non-linear price schedules, the effective 'spot' price for a doctor visit decreases over time within each payment period. Taking this variation into account, I find a substantial reform effect – especially so for young adults. Secondly, non-linear price schedules generally have heterogeneous effects on health care demand. I develop a finite mixture bivariate probit model to analyze whether there are heterogeneous reactions to the reform using administrative insurance claims data. While some people strongly react to the new co-payment, a second group of individuals does not react. Post-estimation analyses reveal that those who do not react are the relatively sick.

Collaboration partners in this project are Prof. Dr. Joachim Winter (Ludwig Maximilian University of Munich), Prof. Dr. Amelie Wuppermann (Ludwig Maximilian University of Munich) as well as Dr. Ingrid Schubert and Dr. Peter Ihle (PMV Research Group, University of Cologne).

2.3.10. Hurdle Models for Overdispersed Count Data

Helmut Farbmacher with Martin Spindler

Hurdle models are frequently used to model count data. In this proof of principle study, I propose two extensions of hurdle models that make popular specifications more flexible. Both extensions nest the models which have been used so far. An example from health economics illustrates the relevance of these extensions. To foster the use of these models, I provide three user-written Stata commands. In a current project I analyze the performance of non-parametric count data models in small samples.

2.3.11. The Long-Term Effects of Twins on Maternal Health

Helmut Farbmacher with Axel Börsch-Supan, Tabea Bucher-Koenen, Raphael Guber, Morten Schuth

A large literature exists on the relation of fertility and maternal education, working status, income, and health. A central problems 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 getting 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. In the first part of our paper we can show that having twins has a direct effect on mothers' health conditional on the total number of children. Multiple channels for this effect are possible. Thus, in the second part of the paper we rather treat getting twins at first birth as a natural experiment and examine the reduced form effects of twins on mothers long-term health outcomes. We concentrate on health outcomes that are related to stress during life. If one of the channels for the causal effect of fertility, in particular of having twins, on health is stress, we should find effects of motherhood on stress-related diseases and causes of death, like cardiovascular diseases or smoking.





Eberhard Kruk

Results have been summarized in a discussion paper and are currently presented at conferences.

2.3.12. GMM Estimation and Inference

Helmut Farbmacher

Endogeneity is a common phenomenon in applied econometrics and generally prevents a causal interpretation of ordinary least squares 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 Prof. Frank Windmeijer, PhD (University of Bristol).

This project is supported by the the Fritz Thyssen Stiftung.

2.3.13. Switching of Left-Handers

Raphael Guber

Switching is a practice which forces left-handers to write with their right hand. It was common in Germany and many European and North American countries until the 1970's and is still prevalent in virtually the rest of the world. Until now, there exists little knowledge on the impact which switching had on individual's cognitive and non-cognitive skills and economic success. I investigate the effects of switching of lefthanders in Germany using survey data. Preliminary results show strong negative effects on

cognitive skills, locus of control, mental health and wages. To identify causal effects I employ recent methods that do not rely on the existence of valid instrumental variables. This methods lead to partially identified or bounded parameters.

2.3.14. Education and Health

Eberhard Kruk

The subject matter of this project centers on the causal relations between health and education. The first part looks at the effects of health on the school readiness and cognitive development of children starting school, whereas the second explores how education affects adult health.

The findings obtained thus far are of a highly heterogeneous nature. They fail to suggest that education invariably impacts people's health status in a favorable way, showing rather that effects tend to vary from one educational reform to another. For example, an additional school year in Great Britain has no significant impact on physical stress levels (measured by biomarkers).

The results of the project have been published in the Journal of Population Economics.

2.3.15. Health Inequality in Childhood

Eberhard Kruk

Within this project framework, we seek to improve our understanding of health inequality. It is a well-known fact that income-related health inequality is already very pronounced in childhood – that is, children of affluent households are healthier on average than those of poor households. A number of studies have moreover found that this form of inequality increases as children grow older. In our study, we thus investigate and describe the mechanisms underlying such inequality.

We use British panel data to survey whether higher parental income is able, on the one hand, to reduce the number of health impairments suffered by children and, on the other, to cushion the blow of health shocks. These two mechanisms must be distinguished in order to better understand health inequality in childhood and to devise policy measures to lessen such inequality. Early findings suggest that both factors contribute to mounting health inequality with increasing age. Incidences of certain diseases as well as the negative long-term effects of individual ailments correlate with parental income.

The results of this project have been published in "Health Economics".

2.3.16. The Effect of Children on Depression in Old Age

Eberhard Kruk

Recent decades have witnessed a considerable increase in the diagnoses of mental illnesses. The most frequently diagnosed conditions include depression in the elderly. This project looks into social causes underlying these illnesses.

The previous literature has, for example, brought to light correlations between human environmental conditions and mental health. To date, however, the causal mechanisms behind such correlations often remain less well-understood. We therefore focus on the elaboration of causal agents in seeking to explain psychological disorders.

This project deals with the correlation between fertility and the probability of developing depression in old age, thereby drawing upon SHARE data for the analysis. The key novelty here is the use of instrumental variables to determine the number of children, making it possible to identify causal effects. Initial results indicate that large numbers of children had do not correlate with a lower probability of depression in advanced age. Under certain circumstances, additional children even heighten the risk of mental illness.

The results of this project have been published in "Social Science & Medicine".

2.3.17. Aging, Cognitive Abilities and Retirement

Fabrizio Mazzonna

In this project we examine the question of human capital depreciation at older ages by analyzing the age-related decline in cognitive abilities in conjunction with retirement. In particular, we want to address the question of whether retirement leads to cognitive decline.

Following the standard human capital approach we predict a decline in cognitive abilities after retirement due to the fact that individuals have no longer any market incentives motivating them to invest in their cognitive abilities once they have retired. This theoretical prediction has been confirmed by our empirical analysis that uses data from the Survey on Health, Aging and Retirement in Europe (SHARE).

An implication of our result is that incentives to early retirement and mandatory retirement rules cause important losses of human capital.

This project is a cooperation with Franco Peracchi at Università degli Studi di Roma Tor Vergata. The results of this project have been published in the European Economic Review.

2.3.18. Education, Health and Cognitive Abilities

Fabrizio Mazzonna

The large and positive association between education and many health outcomes is well-documented but what drives this association is still a matter of discussion in the literature. Exploiting the time and geographical exogenous variation in compulsory schooling laws across 6 European countries this paper shows evidence of large and positive effects of the additional year of schooling induced by these policies only on men's self reported health, depression and memory in old age. Furthermore, results suggest that these effects come mainly through an improvement in men's working conditions with small or no role played by income and health related behaviors. On the other hand, since women affected by compulsory school reforms show a very low labor force attachment, they do not show similar spillovers. These policies only have mixed effects on women's health related behaviors. In particular, affected women show a lower probability of being overweight, but also a higher probability of having ever smoked.

The results of this paper have been published in Social Science and Medicine.

2.3.19. The Long-Lasting Effects of Parental Socio-Economic Background

Fabrizio Mazzonna

This project investigates how and to what extent the association between family socio-economic status (SES) during childhood and old age health, income and cognition varies across 11 European countries. It uses the Survey on Health, Aging and Retirement in Europe (SHARE) and SHARELIFE, which collects retrospective information on respondents' family backgrounds during their childhood. We also analyze which factors lead to intergenerational persistence of human capital by accounting for childhood health and school performance, education and labor market outcomes. The results show a strong relationship between family SES during childhood



and old age outcomes and a large cross-country heterogeneity. Education appears as the main channel for this gradient and explains most of the estimated cross-country heterogeneity. Moreover, we show evidence of a strong correlation between income inequality and our estimates of intergenerational persistence of human capital.

Results of this project have been published in the *Economics of Education Review*.

2.3.20. Older People's Statements on their Childhood Circumstances

Fabrizio Mazzonna

Early life events are important to social scientists in predicting an individual's outcome in adulthood. However, one needs to have detailed data on the lives of individuals from birth to adulthood. Unfortunately, prospective surveys like nationally representative cohort studies involving long-term observation of individuals are expensive and available for a limited number of countries only (e.g. US, UK).

The alternative is to collect retrospective information where individuals provide subjective assessments on their health status and living conditions in childhood, as well as on their experiences regarding health, education, employment, life satisfaction, etc. However, there is wide skepticism about the ability of old age respondents to recall with good accuracy events which happened decades ago.

This project seeks to provide evidence about the quality of retrospective assessments of individuals aged 50+ regarding their childhood histories in the 3rd wave of the Survey of Health, Ageing and Retirement in Europe (SHARE). Thanks to the cross-country dimension of SHARE, we can use external data (i.e. per capita income, average years of schooling and war episodes) at country level to provide some external validity on variables related to socio-economic status during childhood, hunger and financial hardship episodes.

2.3.21. The Effect of Education on Old Age Cognitive Abilities

Fabrizio Mazzonna

In this project, we exploit the 1947 change to the minimum school-leaving age in England from 14 to 15, to evaluate the causal effect of a year of education on cognitive abilities at older ages. We use a regression discontinuity design analysis and find a

large and significant effect of the reform on males' memory and executive functioning at older ages, using simple cognitive tests from the English Longitudinal Survey on Ageing (ELSA) as our outcome measures. This result is particularly remarkable since the reform had a powerful and immediate effect on about half the population of 14-year-olds. We investigate and discuss the potential channels by which this reform may have had its effects, as well as carrying out a full set of sensitivity analyses and robustness checks.

This project is a cooperation with James Banks at the University of Manchester. Results from this project have been published in the *Economic Journal*.

2.3.22. Asymmetric Information in Insurance Markets

Martin Spindler

In recent years, testing for asymmetric information in insurance markets has gained much popularity. This leads to narrowing the gap between theory and empirical evidence. Empirical results also show directions for further theoretical developments. The theory of asymmetric information has been well understood for a long time (Akerlof, 1970; Rothschild and Stiglitz, 1976; Holmström, 1979; Shavell, 1979). The models for both phenomena, i.e. adverse selection and moral hazard, predict a positive correlation between risk and coverage. Although it is in general difficult to disentangle adverse selection from moral hazard, tests for asymmetric information as a whole are possible. While the theory has been highly developed, empirical studies have lagged behind. One reason is the scarcity of data sets in this field.

The aim of this project is both to test for asymmetric information in insurance markets and to develop new econometric methods. In Su and Spindler (2013, *Journal of Business and Economic Statistics*) a non-parametric test for asymmetric information is proposed and applied to both long-term care and automobile insurance. In a series of papers tests for asymmetric information are conducted in the German car insurance (Spindler, Winter and Hagmayer, 2014, *Journal of Risk and Insurance*), in the disability insurance (Spindler, 2013) and in the market for daily hospital benefits (Spindler, 2014, *The Geneva Risk and Insurance Review*).

2.3.23. Problems in High-Dimensional Econometrics

Martin Spindler

In the recent years, large data sets became available for researchers. In order to analyse such data sets in which the number of regressors is very large compared to the number of observations (or even larger), new techniques are in need. Within the research project, boosting, a technique originally developed in Machine Learning and now introduced in Statistics, should be applied to Econometric problems. Moreover, applications of Lasso are also analyzed.

In a first paper (Mittnik, Robizonov and Spindler, 2013), boosting is applied to volatility modelling. A further application is IV estimation with many instruments. Additionally, the problem of significance should be addressed which has been neglected in the past. A research stay related to the project was funded by the DFG and conducted at MIT, Cambridge, USA, on invitation of Prof. Chernozhukov. During this stay two joint projects were started and are still in progress.

A first publication resulting from this project is "Lasso for Instrumental Variable Selection", forthcoming in the Journal of Applied Econometrics.

2.3.24. Nonparametric Modelling of Demand for Health Care Utilization

Martin Spindler

The goal of this research project is to apply nonparametric methods, recently developed in Econometrics and Statistics, to the modelling of demand for health care utilization. This is still work in progress.

2.3.25. Team Composition and Sick Leave

Matthias Weiss

The sickness absence rate is higher than average among older employees. This project endeavors to find the reasons for this correlation. Though many studies have been devoted to the determinants of sickness leave in companies, an entirely neglected factor so far has been how employee group structures influence sickness-related absenteeism. The data collected from the truck assembly plant of Mercedes-Benz in Wörth (see project 3.9.) are especially well-suited for this inquiry as they contain information on who worked with whom in a team on a particular day. Thus, for instance, we can calculate from day to day how many years a worker is

older than the average of his or her teammates. Also other personal characteristics (seniority, education and training, nationality or gender) can be correlated with the group average for each day. We can therefore query, say, whether older employees are sick more frequently if they work together with much younger colleagues.

The results are striking: The probability to call in sick increases (resp. decreases) significantly with an increasing positive (resp. negative) age difference to team mates. Once this age difference is held constant, the positive correlation between age and sick leave disappears.

2.3.26. Health Effects of Early Retirement

Axel Börsch-Supan with Ursula Staudinger, Columbia University

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 well-being and, potentially, also health. On the other hand, however, there are many studies emerging which show that especially early retirement has harmful side effects. Retirees may lose a purpose in life which decreases subjective well-being and mental health. Moreover, biological and psychological research has shown that an active life better maintains the brain 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 well-being 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





Prof. Dr.
Martina Brandt

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 other dominate in another country.

2.3.27. Health Disparities in the United States

Jay Olshansky with Axel Börsch-Supan and members of the MacArthur Aging Societies Network

In this project we explore past and present health disparities in the context of a rapidly aging society that is emerging during a time of optimism about the next longevity revolution. Disparities by age, race, sex, and education (a principal measure of socioeconomic status – SES) in the U.S., and the demographic measure of life expectancy (a generic measure of health status that can be compared among population subgroups) are used as metrics. Education is one of many indicator variables used to measure SES (15), but the advantage in this case is that educational attainment appears on death certificates – thus allowing for direct measurement of linkages between education and life expectancy. We then explore the reasons why disparities exist by decomposing observed race and sex differences in survival into the relative contributions of age and underlying cause of death.

Results have been published in *Health Affairs* and have created a large media echo, including a summary on the front page of the *New York Times*.

2.3.28. Public Health in Germany

Axel Börsch-Supan

This project, commissioned by the German National Academy of Sciences Leopoldina is devoted to the question whether Germany is fulfilling its potential in public health and responding to the global challenges. Taking a problem-based and asset-based approach, the analysis is based on international comparisons and indicates that there are large gaps and opportunities – in health promotion and disease prevention, infectious disease outbreak management, analysis of large health data sets, and in responding to advances in science and technology and using robust evidence to inform policy options.

The project includes seven workshops organised in 2013, reviewing all major aspects from the history of public health and its functions, living conditions and causality, prevention and health education, public health genomics, infection epidemiology, national and global strategies and the public health workforce, and a 100-page report with several appendices published by the German National Academy of Sciences.

The recommendations focus on (a) how to improve the contribution of academia to strengthen public health outcomes in Germany and (b) how reformed academic public health capacities in Germany could contribute to a strengthened role at the National, European and international level. They are directed to academia and its funders and other research institutions, public health professionals, policy-makers at the federal, state, county, and municipal levels, other parts of the health economy including insurance, pharmaceutical and other commercial sectors, and international partners in the EU and global organisations.

2.4. Research Projects of the Research Unit "SHARE"

2.4.1. Intergenerational Relationships in Europe

Martina Brandt

This project scrutinizes intergenerational transfers within the SHARE Europe framework, focusing on the interplay between family and welfare state. Thus, for example, it examines correlations between state support and gender differences in the provision of familial assistance to older parents. Here, the SHARE-based findings show that across Europe daughters render only somewhat more sporadic, but very much more intensive help to parents than sons do. At the same time, the legal obligation to provide such familial care and cash-for-care schemes are associated with a much greater probability of daughterly caregiving, whereas this does not apply to sons. Social services, by contrast, promote gender equality in the familial aid supplied by adult children. Welfare state structures thus clearly impact gender (in)equality with regard to family care and assistance.

Results of this project have recently been published in the *Journal of Marriage and Family* (2013, joint with Christian Deindl), *European Societies* (2013), *European Journal of Ageing* (2012, joint with Tina Schmid and Klaus Haberkern), and *Ageing & Society* (2011, joint with Christian Deindl).

Collaborative ties exist with the Zurich Research Group Labour, Generation, Stratification (AGES), led by Marc Szydlik and with Christian Deindl and Karsten Hank (both University of Cologne).

2.4.2. Life Courses in Europe: Early Life Events and Later Life Outcomes

Martina Brandt

This project is based on the retrospective survey SHARELIFE, which in 2008/09 collected data on the life histories of Europeans aged 50 and over. The analyses deal with childhood circumstances and their impact on family developments, occupational careers, and health status in the later course of life. A further aim is to examine life course patterns along the dimensions of family, work and health, taking due account of how contextual conditions in Europe influence such patterns.

An overview of research possibilities is given in Börsch-Supan, Axel; Brandt, Martina; Schröder, Mathis (2013): SHARELIFE – One Century of Life Histories in Europe, *Advances in Life Course Research*, 18, 1 1-5,

and Hank, Karsten; Brandt, Martina (2014): Health, Families, and Work in Later Life: A Review of Current Research and Perspectives, *Analyse und Kritik*, Lucius & Lucius, forthcoming.

The first subproject on "successful aging" explores how early life events come to bear on later well-being, health and social commitment, thereby showing that living conditions in childhood (including socio-economic background, health or school performance) persist throughout life and significantly influence the entire aging process. Government interventions to promote healthy and active aging must thus set in as early as possible – at best, during childhood.

This has been published in *Social Science & Medicine* (2012, joint with Christian Deindl and Karsten Hank) and the *Journal of Population Ageing* (2013, joint with Christian Deindl and Karsten Hank).

The second part illuminates the so-called scarring effects of unemployment, to be published in the *Journal of Social Policy*. Here again, findings show that early unemployment entails more frequent jobless spells over the entire course of later life, regardless of an individual's personality traits and his or her social environment. This no doubt has repercussions on family life and marriage stability – a further aspect to be investigated in the near future.

Part three which is still in progress focusses on the links between partnership dissolution and unemployment incidences across the life course – which might result in a "downward spiral" or cumulative inequality, also considering health as a mediating factor.

Cooperation takes place with Christian Deindl and Karsten Hank, University of Cologne, and is planned with Thorsten Kneip and Fabio Franzese at MEA.

2.4.3. Social Cohesion, Social Networks and Later Life Health

Martina Brandt

Following a multilevel approach we examine the associations between social network characteristics, social cohesion and self-rated health of older populations in 15 European countries based on the fourth wave of SHARE. The aim of the project is to contribute to the discourse on healthy and active ageing in ageing societies by examining the relation between (a) the composition of (family) networks, (b) social support and (c) activities and self-rated health in older age on the individual level. The societal embeddedness of healthy ageing is considered by introducing (d) cultural factors such as social cohesion on a country level. A related publication is still in progress ("revise and resubmit" *Social Indicators Research*).

This project is a cooperation with Karsten Hank and Christian Deindl (Universität zu Köln).

2.4.4. Support of Childless Older People in Europe

Martina Brandt

Western societies age rapidly. Today, people do not only live longer, they also have fewer children. These developments exert considerable pressure on pension and health systems. Children are the most important source of support in old age, especially when there is no partner. Older parents do not only receive most support from their children but also transfer significant amounts of money to them. In times of rising childlessness we thus face new challenges: On which support networks do childless older people rely? (How) can the lack of children be compensated? Who provides help and care?

We assess the support networks of the childless aged 50 and over in 14 European countries based on the Survey of Health, Ageing and Retirement in Europe





Johanna Bristle



Christin Czaplicki

(SHARE). When comparing support networks of childless older people to parent's networks we focus on the importance of the extended family as well as public services. Our analyses show that financial transfers are diminished considerably and private help is often taken over by the extended family and neighbors. Intense care tasks, however, are mostly provided by public providers. The family and especially intergenerational relations play an important role for support in old age. When there are no children (or children live far away), vital support for older persons has to be taken over by public providers in many cases. In countries with low social service provision, childless older people thus experience a lack of help, especially when depending on vital care.

This project is a cooperation with Christian Deindl, University of Cologne.

2.4.5. Social Disparities in Influenza Vaccination among Older Europeans

Johanna Bristle

According to the World Health Organization, influenza epidemics cause about 250.000-500.000 deaths per year worldwide. Vaccination is recommended as an efficacious and cost-effective prevention measure against influenza, especially for the population 65+. This project looks at influenza vaccination rates (IVR) among the elderly population across 13 European countries based on the SHARE data and examines determinants for the decision-making process in vaccination take-up. Therefore influences from the individual level as well as from the institutional level are investigated. On the individual level, the focus lies on social disparities within a country. On the institutional level, health care characteristics which might be relevant for influenza vaccination take-up are investigated.

First results suggest that vaccination rates vary across countries with very low rates in Poland and the Czech Republic and very high rates in the Netherlands. Individuals with tertiary education seem to be more likely to get vaccinated than individuals with non-tertiary education, but this effect is driven by few selected countries. Furthermore, vaccination rates are higher in countries with higher public expenditures on prevention and with lower rates of out-of-pocket payment. These results are preliminary and are investigated further.

2.4.6. 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.

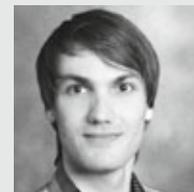
Using a multilevel approach, we find that factors at all three levels (survey agency, interviewer and respondent) influence cooperation. At the highest level, we highlight the importance of everyday communication between survey agency coordinators and interviewers to gain cooperation. At the interviewer 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 is conducted in cooperation with Martina Celidoni (University of Padua), Chiara Dal Bianco (University of Venice) and Guglielmo Weber (University of Padua).

2.4.7. Compatibility of Caregiving and Career – An Analytical Life Course Perspective

Christin Czaplicki

Demographic changes such as the growing age gap between generations are increasingly shifting the care of aged parents to the middle or late phases of their children's working lives. At the same time, a social policy measure in the wake of these demographic shifts in age structure seeks to prolong individual working lifetimes through the "retirement at 67" agenda. This entails a risk for persons in the midst of active employment – and often just finished with child-raising – of having to cope with an additional family-work compatibility problem resulting



Fabio Franzese

from the care dependency of their parents in conjunction with their personal careers.

In investigating these compatibility problems and developing suitable coping models, it must be borne in mind that an adult child's decision to assume caregiving tasks should not be viewed in isolation from his or her previous life history. This project thus aims to analyze individual family and work biographies in three steps. The first looks at personal history prior to the caregiving phase, taking account of individual resources, in order to identify patterns in employment biographies. The second assesses the caregiving phase per se, focusing on care duration and compatibility. The third step highlights the stage of life directly after the caregiving activity and is of equal importance, for it reveals the consequences of such activity for individuals' subsequent occupational and health profiles.

First results illustrate that only some caregivers in the older birth cohorts (born between 1943 and 1953) try to combine care tasks with regular employment, while others combine the less burden-some marginal employment with their care duties. The status depends mostly on the employment status before the caregiving begins. Those who worked in a regular job with social security protection combine most often only temporarily the new task of caregiving with ongoing regular employment. Those who had no employment before are not going to start while being a caregiver. The relative number of persons who combine caregiving with employment has gradually increased if we compare older with younger age cohorts. Those born between 1954 and 1964 are apparently trying harder to work and to be a caregiver at the same time.

Marginal employment is a typical feature of the German Welfare State and leads to a loss of social protection for those who were regularly employed before. The combination of caregiving and marginal employment seems to be a way which allows longer periods of reconciliation of work and care compared to regular employment. The average length of caregiving is about the double compared with those who are socially insured employed.

However, especially long-term caregivers are seldom able to work while caregiving. We have found only little employment and some marginal employment on the side in the life-courses of those who have long periods of care registered in their pension fund records. The analysis shows altogether that the combination of care and regular employment is only for some a way to fulfill the care needs of another person and still take part in the labor market.

2.4.8. The Impact of Unemployment on the Risk of Marital Separation

Fabio Franzese

The aim of the project was to examine the impact of unemployment on the risk of marital separation. With data from the German Socio-Economic Panel we found a higher risk of separation if a spouse, especially the husband, is unemployed. In respect of the length of unemployment, it is shown that both short and longer periods of men's unemployment destabilize marriage. Highest risk of separation appears for men who are without a job for between one and two years. Furthermore, this study suggests that the influence of men's unemployment on the risk of separation is significantly lower in the period from 2000 to 2010 than in the late 1980s. This project was conducted in cooperation with Ingmar Rapp (University of Heidelberg). The results of this project have been published in the Journal of Family Research (Zeitschrift für Familienforschung).

2.4.9. Determinants of Contact with Neighbors

Fabio Franzese

This project examines the relationship of the contextual characteristics of the residential area and contact with neighbours. For this purpose individual data from the German Partnermarktsurvey [Partner Market Survey] is linked to demographic information of neighborhoods, provided by the microm database.

Analyses show that there is more social contact in neighborhoods in which residents have on average a high social status compared to neighborhoods with lower status residents. Having no partner as well as many singles living nearby is correlated with less contact to neighbors. Furthermore, results indicate that people with children have more contact to neighbors if there are many families with children in the neighborhood.

The results have been published as a chapter in the book "Der Partnermarkt und die Gelegenheiten des Kennenlernens", published in 2014.

2.4.10. 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





Stefan Gruber

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.

By analyzing this correlation with data of older people that are retired (or at least at the end of their occupational career) it is possible to reveal the effect of income on health in a more precise way. Of course is the level of the pension payment determined by the occupational career that is connected to health over life course, but the influence of health changes on income changes cease to exist with transition to retirement.

Longitudinal data of people age 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 will be examined. In addition a comparison of the poverty-health relation between countries shall be conducted. Furthermore it is planned to include macro indicators on the regional level to explain country differences in the poverty-health relation.

2.4.11. Determinants of Health Care Utilization

Stefan Gruber

In view of increasing costs in the German health care sector that was accompanied by the extension of economic incentives set by health insurance providers, this study investigates the relevance of health insurance schemes and other socioeconomic characteristics to the level of health care utilization. Database is the German sample of the Survey of Health, Ageing and Retirement in Europe (SHARE). For the ambulatory health care sector previous findings support the assumption of a bipolar health care system providing general practitioner care primarily to the statutory insured and specialist care to the privately insured. First results on inpatient health care utilization show that it generally depends more on the need for health care (the health status) than ambulatory health care utilization. Nevertheless the type of health insurance shows significant influence: patients with additional private health insurance coverage show a higher general probability for at least one night in hospital than members of the statutory health insurance without additional private coverage. First results of the project have been published in the *Journal of Public Health*.

2.4.12. Vocational Rehabilitation in Germany

Stefan Gruber

Employment is a key determinant for societal participation. In Germany, a comprehensive system of vocational rehabilitation has been developed aiming to integrate disabled people into the labour market. This project contributes to a better understanding of exclusion and inclusion mechanisms related to employment participation of disabled people. By the application of concepts from systems theory, the societal part systems influencing the ex-/including mechanisms are identified and structured in a multi-level model.

First empirical results on young disabled people who participate in special training programs using survey data of the Institute for Employment Research show that two thirds of the participants find a job after the training program. On average, male participants need less time for finding a job after the program than women. Further determinants for successful integration are the educational level and the training place.

The project is conducted in cooperation with Nancy Reims (Institute for Employment Research, Nuremberg) and Stefan Zapfel (Institute for Empirical Sociology, Nuremberg). The results have been published in the journals "Disability and Society" and "Die Rehabilitation".

2.4.13. Ethnic Inequality in Access to Dual Vocational Education

Christian Hunkler

The project aims to explain migrants' lower access rates to apprenticeship entry level positions in Germany. To that end a theoretical model was developed that combines economic and sociological theories. The derived mechanisms derived from a broad version of human-capital theory, economic search-cost and matching models combined with sociological theories of institutional discrimination and educational choice is empirically tested using a unique dataset, covering all ca. 10'000 applicants to over 800 vocational training program positions of a large production plant in Germany. Due to the richness of the data the study can shed light on the complex interplay of several mechanisms that explain a large share of the observable disadvantages of migrants. Past research focused mainly on low human capital endowments (e.g. school degrees, grades), lack of receiving country specific language skills and social networks, and disadvantaged social origin to explain



Dr. Thorsten Kneip

the disadvantages of migrants. Specifying the developed more comprehensive theoretical model, I can show that the employer' perception of applicants' productivity, the timing of application within the business cycle as well as 'Simpson Paradox' type self-selection into job fields play a pivotal role. The results of this project have been published in a monograph (Springer).

2.4.14. Ethnic Differences in Access to Vocational Training: Discrimination?

Christian Hunkler

This project is part of an expertise on ethnic inequality in the educational system. The main aim is to provide an overview on whether young people with an immigrant background encounter disadvantages in accessing dual vocational education positions. Based on a selection of empirically sound studies, the main aim is to describe the disparities and to identify the causes.

The existing review on ethnic differences in access to vocational education and training was updated again in 2014 and will be published in an edited volume on ethnic educational inequality in Germany in 2015 (Springer).

2.4.15. Ethnic Discrimination in the German Housing Market

Christian Hunkler

This project is conducted in cooperation with Andreas Horr (University of Mannheim) and Clemens Kroneberg (University of Cologne) and the data collection was financed by the Mannheim Centre for European Social Research (MZES) at the University of Mannheim. We use a telephone audit study to measure ethnic discrimination in the housing market of a southern German metropolitan area. Ethnic discrimination on the housing market has long been seen as a cause for social inequality and residential segregation. For Germany, little research has been done that examines whether ethnic discrimination on the housing market exists and what the mechanisms behind discrimination are. We study ethnic discrimination in the rental housing market of a German metropolitan area using a telephone audit design: randomly assigned testers called landlords who had advertised apartments for rent. While earlier field experiments focused on assessing the degree of discrimination by varying the ethnicity of testers, we also try to identify the mechanisms behind landlords' behavior. To distinguish between information-

and taste-based discrimination, we added two additional experimental variations: (1) whether or not at the beginning of the call testers disclosed information on having a stable job, and (2) whether or not testers with an ethnic minority (Turkish) name spoke with an accent. Using fixed-effects models to account for unobserved heterogeneity in apartments and landlords, we find no significant discrimination against callers with Turkish names in invitations for apartment viewings. However, callers with both a Turkish name and a Turkish accent were invited significantly less often. While a positive job signal compensated parts of this disadvantage, the invitation rate for ethnic speakers with an accent and with a job signal is still significantly lower than the rate for ethnic speakers without an accent who did not signal a stable income. Based on these findings, we conclude that information-based (statistical) discrimination seems to be the main reason migrants receive fewer invitations to see, respectively rent apartments.

2.4.16. Marriage Stability

Christian Hunkler with Thorsten Kneip

Economic approaches in theory-led research on increased divorce rates place particular emphasis on changes in marriage-related benefits over the course of the relationship. In contrast, cultural-normative theories focus on changing values. This project examines to what extent the Frame Selection Theory (FST) can integrate the two approaches. According to the FST, a relationship should be stable – irrespective of the level of individual benefits – if it is linked to a mental model or "frame", which defines it as a steadfast "institution" supported by well-internalized norms. If this frame is disrupted, however, incentive variables may influence relationship stability. Currently we are replicating previous results using the first five waves of the German family panel study "pairfam" (Panel Analysis of Intimate Relationships and Family Dynamics). We find that the association of marital quality and separation or divorce is moderated by strongly internalized norms of dissolubility in the absence of salient problems. The FST provides a theoretical framework that accounts for this finding: When the marital frame is strongly linked to a script that prescribes unconditional stability, partners are likely to not reflect on the quality of their marriage and marital stability will be high. The next project step will be to make more use of the available data in pairfam: We plan to specify a dynamic micro model of marital investment behavior, which we expect to be a function of the mentioned FST parameters as well.



2.4.17. The Effects of Unilateral Divorce Laws in Europe

Thorsten Kneip

Divorce laws in Europe have been subject to crucial revisions in past decades. From a theoretical point of view, the introduction of unilateral divorce in the 1970s and early 1980s is of particular interest. Under unilateral divorce, a spouse seeking divorce is no longer reliant on the other's agreement. This reform offers the opportunity to investigate the applicability of Coase's theorem in the context of family decision making, where it has often been applied.

The project, conducted in cooperation with Gerrit Bauer (LMU Munich) and Steffen Reinhold (University of Mannheim), deals with a variety of questions that have not as yet been resolved in the previous research on potential effects of unilateral divorce legislation on familial processes. For example: Has the introduction of unilateral divorce laws had sustained effects on divorce rates in Europe? If so, how are these effects manifested, and in what ways have the new laws impacted trends in marriage patterns, women's employment and fertility? Has the introduction of unilateral divorce laws had lasting effects on child development? And are these effects attributable to a higher probability of parental divorce, or rather the result of altered parental negotiating positions in intact marriages?

Alongside aggregate data, the data collected in the retrospective survey SHARELIFE are used to answer these questions. Analyses reveal that the introduction of unilateral divorce laws has led to a sustained and marked increase in divorce rates and risks in Europe. Direct effects are partially obscured by the decline in marriage rates and, respectively, the rise in age at first marriage, indicating a more selective choice of spouses following the new legislation. Looking at heterogeneous effects for couples with and without children, it is primarily parents that are affected by an increased divorce risk. As for children who have grown up under unilateral divorce laws, adverse effects are reflected in lower levels of education and worse health in advanced age. These effects cannot be accounted for completely by the increased likelihood of experiencing parental divorce but are in part attributable to shifts in relative bargaining power of spouses induced by unilateral divorce law.

This research was supported by the Federal Ministry of Education and Research (BMBF). It has led to publications in the *Journal of Marriage and Family*, *Journal of Population Economics*, and *Demography*.

2.4.18. Fertility from a Couple Perspective

Thorsten Kneip

Fertility decisions typically involve two persons. This raises the question of how individual desires or preferences for further children transform into joint action. Previous research has proposed different approaches to this question, emphasizing gender, joint utility, consensus, or bargaining power.

The project, conducted in cooperation with Gerrit Bauer (LMU Munich), aims at testing competing hypotheses found in the literature using couple data from the German Family Panel (pairfam). Analyses based on cross-sectional data from the first wave reveal symmetrical effects of both partners' desires and expected utilities for children on proceptive behavior, indicating that neither women nor men dominate fertility decisions per se. Instead, it is joint utility that matters. One partner will exercise a 'veto' only if the expected loss of utility from a further child is very high. When partners have opposed desires, bargaining power due to advantageous partner market conditions can play a pivotal role for imposing ones will on the partner. This research was supported by the Federal Ministry of Education and Research (BMBF). Results have been published in the *European Sociological Review* (2013).

2.4.19. Dyadic Fertility Decisions in a Life Course Perspective

Thorsten Kneip

Extending previous work on fertility decisions from a couple perspective, we analyze meanwhile available longitudinal data from the German Family Panel (pairfam). Couples decide on fertility in different situations as they find themselves in different life course stages. For example, couples deciding on family formation lack the experiences, which couples deciding on a second or third child have already made. Such differences in conditions may affect not only fertility outcomes but also the decision making process itself. Using the first three waves of the pairfam data we find that the decision to found a family is made jointly and both partners hold some veto power. On the other hand, women appear to dominate decisions on higher parity births (i.e. to enlarge the family). But they do so not per se, but because they are (still) the ones more affected by the incurring housework caused by children. The project is conducted in cooperation with Gerrit Bauer (LMU Munich) and was supported by the Federal Ministry of Education and Research (BMBF). Results from this project have so far been published in *Advances in Life Course Research* (2014).



Dr. Julie Korbmacher

2.4.20. Curbside Collection and Household Waste Recycling

Thorsten Kneip

Over the past several decades municipalities have faced enormous growth in solid waste output. Beyond more practical problems of local waste management, this development also relates to global threats, i.e. environmental pollution and inefficient use of scarce resources. Thus, a reduction of waste, either by decreasing total output or by increasing the level of recycling, is the generally preferred manner of improving waste management. Two policy instruments have been discussed primarily as promising to redirect waste quantities from landfills or incineration to recycling: pricing systems in which fees depend on the actual amount of waste generated and curbside recycling schemes which reduce the effort required for individual participation.

This project is conducted in cooperation with Henning Best (University of Würzburg). Its objective is to identify the causal effect of curbside recycling on households' propensity to recycle by evaluating the implementation of a curbside-recycling program for paper and packaging in Cologne, Germany. To do so we exploit a natural experiment and complement a differences-in-differences-in-differences (DDD) approach with propensity score matching to account for self-selection into treatment and control group. We assess relative effectiveness by also exploiting information on distances to the nearest recycling sites that reflect individual differences in cost reduction following an introduction of curbside recycling.

We find that a curbside scheme is most effective for plastics, metal cans and packaging but less so for paper. Furthermore, the effect of implementing a curbside scheme is stronger when the initial distance to a collection container has been greater. The results of our causal analysis therefore have implications for effective and cost-efficient implementation of environmental protection policies.

2.4.21. Consent when Linking Survey Data with Administrative Records: The Role of the Interviewer

Julie Korbmacher

Linking survey data with administrative records is becoming more common in the social sciences in recent years. Regulatory frameworks require the respondent's consent to this procedure in most cases. Similar to non-response, non-consent may lead to selective samples and could pose a problem when

using the combined data for analyses. Thus investigating the selectivity and the determinants of the consent decision is important in order to find ways to reduce non-consent. Adapting the survey participation model by Groves and Couper (1998), this paper identifies different areas influencing the respondents' willingness to consent. In addition to control variables at the individual and household level, two further areas of interest are included: the interview situation and the characteristics of the interviewer. A multilevel approach highlights the importance of the interviewer for the consent decision: the empty model shows an intraclass correlation of 55%, which can be reduced to 35% in a full model including interviewer variables. An additional analysis including measures of interviewer performance shows that there are further unobserved interviewer characteristics that influence the respondents consent decision. The results suggest that although respondent and household characteristics are important for the consent decision, a large part of the variation in the data is explained by the interviewers. This finding stresses the importance of the interviewers not only as an integral part in data collection efforts, but also as the direct link to gain a respondent's consent for linking survey data with administrative records.

This project was in cooperation with Mathis Fräßdorf (Schröder) at the German Institute for Economic Research (DIW). The results have been published in "Survey Research Methods".

2.4.22. Parenthood and Retirement

Julie Korbmacher

This study uses retrospective life-history data from the SHARELIFE project for an initial assessment of the long-term relationship between individuals' reproductive history and retirement in 13 Continental European countries, focusing in particular on possible gender, cohort, and welfare regime differences.

Our analysis provides some weak evidence that having (more) children is associated with later retirement among men, reflecting a continuation of the male provider role well into the late career phase. When distinguishing between women born before and after 1940, we detect striking cohort differences in retirement behaviors of mothers and childless individuals: While mothers belonging to the older cohorts tend to exit the labour force later than their childless counterparts, those born post-1940 exhibit a greater propensity to enter retirement earlier. This





Ulrich Krieger

finding is discussed against the background of cross-national (i.e., welfare regime) differences in younger mothers' employment opportunities as well as differential economic and institutional opportunities for women (mothers, respectively) to retire early. This project is a cooperation with Karsten Hank (University of Cologne). The results have been published in "European Societies".

2.4.23. Interviewer Effects on the Willingness to Provide Blood Samples in SHARE

Julie Korbmacher

Over the past few years, more and more studies have started the collection of bio measures in social surveys as objective measurements of the respondent's health. A very promising new bio measure is the collection of dried blood spots, as this new technology allows analyzing meaningful and objective blood parameters from only a few drops of blood. The Survey of Health, Ageing and Retirement in Europe (SHARE) tested this new method in the fourth wave in the German subsample and will implement it also in many other countries in the sixth wave of SHARE.

It is obvious that this new method is a very promising enrichment of the survey data. Nevertheless, implementing such methods also creates new challenges for the interviewers conducting the interviews. They have not only to ask for the respondents' consent but are also the ones who have to conduct the measurement.

This project aims at understanding the role of the interviewer when collecting blood spots. The results of the Wave 4 pretest are analyzed in combination with information about the interviewers which are collected in the interviewer survey. The goal is to learn more about which characteristics of the interviewers have an influence on the respondent's decision to consent to the collection of blood spots. The preliminary results show that the interviewers have large effect on this consent request. In addition, the information collected in the interviewer survey can explain most of the variance on the interviewer level.

2.4.24. Recall Error in the Year of Retirement

Julie Korbmacher

Recall error is an important aspect when discussing the quality of survey data. Nevertheless, it is hard to assess recall error as this requires validation data which are often not available. This project is based on the linked dataset SHARE-RV, which combines

the survey data of the Survey of Health, Ageing and Retirement in Europe (SHARE) with administrative records of the German Pension Fund. An overlap of information included in both datasets allows for learning more about recall error in single variables, such as the year of retirement. This project aims to assess the recall error in the year of retirement, which is the deviation between the self-reported year and the year provided by the administrative data. Based on Tourangeau's "Psychological Model of the Response Process" different groups of determinates will be identified, which increase the likelihood of a misreport. The preliminary results show that most of the respondents remember the year they retired correctly. But nevertheless, there is also a considerable proportion of errors. Some determinants (as characteristics of the event and respondents cognitive abilities) had been identified which increase the likelihood of a misreport, but the error seems not to be systematic, meaning that no pattern of reporting the event too late or too early exists.

2.4.25. Interviewer Effects on Attrition in the Fourth Wave of the German SHARE Study

Ulrich Krieger

In this project, the data collected via the questionnaire drafted in the project "measuring and explaining interviewer effects" are interpreted. Interviewers play a highly significant role in personal surveys. Their experience and face-to-face contacts with respondents are particularly important in repetitive panel surveys. To examine how interviewer capability, attitude and expectations affect surveys, wave four of the German SHARE study also included a questionnaire for interviewers. The correlation of interviewer statements with respondent data will deliver insights into how greatly interviewers influence respondent participation.

2.4.26. Attrition of Alteri Respondents in a Multi-Actor Survey

Ulrich Krieger

Besides target subjects, surveys increasingly include persons from their social context – partners in life, household members or friends (so-called alteri). Alteri respondents also occasion nonresponses and attrition since not all those approached actually participate. This project spotlights the reasons for non-participation in the effort to provide data users with assistance for their analyses. The data basis is the German family panel study "pairfam" (Panel Analysis of Intimate Relationships and Family



Dr. Frederic Malter



Gregor Sand



Dynamics). The investigation is conducted in collaboration with the methodology coordinators of the pairfam project (Mannheim Center for European Social Research (MZES) and Ludwig Maximilian University of Munich).

2.4.27. Respondent Incentives, Interviewer Training and Respondent Behavior

Ulrich Krieger with Axel Börsch-Supan

This project, funded by the German Research Association (DFG) under Priority Program 1292 on "Survey Methodology", focuses on the effects of monetary incentives offered to respondents for personal interviews (SHARE Germany, Wave 4). Experimental studies, above all in the United States, have shown that incentives bestowed in advance and without strings serve to raise survey participation rates.

In our project, this practice was applied for the first time to a large-scale study in Germany. Randomly selected households were sent cash amounts of 40, 20 or 10 euros together with a cover letter. The addressees were informed that they could keep the sum as a gift regardless whether they took part in the survey or not. The effects of the respective incentives on recipient willingness to participate are the subject of our evaluation.

A further item addresses the feasibility and outcome of an ultra-short questionnaire for respondents who decline to participate in the main sampling (PED-ASKI procedure).

The results showed that in this setting, prepaid incentives are effective in increasing response rates where higher incentives lead to higher response rates in an almost linear fashion. Moreover, the incentive groups did not prove to be biased compared to the control group.

This project has been conducted in collaboration with Mathis Schröder, Ph.D., German Institute for Economic Research (DIW Berlin).

2.4.28. Fieldwork Monitoring in the Survey of Health, Ageing and Retirement in Europe (SHARE)

Frederic Malter

This project documents how monitoring of fieldwork was conducted in the fourth wave of the Survey of Health, Ageing and Retirement in Europe (SHARE) by using the conceptual framework of total survey error as a guiding principle. I describe the technologi-

cal and governance-related background of monitoring and managing fieldwork in a tiered principal-agent environment of a cross-national, longitudinal survey operation. Findings on selected indicators are presented as they were utilized in fortnightly reports to contracted survey agencies during the entire data collection period. Reporting was intended to stimulate corrective action by contracted for-profit survey businesses. I summarize our experience of trying to influence an on-going cross-cultural data collection operation and discuss implications for survey management with an emphasis on multi-national surveys.

This report has been published in the journal "Survey Methods: Insights from the Field".

2.4.29. Assimilation and Interethnic Differences in Delinquency in the United States

Gregor Sand

This research addresses the question if generational status and assimilation (measured as language use) affect delinquency among immigrants in the United States. The theoretical frameworks applied are classic assimilation theory and segmented assimilation theory. Data from the National Longitudinal Study of Adolescent Health are used to analyze differences in delinquency among Afro-Americans, Asians, Euro-Americans, and Latinos. Negative binomial regressions suggest that compared to the Euro-American reference group, second generation Latinos represent the only immigrant group that is significantly more likely to report delinquent activities during early adolescence, controlling for age, sex, parents' socioeconomic status, and urbanicity. However, adherence to country-of-origin culture by preserving the native language has a protective effect and makes the significant differences disappear.

2.4.30. Growing Old Abroad

Gregor Sand with Christian Hunkler, Thorsten Kneip, Morten Schuth

Most European countries experienced a considerable inflow of migrants from very diverse origin countries in the past 100 years. While the structural inclusion of young migrants, i.e. their educational attainment and labor market performance, has been in the focus of research, little is known about elderly migrants. In order to identify migrants and their migration background in a more comprehensive way, SHARE introduced new questions on the country of birth of respondents' mother and father in wave 5. For similar reasons, the wave 5 questionnaire also asks whether



Dr. Barbara Schaan

the respondent had the current country's citizenship since birth or, if not, in what year the citizenship was obtained. In this project we first develop new measures for migrant generation and the naturalization history of respondents. This step is almost completed; we are currently testing the new classifications.

Being able to better identify and classify elderly migrants in a general population survey like SHARE raises the question whether analyses focusing on different types of migrants produce skewed results due to selective participation. This is a particular problem as persons with severe language barriers are precluded from participating in the survey. Therefore, to get an estimate of the coverage of the migrant population in SHARE and possible selectivity of those migrants participating, in the second part of the project we analyze information collected during the interviewer contact stage.

Using the new extended identification, the third aim of the project is a comparison of the different groups of elderly migrants with the respective native population using several measures for health and their living conditions. The substantive focus of the project is to explain possible differences in these indicators between different migrant groups and the native population.

2.4.31. Social Determinants of Depression in Later Life

Barbara Schaan

Depression has developed into a widespread disease. Estimates are that by the year 2020, it will have become the second most common cause of illness in industrialized states – combined with enormous costs for the national economy. (Projections of costs incurred by mental illness range from 3% to 4% of gross domestic product (GDP), based primarily on productivity losses.) The European Commission has recently taken on this problem and declared the promotion of mental health a crucial factor for the realization of its strategic goals.

The precise causes of depression are still not clear without ambiguity, but studies in the past few years have repeatedly confirmed diagnostic findings of a distinct negative correlation between socio-economic status and depression.

This dissertation thesis adds to the understanding of the social etiology of depression in later life from a theory based, empirical perspective. By means of three different research questions, the essays of this

dissertation shed light on the social causes of depression from different angles: the associations between widowhood and depression as well as retirement and depression are used as examples for the impact of critical life events on mental health in later life. A third research question investigates on the life course perspective on depression in later life by examining the relationship between family background in childhood, personal educational attainment, and depressive symptoms. Critical life events and the life course perspective serve as frameworks within which the importance of social roles and resources as well as subjective perceptions of objective situations is examined.

The common database used in the empirical analyses is the "Survey of Health, Ageing, and Retirement in Europe" (SHARE), a longitudinal survey that combines extensive cross-national information on the socio-economic status, health and family relationships of Europe's elderly population (for an overview see Börsch-Supan et al., 2008; Börsch-Supan & Jürges, 2005; Malter & Börsch-Supan, 2013; Schroeder, 2011).

The first chapter uses a longitudinal approach to add to the understanding of the relationship between widowhood and depressive symptoms. Widowhood is a critical life event and from the viewpoint of the social production function theory it is associated with an abrupt loss of many resources which are beneficial to production of psychological well-being. But the dimension of loss is not equal for all individuals. Individual perceptions of objective situations might act as moderators in the association between widowhood and depressive symptoms. Thus, this chapter focuses on the role of possible moderators, such as gender, caregiving, marital quality, and cultural context, and contributes to the research of widowhood and mental health by answering three questions: 1) Do men and women differ in the psychological consequences of widowhood? 2) What role do marital quality and caregiving play in the effect of widowhood on depression? 3) To what extent does widowhood increase levels of depression in the European context and are there differences in the association between widowhood and depression across Europe?

The results of the study suggest that widowhood is a critical life event, which has negative consequences for mental health. The analyses show that the negative experience of widowhood affects the levels of depression of men and women to a comparable extent. Widowed caregivers report a smaller increase in the number of symptoms of depression than non-caregivers, following a relief model. Although higher

marital quality is usually associated with better mental health outcomes, widowed persons who experienced high marital quality show a larger increase in the number of depressive symptoms after the death of their spouse compared to widowed respondents who report lower marital quality. Furthermore, widowhood is associated with a smaller increase in the number of depressive symptoms in Northern Europe and Western Europe compared to Southern Europe.

This chapter has been published in *The Journals of Gerontology, Series B: Psychological Sciences and Social Sciences*.

The second chapter investigates the role of retirement on mental health. Retirement is a critical life event, and it signifies the exit from the job role. Research streams within sociology, gerontology, and psychology are trying to answer the question whether and how retirement is linked to mental health. So far, the results are contradictory. Some studies find evidence, that retirement is related to an increase in mental health, while other studies show that retirees report worse mental health outcomes compared to employees. Whether the life changing event of entering retirement is experienced as a relief or a burden heavily depends on how the individual experiences the work role, e.g. whether the job role is experienced as pleasant or as straining. This chapter investigates whether quality characteristics of the last job (such as high efforts, low rewards, low control) moderate the association between retirement and mental well-being from a longitudinal perspective (i.e. observing respondents before and after the critical life event of retirement), by answering three questions: 1) Is going into retirement associated with a change in the number of depressive symptoms? 2) Is quality of work associated with depressive symptoms? 3) Does quality of work moderate the association between retirement and mental well-being?

The multivariate analyses show that retirement per se does not have an impact on mental well-being. Quality of work is significantly related to mental well-being, since an increase in job strain is followed by an increase in the number of depressive symptoms. Furthermore, the results of this study support the assumption that retiring from a stressful work environment, which elevates the number of depressive symptoms while still being employed, is associated with a relief reaction and thus with an increase in mental health after quitting the active labor force, whereas retiring from an empowering occupation leads to feelings of (role) loss and thus has negative effects on mental well-being.

Although entering retirement can be considered as a life changing event from an objective point of view, it depends on the subjective perception of the circumstances whether the life change is experienced as positive or negative for mental well-being.

The third chapter focuses on the life course perspective on mental health in later life and elaborates the role of education as a moderator and a mediator in the association between family background during childhood and psychological well-being in later life by applying the resource substitution theory developed by Mirowsky and Ross. Education can be viewed as a mediator, since the socio-economic status of parents is one of the main determinants for educational attainment of children. Own educational attainment in turn determines health outcomes in adulthood and later life (through own socio-economic status and health behavior).

But as the resource substitution theory of education and health hypothesizes education is also a moderator in the association between parental socio-economic status and mental health in later life, since education is supposed to have a stronger impact on the psychological well-being of persons with disadvantaged family origins.

The literature so far suggests that a) the impact of family background on health diminishes with age, and b) the educational gap on health increases with age (following the cumulative advantage theory). Thus, this chapter investigates whether the interaction between family background and personal education on psychological well-being increases or diminishes with age.

The results of the empirical analyses show that individuals from a well-off family background report better psychological well-being in later life compared to individuals from a less prosperous family background, but this association is partly mediated by education. Higher levels of education are associated with lower numbers of depressive symptoms: the more years of education one accomplishes, the weaker the impact of family background on mental well-being becomes. But a low family background and low personal education amplify each other: individuals with a low parental SES lack exactly the resource they need in order to overcome the negative consequences their non-prosperous background, since are less likely to attain higher educational levels.

Confirming the cumulative advantage and the cumulative inequality theory, the differences in psychological well-being between higher educated and





Melanie Wagner



Luzia Weiss

lower educated individuals become larger with age. The gap between individuals with a well-off family background and from a poor family background regarding the number of depressive symptoms also increases with age.

This chapter has been published in *Social Science & Medicine*.

2.4.32. Early Retirement, Mental Health and Social Networks

Morten Schuth with Axel Börsch-Supan

This project explores the inter-relationships between early retirement, mental health including cognition and subjective well-being and the size and composition of social networks among older people. While early retirement enables more leisure and relieves stressful job conditions, it also accelerates cognitive decline. We show in the first paper of this project, based on SHARE data, that part of this accelerated cognitive ageing occurs because social networks shrink especially after early retirement. Social contacts are a side effect of employment that keeps workers mentally agile. Social contacts, especially with friends, however, decline gradually after retirement, with an acceleration effect when retirement was early. The paper therefore puts some shade on the popular notion that early retirement is bliss.

Current work refines the identification strategy by using GMM estimators. In addition, we will take the heterogeneity of work places into account, including "soft factors" such as the effort/reward balance.

2.4.33. Loneliness amongst Informal Caregivers in Europe

Melanie Wagner

In this project we analyze the impact of the provision of informal care on the level of loneliness of informal caregivers in a cross-European perspective using SHARE data from wave 5 (pre release). We investigate whether caregivers experience more loneliness than non-caregivers and whether differences in loneliness between caregivers and non-caregivers are smaller in countries with more formalized care arrangements. This project is joint work with Martina Brandt (University of Dortmund).

2.4.34. When We Know More than Our Respondents Do... Evaluating Health of SHARE Respondents Based on Self-reports and Dried Blood Spot Samples

Luzia Weiss

In times of population ageing 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's the same socio-economic gradient in health, when using blood sample analyses to evaluate the 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 have the 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.

2.5. Infrastructure Tasks of the Research Unit "SHARE"

2.5.1. SHARE Financial Management

Kathrin Axt with Corina Lica, Stephanie Lasson

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: national in all participating countries, and central: BMBF for the international coordination at MPISOC, European for scientific coordination of the survey outside Germany and through Structural funds for some countries, and US-American for scientific enhancements. The SHARE financial unit prepares and coordinates applications, scientific and financial reporting, fieldwork procurement and survey contracts for all countries together with the SHARE country team concerned.

2.5.2. Data Documentation

Tim Birkenbach with Stefan Gruber

Due to their cross-national and multidisciplinary nature, the 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, 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 constantly updated answers to frequently asked questions (FAQ) that are available on the SHARE website. The task is financed by the German Federal Ministry of Education and Research (BMBF).

2.5.3. Sampling

Tim Birkenbach with Thorsten Kneip

This task, 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 task 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 information is needed to compute design and calibrated weights.

2.5.4. SHARE Research Data Center

Fabio Franzese

The complexity of the SHARE data infrastructure is continuing to increase with every wave collected. The task aims at facilitating access to and analyses of the SHARE database for researchers who are less experienced in the quantitative analysis of complex panel data. It thus pursues the following goals: (1) simplifying and improving the usability of SHARE data, and (2) providing additional data toward the professionalization and expansion of the research data center of the Survey of Health, Ageing and Retirement in Europe (SHARE). This task is being financed by the German Research Foundation (DFG) with a 50% position from 1.5.2011 to 30.4.2014 (C. Hunkler until 31.12.2012, F. Franzese since 1.1.2013).

2.5.5. CHANCES – Consortium on Health and Ageing: Network of Cohorts in Europe and the United States

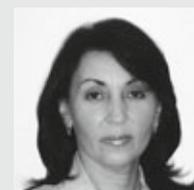
Stefan Gruber with Fabio Franzese

CHANCES is the acronym for a large-scale collaborative project funded by the European Commission within the Seventh Framework Program, and coordinated by the Hellenic Health Foundation.

CHANCES aims to combine and integrate completed or ongoing health studies and surveys in order to verify age-induced (or age-correlative) health charac-



Kathrin Axt



Corina Lica



Stephanie Lasson





Markus Berger

teristics and determinants, and to portray their socio-economic implications. The Survey of Health, Ageing and Retirement in Europe (SHARE) constitutes one of 14 subprojects involved in CHANCES, covering 18 EU member states, four associated states and three additional countries. All these different studies and population surveys combined amount to an integrative approach for the investigation of health status in aging populations. MEA provides harmonized data extractions of SHARE to the CHANCES researchers and documents the data conversion rules. This task is funded with a 25% position at MEA.

2.5.6. Generated Variables

Stefan Gruber with Morten Schuth

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 health, housing and region, occupation, social networks, support and household composition. The task is funded by the German Federal Ministry of Education and Research (BMBF).

2.5.7. European Index of Social and Familial Embeddedness

Stefan Gruber with Fabio Franzese

This task evaluates the innovative social network measurement approach introduced in SHARE wave 4 to further refine and develop this complex part of the questionnaire. It aims at measures of social connectedness in order to design a standardized European Index of Social and Familial Embeddedness. This task is being financed by the European Commission (project M4 "Multinational Advancement of Research Infrastructures on Ageing").

2.5.8. SHARE Internal Communications

*Thorsten Kneip with Martina Brandt,
Markus Berger, Stephanie Lasson*

This task consists of the central coordination of measures in order to ensure a flawless communication within the SHARE team and furthermore with other related MEA projects. 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 working meetings plays a central role in this context as well. This work was coordinated by Martina Brandt until April 2014 and has since then been continued by Thorsten Kneip. It is funded by the Federal Ministry of Education and Research (BMBF).

2.5.9. SHARE External Communications

*Thorsten Kneip with Martina Brandt,
Markus Berger, Stephanie Lasson*

One of the main aspects of this task consists of updating the SHARE website with all necessary information. The concept/design and distribution of fieldwork and information materials serves as another important part of external communications. Bi-annual newsletters and press releases inform users and subscribers about new developments. The organization of press conferences for major updates of the data respectively new publications as well as the participation and representation of SHARE at external conferences through exhibitions and booths is equally vital. In addition, SHARE staff is involved in advisory boards of partner projects and other external bodies. This work was coordinated by Martina Brandt until April 2014 and has since then been continued by Thorsten Kneip. It is funded by the Federal Ministry of Education and Research (BMBF).

2.5.10. SHARE Scientific Output

*Thorsten Kneip with Martina Brandt,
Axel Börsch-Supan*

This task focuses on overviewing the SHARE research output as well as editing the SHARE Working Paper series, the First Results Books and additionally special issues concentrating on a certain theme of research. SHARE research projects of internals and externals are supported and stays of guest researchers are organized on a regular basis. Moreover, research applications are created and input to the design of the SHARE questionnaire is given. This work was coordinated by Martina Brandt until April 2014 and has since then been continued by Thorsten Kneip. It is funded by the Federal Ministry of Education and Research (BMBF).



Markus Kotte



2.5.11. The SHARE Interviewer Survey

Julie Korbmacher with Melanie Wagner

Interviewer-supported sampling, 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 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 particulars. 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 prepared in collaboration with scientists from the International Workshop on Household Survey Non-response, and seeks to assess interviewer traits that are presumed to influence the behavior of interviewees. It was implemented for the first time in the fourth wave of the German and French SHARE study and got expanded to other SHARE countries since wave five.

The project is funded by the European Commission (DG RTD) and the Charles Cannell Fund in Survey Methodology. It has led to a publication in "Survey Methods: Insights from the Field" with Annelies Blom (University of Mannheim).

2.5.12. SHARE-RV: Linking Survey Data with Administrative Records of the German Pension Fund

Julie Korbmacher with Christin Czapllicki

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 process 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 didn't 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 is funded by the FNA.

2.5.13. Linking SHARE Survey and Administrative Data: An International Perspective

Julie Korbmacher

As SHARE Germany has great experience in linking survey and administrative data within the German subsample (see: SHARE-RV), this task expands the procedure to other SHARE countries. The regulatory frameworks as well as the administrative data available differ a lot between European countries so that this SHARE module has to be adapted for each country.

The task is funded by the European Commission (DG RTD).

2.5.14. Raw Data Extraction

Markus Kotte

The task comprises the regular biweekly download of SHARE fieldwork data in close cooperation with CentERdata and the fieldwork monitoring team. This includes 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 task is funded by the Federal Ministry of Education and Research (BMBF).

2.5.15. SHARE Overall Data Processing

Markus Kotte

The task comprises the conceptualization and programming of the general SHARE data processing programs. It processes SHARE data from all 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 work is funded by the Federal Ministry of Education and Research (BMBF).

2.5.16. Data Checks and Corrections

Markus Kotte with Fabio Franzese

The task 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 fieldwork. It delivers cases that require individual corrections to the respective SHARE country teams or survey agencies. It in-



Andrea Oepen

cludes instructing and coaching country team operators on how to correct the data, reviewing these corrections and implementing them into the general data processing procedures. This work is funded by the Federal Ministry of Education and Research (BMBF).

2.5.17. Management of SHARE Operations

Frederic Malter

This project is tied to Dr. Malter's lead on all tasks of the Operations Department at SHARE Central at MEA. It entails creating the overall project timetable with milestones, deliverables and deadlines, 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 sub-projects (e.g. Dried Blood Spots), coordination of collaboration between software developer CentERdata and SHARE Central, and between SHARE Central and university-based country teams.

In this project, Mr. Malter represents SHARE at scientific, methodological and strategic meetings on behalf of the PI. Task in this project also include the revision of the generic model contract & review of country contracts, editing of the methodological First Results Book (FRB), conceptualization and management of SHARE quality control process including fieldwork monitoring. Further tasks include writing of the summative evaluation report of SHARE Operations after the completion of a wave ("Compliance Profiles") This project has been financed by the European Commission's "Multinational Advancement of Research Infrastructures on Ageing" (M4) project from 1.1.2012 to 31.12.2013 and by BMBF from 1.1.2014 to 31.12.2014.

2.5.18. SHARE ERIC European Relations and International Management

*Andrea Oepen with Markus Berger,
Daniel Schmidutz*

This Task is aiming at governing SHARE as European Research Infrastructure Consortium in all relevant questions, especially coordination and communication with the SHARE-ERIC Council, the European Commission, the SHARE users and other interest groups. Furthermore it secures compliance

of SHARE activities with data protection laws, Ethic Committees regulations etc.

2.5.19. Technical Assistance to Country Teams and Survey Businesses in All Aspects of the SMS

Gregor Sand

This BMBF-funded task provides technical assistance to scientific country teams and survey businesses on all aspects of the electronic contact protocol "Sample Management System" (SMS). The SMS is interviewer software that provides detailed household information, facilitates the documentation of household contacts and appointments, and starts and synchronizes interviews. Technical assistance includes aspects such as solving eligibility issues of respondents, synchronization problems, bugs, interpretation of system output, assigning contact codes, handling the software, and providing manuals.

2.5.20. Tool Development: Software of Electronic Contact Protocol (SMS)

Gregor Sand

This BMBF-funded task compiles input from survey businesses for further improvement of the SMS (Sample Management System). The SMS is software for interviewers that provides detailed household information, facilitates the documentation of household contacts and appointments, and starts and synchronizes interviews. SMS enhancement includes extensive testing of new software prototypes, real-life simulations of the software in its environment, and providing feedback to software developers. Apart from that the task aims at improving the SMS contact codes, eligibility criteria, user-friendliness of the software, and user manuals.

2.5.21. Tool Development: Software for Managing Households and Overall Sample (SD)

Gregor Sand

This BMBF-funded task compiles input from survey businesses for further improvement of the SD (Sample Distributor). The SD is software for survey agencies that contains the entire household sample of a country, that allows the assignment of households to interviewers, and that produces fieldwork statistics that can be used for monitoring purposes. SD enhancement includes extensive testing of new software prototypes, real-life simulations of the software in its environment, and feedback to software devel-

opers. Apart from that the task aims at improving the SD export files that produce fieldwork statistics, comprehensibility of the system output, management of households and contact information, user-friendliness of the software, and user manuals.

2.5.22. Quality Control

Gregor Sand

This BMBF-funded task aims at supervising the quality of fieldwork in all SHARE countries. The task includes tasks such as gathering all deliverables (e.g. roster of interviewers, documentation of performed interviewer checks, interviewer training material) specified in the model contract from survey agencies, reviewing deliverables for proper content, mini-survey to gather comprehensive feedback from survey businesses for continuous evaluation of software development and service provision, and computation of all relevant statistics for summative evaluation of fieldwork.

2.5.23. Fieldwork Monitoring

Gregor Sand with Thorsten Kneip

This BMBF-funded task aims at compiling the most recent fieldwork statistics of all SHARE countries and providing them to country teams and survey agencies on a biweekly basis. The task includes tasks such as data processing and computation of fieldwork statistics, writing of fortnightly monitoring reports, communication about fieldwork progress with country teams, and communication with software developers about software-related issues.

2.5.24. Implementation of Train-The-Trainer (TTT) Trainings

Gregor Sand with Christine Diemand, Felizia Hanemann, Thorsten Kneip, Annette Scherpenzeel, Luzia Weiss

This BMBF-funded project aims at preparing, implementing, and wrapping up the Train-The-Trainer sessions for representatives of private survey businesses. These representatives communicate the content of the performed TTT sessions to their interviewer staff in national training sessions. The project includes tasks such as preparing PowerPoint slides on fieldwork-related aspects and other supporting material, holding and assisting presentations throughout the trainings, writing minutes, and summarizing and documenting TTT outcomes.

2.5.25. Collection of Innovative Biomarkers in SHARE – A Pilot

Barbara Schaan

This project managed a pilot in the German subsample for the inclusion of physical and biological measurements (biomarkers) in SHARE. Biomarkers are a valuable extension to survey data as they are not biased by the respondents' own interpretation, evaluation, perception, and knowledge. They provide direct information on physiological processes that are often below the individual's threshold of perception, but may be nevertheless predictive for ongoing or future diseases. Furthermore, biomarkers can help to understand the complex relationships between social status and health by identifying their specific physiological pathways.

Alongside the biomarkers already incorporated in the standard questionnaire (grip strength and lung power), the German sub-investigation of the fourth SHARE wave set out to survey additional innovative biomarkers, measured by well-trained interviewers. These new biomarkers include waist-to-height ratio, three blood pressure readings, and so-called dried blood spots for the measurement of three indicators (HbA1c, total cholesterol, and C-reactive protein). DBS samples are drops of whole blood obtained from a simple finger prick and collected on a special filter paper.

The project started off with the need to identify suppliers of materials for the collection respectively measurement of the biomarkers; these materials were then tested. A suitable manufacturer of test sets for dried blood spots was located in the United States.

As the interviewers of the German survey institutes were not familiar with the measurement of micro-invasive biomarkers and lacked the basic medical skills needed to that end, their intensive training was indispensable. Thus, one SHARE staff member attended an interviewer training course offered under the Health and Retirement Study (HRS) in the United States. The know-how acquired there flowed into the concept for interviewer training in Germany. A pretest interview with about 100 respondents took place in summer 2010. Based on its results, the interview materials were revised and optimized. The main survey was launched in spring 2011. The collected biomarker data have been published together with the regular SHARE interview data in December 2012.

The position of Barbara Schaan was funded 50% by the Federal Ministry of Education and Research (BMBF) and 50% by the Volkswagen Foundation.



Christine Diemand



Dr. Annette Scherpenzeel



2.5.26. German SHARE Survey

*Annette Scherpenzeel with Christine Diemand,
Felizia Hanemann*

The German SHARE survey is part of the SHARE research infrastructure. The project management of the German survey involves the preparation and coordination of the SHARE field work with the assigned survey agency in Germany. The fourth, fifth and sixth wave of the German SHARE survey were funded by the Federal Ministry of Education and Research (BMBF).

2.5.27. DASISH – Data Service Infrastructure for the Social Sciences and Humanities

*Axel Börsch-Supan with Johanna Bristle,
Daniel Schmidutz*

DASISH is a cluster project for the five infrastructures in the Social Sciences and Humanities (SSH) supported by ESFRI, the European Strategy Forum on Research Infrastructures. DASISH brings together ESS (European Social Survey), SHARE (Survey of Health, Ageing and Retirement in Europe), CESSDA (Council of European Social Science Data Archives), CLARIN (Common Language Resources and Technology) and DARIAH (Digital Research Infrastructure for the Arts and Humanities) and provides solutions to a number of common issues of these infrastructures. The goal of DASISH is to determine areas of cross-fertilization and synergy in the infrastructure development and to work on concrete joint activities related to data, such as data access, data sharing, and data quality, data archiving and legal and ethical aspects. The activities in these major areas are based on a thorough analysis of the underlying architectures. The outcome forms the basis for educational activities and for outreach to the communities that are to benefit from the work. DASISH aims not only at providing the participating infrastructures with new solutions for specific problems and a consolidation of their infrastructure building, but also at providing solutions facilitating interdisciplinary cross-walks of their researchers.

In concrete terms, MEA has evaluated the para-data of SHARE and ESS, especially the keystroke files which are generated during the CAPI interview, in order to better understand response behavior. MEA has also delivered an overview of data protection and ethical issues pertaining to linked administrative and biomarker data (see below).

The DASISH project has ended on 31 December 2014. A EU-funded follow-up project focusing on joint work with ESS and CESSDA is supposed to start in early spring 2015.

2.5.28. Paradata Management

Johanna Bristle

Paradata are data about the process of data collection. These can be collected as a by-product during fieldwork and the interview process itself or they can be collected in addition by interviewers or survey agencies and linked afterwards. Regarding data on the fieldwork process, SHARE collected time-stamp data based on keystroke data (e.g. item-level response times, back-ups, edits) and contact data (day, time, and outcome) derived from the Sample Management System. In addition, interviewer observations on the sample unit and the neighborhood are recorded and demographic information on the interviewer is collected by the survey agencies. This provides SHARE with a rich source of paradata for analyzing data quality in survey production and for deriving recommendations for future fieldwork management.

The task is being financed by the DASISH project (Data Service Infrastructure for the Social Sciences and Humanities), which is funded by the European Commission within the Seventh Framework Programme.

Therefore, this task consists of two main sub-tasks:

(1) Compilation of the different datasets

This task implies cleaning the data in cooperation with SHARE's Data Base Management, identifying and creating meaningful indicators and aggregating the data where necessary, linking the different data sources, and ensuring the comparability across countries.

(2) Data quality analysis using paradata

This second task aims at providing the SHARE Operations team with data quality analyses on interviewer behavior, standardization of the interview process, and analyses on interview duration and feeds into their work during and after fieldwork.



Stephanie Stuck



2.5.29. Legal and Ethical Issues

Daniel Schmidutz

This task seeks to identify legal requirements and ethical issues occurring at different stages of the research process in the social sciences and humanities (SSH) domains 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 SSH research such as SHARE, the task 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 SSH 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 (e.g. remote data access) are part of this task.

The task is being financed through the European Commission's DASISH project (Data Service Infrastructure for the Social Sciences and Humanities) within the Seventh Framework Programme. DASISH is a cluster project for the five infrastructures in the Social Sciences and Humanities (SSH) supported by ESFRI, the European Strategy Forum on Research Infrastructures. It brings together ESS (European Social Survey), SHARE (Survey of Health, Ageing and Retirement in Europe), CESSDA (Council of European Social Science Data Archives), CLARIN (Common Language Resources and Technology) and DARIAH (Digital Research Infrastructure for the Arts and Humanities) and aims to provide solutions to a number of common issues (including legal and ethical issues) of these infrastructures.

2.5.30. Interviewer Remarks

Morten Schuth

The task comprises checks and corrections of interview data based on SHARE interviewer remarks in close cooperation with 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. This task is being financed by the Federal Ministry of Education and Research (BMBF).

2.5.31. Scientific Releases of SHARE

Morten Schuth with Tim Birkenbach

This task 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 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 and values, harmonization of variables within and across waves e.g. exchange rate and ppp adjustment, checks of unfolding bracket thresholds and where necessary adjustments for future waves in coordination with the respective country teams. It processes regional data to be linked according to the Nomenclature des unités territoriales statistiques (NUTS) i.e. a geocode standard – developed and regulated by the European Union – for referencing the subdivisions of countries for statistical purposes. In addition, this task encompasses the inclusion of harmonized indicator variables e.g. for health, housing, etc., testing of new interviewer software and questionnaire versions, and providing user support. This task is being financed by the Federal Ministry of Education and Research (BMBF).

2.5.32. SHARE Data Base Management

Stephanie Stuck

This task consists of the overall planning, coordination and organization of all aspects of SHARE data base management – from raw data extraction to scientific releases, 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 task 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. This work is funded by the Federal Ministry of Education and Research (BMBF).

2.5.33. Tool Development: Software for the Computer-Assisted Personal Interview (CAPI)

Melanie Wagner

This task encompasses the compilation of input for questionnaire improvements from the international group of researchers and from interviewers before and during pilot and pretest. An important part of the work is the collaboration with software developers on implementation, the extensive testing of the generic English software prototypes and the feedback to software developers, but also the sporadic tests of country-specific software prototypes. This task further comprises the provision of technical assistance to scientific country teams and survey businesses on all aspects of the CAPI questionnaire software like country-specific routing or bracket values. 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 being presented regularly at internal SHARE conferences. Documentation of the generic English CAPI in a cross-wave overview and of all country-specific within-wave deviations is another vital part of the work.

2.5.34. Including Dried Blood Spot Sampling in a Socio-Economic Survey: Experiences from Wave Four of SHARE Germany

Luzia Weiss

In the German part of the SHARE wave 4 main survey we included the collection of dried blood samples (DBS) as a pilot study. The main objective of this pilot was to gather information about necessary logistics and possible difficulties to deal with when implementing the DBS collection in further countries in future waves. The lessons we learned from this pilot include topics regarding interviewer selection and training, shipping of materials, laboratory methods and their validation and a possible selectivity of the sample. In addition we got first insights in the distribution of the analysed blood parameters in the German subpopulation of SHARE, i.e. total cholesterol, HbA1c and C-reactive protein.

In this task all the experiences we made and lessons we learned for future waves will be written down in a summary article. The task is funded by the National Institute on Aging (NIA).

2.5.35. Implementation of the Collection of Dried Blood Spots in All Countries of SHARE

Luzia Weiss

Learning from the experiences made in a pilot study in the context of the German subsample of SHARE wave four (see project "Collection of innovative biomarkers in SHARE – a pilot"), and an additional international pretest in six European countries in wave 5, we prepared the collection of dried blood spots (DBS) in most of the SHARE countries in wave 6.

The DBS samples are going to be analyzed with regard to biomarkers that are shown to be related to (i) the ageing process, (ii) to age-related diseases as well as (iii) to diseases highly influenced by life style and social environment such as cardiovascular diseases or diabetes. They therefore provide highly relevant information in the context of SHARE. In particular, we plan to analyze total cholesterol, glycated hemoglobin (HbA1c), C-reactive protein (CRP), a set of cytokines and vitamin D.

This project includes the evaluation of laboratory validation studies and field results, the preparation of all written materials (e.g. study protocol for ethic approvals in all SHARE countries, interviewer manual, training documents and fieldwork materials), the purchase of all materials needed for collecting DBS samples and planning the logistic processes to distribute these materials to the participating SHARE countries as well as the selection of an appropriate way to having the DBS samples sent to the central biobank in Denmark where they will be stored. Furthermore, the project involves designing and testing of the biomarker software module, and computing of fieldwork statistics regarding the biomarker module to control fieldwork progress. Additionally, the conception of the training procedure and the support of country team members and the survey agencies in questions of the DBS collection is part of this project.

The project is funded by the German Federal Ministry of Education and Research (BMBF) with a 50% position (Luzia Weiss). Survey materials regarding this project are financed by the National Institute on Aging (NIA).



Sabrina Zuber

2.5.36. Country Team Support

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 the different actors in the country teams. Country team members need to be trained regularly, personnel in country teams are submitted 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. This task is financed by the Federal Ministry of Education and Research.

2.5.37. Preload

Sabrina Zuber with 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 in the Sample Management System to steer the survey instrument of a new wave. The preload database includes mainly demographic information, interview status, information on household composition and eligibility status and selected content information. This task funded by the Federal Ministry of Education and Research is about conceptualization of the preload, meaning conceptualization of the work flow (involves country teams, CentERdata and survey agencies) and of the preload database itself. It is also about compiling the preload data for all countries, meaning programming an overall program.

2.5.38. User Support

Sabrina Zuber with Christian Hunkler

Due to its longitudinal, cross-national and multidisciplinary 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 SHARELIFE life history data further intensifies the complexity.

This task maintains the central user support services (e-mail- and telephone-hotline) and provides information and documentation material for each country's user support efforts. This includes communicating questions and problems on special issues or on generated datasets to the appropriate team within the SHARE workgroups. This task is financed by the Federal Ministry of Education and Research (Christian Hunkler until 31.12.2012, and Sabrina Zuber).

2.5.39. SHARE Global Harmonization

Axel Börsch-Supan

The global network of ageing surveys consists of "parent surveys" and "daughter surveys" with respect to SHARE. The "parent surveys" have been started earlier than SHARE and have strongly influenced the design of SHARE, namely the U.S. 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 harmonisation project initiated and funded by the U.S. 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 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.



3. Support of Junior Scientists

This section gives an overview of MEA's strategy to promote young 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 (see Section 3.1). From the very beginning, all researchers present their work periodically in our weekly MEA Seminar (Section 3.3). Once a year, we all retreat for a couple of days to a quiet location to discuss and reflect on our research (Section 3.4). 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). At some point we felt that in addition to the Universities' course program, it would be helpful to have a course in empirical methods that is tailored to the needs of our researchers. We set up the MEA Course Program "Empirical Methods" (Section 3.5). We also organize the weekly Research Workshop Empirical Economics together with faculty from the Economics Department of Ludwig-Maximilians-Universität München (LMU), a further possibility for our researchers to meet other researchers, learn about related research and how to discuss academic issues (Section 3.6). Whenever our researchers need to improve further skills, we encourage them to take part in whatever courses are offered around the world (Section 3.7). We also prompt our researchers to present their work at international conferences and workshops (Section 6) and encourage them to visit other researchers abroad (Section 3.8). Finally, we host internees from time to time who perform rather autonomous research projects (Section 3.9). The success of our strategy is documented, e.g., in best dissertation prizes, best paper prizes, and the placements of researchers who leave MEA (Section 11).

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. In addition, the mentoring program through its inherent discussions on research has already generated a substantial amount of joint research projects of mentors together with mentees.

3.2. Dissertations at MEA

Within the reporting period, 8 MEA researchers have finished their Ph.D. (4 economics, 3 sociology, 1 statistics). Moreover, MEA is popular with Master and Bachelor students for the supervision of their theses. We supervised 2 Master Theses (economics and statistics) and 2 Bachelor Theses (economics). Below is a list of these theses:

FARBMACHER, HELMUT: *Ph.D. in Economics:* "Financial Incentives and Behavior. Four Essays in Applied Health and Labor Economics", Ludwig-Maximilians-Universität München (LMU), 2012 (*awarded the Otto Hahn Medal of the Max Planck Society, 2014*).

HUNKLER, CHRISTIAN: *Ph.D. in Sociology:* "Fehlende Ressourcen oder Diskriminierung? Ethnische Ungleichheit beim Zugang zu Ausbildungsplätzen im dualen System" [Ethnic inequality in the Access to Vocational Training], Universität Mannheim, 2013 (*awarded with the German Dissertation Award in the category social sciences awarded by the Körber Stiftung and the Klaus O. Fleck Doctoral Dissertation Award awarded by the Chamber of Industry and Commerce (IHK) Rhein-Neckar*).

KNEIP, THORSTEN: *Ph.D. in Sociology:* "Bargaining in the Shadow of the Law: Demographische und soziale Konsequenzen unilateralen Scheidungsrechts", Universität Mannheim, 2013.

SCHAAN, BARBARA: *Ph.D. in Sociology:* "Social Determinants of Depression in Later Life", Universität Mannheim, 2013.

HAUPT, MARLENE: *Ph.D. in Economics:* "Konsumentensouveränität im Bereich privater Altersvorsorge: Informationen und Institutionen" [Consumer Sovereignty in Old Age Provision], Technische Universität München (TUM), 2014 (*awarded with a grant from the Research Network on Pensions (FNA) of the German Pension Authority and the Young Female Scholars Research Grant of the University Koblenz-Landau both for the publication of the dissertation*).

KLUTH, SEBASTIAN: *Ph.D. in Economics:* "From Bismarck to Riester – An Empirical and Institutional Analysis of the German Pension System", Technische Universität München (TUM), 2014.

KORBMACHER, JULIE: *Ph.D. in Statistics:* "New Challenges for Interviewers when Innovating Social Surveys: Linking Survey and Objective Data", Ludwig-Maximilians-Universität München (LMU), 2014.

LAMLA, BETTINA: *Ph.D. in Economics:* "From Information to Informed Decision: Five Empirical Essays on Saving and Old-Age Provision", Technische Universität München (TUM), 2014.

GUBER, RAPHAEL: *Master in Statistics:* "Do financial incentives affect demands for episodes of treatment? Evidence from the RAND Health Insurance Experiment", Ludwig-Maximilians-Universität München (LMU), 2013.

MAIER, LUCIA: *Master in Economics:* "Do financial incentives affect fertility? Evidence from Germany", Ludwig-Maximilians-Universität München (LMU), 2013.

GENZINGER, ANGELIKA: *Bachelor in Economics:* "Die Auswirkungen der Kindererziehung auf das Erwerbseinkommen und das Renteneinkommen von Frauen" [The Effects of Fertility on Labor Income and Pensions of Women], Ludwig-Maximilians-Universität München (LMU), 2013.

POST, JULIA: *Bachelor in Sociology:* "Methodenmix aus Befragungs- und prozessproduzierten Daten. Das Beispiel SHARE-RV" [Mixing Survey Data with Official Records. The Example of SHARE], Technische Universität Berlin, 2013.



Prof. Robin Lumsdaine, American University, gives a talk at MEA Seminar.

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. On the other hand, 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 Ph.D. program of Technische Universität München (TUM). Given the wide range of MEA researchers' educational backgrounds (economics, sociology, mathematics, psy-

chology, 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 117 talks: 47 of MEA researchers (34 PhD students, 13 PostDocs), 6 of members from the Social Law Department, 6 talks within the Joint Social Law MEA Seminar, 11 of students of Technische Universität München (TUM), 5 of members of the economics department of Ludwig-Maximilians-Universität München (LMU) and 42 of researchers from outside Munich (11 Germany, 25 rest of Europe, 5 USA, 1 rest of the world).



Below is a list of the talks:

9 Jan 2012

ANDREAS REUMANN (Københavns Universitet): *Micro-finance – Is credit enough? The impact of Non-Financial Services on Microfinance Clients*

11 Jan 2012

SEBASTIAN KLUTH: *Subjective Life-Expectancy and Private Pension Choice*

25 Jan 2012

MARKUS KOTTE: *Intergenerational Transmission of Fertility Intentions and Behavior in Germany: The Role of Contagion.*

1 Feb 2012

LIUDMILA ANTONOVA (Università Ca' Foscari Venezia): *Health shocks and life insurance ownership*

6 Feb 2012

YU AOKI (University of Warwick): *An outcome of free labour supply: The effect of volunteer work on mortality*

6 Feb 2012

MARTIN SPINDLER (LMU): *Asymmetric Information in the Automobile Insurance: Evidence from Germany*

7 Feb 2012

VERONICA TOFFOLUTTI (Università degli Studi di Padova): *The implications of changing employment protection*

8 Feb 2012

KATHRIN JOHANSEN (Universität Rostock): *Retirement Saving and Attitude towards Financial Intermediaries*

8 Feb 2012

MICHELE BATTISTI (Simon Fraser University): *High wage workers and high wage peers*

15 Feb 2012

BETTINA SIFLINGER (LMU): *Just give me a second – Response times as a measure of response uncertainty in the Health and Retirement Study*

22 Feb 2012

MARLENE HAUPT: *Marktbasierte Wahlfreiheit und politische Gestaltung bei der Altersvorsorge – Befunde der Verhaltensökonomik*

29 Feb 2012

MARKUS BERGER: *Die ambivalente Rolle des sozialen Kapitals in Leistungsgesellschaften*

29 Feb 2012

DANIEL SCHMIDTZ (Universität Hamburg): *Digitalisiertes Risikomanagement – Epistemologische Grundlagen, Probleme und Konsequenzen präventionsstaatlichen Regierens*

14 Mar 2012

MORTEN SCHUTH: *The effect of German citizenship on wage growth*

21 Mar 2012

CHRISTIAN TRAXLER (Philipps-Universität Marburg): *Nudges at the dentist – A field experiment on dental check-ups*

28 Mar 2012

MICHAEL ZIEGELMEYER (Banque Centrale du Luxembourg): *Prevalence, reasons, and households at risk for terminated and contribution free Riester contracts*

3 Apr 2012

JOHANNA BÖRSCH-SUPAN (University of Oxford): *The generational contract in flux: intergenerational tensions in post-conflict Sierra Leone*

11 Apr 2012

BETTINA LAMLA: *Private old age provision and informal networks: A siblings approach*

18 Apr 2012

MARKUS SCHÖN (Social Law): *Strukturen und Prinzipien der Leistungserbringung im Social Law*

18 Apr 2012

NIKOLA WILMAN (Social Law): *Individualisierte Gesundheitsversorgung*

9 May 2012

FABRIZIO MAZZONNA: *The effect of education on old age health and cognitive abilities – does the instrument matter?*

23 May 2012

SEBASTIAN WEBER (Social Law): *Die Kommunen als Ort der Gestaltung einer sozialen Gemeinschaft*

23 May 2012

DAFNI DILIAGKA (Social Law): *The Greek Pension Reform and its Compatibility with Constitutional and International Law*

30 May 2012

TINEKE DIJKHOFF (Social Law): *The Contested Value of International Social Security Standards in the European Union*

30 May 2012

MARKO URBAN (Social Law): *Qualitätssicherung in der häuslichen Pflege in Deutschland und Österreich*

6 Jun 2012

LIUDMILA ANTONOVA (Università Ca' Foscari Venezia): *Macroeconomic crunches during working years and health outcomes later in life*

12 Jun 2012

FRAN GRODSTEIN (Harvard University): *Should we be planning for our future now? How do health and lifestyle choices in mid-life influence the likelihood of healthy aging in later life: data from the Nurses' Health Study*

20 Jun 2012

GREGOR SAND: *Assimilation and Interethnic Differences in Delinquency in the United States*

27 Jun 2012

ALEXANDER LUDWIG (Universität zu Köln): *The welfare effects of social security in a model with aggregate and idiosyncratic risk*

4 Jul 2012

MARY LOVELY (Syracuse University): *China's Changing Economy: Research Themes*

4 Jul 2012

JOHN YINGER (Syracuse University): *Residential Sorting*

18 Jul 2012

MARIA POLYAKOVA BREITER (MIT): *Competition on selection and market access regulation in health insurance: evidence from Germany*

26 Jul 2012

ULI KRIEGER: *Incentives and Nonresponse*

1 Aug 2012

MICHELA COPPOLA: *Methodological Aspects of the SAVE Survey*

8 Aug 2012

Joint Social Law – MEA – Seminar: BETTINA LAMLA: *Why don't you start saving? On the link between social assistance for the elderly and private old age provision of the young*

22 Aug 2012

STEFAN LISTL (Ruprecht-Karls-Universität Heidelberg): *Life-course determinants of oral health*

22 Aug 2012

MELANIE LÜHRMANN (Royal Holloway): *Bodyweight, nutrition and physical activity in England*

29 Aug 2012

HELMUT FARBMACHER: *Non-linear price schedules, demand for health care and response behavior*

5 Sep 2012

JOHANNA BRISTLE: *Unit Nonresponse*

18 Oct 2012

MARTIN SPINDLER: *Asymmetric Information and Unobserved Heterogeneity in the (private) Disability Insurance and why this Knowledge might be useful*

31 Oct 2012

CHRISTIAN HUNKLER: *Varying degrees of freedom in screening applicants for dual vocational education positions: a natural experiment.*

1 Nov 2012

SEBASTIAN KLUTH, MARLENE HAUPT: *The funded old-age provision in Sweden – a role model for Germany?*

28 Nov 2012

JOHAN VIKSTRÖM (IFAU – Uppsala): *Learning-by-Doing in a High-Skill Profession when Stakes are High: Evidence from Advanced Cancer Surgery*

5 Dec 2012

CHRISTIN CZAPLICKI: *Reconciliation of Care and Work in Germany*

12 Dec 2012

MARTIN GASCHKE, JOHANNES RAUSCH: *Die Einbeziehung der Selbständigen in die Gesetzliche Rentenversicherung*

23 Jan 2013

Joint Social Law – MEA – Seminar: THORSTEN KNEIP: *Bargaining in the Shadow of the Law: Demographische und soziale Konsequenzen unilateralen Scheidungsrechts*

6 Feb 2013

FABIO FRANZESE: *Der Einfluß von Arbeitslosigkeit auf das Trennungsrisiko von Ehen*

13 Feb 2013

LUIS ARANDA (Università Ca' Foscari Venezia): *Beyond Trust: An alternative structure to Social Capital*

18 Feb 2013

BETTINA DREPPER (Universität Mannheim): *Social Interaction Effects in Duration Models*

20 Feb 2013

MORTEN SCHUTH: *Early retirement, cognition, and social networks*

27 Feb 2013

IRIS KESTERNICH (LMU): *Us and Them. Distributional Preferences in Small and large Groups*

6 Mar 2013

MICHELA COPPOLA: *Do you have an occupational pension plan? An analysis of demand and supply.*

1 Mar 2013

RUBEN SEIBERLICH (Universität Konstanz): *Shrink your Weight: Improving Propensity Score Weighting Estimation*

27 Mar 2013

MARLENE HAUPT: *Pension information, financial literacy, and retirement saving behavior in Germany*

10 Apr 2013

ERWIN STOLZ (Universität Salzburg): *Elderly care arrangements and social inequality within European welfare states: A comparative analysis of 16 countries*

24 Apr 2013

Joint Social Law – MEA – Seminar: SEBASTIAN WEBER, SEBASTIAN KLUTH, MARLENE HAUPT: *Ökonomische und rechtliche Voraussetzungen einer obligatorischen privaten Zusatz-Rentenversicherung in Deutschland*

30 Apr 2013

MATTHIAS WEISS, CHRISTIAN HUNKLER: *Age and Productivity in Services*

15 May 2013

JOHANNA BRISTLE: *Social Disparities in Influenza Vaccination among older Europeans*

22 May 2013

Joint Social Law – MEA – Seminar: ELSA FORNERO (Università degli Studi di Torino): *Pension and Labor Market Reforms in Italy*

29 May 2013

TABEA BUCHER-KOENEN: *Gender, Confidence and Financial Literacy*

3 Jun 2013

Joint Social Law – MEA – Seminar: LEE SECHREST (University of Arizona): *Measurement in the Social Sciences: Principled Pragmatism*

12 Jun 2013

KATHARINA HERLOFSON (NOVA – Oslo): *The Norwegian panel study on life course, ageing and generation.*

18 Jun 2013

HANNES SCHWANDT (Princeton University): *Unlucky Cohorts: Income, Health Insurance and AIDS Mortality of Recession Graduates*

26 Jun 2013

JOACHIM WINTER (LMU): *Can Survey Participation Alter Household Financial Behavior?*

3 Jul 2013

LUZIA WEISS, JULIE KORBMACHER: *True blood? Validation approaches for dried blood spots collection and analyses*



10 Jul 2013

STEFAN GRUBER: *Determinants of health care utilization in Germany*

23 Jul 2013

DIMITRIS GEORGARAKOS (Johann Wolfgang Goethe-Universität Frankfurt): *Exploring Differences in Household Debt across Euro Area Countries and the US.*

3 Sep 2013

BETTINA LAMLA: *The German East/West Gap In Financial literacy: Between And Within Regional Differences*

18 Sep 2013

FELIZIA HANEMANN: *Occupational-Based Effects of Retirement on Health*

25 Sep 2013

LUZIA WEISS: *When we know more than our respondents do... Evaluating health of SHARE respondents based on self-reports and dried blood spot samples*

16 Oct 2013

SEBASTIAN KLUTH: *Replacement rates in the German pension insurance scheme*

23 Oct 2013

VANESSA BEHRENS (Universitat Pompeu Fabra): *Determining the Changing Behavior of Parental Leave Uptake Through Employment Status and Income Levels.*

30 Oct 2013

IAROSLAV YOUSSEM (Università degli Studi di Padova): *Flows of Capitals throughout the Life-Course and Successful Aging*

6 Nov 2013

MARISKA VAN DER HORST (Universiteit Utrecht): *Gender differences during and at the end of the occupational career: aspirations and retirement intentions*

13 Nov 2013

BARBARA SCHAAN (GESIS): *The Role of Gender in the Association between Education and Diabetes – Does Measurement of Diabetes Matter?*

20 Nov 2013

HELMUT FARBMACHER: *Twin births as instrumental variable: A new approach to identify the causal effect of fertility*

4 Dec 2013

DANIELA CRAVEIRO (Universidade do Minho): *Health and well-being in the aging population in Portugal and Europe: Variability of contexts and social actors*

11 Dec 2013

FABRIZIO MAZZONNA (Università della Svizzera italiana, Lugano): *Immigration, Working Conditions and Health*

18 Dec 2013

RAPHAEL GUBER: *Do financial incentives affect demand for episodes of medical care? Evidence from the RAND Health Insurance Experiment*

22 Jan 2014

DENIS DUMAN (TUM): *Life status changes and changes in consumer preferences*

5 Feb 2014

ITZELL BONILLA (TUM): *The effect of childhood economic circumstances on portfolio decisions later in life*

5 Feb 2014

DAVID CHIA (TUM): *The relationship between economic preferences and psychological traits*

25 Feb 2014

CEN SHEN (TUM): *Differences in financial behaviors between East and West Germany*

25 Feb 2014

REGINA ROUSINOVA (TUM): *Health literacy*

25 Feb 2014

SEBASTIAN JUNKER (TUM): *Age diversity and productivity*

3 Mar 2014

AMRO MUFADDI (TUM): *Disability, health and well-being: Understanding the WHO indicators 1999 – 2010*

3 Mar 2014

JULIA PFAU (TUM): *Intertemporal choices and perceptions of the self over time*

3 Mar 2014

FREDERIK KARBE (TUM): *Population growth, fertility and migration*

19 Mar 2014

MARIA MÜNDELERLEIN (Erasmus Universiteit Rotterdam): *Labor market participation of older workers*

8 Apr 2014

CHRISTIANE POHLING (TUM): *Happiness and productivity*

8 Apr 2014

MARC SCHNEIDER (TUM): *Asset management: How low interest rates affect portfolio composition?*

9 Apr 2014

ALAN BARRETT (Economic and Social Research Institute, Dublin): *The Impact of an Adult Child's Emigration on the Mental Health of an Older Parent*

16 Apr 2014

Joint Social Law – MEA – Seminar: MICHELA COPPOLA, JOHANNES RAUSCH, HANS-JOACHIM REINHARD, DANIELA SCHWEIGLER: *Are some more equal than others? Winners and losers of reductions in the retirement age*

30 Apr 2014

KLAUS HÄRTL: *Reforms and behavioral reactions in an aging Europe*

21 May 2014

RAPHAEL GUBER: *The detrimental effects of re-educating left-handers*

28 May 2014

MARLENE HAUPT: *Einschätzung der Kosten der Riester-Rente aus der Verbraucherperspektive*

4 Jun 2014

MARGHERITA FORT (Università di Bologna): *Adults' Financial Literacy and Households' Financial Assets: The Role of Banks Information Policies*

18 Jun 2014

JOHANNA BRISTLE: *The contribution of paradata to panel cooperation in SHARE*

23 Jun 2014

VESILE KUTLU KOC (Universiteit Utrecht): *Does respondent's knowledge on population life expectancy influence the accuracy of subjective survival probabilities?*

25 Jun 2014

ANNETTE HOFMANN (Hamburg School of Business Administration): *Empirical Evidence on Long-term Care Insurance Purchase in Germany: Current Issues and Challenges*

2 Jul 2014

JULIE KORBMACHER: *Measurement error in reporting the year of retirement*

9 Jul 2014

MARCO BERTONI (Università degli Studi di Padova): *The Retired Husband Syndrome: Empirical Evidence from Japan*

23 Jul 2014

AMELIE WUPPERMANN (LMU): *Relative School Entry Age and ADHD: Evidence From German Administrative Data*

6 Aug 2014

MARCO BERTONI (Università degli Studi di Padova): *Work, retirement and loss of muscular strength in old age*

13 Aug 2014

CHRISTIAN HUNKLER: *Whose Closure? Gender Inequality and Access to Skill Training*

27 Aug 2014

MARTIN SPINDLER: *Topics in High-Dimensional Econometrics*

3 Sep 2014

SEBASTIAN KLUTH: *Should I Stay or Should I Go? The Role of Actuarial Reduction Rates in Individual Retirement Planning in Germany*

17 Sep 2014

JOHANNES RAUSCH: *What would be if We Were Sweden?*

1 Oct 2014

HOLGER STRULIK (Georg-August-Universität Göttingen): *The Economics of Aging and Longevity: A survey*

29 Oct 2014

JOHANNA SCHÜTZ: *Gender specific division of labour and marriage stability in Germany*

29 Oct 2014

HEINRICH KÖGEL: *Upward Bias in Conventional Standard Errors and Its Implications*

3 Nov 2014

DUARTE NUNO SEMEDO LEITE (Universidade do Porto): *The Two Revolutions, Landed Elites and Education during the Industrial Revolution*

3 Nov 2014

IGOR FEDOTENKOV (Tilburg University): *A large scale OLG model for Italy: Assessing the interpersonal and intra-personal redistributive effects of public policies*

4 Nov 2014

TABEA BUCHER-KOENEN: *International Retirement – An International Perspective*

13 Nov 2014

VESILE KUTLU KOC: *The Retirement-Consumption Puzzle and Unretirement*

18 Nov 2014

MELANIE WAGNER: *Loneliness amongst informal caregivers in Europe*

2 Dec 2014

ANNETTE SCHERPENZEEL: *Innovation in data collection methods: Experiments with smartphone apps, accelerometers and weighing scales in a panel study*





MEA Retreat at Schloss Ringberg, May 2014.

3.4. MEA Retreats

Once a year, MEA leaves behind the bustling everyday business and retreats for a couple of days to quiet locations. During these retreats, every employee is given 15 minutes to report on their work. This has proved as 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 a night and silly group games between sessions) enhances team spirit, team cohesion and motivation. Our retreat in 2014 was combined with our 1. MEA Alumni Conference (1 day) and a hike to Mount Hirschkopf (1 day).

2 – 3 May 2013

Kloster Frauenwörth, Frauenchiemsee

7 – 8 May 2014

Schloss Ringberg, Kreuth

3.5. MEA Course Program "Empirical Methods"

In order to promote the methodological skills of MEA researchers, MEA has set up a course program "empirical methods" in which senior MEA researchers give lectures on methodological issues that come up regularly in empirical research in the social sciences. Lectures to date have been:

26 Sep 2012

Axel Börsch-Supan: Introduction to Econometrics

11 Oct 2012

Axel Börsch-Supan: Introduction to Econometrics Part 2

21 Feb 2013

Thorsten Kneip, Christian Hunkler: Introduction to Statistical Analyses using Stata, Part I

21 Mar 2013

Thorsten Kneip, Christian Hunkler: Introduction to Statistical Analyses using Stata, Part II

20 Jun 2013

Christian Hunkler, Thorsten Kneip:
Make my life easier: Automated regressions & publication ready tables using Stata

24 Jul 2013

Axel Börsch-Supan: Introduction to Econometrics

25 Jul 2013

Matthias Weiss: Model Specification

18 Mar 2014

Thorsten Kneip: Introduction to Statistical Analyses using Stata for student assistants

3.6. Skill Enhancement

Knowledge is our capital. We therefore encourage our researchers to continuously update and improve their skills. Following is a list of MEA researchers' participation in formal skill enhancement programs.

Kathrin Axt

19 – 22 Mar 2013

**Qualification and Professionalization:
The Advanced Training Course for Experienced
Academic Managers – Part 1**, ZWM, Speyer

14 – 17 May 2013

**Qualification and Professionalization:
The Advanced Training Course for Experienced
Academic Managers – Part 2**, ZWM, Speyer

16 – 19 Jul 2013

**Qualification and Professionalization:
The Advanced Training Course for Experienced
Academic Managers – Part 3**, ZWM, Speyer

24 – 27 Sep 2013

**Qualification and Professionalization:
The Advanced Training Course for Experienced
Academic Managers – Part 4**, ZWM, Speyer

Johanna Bristle

12 – 17 Aug 2012

**GESIS Summer School in Survey Methodology
"Unit Non-Response"**, Cologne

22 – 23 Oct 2013

**Workshop on Using Paradata to Enhance Survey
Design and Analysis**, University of Southampton,
United Kingdom

Tabea Bucher-Koenen

24 – 26 Jul 2014

**SIGN UP! Careerbuilding Program for Female
Postdocs of the Max Planck Society: "Career
Planning and Career Development in Academia"**,
Morschen

29 Oct – 1 Nov 2014

**SIGN UP! Careerbuilding Program for Female
Postdocs of the Max Planck Society:
"Developing key competencies: leadership
in academia, self presentation and securing funds"**,
Berlin

Raphael Guber

20 – 25 Jul 2014

Data Visualisation & Health Econometrics,
Muggendorf

9 – 13 Jun 2014

**Summer School "FIELD EXPERIMENTS – Topics
and Methodological Approaches"**, Ohlstadt

13 – 15 Jun 2014

**Workshop "Natural Experiments and Controlled Field
Studies/Credible Identification and Structural
Modeling (CrIStM.as)"**, Ohlstadt

Felizita Hanemann

26 – 30 Aug 2013

**GESIS Summer School in Survey Methodology
"Data collection: Interviewer Training and Fieldwork
Monitoring"**, Cologne

Marlene Haupt

30 Jul – 2 Aug 2012

**ESPA-net doctoral workshop "Mixing and remixing –
public and private social policies in austere times"**,
University of Southampton, UK

25 – 27 Apr 2012

**GESIS workshop "Introduction to Data Processing
and Data Recoding with STATA"**, Mannheim

Klaus Härtl

9 – 14 Mar 2014

**Bavarian Graduate Program in Economics: "Frontiers
in Macroeconomics"**, Muggendorf

28 Jul 2014 – 1 Aug 2014: **Summer School in Applied
Macroeconometrics**, Lecce, Italy

Hannelore Henning

9 – 11 Sep 2013

The German Federal Act on Travel Expenses, Mainz

Christian Hunkler

6 – 7 Nov 2014

**National Educational Panel Study (NEPS)
User Training**, Bamberg

Sebastian Kluth

30 Jul – 2 Aug 2012

**ESPA-net doctoral workshop "Mixing and remixing –
public and private social policies in austere times"**,
University of Southampton, UK

25 – 27 Apr 2012

**Gesis workshop "Introduction to Data Processing and
Data Recoding with STATA"**, Mannheim

29 – 30 Nov 2013

How to Motivate – Yourself and Others, Carl von
Linde-Akademie, Munich

8 Oct 2013

**How to Write Proposals to the German Research
Foundation (DFG)**, Munich



Frederic Malter

2 – 3 Jul 2013
MPS Seminar "Projektmanagement – Methods and Instruments", Tübingen

24 – 25 Sep 2013
GESIS Seminar "Applied Panel Data Analysis Using STATA", Mannheim

Johannes Rausch

10 Nov 2014
Management of Large Scale International Projects, Munich

Morten Schuth

6 Jun 2013
Workshop: Advanced do-file programming and introduction to ado-file programs, University of Potsdam

7 Jun 2013
2013 German Stata Users Group meeting, University of Potsdam

Stephanie Stuck

30 Sep – 1 Oct 2013
Projekt Management – Leadership and Administration, Tübingen

Melanie Wagner

12 – 16 Aug 2013
GESIS Summer School in Survey Methodology "Introduction to the Structural Equation Modeling Framework", Cologne

19 – 23 Aug 2013
GESIS Summer School in Survey Methodology "Questionnaire Design", Cologne

25 – 29 Aug 2014
GESIS Summer School in Survey Methodology "Questionnaires for Cross-cultural Surveys", Cologne

3.7. Research Workshop Empirical Economics

In addition to our own weekly MEA Seminar, we are 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.

10.01.2012
Guido Heineck, University of Bamberg: Parental risk attitudes and children's secondary school track choice

17.01.2012
Steffen Reinhold, University of Mannheim: Death and politics Proportional representation and the mortality decline

24.01.2012
Nadia Dwenger, MPI for Tax Law and Public Finance, Munich: Sharing the burden Empirical evidence on corporate tax incidence

31.01.2012
Georg Gebhardt, University of Ulm: How large are human-capital externalities? Evidence from the expansion of universities in East Germany

07.02.2012
Christoph Trebesch, University of Munich: Emigration and political change

08.05.2012
Margherita Fort, University of Bologna: The causal effect of education on health What is the role of health behaviors?

22.05.2012
Helmut Rainer, ifo Institute, Munich: Political socialization in flux? Linking family non-intactness during childhood to adult civic disengagement

05.06.2012
Tobias Klein, Tilburg University: Retirement and subjective well-being

12.06.2012
Hans-Martin von Gaudecker, University of Mannheim: How does household portfolio diversification vary with financial sophistication and financial advice?

19.06.2012
Edgar Vogel, European Central Bank, Frankfurt: Government debt, income distribution, and population structure

26.06.2012
Erik Hornung, ifo Institute, Munich: Railroads and micro-regional growth in Prussia

03.07.2012
Arnaud Chevalier, Royal Holloway, University of London: Children of the Wall German unification as a fertility shock

10.07.2012
Martin Huber, University of St. Gallen: Statistical verification of a natural experiment: Tests and sensitivity checks for the sibling sex ratio instrument

17.07.2012

Till Stowasser, University of Würzburg: Electoral cycles in savings bank lending

16.10.2012

Daniel Eisenberg, Michigan: Peer effects on health and health-related behaviors Evidence from university roommates

23.10.2012

Kathleen Nosal, Mannheim: Estimating switching costs for Medicare Advantage plans

30.10.2012

Jürgen Maurer, Lausanne: Healthy, wealthy, wise and happy? An exploratory analysis of the interplay between age and subjective well-being in low- and middle-income countries

06.11.2012

Iris Kesternich, LMU Munich: Us and them Distributional preferences in small and large groups

13.11.2012

Isabel Günther, ETH Zurich: Risk aversion in private and public Goods "Lab" experiments in rural Benin

20.11.2012

Bettina Siflinger, LMU Munich: The effects of bereavement on mental health An analysis of anticipation patterns surrounding the death of the spouse

27.11.2012

Michael Grimm, Passau: Does forced solidarity hamper investment in small and micro enterprises?

04.12.2012

Johannes Binswanger, Tilburg University: Does everyone use probabilities? Intuitive and rational decisions about stockholding

23.04.2013

Johannes Schmieder, Boston University: The Effect of Unemployment Insurance Extensions on Reemployment Wages

30.04.2013

Tabea Bucher-Koenen, MEA: Subjective Life Expectancy and Private Pensions

07.05.2013

Robert Grundke, LMU München: Export price shocks and rural labor markets The case of cotton in Tajikistan

14.05.2013

Reyn van Ewijk, JGU Mainz: Returns to childbirth technologies Evidence from preterm births

21.05.2013

Dimitris Georgarakos, Frankfurt: Exploring Differences in Household Debt across Euro Area Countries and the US

28.05.2013

Giacomo Pasini, Ca Foscari Venice: When you need it or when I die? Timing of monetary transfers from parents to children

04.06.2013

Thomas Siedler, Hamburg: Reducing binge drinking? The effect of a ban on late-night off-premise alcohol sales on alcohol-related hospital stays in Germany

11.06.2013

Sebastian Braun, IfW Kiel: Distant Event, Local Effects? Fukushima and the German Housing Market

18.06.2013

Rudolf Winter-Ebmer, JKU Linz: The role of firms in retirement decisions

22.10.2013

Kathrin Schlafmann, LMU & Cambridge: Housing, mortgages, and self control

29.10.2013

Daniel Schunk, Mainz: KIDS-WIN The kids self-regulation and working memory intervention study

05.11.2013

Hannah Schildberg-Hörisch, Bonn: What determines economic preferences of children?

12.11.2013

Harald Tauchmann, Erlangen-Nürnberg: Does money burn fat? Evidence from a randomized experiment

19.11.2013

Hiroaki Matsuura, Oxford: Evaluating the effect of EMTALA to assure indigent access to hospital emergency care services in the United States

26.11.2013

Melanie Lührmann, Royal Holloway, University of London: Measuring teenagers' time preferences using convex time budgets

03.12.2013

Hannes Ullrich, Zürich: Regulation of pharmaceutical prices Evidence from a reference price reform in Denmark

10.12.2013

Helmut Farbmacher, MEA: Increasing the credibility of the twin birth instrument An application in labor economics

17.12.2013

Vincent Pohl, Queen's University, Kingston: The effect of health shocks on employment Evidence from accidents in Chile

07.01.2014

Michele Battisti, ifo Institute, Munich: Immigration, search frictions and redistribution A quantitative welfare analysis

14.01.2014

Pia Pinger, Bonn: Intergenerational transmission of inequality Maternal endowments, investments, and birth outcomes

21.01.2014

Maarten van Rooij, Dutch Central Bank, Amsterdam: Social interactions and the retirement age

22.01.2014

Jan Stuhler, University College London: Interpreting trends in intergenerational mobility

28.01.2014

Matt Dickson, University of Bath: Heterogeneous returns over the life-cycle? Or nothing at all? Re-examining the wage returns to education in the UK

04.02.2014

Valeria Merlo, Tübingen: Interdependent FDI and the transmission of tax shocks within multinational firms



15.04.2014

Ines Helm, UCL: Spillover effects in local labor markets
Evidence from mass layoffs

29.04.2014

Ariel Dora Stern, Harvard: Innovation under regulatory
uncertainty Evidence from medical technology

06.05.2014

Alexander Ludwig, Frankfurt: Psychological biases
in subjective survival assessment

13.05.2014

Astrid Kunze, NHH Norwegian School of Economics:
Women helping women? Gender spillovers in career
progression

20.05.2014

Enkelejda Havari, Venice: The causal effect of parents'
schooling on children's schooling in Europe A new IV
approach

27.05.2014

Jane Cooley Fruehwirth, Cambridge: Does peer parental
education matter? Mechanisms of parental spillovers in the
classroom

03.06.2014

Theresa Kuchler, NYU Stern: Sticking to your plan
Hyperbolic discounting and credit card debt paydown

17.06.2014

Hendrik Jürges, Wuppertal: Health and cognitive
development in the West Bank

26.06.2014

Erwin Bulte, Tilburg: Chief for a day Elite capture and
management performance Evidence from a field experiment
in Sierra Leone

01.07.2014

Jens Ruhose, ifo Institute: Immigration and inter-
generational income mobility Evidence from U.S. metro-
politan areas

08.07.2014

Erin Strumpf, McGill: The impacts of team-based
primary care on health care services utilization and costs
Quebec's Family Medicine Groups

07.10.2014

Paul Frijters, University of Queensland: The impact of
childhood characteristics on adult mental health resilience

14.10.2014

Adeline Delavande, University of Essex: University
choice The role of expected earnings, non-pecuniary
outcomes, and financial constraints

21.10.2014

Romuald Meango, ifo Institut, München: On private
unobserved returns to international migration in a couple

28.10.2014

David Pacini, University of Bristol: Estimating dynamic
panel data models with missing outcomes

04.11.2014

Marco Manacorda, Queen Mary and LSE: Politics in
the family Nepotism and the hiring decisions of Italian firms

11.11.2014

Lukas Schmid, Universität St. Gallen: Language
capability and labor market outcomes Evidence from
two natural experiments in Switzerland

18.11.2014

Osea Giuntella, Oxford University: The effects of
immigration on waiting times in the UK National Health
Service

25.11.2014

**Peter Sandholt Jensen, University of Southern
Denmark:** Fertility and early-life mortality Evidence from
smallpox vaccination in Sweden.

02.12.2014

Toni Strittmatter, Universität St. Gallen: Have it your
way Within course effects of choices on the return to training

16.12.2014

Arne Uhendorff, CREST: Job Displacement and Fertility
over the Business Cycle

3.8. Sending MEA Researchers Abroad

MEA has a large international network of renowned researchers. We organize many conferences and workshops (see Section 9) 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 6 gives an account of all the 427 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:

Martin Spindler

1 Sep 2013 – 30 Jun 2014

MIT, Cambridge, MA, USA, Cooperation with Victor Chernozhukov on problems of high-dimensional statistics/econometrics (resulting in an AER P&P publication)

31 May 2012 – 11 Jun 2012

Singapore Management University (SMU), Singapore, Cooperation with Liangjun Su on Nonparametric Testing for Asymmetric Information

Helmut Farbmacher

26 Mar 2013 – 9 Jun 2013

University of Bristol, UK, Cooperation with Frank Windmeijer on enhancements of the continuous updating estimator

21 – 25 Oct 2013

University of Bristol, UK, Cooperation with Frank Windmeijer on enhancements of the continuous updating estimator

Stefanie Lasson

20 Oct 2014 – 30 Nov 2014

Centro de Estudios Monetarios y Financieros (CEMFI), Madrid, Spain, Cooperation with the Spanish SHARE team and improvement of Spanish language skills

3.9. 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 who performed autonomous research projects:

1 Jun – 31 Jul 2012

Philipp Rösch: "Poverty among the Elderly", Research Unit "Social Policy and Old Age Provision"

1 Jun – 31 Jul 2013

Tobias Peter: "SAVE and SHARE", Research Units "Macroeconomics" and "SHARE"

15 Jul – 30 Sep 2014

Heinrich Kögel: "Returns to Education – Evidence from UK Twins: Revisited", Research Unit "Health Econometrics"

1 Oct – 31 Dec 2014

Nicolas Goll: "Working Pensioners", Research Unit "Social Policy and Old Age Provision"

20 – 24 Oct 2014:

Ibrahim Dakhallah: "Windows-Installation, Linux-Installation, Installation of virtual machines, Python", IT

4. Public Policy Advice and Media Impact

Since it was launched 15 years ago in Mannheim, 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 of Economic Affairs; advisory support to the Federal President as well as the Federal Ministers of Finance, of Health and Social Affairs, and of the Interior), advisory support to the Minister of Economics and Finance of the Republic of Italy, the Minister of Finance of the Republic of France, the Ministry of Finance of Finland, the Greek Central Bank, the United States Secretary for Health and Human Resources, the U.S. Special Senate Committee on Aging, the European Commission, the OECD, and the World Bank, among others.

MEA, through several expert reports, provides input to Axel Börsch-Supan in his function as one of the nine members of the Expert Council on Demography ("Expertenrat Demografie"), instituted by the German Federal Government. This body meets at the Federal Ministry of the Interior in order to analyze the ramifications of demographic change. The computational general equilibrium models of the global aging process developed by the MEA research unit "Macroeconomic Implications of an Aging Society" provided the groundwork for Axel Börsch-Supan as a member of the commission on "Long-Term Implications of Aging for the U.S. Economy", installed by the U.S. Senate and based at the U.S. National Academies of Science. Axel Börsch-Supan was a member of the Global Council on Aging and then 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".



4.1. Expertises

Michela Coppola and Johannes Rausch (MEA) with Stefan Bach and Peter Haan, DIW Berlin: **Wirkungen von Rentenreformen auf Rentenbeitrag und Rentenniveau sowie Beschäftigungseffekte der Rentenbeitragsänderung** [Effects of pension reforms on contribution rates and pension levels and employment effects of changes to contribution rates], Research project commissioned by Initiative Neue Soziale Marktwirtschaft GmbH – INSM, 2014.

Axel Börsch-Supan, Tabea Bucher-Koenen, Martin Gasche, Johannes Rausch, Martin Werding (Ruhr Universität Bochum): **Beschäftigungs- und Budgetwirkungen einer Erhöhung der Rentenab- und -zuschläge in der Gesetzlichen Rentenversicherung** [Effects of a rise in deductions and premiums in the public pension system on employment and government budget] Final report of the research contract fe 25/12 of the German Federal Ministry of Finance, 2013.

Axel Börsch-Supan, Tabea Bucher-Koenen, Sebastian Kluth, Felizia Hanemann, Marlene Haupt, Vesile Kutlu-Koc and Nicolas Goll: **Erhöhung der Beschäftigungschancen Älterer** [Raising the employment prospects of the Elderly], Expertise to the research project fg 6/14 of the German Federal Ministry of Finance, 2014.

4.2. Advisory Councils

Member (and former chairman) of the Advisory Council of the German Federal Ministry of Economics and Technology (BMWV)

Expert Group on Individual and Population Aging, German Federal President (Bundespräsident)

Expert Group on Demography, German Federal Government, German Federal Ministry of the Interior (BMI)

Expert Group "Rentendialog", German Federal Minister for Labour and Social Affairs (BMAS)

Standing Committee "Aging and Fertility" of the German National Academy of Sciences Leopoldina

U.S. Senate Special Committee on the Long-Run Macroeconomic Implications of Population Aging for the US, National Academy of Sciences, USA

MacArthur Foundation "Aging Societies Network"

European Statistical Advisory Committee of Eurostat

Research Council, Deutsche Bundesbank

4.3. Foreign Delegations at MEA

4 March 2014

Delegation of the Japanese Ministry of Finance. *Cost Control in the German Public Pension System.* Prof. Tajika, Member of the Council of Experts of the Japanese Ministry of Finance. Mr. Yokoyama, Deputy Head of the Budget Department of the Japanese Ministry of Finance. Mr. Suzuki, Member of the Budget Department of the Japanese Ministry of Finance. Ms. Jumi, interpreter. Mr. Kawashima, 2. Secretary to the Ambassador of Japan.

10 March 2014

Delegation of the Mexican Ministry of Science, Technology, and Innovation. Prof. Dr. René Drucker Colín, Minister for Science, Technology and Innovation, Neuroscientist; Dr. Javier Velazquez Moctezuma, Director General for Special Projects, Expert in Reproduction and Neurobiology; Bolívar Huerta Martínez, Director General for Management and Planning of Science, Technology and Innovation Physicist; Dr. Simón Levy Dabbah, Director General for Quality of Life, Progress and Development of the City of México, Lawyer and Economist; From MPS: Prof. Dr. Peter Gruss, President of the Max Planck Society, Munich; Dr. Andreas Trepte, Head of the MPG-Liaison Office for Latin America, Buenos Aires; Dr. Berthold Neizert, Head of the Department of Research Policy and International Relations, Administrative HQ, Munich; Prof. Axel Börsch-Supan, Max Planck Institute for Social Law and Social Policy, Munich; Prof. Dr. Tobias Bonhoeffer, Max Planck Institute of Neurobiology, Martinsried; Prof. Rüdiger Klein, Max Planck Institute of Neurobiology, Martinsried; Prof. Matthias Mann, Max Planck Institute of Biochemistry, Martinsried; Prof. Hartmut Wekerle, Max Planck Institute of Neurobiology, Martinsried; Dr. Sabine Zimmermann, Max Planck Institute for Medical Research, Heidelberg.

4.4. Media Impact

During the reporting period, Axel Börsch-Supan and his colleagues had 475 interviews and quotations in television, radio, print media and online news websites – among them several interviews in Germany's major newscasts "Tagesschau", "Tagesthemen", "Heute", and "Heute Journal".

Axel Börsch-Supan

Jan 2012

Interview Business News Magazine: quip – Magazin der Wirtschaftsunioren

Online News Website: Deutsche Welle online

Feb 2012

Interview Professional Journal: Pharmazeutische Zeitung

Monthly News Magazine: Manager Magazin

Weekly Newsmagazine: Stern

Mar 2012

Interview Popular Science Magazine: Bild der Wissenschaft
Generali Hochaltrigenstudie [Study on the Oldest Old by Generali Insurance Company]

Apr 2012

Newspaper: Die Welt

Radio: Bayerischer Rundfunk (BR 2) Notizbuch

Weekly Newsmagazine: WirtschaftsWoche

May 2012

Interview Austrian Newspaper: Der Standard

Austrian Newspapers: Die Presse, Der Standard

Newspaper: Handelsblatt

Radio: DRadio Wissen

Jul 2012

Interview Newspaper: Frankfurter Allgemeine Zeitung (FAZ)

Newspaper: Schweringer Volkszeitung

Aug 2012

Interview Radio: Südwestdeutscher Rundfunk (SWR 2) Journal
Interview Radio: Südwestdeutscher Rundfunk (SWR 2) Journal am Morgen
Interview Austrian Newspaper: Die Presse
Interview Austrian Newspaper: Der Standard
Television: n-tv
Austrian Newspapers: Kurier, Wirtschaftsblatt (twice)
Newspapers: Neue Presse, Frankenpost
News Agency: dpa (German Press Agency)
Weekly Newspaper: Frankfurter Allgemeine Sonntagszeitung (FAS)
Weekly News Magazine: Focus

Sep 2012

Article in Newspaper: Frankfurter Allgemeine Zeitung (FAZ)
Interviews Austrian Newspapers: Kurier, Die Presse
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Handelsblatt, Freie Presse, Mitteldeutsche Zeitung, Südwestpresse
Monthly News Magazine: Manager Magazin
U.S. American Newspaper: The New York Times
Online News Magazine: Manager Magazine online
Weekly News Magazine: Der Spiegel
Austrian Newspapers: Die Presse, Kurier

Oct 2012

Interview Radio: Westdeutscher Rundfunk (WRD 5) Mittagsecho
Television: Frontal 21, ZDF
Weekly Newspapers: Frankfurter Allgemeine Sonntagszeitung (FAS), Die ZEIT
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Mitteldeutsche Zeitung, Heilbronner Stimme

Nov 2012

Interview Newspaper: Süddeutsche Zeitung
Radio: Norddeutscher Rundfunk (NDR)
Popular Scientific Journal: GEO
Newspapers: Süddeutsche Zeitung, Die Welt (twice)

Dez 2012

Interview Television: ARD Tagesschau
Interview Television: ARD Tagesthemen
Television: Phoenix
*Reports on a Press Conference with the German Federal Minister of Economics on Old Age Poverty in **more than 50 German Newspapers***
Interviews Newspapers: Hannoversche Allgemeine, Mannheimer Morgen, Rheinzeitung, Berliner Zeitung
Interview Online Newspaper: Hamburger Abendblatt Online
Interview Weekly Newsmagazine: WirtschaftsWoche
Swiss Newsmagazine: Punkt Magazin
Weekly Newsmagazine: Stern
Finnish Television: Svenska Yle, Delade meningar kring fattiga tyska pensionärer

Jan 2013

Article in Newspaper: Frankfurter Allgemeine Zeitung (FAZ)
Television: n-tv (twice)
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Handelsblatt, Die Welt, Berliner Morgenpost, Abendzeitung München, Frankfurter Neue Presse, Passauer Neue Presse, Nürnberger Nachrichten, Rheinische Post (twice), Rheinische Zeitung, and many more
News Agency: dpa (German Press Agency)
Interviews Newspapers: Badener Zeitung, Aachener Nachrichten, Aachener Zeitung, Allgemeine Zeitung Mainz, Lampertheimer Zeitung, Aar-Bote, Wiesbadener Tagblatt, Wiesbadener Kurier, Badische Zeitung, Aachener Nachrichten, Aachener Zeitung

Feb 2013

Interview Radio: Radio Berlin Brandenburg (rbb) Inforadio
Interview Radio: Deutschlandfunk
Interview Newspaper: Süddeutsche Zeitung
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), taz
News Magazine: Der Spiegel

Mar 2013

Newspaper Supplement: Magazin Positionen, Süddeutsche Zeitung
Weekly Newspaper: Frankfurter Allgemeine Sonntagszeitung (FAS)
Professional Journal: Pharmazeutische Zeitung
Online Newsmagazine: WirtschaftsWoche online
Newspaper: Süddeutsche Zeitung

Apr 2013

Interview Radio: Radio Berlin Brandenburg (rbb) Inforadio
Interview Weekly Newspaper: Frankfurter Allgemeine Sonntagszeitung (FAS)
Weekly Newspaper: Frankfurter Allgemeine Sonntagszeitung (FAS)
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Süddeutsche Zeitung, Berliner Umschau
Online Newspaper: faz.net (twice)
Italian Newspaper: Bresciaoggi

May 2013

Interview Radio: Norddeutscher Rundfunk (NDR)
Interview Radio: Bayerischer Rundfunk (BR 2) radioWelt
Interview Weekly Newsmagazine: Der Spiegel
Interview Italian Newspaper: Milano Finanza
Interview Weekly Newsmagazine: WirtschaftsWoche
Interview Online Newsmagazine: WirtschaftsWoche online
Television: RTL aktuell
Radio: Rundfunk Berlin Brandenburg (rbb) Abendschau
Radio: Südwestrundfunk, Baden-Baden
Online Newsmagazines: Focus Money online
Medical News Site: Medical Daily
Weekly Newsmagazine: WirtschaftsWoche
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Nürnberger Zeitung, Nürnberger Nachrichten

Jun 2013

Article in Weekly Newsmagazine: WirtschaftsWoche
Interview Radio: Deutschlandfunk Informationen am Morgen
Newspaper: Handelsblatt
Weekly Newspaper: Euro am Sonntag
Finance Magazine: Smart Investor
Newspapers: Lampertheimer Zeitung, Hamburger Abendblatt

Jul 2013

Interview Television: arte TV Wissenschaft
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Stuttgarter Zeitung, Nürnberger Nachrichten
Online Newspaper: faz.net
Science Magazine: DFG forschung
Italian Newspaper: Corriere della Sera

Aug 2013

Newspapers: Berliner Morgenpost, Berliner Zeitung, Märkische Oderzeitung, Neue Westfälische
Professional Journal: Wirtschaftspsychologie aktuell
Popular Science Magazine: Psychologie heute
Austrian Newspaper: Kurier
U.S. American Weekly News Magazine: TIME
Turkish Newspaper: Gazeteport
Professional Journal: Health & Care Management
Popular Science Magazine: Scinexx Das Wissensmagazin
Online Science News Website: Science Daily
Online Psychiatric Website: PsychCentral
Professional Journal: Ärzteblatt
Online Business News Website: Business News Daily



Sep 2013

Interview Television: ZDF heute
Television: ZDFcheck
Newspaper: Frankfurter Allgemeine Zeitung (FAZ), Süddeutsche Zeitung
Online Newsmagazine: WirtschaftsWoche online
Online Newspaper: stimme.de
Weekly Newsmagazine: WirtschaftsWoche
Weekly Newspaper: Die ZEIT

Oct 2013

Interview Television: ZDF Landesstudio Bayern
Radio: Westdeutscher Rundfunk (WDR 5)
Radio: Westdeutscher Rundfunk (WDR 2)
Newspaper: Münchner Abendzeitung

Nov 2013

Interview Television: ZDF heute
Interview Television: ZDF heute journal
Article in Newspaper: Süddeutsche Zeitung
Radio: Hessischer Rundfunk (HR) Neue Medien
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Süddeutsche Zeitung
Weekly Newsmagazine: WirtschaftsWoche (3), Der Spiegel
Online Newspaper: sueddeutsche.de
Online Newsmagazine: Spiegel Online International
Monthly Newsmagazine: Cash

Dec 2013

Interview Television: Südwestdeutscher Rundfunk (SWR2)
Journal am Morgen
Interview Austrian Newspaper: Der Standard
Television: ITV Standard
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Frankfurter Neue Presse, Hannoversche Allgemeine, Münchner Merkur, Märkische Allgemeine, Abendzeitung, Schweriner Volkszeitung, Norddeutsche Neueste Nachrichten, Der Prignitzer, Donaukurier, Oberbayerisches Volksblatt, Rheinische Post, Solinger Morgenpost, Bergische Morgenpost, Neuss-Grevenbroicher Zeitung, Aachener Zeitung, Rheinzeitung
Weekly Newsmagazine: Der Spiegel
Online Newsmagazine: Focus online
Weekly Newsmagazine: WirtschaftsWoche (twice)
Weekly Newspaper: Frankfurter Allgemeine Sonntagszeitung

Jan 2014

Interviews Newspapers: Ostseezeitung, Lübecker Nachrichten, Bild
Newspaper: Handelsblatt, Neue Zürcher Zeitung (NZZ), Börsenzeitung, Frankfurter Allgemeine Zeitung (FAZ), Die Welt (3), Berliner Morgenpost (twice), Osnabrücker Zeitung, Münchner Abendzeitung, Rheinische Post, Neuss-Grevenbroicher Zeitung, Solinger Morgenpost, Bergische Morgenpost, Leipziger Volkszeitung, Döbelner Allgemeine Zeitung, Oschatzer Allgemeine Zeitung, Osterländer Volkszeitung, Trierischer Volksfreund, Torgauer Zeitung, Dresdner Neueste Nachrichten, Neckar-Chronik, Südwestpresse, Sächsische Zeitung
Weekly Newsmagazine: Wirtschaftswoche
International Weekly Newspaper: The Epoch Times
Austrian Newspaper: Die Presse
Online Newsmagazine: Focus online (twice)
Belgian Newspaper: La Libre Belgique
Online Newspaper: Dresdner Neueste Nachrichten online
Monthly Newsmagazine: Manager Magazin
Weekly Newspaper: Frankfurter Allgemeine Sonntagszeitung (FAS)

Feb 2014

Monthly Newsmagazine: Manager Magazin
Newspaper: Frankfurter Allgemeine Zeitung (FAZ), Neue Zürcher Zeitung (NZZ), Augsburger Allgemeine Zeitung, Ostthüringer Zeitung
Weekly News Magazine: WirtschaftsWoche
Online Newsmagazine: Focus online
Weekly Newspaper: Frankfurter Allgemeine Sonntagszeitung (FAS)

Mar 2014

Interview European Newspaper: Europolitics
Weekly News Magazine: WirtschaftsWoche, Hauptstadtbüro
Newspaper: Handelsblatt
Weekly Newsmagazine: Der Spiegel
Weekly Newsmagazine: The Economist
Online Newsmagazine: Spiegel Online

Apr 2014

Interview Television: ARD Tagesschau
Interview Radio: Deutschlandfunk
Interview Weekly Newspaper: Bild am Sonntag
Interview Newspaper: Handelsblatt
Television: n24
Television: ARD Mittagmagazin
Television: n-tv
Newspapers: Handelsblatt, Die Welt, Berliner Morgenpost, Neue Osnabrücker Zeitung, Rheinische Post, Neue Westfälische, Donaukurier, Neuss-Grevenbroicher Zeitung, Solinger Morgenpost, Bergische Morgenpost, Freie Presse, Chemnitzer Zeitung, Schweriner Volkszeitung, Wiesbadener Kurier, Gießener Anzeiger, Gelnhäuser Tageblatt, Lampertheimer Zeitung, Idsteiner Zeitung, Main-Spitze, Wormser Zeitung, Wiesbadener Tagblatt, Main-Taunus-Kurier, Lauterbacher Anzeiger, Usinger Anzeiger, Bürstädter Zeitung, Oberhessische Zeitung, Norddeutsche Neueste Nachrichten, Der Prignitzer
U.S. American Online Newspaper: wallstreet-online.de
International Weekly Newspaper: Epoch Times
Weekly Newsmagazine: WirtschaftsWoche
Weekly Newspaper: Jungle World – die linke Wochenzeitung
Dutch Newspaper: Dagelijkse Standaard
U.S. American Online Newspaper: The Huffington Post
Turkish Newspaper: Hürriyet
Online Newspapers: Welt online, Berliner Morgenpost online, Rheinische Post online
Online Newsmagazine: Focus Money online

May 2014

Interview Radio: Deutschlandradio
Radio: Westdeutscher Rundfunk (WDR) WEST.ART, Köln
Radio: Deutsche Welle
Weekly Newspaper: DIE ZEIT
Weekly Newsmagazines: Der Spiegel, WirtschaftsWoche
Newspaper: Rheinischer Post, Neuss-Grevenbroicher Zeitung, Solinger Morgenpost, Bergischer Morgenpost

Jun 2014

Interview Television: ZDF frontal
Radio: Deutschlandfunk
Radio: Westdeutscher Rundfunk (WDR) West ART Talk
Weekly Newspapers: Frankfurter Allgemeine Sonntagszeitung (FAS), Die ZEIT
U.S. American Monthly Newsmagazine: The Atlantic

Jul 2014

Radio: Südwestdeutscher Rundfunk (SWR), Mainz
Radio: Bayerischer Rundfunk (BR)
News Magazine: Focus
Newspaper: Neue Zürcher Zeitung (NZZ)
Online Newspaper: The Huffington Post
Weekly Newspaper: Frankfurter Allgemeine Sonntagszeitung (FAS)

Aug 2014

Newspaper: Handelsblatt

Sep 2014

Monthly Newsmagazine: Euro

Oct 2014

Weekly Newspaper: Frankfurter Allgemeine Sonntagszeitung (FAS)

Newspaper: Neue Zürcher Zeitung (NZZ)

Nov 2014

Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Die Welt, Berliner Morgenpost

Weekly Newspaper: Frankfurt Allgemeine Sonntagszeitung (FAS)

Online Newspaper: Die Welt online

Online Newspaper: FAZ.net

Interview Television: Bayerischer Rundfunk (BR3) TV show "quer"

Weekly Newsmagazines: WirtschaftsWoche, Der Spiegel

Dec 2014

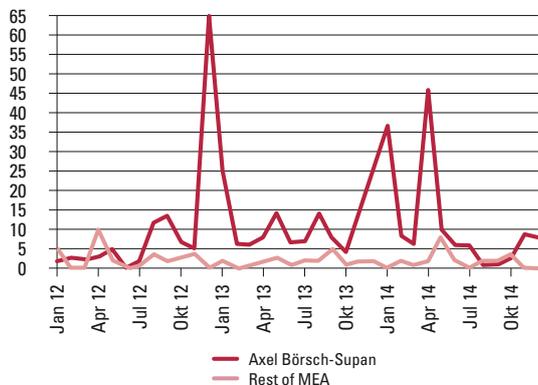
Newspapers: Frankfurter Allgemeine Zeitung (FAZ), Börsenzeitung, Die Welt

Online Newspapers: Berliner Morgenpost online, Die Welt online

Weekly News Magazine: WirtschaftsWoche

Interview Radio: Hessischer Rundfunk (HR2)-Kultur TV show "Der Tag" – Carpe Diem, Film + TV Production

Dreh/Doku "Krankheit nach Renteneintritt"



Number of interviews and quotations of MEA staff television, radio, print media and online news websites per month.

Martina Brandt

May 2012

Popular Science Magazine: Psychologie heute

Tabea Bucher-Koenen

Jan 2012

Interview Online Finance News Website: portfolio-international.de

Oct 2014

Newspaper: Handelsblatt

Michela Coppola

Jan 2012

Weekly Newspaper: DIE ZEIT

Jan 2012

Interview Weekly Newspaper: DIE ZEIT

Jun 2013

Interview Radio: Westdeutscher Rundfunk (WDR)/ Norddeutscher Rundfunk Mittagsecho

Jul 2013

Television: ARD Show "Hart aber Fair" Faktencheck wissenschaftsdebatte.de

Nov 2013

Interview Radio: FluxFMBerlin

Dec 2013

Interview Online News Magazine: Spiegel Online

Interview Radio: star fm

Feb 2014

Interview Newspaper: Frankfurter Allgemeine Zeitung (FAZ)

Interview French Lifestyle Magazine: The Good Life

Mar 2014

Newspaper: Donaukurier

Apr 2014

Weekly Newsmagazine: Der Spiegel

Interview Online News Magazine: Spiegel Online

May 2014

Television: ARD Show "Hart aber Fair" Faktencheck

Radio: Radio Stimme Russlands

Newspapers: Süddeutsche Zeitung, Frankfurter Neue Presse, Taunus Zeitung, Nassauische Neue Presse, Höchster Kreisblatt

Online Newspaper: Saarkurier online

Aug 2014

Interview Television: Arte TV

Christin Czapllicki

Sep 2014

Interview Private Research and PR Institute: Deutsches Institut für Altersvorsorge (DIA)

Martin Gasche

Jan 2012

Weekly Newspaper: Die ZEIT

Apr 2012

Interview Radio: Westdeutscher Rundfunk (WRD 5) Mittagsecho

Interview Professional Journal: Deutsche Handwerkszeitung

Interview Professional Journal: Deutsche Mittelstandsnachrichten

Interview Online News Website: Rödl Business News

Online News Website: Handelsblatt Online

Real Estate Magazine: Das Haus

Newspaper: Handelsblatt, Hünfelder Zeitung, Fuldaer Zeitung, Osthessen Zeitung



Jul 2012

Weekly Newspaper: Das Parlament

Aug 2012

Weekly Newspaper: DIE ZEIT

Newspaper: Das Parlament

Sep 2012

Television: SAT1 TV show "Planetopia"

Oct 2012

Interview Online News Website: Deutsche

Wirtschaftsnachrichten

Interview Newspaper: taz

Newspaper: taz

Nov 2012

Interview Newspaper: Handelsblatt

Online News Website: Handelsblatt Online

Jan 2013

Interview Radio: Westdeutscher Rundfunk (WDR5) Profit

Article in Newspaper: Frankfurter Allgemeine Zeitung (FAZ)

Mar 2013

Newspaper: Handelsblatt

Apr 2013

Newspaper: Handelsblatt

May 2013

Interview News Magazine: brandeins

Newspaper: Stuttgarter Zeitung

Aug 2013

Newspaper: Mitteldeutsche Zeitung

Newspaper: WELT

Sep 2013

Interview Newspaper: Mitteldeutsche Zeitung

Newspaper: Die Welt (twice), Mitteldeutsche Zeitung,

Berliner Morgenpost

Marlene Haupt

May 2013

Interview Weekly Newsmagazine: Der Spiegel

Christian Hunkler

Jun 2014

Interview Television: Rhein-Neckar-Fernsehen

Bettina Lamla

Oct 2014

Radio: Südwestdeutscher Rundfunk (SWR2)

Matthias Weiss

Jan 2012

Interview Radio: Bayerischer Rundfunk (BR2) Radiowelt

May 2012

kfw (German government-owned development bank)

German Federal Institute for Population Research

Aug 2012

Interview Radio: Deutschlandfunk Wirtschaft und Gesellschaft

Interview Radio: Mitteldeutscher Rundfunk (MDR)

Sep 2012

Interview Radio: Südwestdeutscher Rundfunk (SWR 1)

Arbeitsplatz

Nov 2012

Interview Professional Journal: "Personalführung", Deutsche Gesellschaft für Personalführung e.V.

Municipality: City of Bruchsal

Apr 2013

Newspaper: Die WELT

Oct 2013

Radio: Bayerisches Fernsehen (BR3)

Nov 2013

Newspaper: Süddeutsche Zeitung

Jun 2014

Monthly Newsmagazine: The Atlantic

Aug 2014

Interview Television: Arte TV

Sep 2014

Online News Magazine: Spiegel Online

Oct 2014

Newspaper: Wallstreet Journal

Radio: Südwestdeutscher Rundfunk (SWR2)

5. Publications

Within the reporting period, we have published 65 articles in peer reviewed journals, 19 articles in peer reviewed volumes, 12 articles in non-refereed journals, 39 articles in non-refereed volumes and other publications, and 5 books or edited volumes and issues.

5.1. Articles in Peer Reviewed Journals

Banks, James, and Fabrizio Mazzonna (2012): "The Effect of Education on Old Age Cognitive Abilities: Evidence from a Regression Discontinuity Design". In: *Economic Journal*, 122, 560, pp. 418-448.

Bauer, Gerrit, and Thorsten Kneip (2013): "Fertility From a Couple Perspective: A Test of Competing Decision Rules on Proceptive Behaviour". In: *European Sociological Review*, 29, 3, pp. 535-548.

Bauer, Gerrit, and Thorsten Kneip (2014): "Dyadic Fertility Decisions in a Life Course Perspective". In: *Advances in Life Course Research*, 21, pp. 87-100.

Blom, Annelies, and Julie Korbmacher (2013): "Measuring Interviewer Characteristics Pertinent to Social Surveys: A Conceptual Framework". In: *Survey Methods: Insights from the Field*, <http://surveyinsights.org/?p=817>.

Boffetta, Paolo, Martin Bobak, Axel Börsch-Supan, Hermann Brenner, Sture Eriksson, Fran Grodstein, Eugene Jansen, Mazda Jenab, Hendrik Jürges, and Ellen Kampman Frank Kee Kari Kuulasmaa Yikyung Park Anne Tjonneland Cornelia van Duijn Tom Wilsgaard (2014): "The Consortium on Health and Ageing: Network of Cohorts in Europe and the United States (CHANCES) project – design, population and data harmonization of a large-scale, international study". In: *European Journal of Epidemiology*, forthcoming.

Börsch-Supan, Axel (2012): "Identifying Effects of Health and Long-term Care Policies Through Cross-National Analysis". In: *European Journal of Ageing*, 9, 1, pp. 65-68.

Börsch-Supan, Axel (2012): "Wie gut können wir die Folgen des demographischen Wandels abschätzen? Was ist sicher? Wozu brauchen wir bessere Daten?" [How well can we assess the impact of demographic change? What is certain? Why do we need better data?]. In: *AStA Wirtschafts- und Sozialstatistisches Archiv*, 6, 1-2, pp. 65-82.

Börsch-Supan, Axel (2013): "Myths, Scientific Evidence and Economic Policy in an Aging World". In: *Journal of the Economics of Ageing*, 1-2, November 2013, pp. 3-15.

Börsch-Supan, Axel (2013): "Ageing, Labour Markets and Well-being". In: *Empirica*, 40, DOI 10.1007/s10663-013-9216-0, pp. 397-407.

Börsch-Supan, Axel (2014): "Ökonomie einer alternden Gesellschaft" [The Economics of an Aging Society]. In: *Perspektiven der Wirtschaftspolitik*, 15, 1, pp. 4-23.

S. Jay Olshansky, Toni Antonucci, Lisa Berkman, Robert H. Binstock, Axel Börsch-Supan, John T. Cacioppo, Bruce A. Carnes, Laura L. Carstensen, Linda P. Fried,

Dana P. Goldman, James Jackson, Martin Kohli, John Rother, Yuhui Zheng, and John Rowe (2012): "Differences In Life Expectancy due to Race and Educational Differences are Widening, and Many May Not Catch Up". In: *Health Affairs*, 31, 8, pp. 1803-13.

Börsch-Supan, Axel, Martina Brandt, Christian Hunkler, Thorsten Kneip, Julie Korbmacher, Frederic Malter, Barbara Schaan, Stephanie Stuck, and Sabrina Zuber (2013): "Data Resource Profile: The Survey of Health, Ageing and Retirement in Europe (SHARE)". In: *International Journal of Epidemiology*, 42, 4, pp. 992-1001.

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Börsch-Supan, Axel, Klaus Härtl, and Alexander Ludwig (2014): "Aging in Europe: Reforms, International Diversification, and Behavioral Reactions". In: *American Economic Review P&P*, 104, 5, pp. 224-29.

Börsch-Supan, Axel, and Alexander Ludwig (2013): "Modeling the effects of structural reforms and reform backlashes: The cases of pension and labor market reforms". In: *Economic Modelling*, 35, DOI: 10.1016/j.econmod.2013.09.009, pp. 999-1007.

Brandt, Martina (2013): "Intergenerational Help and Public Support in Europe. A Case of Specialization?". In: *European Societies*, 15, 1, pp. 26-56.

Brandt, Martina, and Christian Deindl (2013): "Intergenerational Transfers to Adult Children in Europe: Do Social Policies Matter?". In: *Journal of Marriage and Family*, 75, pp. 235-251.

Brandt, Martina, Christian Deindl, and Karsten Hank (2012): "Tracing the Origins of Successful Aging: The Role of Childhood Conditions and Societal Context". In: *Social Science and Medicine*, 74, 9, pp. 1418-1425.

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- Coppola, Michela, and Christina Benita Wilke (2014):** "At What Age Do you Expect to Retire? Retirement Expectations and Increases in the Statutory Retirement Age". In: *Fiscal Studies*, 35, 2, pp. 165-188.
- Czaplicki, Christin (2012):** "Pflege und Erwerbstätigkeit – Eine lebensverlaufstheoretische Perspektive" [Care and Work – A life course approach]. In: *Sozialer Fortschritt*, Jahrgang 61, 7/2012, pp. S. 159-165.
- Farbmacher, Helmut (2012):** "GMM with many weak moment conditions: Replication and application of Newey and Windmeijer (2009)". In: *Journal of Applied Econometrics*, 27, 2, pp. 343-346.
- Farbmacher, Helmut (2013):** "Extensions of hurdle models for overdispersed count data". In: *Health Economics*, 22, 11, pp. 1398-1404.
- Farbmacher, Helmut, Neil M. Davies, Stephanie v.H.K. Scholder, Stephen Burgess, Frank Windmeijer, and George D. Smith (2014):** "The Many Weak Instruments Problem and Mendelian Randomization". In: *Statistics in Medicine*, pp. forthcoming.
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- Fuchs, Judith, Markus Grabka, Stefan Gruber, Birgit Linkohr, Carsten Schmidt, Gerhard Schön, Susanne Wurm, Ralf Strobl, and Eva Grill (2013):** "Daten für die epidemiologische Altersforschung. Möglichkeiten und Grenzen vorhandener Datensätze. Ergebnisse des 2. Workshops der Arbeitsgruppe Epidemiologie des Alterns der Deutschen Gesellschaft für Epidemiologie (DGEpi)" [Data for Epidemiological Aging Studies. Chances and Limitations of Existing Data Sets.]. In: *Bundesgesundheitsblatt*, 2013, 56, pp. 1425-1431.
- Gasche, Martin (2012):** "Was sind die richtigen Rentenabschläge? – Neue Perspektiven". In: *Jahrbuch für Wirtschaftswissenschaften*, 63. Jahrgang, 2, S. 187-235.
- Gasche, Martin, Annette Holthausen, Johannes Rausch, and Christina Benita Wilke (2012):** "Die finanzielle Entwicklung der Gesetzlichen Rentenversicherung – Simulationsrechnungen mit dem Rentensimulationsmodell MEA-Pensim" [The financial development of the public pension system-simulations with the pension simulation model MEA-Pensim]. In: *Zeitschrift für Wirtschaftspolitik*, 61, 3, pp. 337-380.
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- Hank, Karsten, Christian Deindl, and Martina Brandt (2013):** "Changes in Older Europeans' Health Across Two Waves of SHARE: Life-course and Societal Determinants". In: *Journal of Population Ageing*, 6, 1, pp. 85-97.
- Hank, Karsten, and Julie Korbmacher (2013):** "Parenthood and retirement: gender, cohort, and welfare regime differences". In: *European Societies*, 15, 3, pp. 446-461.
- Haupt, Marlene (2014):** "Die Renteninformation – Eine Evaluation aus verhaltensökonomischer Perspektive" [The German Pension Information Statement – A Behavioural Economic Evaluation]. In: *Sozialer Fortschritt*, 63, 3, pp. 42-51.
- Haupt, Marlene, and Sebastian Kluth (2012):** "Das schwedische Beispiel der kapitalgedeckten Altersvorsorge – Ein Vorbild für Deutschland?" [The Swedish example of a funded old-age provision – A role model for Germany?]. In: *Vierteljahrshefte zur Wirtschaftsforschung*, 81, 2, pp. 213-230.
- Haupt, Marlene, and Aysel Yollu-Tok (2014):** "Ergänzende Altersvorsorge – Akzeptanz, Vertrauen und Ausgestaltung aus Verbrauchersicht" [Supplementary pension schemes – acceptance, trust, and design from a consumer perspective]. In: *Vierteljahrshefte zur Wirtschaftsforschung*, 83, 3, pp. 19-39.
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- Kneip, Thorsten, Gerrit Bauer, and Steffen Reinhold (2014):** "Direct and Indirect Effects of Unilateral Divorce Law on Marital Stability". In: *Demography*, 51, 6, pp. 2103-2126.
- Korbmacher, Julie, and Mathis Schröder (2013):** "Consent when Linking Survey Data with Administrative Records: The Role of the Interviewer". In: *Survey Research Methods*, Vol. 7, 2, pp. 115-131.
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Kruk, Eberhard, and Steffen Reinhold (2014): "The Effect of Children on Depression in Old Age". In: *Social Science & Medicine*, 100, pp. 1-11.

Lamla, Bettina (2013): "Family background and the decision to provide for old age: A siblings approach". In: *Empirica. Journal of European Economics*, 40, 3, pp. 483-504.

Lamla, Bettina, and Martin Gasche (2013): "Erwarteter Bezug von Grundsicherung im Alter: Verhaltensunterschiede und Fehleinschätzungen" [Who expects to receive the minimum pension in old age: Behavioral differences and misjudgments]. In: *Schmollers Jahrbuch*, 133, 4, pp. 539-562.

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Mazzonna, Fabrizio, and Franco Peracchi (2012): "Ageing, cognitive abilities, and retirement". In: *European Economic Review*, 56, 4, pp. 691-710.

Mazzonna, Fabrizio (2014): "The long lasting effects of education on old age health: Evidence of gender differences". In: *Social Science & Medicine*, 2014, 101, pp. 129-138.

Mazzonna, Fabrizio (2014): "The long lasting effects of family background: A European Cross-Country Comparison". In: *Economics of Education Review*, 2014, 40, pp. 25-42.

Reims, Nancy, and Stefan Gruber (2014): "Junge Rehabilitanden in der Ausbildung am Übergang in den Arbeitsmarkt". In: *Die Rehabilitation*, Online First, 8 S.

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Schaan, Barbara (2013): "Widowhood and depression among older Europeans – the role of gender, caregiving, marital quality, and regional context". In: *The Journals of Gerontology Series B: Psychological and Social Sciences*, 68, 3, pp. 431-442.

Schaan, Barbara (2014): "The interaction of family background and personal education on depressive symptoms in later life". In: *Social Science & Medicine*, 2014, 102, pp. 94-102.

Schmid, Tina, Martina Brandt, and Klaus Haberkorn (2012): "Gendered support to older parents: do welfare states matter?". In: *European Journal of Ageing*, 9, 1, pp. 39-50.

Spindler, Martin (2014): "Econometric Methods for Testing for Asymmetric Information – A Comparison of Parametric and Nonparametric Methods with an Application to Hospital Daily Benefits". In: *The Geneva Risk and Insurance Review*, 39, Special Issue, pp. 254-266.

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Spindler, Martin, Joachim Winter, and Steffen Hagmayer (2014): "Asymmetric Information in the Market for Automobile Insurance: Evidence from Germany". In: *Journal of Risk and Insurance*, 81, 4, pp. 781-801.

Su, Liangjun, and Martin Spindler (2013): "Nonparametric Testing for Asymmetric Information". In: *Journal of Business and Economic Statistics*, 31, 2, pp. 208-225.

5.2. Articles in Non-Refereed Journals

Börsch-Supan, Axel (2012): "Policy Mixes in the Current Pension Reform Process". In: *CEifo DICE Report*, 10, 4, pp. 9-15.

Börsch-Supan, Axel (2013): "Altersarmut in Deutschland" [Poverty in Old-Age in Germany]. In: *Orientierungen zur Wirtschafts- und Gesellschaftspolitik*, 137, pp. 29-32.

Börsch-Supan, Axel, Martin Gasche, and Bettina Lamla (2013): "Anmerkungen zur Diskussion über Altersarmut" [Comments on the Discussion on Poverty in Old Age]. In: *Aus Politik und Zeitgeschichte*, 63, 4, pp. 23-29.

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Gasche, Martin, and Klaus Härtl (2013): "Verminderung der (Alters-)Armut von Erwerbsminderungsrentnern durch Verlängerung der Zurechnungszeit und Günstigerprüfung?" [Reduction of invalidity pensioners' (old age) poverty by extending the non-contributory supplementary period and introducing a most-favored-test]. In: *Deutsche Rentenversicherung*, 68, 4, pp. 245-271.

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Haupt, Marlene (2014): "Nudging im Bereich der Alterssicherung – warum und wie?" [Nudging in the area of old-age provision – Why and how?]. In: *Wirtschaftsdienst*, 94, 11, pp. 784-787.

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W. Jake Jacobs, Melissa Sisco, Dawn Hill, Frederic Malter, and Aurelio Jose Figueredo (2012): "Evaluating theory-based evaluation: Information, norms, and adherence". In: *Evaluation and Program Planning*, 35, pp. 354-369.

5.3. Books, Edited Volumes and Issues

Börsch-Supan, Axel, Martina Brandt, Howard Litwin, and Guglielmo Weber (2013) (eds.): *Active Ageing and Solidarity Between Generations in Europe. First Results From SHARE after the Economic Crisis*. De Gruyter, Berlin.

Brandt, Martina, and Axel Börsch-Supan (2013) (eds.): *Advances in Life Course Research. Special Issue: SHARELIFE – One century of life histories in Europe*. *Advances in Life Course Research* 18, 1.

Haupt, Marlene (2014): *Konsumentensouveränität im Bereich privater Altersvorsorge: Informationen und Institutionen*. [Consumer sovereignty and private pension schemes: Information and institutions] 13, Wirtschafts- und Sozialpolitik, Nomos, Baden-Baden.

Hunkler, Christian (2014): *Ethnische Ungleichheit beim Zugang zu Ausbildungsplätzen im dualen System*. [Ethnic Inequality at Entry to Dual Vocational Education and Training] Springer, Wiesbaden.

Malter, Frederic, and Axel Börsch-Supan (2013) (eds.): *SHARE Wave 4: Innovations & Methodology*. MEA, Max Planck Institute for Social Law and Social Policy, Munich.

5.4. Articles in Refereed Volumes

Börsch-Supan, Axel (2013): "Entitlement Reforms in Europe: Policy Mixes in the Current Pension Reform Process", In: Alesina, Alberto, Giavazzi, Francesco, (eds.), *Fiscal Policy after the Crisis*, University of Chicago Press, Chicago, pp. 405-435.

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28-2014

Börsch-Supan, Axel: "Lehren aus den Rentenreformen seit 1972"

27-2014

Börsch-Supan, Axel: "Note on the Stock-Wise utility function used in their option-value analysis"

26-2014

Börsch-Supan, Axel: "Silver Economy: Pipe Dream or Realistic Possibility?"

25-2014

Börsch-Supan, Axel; Härtl, Klaus; Ludwig, Alexander: "Aging in Europe: Reforms, international diversification and behavioral reactions"

24-2014

Börsch-Supan, Axel; Murray, Alan: "The Myth that Older Workers Delaying Retirement Creates Unemployment for the Young"

23-2014

Börsch-Supan, Axel: "Die Demographiefestigkeit des deutschen Altersversorgungssystem und das Rentenpaket 2014"

22-2014

Börsch-Supan, Axel: "Aging Societies: Individual and Societal Plasticity"

21-2014

Rausch, Johannes: "What would be if We Were Sweden? Is the Swedish pension system transferable to Germany?"

20-2014

Antonova, Liudmila; Bucher-Koenen, Tabea; Mazzonna, Fabrizio: "Macroeconomic crunches during working years and health outcomes later in life"

19-2014

Bucher-Koenen, Tabea; Lusardi, Annamaria; Alessie, Rob J. M.; Van Rooij, Maarten C. J.: "How financially literate are women? An overview and new insights"

18-2014

Börsch-Supan, Axel; Bucher-Koenen, Tabea; Coppola, Michela; Lamla, Bettina: "Savings in times of demographic change: Lessons from the German experience"

17-2014

Börsch-Supan, Axel; Coppola, Michela; Rausch, Johannes: "Die Rente mit 63: Wer sind die Begünstigten? Was sind die Auswirkungen auf die Gesetzliche Rentenversicherung?"

16-2014

Vijay Aseervatham; Christoph Lex; Spindler, Martin: "How do unisex rating regulations affect gender differences in insurance premiums?"

15-2014

Best, Henning; Kneip, Thorsten: "Curbside Collection and Participation in Household Waste Recycling: A Causal Analysis"

14-2014

Drerup, Tilman; Enke, Benjamin; Von Gaudecker, Hans-Martin: "Measurement Error in Subjective Expectation and the Empirical Content of Economic Models"

13-2014

Harenberg, Daniel; Ludwig, Alexander: "Social Security in an Analytically Tractable Overlapping Generations Model with Aggregate and Idiosyncratic Risk"

12-2014

Mathä, Thomas Y.; Porpiglia, Alessandro; Ziegelmeyer, Michael: "Household wealth in the euro area: The importance of intergenerational transfers, homeownership and house price dynamics"

11-2014

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10-2014

Vogel, Edgar: "Optimal Level of Government Debt: Matching Wealth Inequality and the Fiscal Sector"

09-2014

Kluth, Sebastian: "Should I Stay or Should I Go? The Role of Actuarial Reduction Rates in Individual Retirement Planning in Germany"

08-2014

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07-2014

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06-2014

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05-2014

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04-2014

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03-2014

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02-2014

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01-2014

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19-2013

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18-2013

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09-2013

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08-2013

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07-2013

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06-2013

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05-2013

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25-2012

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15-2012

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14-2012

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12-2012

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11-2012

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10-2012

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Spindler, Martin: "'They do know what they are doing... at least most of them.' Asymmetric Information in the (private) Disability Insurance"

08-2012

Spindler, Martin; Winter, Joachim; Hagmayer, Steffen: "Asymmetric Information in the Market for Automobile Insurance: Evidence from Germany"

07-2012

Coppola, Michela; Lamla, Bettina: "Empirical Research on Households' Saving and Retirement Security: First Steps towards an Innovative Triple-Linked-Dataset"

06-2012

Vogel, Edgar; Ludwig, Alexander; Börsch-Supan, Axel: "Aging and Pension Reform: Extending the Retirement Age and Human Capital Formation"

05-2012

Börsch-Supan, Axel; Gasche, Martin; Haupt, Marlene; Kluth, Sebastian; Rausch, Johannes: "Ökonomische Analyse des Rentenreformpakets der Bundesregierung"

04-2012

Gasche, Martin: "Freiwillige Zusatzbeiträge als sechster Durchführungsweg der betrieblichen Altersvorsorge? Eine Randnotiz zum Lebensleistungsanererkennungsgesetz"

03-2012

Holthausen, Annette; Rausch, Johannes; Wilke, Christina Benita: "MEA-PENSIM 2.0: Weiterentwicklung eines Rentensimulationsmodells, Konzeption und ausgewählte Anwendungen"

02-2012

Jürges, Hendrik: "Collateral damage: Educational attainment and labor market outcomes among German war and post-war cohorts"

01-2012

Gasche, Martin: "Alte und neue Wege zur Berechnung der Rentenabschläge"

5.7. Other Discussion Papers

Börsch-Supan, Axel (2012): *Entitlement Reforms in Europe: Policy Mixes in the Current Pension Reform Process*, NBER Working Paper w18009, National Bureau of Economic Research.

Börsch-Supan, Axel; Coppola, Michela; Reil-Held, Anette (2012): *Riester Pensions in Germany: Design, Dynamics, Targetting Success and Crowding-In*, NBER Working Paper w18014, National Bureau of Economic Research.

Börsch-Supan, Axel; Weiss, Matthias (2013): *Productivity and age: Evidence from work teams at the assembly line*, ROA Research Memorandum, ROA, Maastricht, The Netherlands.

Bristle, Johanna; Celidoni, Martina; Dal Bianco, Chiara; Weber, Guglielmo (2014): *The contribution of paradata to panel cooperation in SHARE*, SHARE Working Paper Series: 19-2014, SHARE.

Bucher-Koenen, Tabea; Lusardi, Annamaria; Alessie, Rob; van Rooij, Maarten (2012): *How financially literate are women? Some new perspectives on the gender gap*, Netspar Panel Paper 31, Netspar.

Farbmacher, Helmut; Ihle, Peter; Schubert, Ingrid; Winter, Joachim; Wuppermann, Amelie (2013): *Heterogeneous effects of a nonlinear price schedule for outpatient care*, CESifo Working Paper No. 4499.

Farbmacher, Helmut; Winter, Joachim (2012): *Non-linear price schedules, demand for health care and response behavior*, Health, Econometrics and Data Group (HEDG) Working Papers, WP 12/15.

Frick, Joachim R.; Grabka, Markus M.; Rasner, Anika; Schmidt, Marian; Schuth, Morten; Westermeier, Christian (2012): *Familienbiographische Verläufe im Kohortenvergleich*, SOEPpapers 439, DIW Berlin.

Gruber, Stefan; Hunkler, Christian; Stuck, Stephanie (2014): *Generating easySHARE: Guidelines, Structure, Content and Programming*, SHARE Working Paper Series: 17-2014, SHARE.

Hunkler, Christian (2014): *Können, wollen oder dürfen sie nicht? Ethnische Ungleichheit beim Zugang zu Ausbildungsplätzen im dualen System*, Koerber Stiftung (online), <http://www.koerber-stiftung.de/wissenschaft/deutscher-studienpreis/preistraeger/2014/die-zweiten-preise.html>.



Jürges, Hendrik; Thiel, Lars; Bucher-Koenen, Tabea; Rausch, Johannes; Schuth, Morten; Börsch-Supan, Axel (2014): *Health, Financial Incentives, and Early Retirement: Micro-Simulation Evidence for Germany*, NBER Working Paper w19889, National Bureau of Economic Research.

Korbmacher, Julie (2014): *Interviewer Effects on Respondents' Willingness to Provide Blood Samples in SHARE*, SHARE Working Paper Series, SHARE Working Paper Series 20-2014, Munich Center for the Economics of Aging (MEA).

Korbmacher, Julie (2014): *Recall Error in the Year of Retirement*, SHARE Working Paper Series, SHARE Working Paper Series 21-2014, Munich Center for the Economics of Aging (MEA).

Kutlu Koc, Vesile; Alessie, Rob; Kalwij, Adriaan (2015): *Consumption Behavior, Annuity Income and Mortality Risk of the Elderly*, Netspar Discussion Papers, Netspar.

Lamla, Bettina (2012): *Family background, informal networks and the decision to provide for old age: A siblings approach*, SOEPpapers, Deutsches Institut für Wirtschaftsforschung (DIW), Berlin.

Mittnik, Stefan; Robinzonov, Nikolay; Spindler, Martin (2013): *Boosting the Anatomy of Volatility*, Department of Statistics: Technical Reports, No. 124.

Spindler, Martin; Aseervatham, Vijay; Lex, Christoph (2013): *Pitfalls in the Implementation of Non-Discriminatory Premiums – The Case of Unisex Tariffs in the German Automobile Insurance Market*.

Spindler, Martin (2013): *Asymmetric Information in the Market for Hospital Daily Benefits*, MRIC Working Paper Series.

Vogel, Edgar; Alexander Ludwig, Börsch-Supan, Axel (2012): *Aging and Pension Reform. Extending the Retirement Age and Human Capital Formation*, European Central Bank, Working Paper Series 1476.

Vogel, Edgar; Alexander Ludwig, Börsch-Supan, Axel (2012): *Aging and Pension Reform. Extending the Retirement Age and Human Capital Formation*, NBER Working Paper w18856, National Bureau of Economic Research.

6. Presentations

Börsch-Supan, Axel

Keynote Lecture: Active Ageing Across Sectors and Policy Areas, Opening Conference for the European Year for Active Ageing and Solidarity between Generations 2012, Copenhagen, Denmark (18 January 2012).

Aging and Work: Can Old Europe still prosper? Economic effects of a longer working life., MaxNetAging Annual Conference 2012, Bad Kohlgrub (19 January 2012).

Wie lange sollen wir arbeiten? Der demographische Wandel als Chance für die Gesellschaft. [*How Long shall we work? The demographic Change as a chance for the society*], Pharmacon Fortbildungswoche, Davos, Schweiz (10 February 2012).

Riester Pensions: Do they work?, Jahrestreffen 2012 der Sektion Ökonomik und Empirische Sozialwissenschaften der Nationalakademie der Wissenschaften Leopoldina, MPISOC, Munich (13 February 2012).

Global Aging: International Spillovers and Insights from International Comparisons, Annual Meeting of the American Association for the Advancement of Science (AAAS), Vancouver, BC, Canada (17 February 2012).

The Early Retirement – Cognition, Health and Mortality Nexus, The MacArthur Aging Societies Network, Vancouver, BC, Canada (18 February 2012).

Keynote Lecture: Probleme und Lösungen bei der Altersvorsorge in Deutschland [Problems and Solutions of the retirement arrangement in Germany], Symposium "Geburtenrückgang und alternde Gesellschaft" der Japanisch-Deutschen Gesellschaft, Tokyo, Japan (8 March 2012).

Demographische Herausforderungen – Chance für die Gesellschaft? [Demographic challenges – Chance for the Society?], 34. Jahrestagung der Gesellschaft für Deutschlandforschung und Symposium der Herbert-Giersch-Stiftung "Modell Deutschland", Berlin (12 March 2012).

What information is needed to support active aging policies?, European Health & Life Expectancy Information System (EHLEIS) Workshop "Increasing Active Healthy Aging: How can monitoring help to achieve the EU goal?", Paris (19 April 2012).

SHARE-Ireland and TILDA merger, Steering Committee Meeting TILDA (The Irish Longitudinal Study on Ageing), Dublin (11 May 2012).

Keynote Lecture: Active Ageing of the Baby Boomers, Population Europe Conference "Riding the demographic wave", Warsaw, Poland (17 May 2012).

Keynote Lecture: Aging, Labor Markets and Economic Well Being, Annual Meeting of the Austrian Economic Association (NOeG), Vienna, Austria (18 May 2012).

Wissenschaftlich & Gesellschaftliche Bedeutung bevölkerungsweiter Längsschnittstudien [Scientific + social meaning populationwide study of longitudinal sections], Leopoldina scientific committee "Demographic Change", Berlin (21 May 2012).



German-Japanese Symposium on Positive Aging, Tokyo, Oct 2012.

Stand der Verlinkung von SHARE mit den Daten von DRV-Bund [Status of linkage of SHARE with data of DRV-Bund], Projektgespräch SHARE-RV (RV = Rentenversicherung), Berlin, Germany (22 May 2012).

Effects of Disability Insurance in Germany, International Social Security (ISS) Conference, Rom, Italy (24 May 2012).

The European Dimension of Public & Private Pensions, Bundesarbeitgeberverband Chemie e.V. (BAVC) Workshop "Zukunft der Renten in Europa", Prague, Czech Republic (4 June 2012).

Keynote Lecture: Global Aging: Growth, Labor Supply, and Living Standards – An International View, The International Economic Forum of the Americas – Conference of Montreal "A Global Economy in Transition: New Strategies, New Partnerships", Montreal, Canada (10 June 2012).

Policies for an Aging World, The International Economic Forum of the Americas – Conference of Montreal "A Global Economy in Transition: New Strategies, New Partnerships", Montreal, Canada (11 June 2012).

SHARE and its Policy Lessons from International Comparisons, HRS User Conference (HRS = Health + Retirement Study), Ann Arbor, United States of America (12 June 2012).

Im Demographischen Wandel die Chancen sehen! [See the chances in the demographic change], CDU-Landtagsfraktion Baden-Württemberg, Stuttgart (18 June 2012).

SHARE and its Policy Lessons from International Comparisons, RAND Dataset Workshop, Oxford, U.K. (25 June 2012).

SHARE and its Policy Lessons from International Comparisons, Italian SHARE User Conference, Venice, Italy (28 June 2012).

Contextual data bases, MacArthur Foundation Workshop "Social Protectors", Paris, France (10 July 2012).

State of Share Global Access to SHARE, SHARE Wave 5 Post-Pretest Conference, Uppsala, Sweden (19 July 2012).

Riester pensions in Germany, NBER Summer Institute – Public Finance Meeting, Boston, USA (25 July 2012).

Keynote Lecture: Sozialsystem nachhaltiger gestalten [To form the socialsystem more sustainably], Alpacher Wirtschaftsgespräche 2012 – Europäisches Forum, Alpach, Austria (28 August 2012).

Intergenerational Distribution and Riester Pensions in Germany, Mac Arthur Aging Societies Network Meeting, Washington, DC, USA (14 September 2012).

Globale gesellschaftliche Veränderungsprozesse [Global social changing processes], Jahresversammlung der Leopoldina, Berlin (24 September 2012).

Altersarmut in Deutschland [Poverty among the elderly in Germany], Wissenschaftlicher Beirat des BMWi, Berlin (28 September 2012).

SHARE: Ex-ante harmonized international & interdisciplinary data, Meeting with Eurostat, Luxembourg (2 October 2012).

OLG-Models for Population Aging, OLG-GCE Workshop, Grassen (5 October 2012).

Keynote Lecture: Demographic Change: Not a disaster but an opportunity for Japan and Germany, German-Japanese Symposium on Positive Aging, Tokio, Japan (9 October 2012).

Status of SHARE 2012, ERIC Committee Meeting, Brussels, Belgium (19 October 2012).



Life Histories: Harmonization with SHARE and ELSA, ELSI-Brazil International Workshop, Rio de Janeiro, Brazil (12 November 2012).

Measuring Policy Variation Across Europe, Workshop on Data Needs for Decision Making, Brussels, Belgium (21 November 2012).

Significance of Data Linkage in Population Surveys, Workshop Data Linkage der DRV-Bund, Berlin, Germany (22 November 2012).

Solidargemeinschaft oder Eigenverantwortung? [Solidarity or personal responsibility?], Max Planck Forum "Solidargemeinschaft oder Eigenverantwortung: Wie viel Staat muss sein?", Munich, Germany (27 November 2012).

Altersarmut in Deutschland [Poverty among the elderly in Germany], Beirat BMWi, Frankfurt a.M., Germany (30 November 2012).

International Savings Comparisons, Research Council der Bundesbank, Frankfurt a.M., Germany (14 December 2012).

Altersarmut in Deutschland [Poverty among the elderly in Germany], Press Conference BMWi (Federal Ministry of Economics and Technology), Berlin, Germany (18 December 2012).

SHARE and its Policy Lessons from International Comparisons, Dondena Seminars (Dondena Center for Research on Social Dynamics) at the Università Bocconi, Milano, Italy (20 December 2012).

Success and Sustainability of internationally comparative Research infrastructures, Facing the Future: "European Research infrastructures in the social sciences", Berlin, Germany (23 January 2013).

What Happens When We ALL Age? Lessons from International Comparisons., MPG Sektionstreffen, Berlin, Germany (21 February 2013).

Keynote Lecture: The Sustainability of the German Pension System, International Conference on Pension System Sustainability (ICPSS) 2013, Rome, Italy (22 February 2013).

Wissenschaftliche und gesellschaftspolitische Bedeutung bevölkerungsweiter Längsschnittstudien [Scientific + social meaning populationwide study of longitudinal sections], Ständiger Ausschuss der Leopoldina, Berlin, Germany (1 March 2013).

Early Retirement, Cognition and Social Networks, MacArthur Aging Society Network Meeting, San Francisco, USA (8 March 2013).

Should the Central Banks Collect Household Finance Data?, Bundesbank Tagung "Household Finances, Savings & Inequality", Eltville (21 March 2013).

Keynote Lecture: Uncovering Europe's Growth Potential, Pioneer Nobel Colloquium, Peking, China (17 April 2013).

State of SHARE, SHARE Wave5 Midterm-Conference, Prague, Czech Republic (25 April 2013).

Trotz Arbeit arm im Alter? [In spite of employment, poor when old?], Nürnberger Gespräche, Nuremberg (29 April 2013).

Early Retirement and its Effects on Cognition, Well-Being, and Social Networks, NBER Conference on the Economics of Aging, Phoenix, Arizona USA (11 May 2013).

Life histories in SHARE, TILDA Scientific Advisory Board Meeting, Dublin, Ireland (16 May 2013).

Imputations in SHARE, TILDA Scientific Advisory Board Meeting, Dublin, Ireland (17 May 2013).

Demographic Aging: implications for pension provision, Wilton Park Conference, Berlin, Germany (30 May 2013).

Saving behaviour and wealth distribution in Europe, Beiratssitzung Bundesbank, Frankfurt, Germany (6 June 2013).

Early retirement, Cognition, Health and Social Networks, Summer Institute on Aging at the VIU, Venice, Italy (10 June 2013).

Vertrauen in der/und in die Ökonomie [Trust of the/and in the Economy], BBAW-Klassensitzung & Wissenschaftlicher Rat, Berlin, Germany (14 June 2013).

The challenge of causality, Leopoldina Workshop: "Living conditions, environmental, social, economic and psychological determinants of health", Berlin, Germany (19 June 2013).

Evaluationsmethoden [Methods of evaluation], BMWi – Beiratssitzung, Cologne, Germany (20 June 2013).

Keynote Lecture: Population Aging and Economic Growth: The case of Europe, IAGG Conference 2013, Seoul, Korea (24 June 2013).

1. SHARE Wave 4 first results: overview 2. SHARE-ERIC Progress, SHARE Wave 4 Book Launch, Brussels, Belgium (27 June 2013).

Ältere am Arbeitsmarkt: Befunde aus der Wissenschaft [Elderly People in the employment market: results of science], IAB Konferenz: "Ältere am Arbeitsmarkt: Chancen, Risiken und Handlungsansätze", Nuremberg, Germany (9 July 2013).

SHARE in Europe: Wave 4 first results, "SHARE in Poland" Workshop at Ministry of Labour and Social Affairs", Warsaw, Poland (11 July 2013).

SHARE Basic features and some Key Results, LASI Advisory Board, Delhi, India (17 July 2013).

Social inclusion in SHARE and Europe, Harmonization Meeting of the Global Aging Surveys, Delhi, India (18 July 2013).

The State of SHARE, SHARE Conference Wave 6 & Biomarkers, Zürich, Switzerland (5 September 2013).

Wissenschaftliche Politikberatung und Reformen [Scientific Political Consulting + Reform], Jahrestagung des Vereins für Sozialpolitik, Berlin, Germany (7 September 2013).

What do we learn from international comparisons about ageing?, British Society of Gerontology Conference 2013, Oxford, U.K. (13 September 2013).

Weniger-Älter-Bunter: Der demografische Wandel, SZ Mittelstands-Forum, Hamburg, Germany (17 September 2013).

Aging, Retirement Age, and Human Capital Formation, MacArthur Foundation Network on an Aging Society Meeting, New York, USA (20 September 2013).

Disability Insurance at Health: The German Case, NBER Conference on International Social Security, Madrid, Spain (27 September 2013).

Strategic options for cooperation between research infrastructures in the social sciences and the humanities, Strategy Board Meeting of DASISH, Copenhagen, Denmark (30 September 2013).

Keynote Lecture: Is retirement bliss, CEPRA-Lecture (Center for Performance Research + Analytics), Lugano, Switzerland (1 October 2013).

SHARE: State & Future, EU-Workshop on Research Infrastructures in the Social Sciences, Gothenburg, Sweden (4 October 2013).

Aging & its Economic Implications for Europe, Workshop DZA-CASS-DIJ Wellbeing in Aging Societies (DZA=German Center of Gerontology) (CASS=Chinese Academy of Social Sciences) (DIJ=German Institute for Japanese Studies), Peking, China (23 October 2013).

Early retirement, mental health & social networks, DG Employment Workshop, Brussels, Belgium (31 October 2013).

Keynote Lecture: Household saving behaviour, Pioneer Nobel Colloquia-Series, Vienna, Austria (12 November 2013).

Keynote Lecture: The Impact of Structural Reforms and Demographics, Pioneer Nobel Colloquia-Series, Milan, Italy (13 January 2013).

Keynote Lecture: Structural Reforms and Demographic Change, Pioneer Nobel Colloquia-Series, Frankfurt, Germany (14 November 2013).

Altersarmut in Deutschland [Poverty among the elderly in Germany], Workshop: "Armut in Deutschland" des dt. Statistischen Bundesamts, Wiesbaden, Germany (21 November 2013).

Pension and Labour market reforms in an Ageing Europe, Konferenz der EZB, Frankfurt, Germany (21 November 2013).

Success and Sustainability of internationally comparative research infrastructures, Facing the Future: "Research Infrastructures in the Social Sciences", Berlin, Germany (22 November 2013).

Measures of Cognition and Dementia in SHARE, HRS Data Monitoring Committee Meeting, Washington, D.C., USA (5 December 2013).

Long-term care: international comparisons, NORFACE Workshop, Amsterdam, Netherlands (9 December 2013).

Portability of Pension benefits in the DE-TK Corridor, Portability Workshop, Vienna, Austria (16 December 2013).

Aging in Europe: International Context of Behavioural Reactions, American Economic Association Annual Meeting, Philadelphia, USA (4 January 2014).

Aging, active lives and growth, Joint OECD and ESRI Workshop on Long-term prospects of the world economies, Paris, France (31 January 2014).

Aging and Intergenerational Cohesion, MaxNetAging Annual Conference, Berlin, Germany (18 February 2014).

Epidemiometrics, MacArthur Foundation Aging Societies Workshop, San Francisco, USA (20 February 2014).

Keynote Lecture: What is up there in SHARE, Conference 30 years of behavioural & social research, Washington, USA (28 February 2014).

Cognition measures in SHARE, Workshop on harmonizing cognitive measures, Washington, D.C., USA (1 March 2014).

State of SHARE after Pilot Wave 6, SHARE-Meeting, SMB-Meeting SMB = Scientific Monitoring Board), Ohalo-Jerusalem, Israel (13 March 2014).

Keynote Lecture: Wie demografiefest ist die Altersvorsorge in Deutschland? [How solid demographically is the retirement arrangement in Germany?], Handelsblatt-Tagung zur betrieblichen Altersvorsorge, Berlin, Germany (25 March 2014).

Have we achieved adequate, sustainable and safe pensions?, Kommissionskonferenz, Brussels, Belgium (26 March 2014).

Längsschnittstudien [Longitudinal studies], Frühjahrstreffen WK Demografischer Wandel der Leopoldina (WK = Joint Science Conference), Berlin, Germany (26 March 2014).

SHARE as Research Infrastructure, IRC-SHARE-Kooperationsgespräch (IRC = Joint Research Center), Ispra, Italy (7 April 2014).

Eine alternde Gesellschaft muss in die Jungen investieren [an elderly Society must invest in younger people], Demografieforum, Berlin, Germany (10 April 2014).

Myths which stand in the way of a rational pension policy, Deutsch-französisches Finanzministertreffen, Paris, France (28 April 2014).

Gesamtwirtschaftliche Aspekte des Demografischen Wandels [Overall aspects of the demographic change], Wirtschaftlicher Dialog im Bundeskanzleramt, Berlin, Germany (13 May 2014).

Early Retirement, Cognition & Social Networks, Tagung des Theor. Ausschuss, Reissensburg, Germany (22 May 2014).

Macroeconomic Implications of Aging in Europe, Bank of Korea Conference, Seoul, Korea (2 June 2014).

Keynote Lecture: Macroeconomic implications of Aging in Europe, Venedig International University Summer School, Venice, Italy (6 June 2014).

Vergleich Jahrgang 1954 mit 1964 [Comparison Age-Group 1954 with 1964], Expertenrat Demografie, Berlin, Germany (17 June 2014).

Keynote Lecture: Silver economy: pipe dream or realistic possibility?, OECD Workshop on Silver Economy, Oxford, U.K. (26 June 2014).



Keynote Lecture: New international comparisons help to understand Population aging, 20th International Panel Data Conference, Tokyo, Japan (10 July 2014).

State of SHARE: Budget & Strategic Issues, SHARE Post-Pretest Conference, Krakow, Poland (14 June 2014).

SHARE Germany, Begehung DFG-Proposal SHARE (DFG = Deutsche Forschungsgemeinschaft), Bonn, Germany (15 September 2014).

Ist das deutsche Altersversorgungssystem demographiefest? [Is the German Pension System demographically solid?], IPV-Akademie Jahrestagung 2014 (IPV = Industrie-Pensions-Verein), Berlin, Germany (18 September 2014).

The demographic challenge in Germany, Deutsch-Dänisches Treffen, Düsseldorf, Germany (19 September 2014).

Keynote Lecture: Redesigning the Welfare State for aging Societies, International Institute of Public Finance – Annual Conference, Lugano, Switzerland (22 September 2014).

Volkswirtschaftliche Aspekte des demografischen Wandels [Economic aspects of the demographic change], Gespräch im Bundespräsidialamt, Berlin, Germany (24 September 2014).

Political economy of Pension reform, Seminar on Pension economics and policy, Warsaw, Poland (25 September 2014).

Management Capacity Building in large Research Infrastructures, Leopoldina AG Längsschnittstudien, Berlin, Germany (7 January 2014).

Life Course Adaption to a longer life, MacArthur Society Network Meeting, Washington, D.C., USA (9 December 2014).

Keynote Lecture: Schlüsse aus den Rentenreformen seit 1972 [Conclusions of the pension reforms since 1972], RWI Konferenz "Zukunftsfähigkeit des Rentensystems" (RWI = Rheinisch-Westfälisches Institut für Wirtschaftsforschung), Berlin, Germany (17 November 2014).

Early retirement and social inclusion, SHARE Conference, Torino, Italy (24 January 2014).

Keynote Lecture: Flexible retirement, CINTIA Conference, Torino, Italy (25 January 2014).

Skills shortage, Wissenschaftlicher Beirat beim BMWi (BMWi = Bundesministerium für Wirtschaft), Frankfurt, Germany (27 November 2014).

Keynote Lecture: Blick über den Tellerrand: Reformen in der EU [Looking beyond the edge of a plate: reforms in the European Union], Luzerner Kongress Alterspolitik 2020, Luzern, Switzerland (4 December 2014).

State of SHARE, HRS Data Monitoring Committee Meeting (HRS = Human Resource Services), Washington, D.C., USA (8 December 2014).

Keynote Lecture: Lessons from international comparisons using SHARE, RIETI-JSTAR Conference (RIETI = The Research Institute of Economy, Trade and Industry) (JSTAR = The Japanese Study of Aging and Retirement), Tokyo, Japan (12 December 2014).

Brandt, Martina

Support Networks of childless older people in Europe, Evaluation, Munich (29 March 2012).

SHARE-ERIC: A European Research Infrastructure, Norface Workshop, Berlin (3 May 2012).

Scars that will not disappear, Research Committee 28 Spring Meeting, Hong Kong, Hong Kong (12 May 2012).

Transfers zwischen Generationen [Transfers between Generations], Enquete: Dialog der Generationen, Vienna, Austria (22 May 2012).

Scars that will not disappear. Long-term associations between adverse childhood conditions, early-, and later-life unemployment in Continental Europe, Oberseminar Universität zu Köln, Cologne (23 May 2012).

SHARE – research potentials for an ageing Europe, Active ageing – the potential for society conference, Dublin, Ireland (9 July 2012).

Intergenerational Transfers in Europe, American Sociological Association Annual Meeting, Denver, CO, USA (18 August 2012).

Unterstützungsnetzwerke älterer Kinderloser in Europa [Support Networks of Childless in Europe], Seminar Sozialrecht, Munich (4 September 2012).

SHARE Dissemination and Scientific Progress, SHARE ERIC Council meeting, Munich (21 September 2012).

SHARE Potentials for Family Research, European Society on Family Relations 2012: Families in a changing Europe, Lillehammer, Norway (27 September 2012).

Ad hoc Gruppe Altern und Lebenslauf, Vielfalt und Zusammenhalt – 36. Deutsche Gesellschaft für Soziologie-Kongress, Bochum (4 October 2012).

SHARE Dissemination, SHARE M4 Review and Scientific Monitoring Board Meeting, Berg (18 January 2013).

Sozialer Zusammenhalt, soziale Netzwerke und Gesundheit im Alter [Social Cohesion, Social Networks, and Health in Later Life], Frühjahrstagung der Deutsche Gesellschaft für Soziologie-Sektion Alter(n) und Gesellschaft, Cologne (1 March 2013).

Who is who in SHARE?, SHARE Wave 5 Midterm Meeting, Prague, Czech Republic (25 April 2013).

Support Networks of Childless Older People in Europe, Sunbelt Conference, Hamburg (23 May 2013).

Introduction to SHARE Wave 4, SHARE Wave 4 Book Launch, Brussels, Belgium (27 June 2013).

SHARE – Potentials for demographic research, IUSSP International Population Conference, Busan, South Korea (27 August 2013).

Intergenerational transfers and support to childless older people in Europe – Do social policies matter?, Workshop The Extended Family and the Welfare State, Barcelona, Spain (6 October 2013).

Zentrale Buchpublikationen des Survey of Health, Ageing and Retirement in Europe [Central book publications of the Survey of Health, Ageing and Retirement in Europe], MPDL Fachbeirat, Munich (14 October 2013).

Introduction to SHARE Wave 4, DG employment SHARE seminar, Brussels, Belgium (31 October 2013).

Intergenerational transfers & support to childless older people in Europe: Do social policies matter?, MacArthur Foundation Network on an Aging Society: Intergenerational Exchange in Aging Societies, Munich (8 November 2013).

Intergenerational Transfers and Social Policies, Seminar Consumption and Savings, University of Hohenheim, Hohenheim (16 December 2013).

Die Unterstützung Älterer in Europa – Das Zusammenspiel von Familie und Staat [Support of Older People in Europe – Linking the Family and the State], Forschungsnetzwerk Alterssicherung (FNA)-Jahrestagung, Berlin (24 January 2014).

An introduction to SHARE, Nutzerschulung gesis "SHARE Meet the data", Cologne (13 February 2014).

SHARE scientific progress, SHARE ERIC Council, Munich (6 March 2014).

Bristle, Johanna

Fieldwork Management in SHARE, 1st Meeting of Work Package 3 of the EU-Project Data Service Infrastructure for the Social Sciences and Humanities (DASISH), London, United Kingdom (18 April 2012).

How to Use the Sample Management System, Train the Trainer – Pretest Wave 5, Munich (30 May 2012).

Response Behaviour in SHARE, SHARE Wave 5 Post Pretest Meeting, Uppsala, Sweden (20 July 2012).

DASISH: Plans and goals of WP3, 1st DASISH Quantitative Workshop, Mannheim (13 December 2012).

Response Behaviour – Analysing Nonresponse for Improving Retention Rates, Review Meeting of the EU-Project Multinational Advancement of Research Infrastructures on Ageing (M4), Berg, Deutschland (17 January 2013).

Paradata in SHARE, DASISH Task Group Meetings & Consortium Meeting, Munich (29 January 2013).

Soziale Ungleichheit bei der Grippeimpfung in der älteren Bevölkerung Europas [Social Disparities in Influenza Vaccination among older Europeans], Gesundheitssoziologie trifft Ökonomie – Frühjahrstagung der Sektion Medizin- und Gesundheitssoziologie, Nuremberg (4 March 2013).

Fieldwork management system – Development of a new case management tool, 2nd European Social Survey (ESS) – "Data for a Changing Europe" National Coordinators Meeting, Mannheim (21 March 2013).

Survey Participation and Item Nonresponse in SHARE, presented by M.Celidoni., 5th Conference of the European Survey Research Association (ESRA), Ljubljana, Slovenia (17 July 2013).

Interview length wave 4 vs. wave 5 – Outlook Wave 6, SHARE Wave 6 Kick-off Meeting, Zurich, Switzerland (5 September 2013).

Outline for Keystroke Analysis in SHARE, 3rd DASISH Work Package 3 Group Meeting, Munich (15 October 2013).

Survey Participation in SHARE – The Contribution of Paradata to Panel Cooperation, 4th SHARE User Conference, Liège, Belgium (29 November 2013).

Discussion on Ansgar Wübker "Invited, informed and fully covered: The effect of local organized screening programs on preventive care use and the educational gradient", Augsburg Workshop on the Economics of Health Behaviors and Prevention, Augsburg (30 November 2013).

Bildungsunterschiede bei der Grippeimpfung in der älteren Bevölkerung Europas [Educational disparities in influenza vaccination across older Europeans], Jahrestagung der Deutschen Gesellschaft für Gesundheitsökonomie (DGGÖ), Munich (17 March 2014).

Mediale Präsenz und Bildungsunterschiede bei der Grippeimpfung in Europa [Media presence of influenza and educational disparities in vaccination decisions], Doktoranden- und Habilitandenseminar Burg Hoheneck, Ipsheim (5 May 2014).

Survey Participation in SHARE: The contribution of paradata in analyzing panel cooperation, Panel Survey Methods Workshop 2014, Ann Arbor, MI, USA (21 May 2014).

Pretest results: Interview length, SHARE Wave 6 Post Pretest Meeting, Krakow, Polen (17 July 2014).

Public expenditure and socioeconomic disparities in influenza vaccination across Europe, The 15th Biennial Conference of the European Society for Health and Medical Sociology (ESHMS), Helsinki, Finland (28 August 2014).

Health Literacy und Bildungsunterschiede im Gesundheitsverhalten [Health Literacy and educational disparities in health behavior], Gesundheits- und Medizinsoziologie Kongress 2014, Villach, Austria (18 September 2014).

Keystroke analysis and implications for fieldwork, Final DASISH conference, Gothenburg, Sweden (28 November 2014).

Bucher-Koenen, Tabea

Do Smarter Consumers Get Better Advice? An Analytical Framework and Evidence from German Private Pensions, Netspar Pension Workshop, Amsterdam, The Netherlands (26 January 2012).

Do Smarter Consumers Get Better Advice? An Analytical Framework and Evidence from German Private Pensions, Faculty Seminar Universität Hamburg, Hamburg (1 January 2012).

How financially literate are women? Some new perspectives on the gender gap, Netspar Pension Day, The Hague, Netherlands (17 April 2013).

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DASISH Work Package 6: Task 6.1 "New Ethical and Legal Challenges", DASISH Consortium Meeting (Work Package 6 Meeting), Munich, Germany (29 January 2013).

Collecting Dried Blood Spots in a Cross-national Survey – New Legal & Ethical Challenges, DASISH Consortium Meeting (Work Package 6 Meeting), Munich, Germany (29 January 2013).

Dried Blood Spots in SHARE Wave 6 – Legal and Ethical Aspects, SHARE Wave 5 Midterm Meeting, Prague, Czech Republic (25 April 2013).

Dried Blood Spots in SHARE Wave 6 – Ethics Committee Approvals, SHARE Wave 6 Kick-off Meeting (+ Biomaker Workshop), Zurich, Switzerland (6 September 2013).

Dried Blood Spots in SHARE Wave 6 – Pretest Results: Legal and Ethical Requirements, SHARE Wave 6 Post-Pretest Meeting, Kraków, Poland (17 July 2014).

Herausforderungen und Probleme bei Ethikkommissionsbegutachtungen multidisziplinärer paneuropäischer Umfrageforschung (am Beispiel von SHARE) [Challenges and problems with regard to ethics committee approvals in multidisciplinary paneuropean survey research (the example of SHARE)], Tagung "Forschungsethik in der qualitativen und quantitativen Sozialforschung", Munich, Germany (11 September 2014).

Schuth, Morten

Health Effects of (Early) Retirement, World Bank Regional Workshop Aging, Munich, Germany (1 April 2014).

Baseline/refreshment sampling main survey, SHARE Wave 6 Pretest TTT, Munich, Germany (14 May 2014).

Spindler, Martin

Boosting the Anatomy of Volatility, Singapore Management University Symposium on Empirical Finance and Financial Econometrics, Singapore (9 May 2012).

Asymmetric Information and Unobserved Heterogeneity in the Accident Insurance, Econometric Society North America Summer Meeting 2012, Chicago (1 July 2012).

Asymmetric Information and Unobserved Heterogeneity in the Accident Insurance, European Economic Association & Econometric Society 2012 Parallel Meetings, Malaga (27 August 2012).

Asymmetric Information and Unobserved Heterogeneity in the Accident Insurance, Jahrestagung des Vereins für Socialpolitik, Göttingen (11 September 2012).

Asymmetric Information and Unobserved Heterogeneity in the Accident Insurance, Statistische Woche (Jahrestagung der Deutschen Statistischen Gesellschaft), Vienna, Austria (19 September 2012).

Boosting the Anatomy of Volatility, Statistische Woche (Jahrestagung der Deutschen Statistischen Gesellschaft), Vienna, Austria (19 September 2012).

Boosting the Anatomy of Volatility, 3rd Humboldt-Copenhagen Conference on Econometrics, Berlin (15 March 2013).

L2-Boosting for Optimal Instrumental Variable Estimation, North American Summer Meeting of the Econometric Society 2014, Minneapolis, USA (20 June 2014).

"They do know what they are doing... at least most of them." Asymmetric information in the (private) disability insurance, 23rd European Workshop on Econometrics and Health Economics, Starnberg (5 September 2014).

L2-Boosting for Optimal Instrumental Variable Estimation, Statistische Woche (Jahrestagung der Deutschen Statistischen Gesellschaft), Hannover (16 September 2014).

Stuck, Stephanie

Pretest Preload SHARE Wave 5, SHARE Wave 5 Pilot Train the Trainer (TTT), Munich (17 February 2012).

Wave 5 Questionnaire Testing & Pretest Preload Procedures, SHARE Operators Meeting & SHARE Wave 5 Meeting, Brixen (23 March 2012).

Preload Wave 5 & SHARE "Special" Interviews: Proxy, End-of-Life and Nursing Homes, SHARE Wave 5 Pretest Train the Trainer (TTT), Munich (30 May 2012).

International Standard Classification of Education (ISCED) 2011: Lessons from Pretest and Maintest Implementation & General Database Management Schedule and Tasks, SHARE Operators Meeting & Wave 5 Post-Pretest Meeting & Wave 4 Imputations Meeting, Uppsala, Sweden (18 July 2012).

Eligibility in SHARE & Coverscreen Wizard and Special Interviews, SHARE Wave 5 Maintest Train the Trainer (TTT), Munich (13 December 2012).

SHARE Wave 5 Data Base Management: Tasks, Procedures and Milestones, SHARE Operators Meeting & W5 Midterm Meeting & CentERdata Meeting, Prague, Czech Republic (24 April 2013).

Documentation of Fieldwork Issues, SHARE Operators Meeting & SHARE Wave 6 Kick-off Meeting, Zurich, Switzerland (4 September 2013).

Preload and Eligibility, SHARE Wave 6 IT Training & Pilot Train the Trainer (TTT), Munich (6 February 2014).

Data Base Management Tasks, Schedule and Wrap up, SHARE Operators Meeting & SHARE Wave 6 Post-Pilot Meeting, Tel Aviv, Israel (12 March 2014).

Preload and Forwarding of Information, SHARE Wave 6 Pretest Train the Trainer (TTT), Munich (16 May 2014).

Schedule and Preload Procedures Wave 6, SHARE Operators Meeting & SHARE Wave 6 Post Pretest Meeting, Krakow, Poland (16 July 2014).

Wagner, Melanie

Wave 6 questionnaire: design & translation Wave 6 questionnaire: content & strategic decisions, "smoothing", SHARE Wave 5 Midterm Meeting, Prague, Czech Republic (26 April 2013).

Wave 6: Questionnaire "smoothing", SHARE Wave 6 Kick-off, Zürich, Schweiz (6 September 2013).

Update on meeting with RJS, extrapolation of interview length wave 6, suggestions for saving interview time, review of EN generic questionnaire, translation verification, SHARE Questionnaire Board Meeting, Liege, Belgium (27 November 2013).

Wave 6 innovations Mock interview, SHARE Wave 6 IT training & Pilot TTT, Munich (6 February 2014).

Summary of wave 6 questionnaire changes & open issues, SHARE Post-Pretest Meeting, Ohalo, Israel (14 March 2014).

Questionnaire innovations SMS-CAPI training session 2: panel mock interview: Demographics, Social Networks, SHARE Wave 5 Pretest TTT, Munich (14 May 2014).

Pretest results: New items, SHARE Post-Pretest Meeting, Krakow, Poland (17 July 2014).

The impact of caring on caregiver's social inclusion. Loneliness amongst informal caregivers, SHARE Wave 5 FRB Conference, Turin, Italy (24 November 2014).

Questionnaire and software innovations Mock interview, SHARE Wave 6 Main TTT, Munich (10 December 2014).

Weiss, Matthias

Productivity during Life Course, Expert Workshop "Ageing and Innovation", Kreditanstalt für Wiederaufbau und Bundesinstitut für Bevölkerungsforschung, Berlin (9 May 2012).

Demographische Entwicklungen verstehen [Understanding demographic change], Prozessoptimierung als Weg aus der Demographie-Falle – Ein Expertenseminar der PIKON Deutschland AG und der TIMCONCEPT GmbH, Kloster Roggenburg (20 September 2012).

Demografischer Wandel und die Wirtschaft [Demographic Change and the Economy], Expertenvortrag im Rahmen des Sozialkunde-Unterrichts der 11. Klassen des Carl-Spitzweg-Gymnasiums, Germering (19 February 2013).

Produktivität in alternden Gesellschaften: Mikro- und Makroperspektive [Productivity in aging societies: Micro- and macroperspective], Jahrestagung der Deutschen Gesellschaft für Demographie: Soziale Ungleichheit und Demografischer Wandel, Berlin (8 March 2013).

Produktivität Älterer [Productivity of older workers], Experten-Workshop "Beschäftigungsfähigkeit Älterer" des Instituts für Arbeitsmarkt- und Berufsforschung, Nuremberg (6 June 2013).

Der Demografische Wandel und die Wirtschaft: Was kommt auf uns zu? Was können wir tun? [Demographic Change and the Economy: What to expect and what to do.], Schuman Forum der Bayerischen Staatskanzlei, St. Quirin on the Tegernsee (14 June 2013).

Produktivität in einer alternden Gesellschaft [Productivity in an Aging Society], Science Café im Rahmen der Wanderausstellung der Leibniz-Gemeinschaft und des Bundesministeriums für Bildung und Forschung: "Zukunft leben: Die Demografische Chance", Dresden (27 June 2013).

Age and Productivity: Evidence from car manufacturing and financial services, IAB-Colloquium, Institute for Employment Research (IAB), Nuremberg (12 September 2013).

Podiumsdiskussion "Herausforderung oder Überforderung? Der demografische Wandel in Alltag und Arbeit" [Panel Discussion on "Demographic Change: Challenge or Swamp?"], Max Planck Forum München, Munich (23 January 2014).



Sick Leave and the Composition of Work Teams, Annual Meeting of the German Association of Health Economists (gddoe), Munich (17 March 2014).

Productivity in Aging Societies, "Regional Workshop AG!NG – From Knowns Knowns to Unknowns Unknowns" jointly organized by the World Bank and MEA, Munich (31 March 2014).

Discussion of Vandenberghe: "Assessing the role of ageing, feminising and better-educated workforces on TFP growth", International Biennial Conference of the National Bank of Belgium, Brussels, Belgium (16 November 2014).

Sick Leave and the Age Composition of Work Teams, Labor market prospects of older workers, Nuremberg (24 October 2014).

Age and Productivity in Work Teams: Evidence from Manufacturing and Services, Meeting of the Study Group "Qualification" of The Demographic Network (ddn), Herzogenaurach (5 November 2014).

Weiss, Luzia

Computer Assisted Personal Interview (CAPI) training session 2: Physical measurements, SHARE Wave 5 Main Train-the-Trainer Session (TTT), Munich (13 December 2012).

Collection of dried blood spots, SHARE Scientific Monitoring Board Meeting 2013, Berg, Germany (18 January 2013).

The Biomarker Project in the Survey of Health, Ageing and Retirement in Europe, SHARE, Workshop "International Meeting on Biological Risk in Population Surveys", New Orleans, LA, USA (9 April 2013).

The Collection of Dried Blot Spots (DBS) in wave 6, SHARE Wave 5 Midterm Meeting, Prague, Czech Republic (25 April 2013).

DBS collection wave 6 – Computer Assisted Personal Interview (CAPI) module & logistics –, SHARE Wave 6 Kick-off, Zurich, Switzerland (6 September 2013).

When we know more than our respondents do... Evaluating health of SHARE respondents based on self-reports and dried blood spot samples, Autumn Conference of the Section Sociology of Medicine and Health of the German Sociological Association, Fiesole, Italy (3 October 2013).

Test protocol for Dried Blood Spots & Linkage, SHARE Wave 6 IT training & Pilot Train-the-Trainer Session (TTT), Munich (7 February 2014).

SHARE wave 6 Dried Blood Spots collection update, SHARE Wave 6 Post-Pilot Meeting, Ohalo, Israel (13 March 2014).

Collection of Dried Blood Spots – Update, SHARE Scientific Monitoring Board Meeting 2014, Ohalo, Israel (15 March 2014).

SHARE update – "airtightening" the Dried Blood Spots collection, Biomarker Network Meeting, Boston, MA, USA (30 April 2014).

Collection of Dried blood spot samples (DBSS), SHARE Wave 6 Pretest Train-the-Trainer Session (TTT), Munich (15 May 2014).

Computer Assisted Personal Interview (CAPI) training session 3: mock interview (physical measurements "grip strength" & "peak flow"), SHARE Wave 6 Pretest Train-the-Trainer Session (TTT), Munich (15 May 2014).

Nicht diagnostizierter Diabetes: Wieviele? Wer? Wieso? [Undiagnosed diabetes: How many? Who? Why?], Kuratoriumssitzung des Max-Planck-Instituts für Sozialrecht und Sozialpolitik, Munich (24 May 2014).

Erhebung getrockneter Blutstropfen in "50+ in Europa" ("Dried blood spot samples", DBSS) [Collection of Dried Blot Spot Samples (DBSS) in "50+ in Europe"], SHARE Welle 6 Pretest Interviewer-Schulung TNS-Infra-test, Munich (28 May 2014).

Dried Blood Spots (DBS) collection in the SHARE wave 6 pretest – a summary, SHARE Wave 6 Post-Pretest Meeting, Krakow, Poland (17 July 2014).

Zuber, Sabrina

SHARE Wave 5 Pilot TTT, Munich (17 February 2012).

CentERdata Meeting, Tilburg, The Netherlands (27 March 2012).

Coverscreen Wizard and Special Interviews, SHARE Wave 5 Pretest TTT, Munich (31 May 2012).

Dealing with CAPI remarks & Release 1 preparations, SHARE Operators Meeting & Wave 5 Post-Pretest Meeting, Uppsala, Sweden (18 July 2012).

Coverscreen changes and Special Interviews, SHARE Wave 5 Main TTT, Munich (13 December 2012).

Sample Management System (SMS) remarks & Documentation of fieldwork challenges, SHARE Operators Meeting & W5 Midterm Meeting, Centerdata Meeting, Prague, Czech Republic (25 April 2013).

Sample Management System (SMS) & Coverscreen, SHARE Wave 6 IT Training & Pilot TTT, Munich (6 February 2014).

SMS Sample Management System – Coverscreen, SHARE Wave 6 Pretest TTT, Munich (14 May 2014).

Agency Info File & Refreshment Gross Sample Wave 6, SHARE Operators Meeting & SHARE Wave 6 Post-Pretest Meeting, Krakow, Poland (16 July 2014).

Sample Management System (SMS) & Coverscreen, SHARE Wave 6 Main TTT, Munich (10 December 2014).

7. Teaching

Winter Term 2014/2015

Lectures on Advanced Topics in (Micro-) Econometrics (Ph.D.)

Martin Spindler, Helmut Farbmacher
Ludwig-Maximilians-Universität München (LMU)

Classes in Advanced Topics in (Micro-) Econometrics (Ph.D.)

Martin Spindler, Helmut Farbmacher
Ludwig-Maximilians-Universität München (LMU)

Seminar: Einführung in das System der sozialen Sicherung [Introduction to the German Social Security System] (Bachelor)

Marlene Haupt
Hochschule München

MEA Seminar – Economics of Aging (Ph.D.)

Axel Börsch-Supan, Martin Spindler
Technische Universität München (TUM)

Research Workshop "Empirical Economics" (Ph.D.)

Tabea Bucher-Koenen with Davide Cantoni (LMU),
Alexander Danzer (LMU), Joachim Winter (LMU),
Amelie Wuppermann (LMU)
Ludwig-Maximilians-Universität München (LMU)

Summer Term 2014

Lectures on Applied Health Economics (Master)

Tabea Bucher-Koenen, Helmut Farbmacher,
Joachim Winter, (LMU)
Ludwig-Maximilians-Universität München (LMU)

MEA Seminar – Economics of Aging (Ph.D.)

Axel Börsch-Supan, Michela Coppola
Technische Universität München (TUM)

Research Workshop "Empirical Economics" (Ph.D.)

Tabea Bucher-Koenen with Davide Cantoni (LMU),
Alexander Danzer (LMU), Joachim Winter (LMU),
Amelie Wuppermann (LMU)
Ludwig-Maximilians-Universität München (LMU)

Seminar Familiensoziologie

[Seminar on the Sociology of the Family]

Thorsten Kneip
Ludwig-Maximilians-Universität München (LMU)

Winter Term 2013/2014

Seminar Generationen in Familie und Gesellschaft [Seminar on Generations in Family and Society] (Bachelor)

Martina Brandt
Ludwig-Maximilians-Universität München (LMU)

MEA Seminar – Economics of Aging (Ph.D.)

Axel Börsch-Supan, Michela Coppola
Technische Universität München (TUM)

Research Workshop "Empirical Economics" (Ph.D.)

Tabea Bucher-Koenen with Davide Cantoni (LMU),
Alexander Danzer (LMU), Joachim Winter (LMU),
Amelie Wuppermann (LMU)
Ludwig-Maximilians-Universität München (LMU)

Workshop SHARE – meet the data (Ph.D.)

Martina Brandt, Fabio Franzese, Stefan Gruber
GESIS, Köln

Summer Term 2013

MEA Seminar – Economics of Aging (Ph.D.)

Axel Börsch-Supan, Michela Coppola
Technische Universität München (TUM)

Research Workshop "Empirical Economics" (Ph.D.)

Tabea Bucher-Koenen with Davide Cantoni (LMU),
Alexander Danzer (LMU), Joachim Winter (LMU),
Amelie Wuppermann (LMU)
Ludwig-Maximilians-Universität München (LMU)

Winter Term 2012/2013

Seminar Altern und Lebenslauf

[Seminar on Aging and Life Course] (Master)

Martina Brandt
Ludwig-Maximilians-Universität München (LMU)

MEA Seminar – Economics of Aging (Ph.D.)

Axel Börsch-Supan, Michela Coppola
Technische Universität München (TUM)

Research Workshop "Empirical Economics" (Ph.D.)

Tabea Bucher-Koenen with Davide Cantoni (LMU),
Alexander Danzer (LMU), Joachim Winter (LMU),
Amelie Wuppermann (LMU)
Ludwig-Maximilians-Universität München (LMU)

Summer Term 2012

MEA Seminar – Economics of Aging (Ph.D.)

Axel Börsch-Supan, Matthias Weiss
Technische Universität München (TUM)

Research Workshop "Empirical Economics" (Ph.D.)

Tabea Bucher-Koenen with Davide Cantoni (LMU),
Alexander Danzer (LMU), Joachim Winter (LMU)
Ludwig-Maximilians-Universität München (LMU)

Winter Term 2011/2012

MEA Seminar – Economics of Aging (Ph.D.)

Axel Börsch-Supan, Matthias Weiss
Technische Universität München (TUM)

Research Workshop "Empirical Economics" (Ph.D.)

Tabea Bucher-Koenen with Alexander Danzer (LMU),
Joachim Winter (LMU)
Ludwig-Maximilians-Universität München (LMU)



8. Refereeing

Axel Börsch-Supan

Journals: American Economic Review, Journal of Human Resources, Journal of Pension Economics and Finance, Journal of the Economics of Aging

Research Funding Institutions: Forschungsnetzwerk Altersforschung (FNA), VolkswagenStiftung

Martina Brandt

Journals: European Journal of Ageing, Comparative Populations Studies

Johanna Bristle

Conferences: 5th Conference of the European Survey Research Association (ESRA) 2013

Tabea Bucher-Koenen

Journals: B.E. Journal of Economic Analysis & Policy, Gerontology, Jahrbücher für Nationalökonomie und Statistik, Journal of Economic Behavior and Organization, Journal of Pension Economics and Finance (6), European Journal of Finance, Frontiers in Psychopathology, Journal of the European Economic Association (2), Numeracy, Archives of Gerontology and Geriatrics, Review of Finance, Health Economics, Economic Journal

Conferences: Spring Meeting for Young Economists

Research Funding Institutions: Hans-Böckler-Stiftung, Jubiläumsfonds der Österreichischen Nationalbank, The German Israeli Foundation for Scientific Research and Development

Helmut Farbmacher

Journals: Empirical Economics, Fiscal Studies, Health Economics, Stata Journal, Tourism Management

Martin Gasche

Journals: Jahrbücher für Nationalökonomie und Statistik, Sozialer Fortschritt, Journal of Pension Economics and Finance, Zeitschrift für Sozialreform, Comparative Population Studies – Zeitschrift für Bevölkerungswissenschaft, Finanzarchiv, Perspektiven der Wirtschaftspolitik

Research Funding Institutions: Fritz Thyssen Stiftung für Wirtschaftsförderung

Stefan Gruber

Journals: Health Policy

Marlene Haupt

Journals: Journal of Pension Economics and Finance, Schmollers Jahrbuch, Sozialer Fortschritt

Conferences: Annual Conferences of the American Council on Consumer Interests (ACCI) 2013, 2014, 2015

Christian Hunkler

Journals: Journal of Ethnic and Migration Studies (JEMS), Gesis Panel, Analyse & Kritik

Sebastian Kluth

Journals: Sozialer Fortschritt

Thorsten Kneip

Journals: Advances in Life Course Research, Comparative Population Studies, European Sociological Review (2), Journal of Empirical Legal Studies, Polish Journal of Environmental Studies, Population Research and Policy Review

Edited Volume: Best, Henning and Christof Wolf (2014) "Sage Handbook of Regression Analysis and Causal Inference", London Sage Publishers.

Julie Korbmacher

Journals: Journal of the Royal Statistical Society A (JRSS-A)

Frederic Malter

Journals: Advances in Life Course Research, Journal of Methods and Measurement in the Social Sciences

Annette Scherpenzeel

Journals: Mathematical Population Studies

Conferences: International General Online Research Conference 2015

Martin Spindler

Journals: Health Economics, Journal of Business and Economic Statistics, Journal of Risk and Insurance (2), The B.E. Journal of Economic Analysis & Policy, Zeitschrift für die gesamte Versicherungswissenschaft

Matthias Weiss

Journals: The B.E. Journal of Economic Analysis and Policy, Journal of Economic Behavior and Organization, Journal of the Economics of Aging, Labour Economics, Review of Development Economics

Conferences: Spring Meeting of Young Economists (SMYE) 2012, 2014, 2015

Research Funding Institutions: Belgian Federal Science Policy Office

9. Events organized by MEA

9 Jan 2012

SHARE Questionnaire Board Meeting, MEA, Munich (10 Participants)

27 Jan 2012

6. Workshop: Panel Surveys in Germany, MEA, Munich (60 Participants)

16 – 17 Feb 2012

SHARE Wave 5 Pilot TTT, Munich (47 Participants)

15 – 16 Mar 2012

Meeting of the Working Group "Social Protection" of the MacArthur Foundation Network on an Aging Society, MEA, Munich (10 Participants)

21 Mar 2012

SHARE Operators' Meeting, Brixen, Italy (30 Participants)

22 – 23 Mar 2012

SHARE Wave 5 Post-Pilot Meeting, Brixen, Italy (63 Participants)

16 Apr 2012

SHARE IT Meeting, Munich (31 Participants)

30 May – 1 Jun 2012:

SHARE Wave 5 Pretest TTT, Munich (68 Participants)

12 – 13 Jul 2012

Demographic Trends, Saving and Retirement Security: Stylized Facts and Behavioral Responses, SAVE-PHF Conference jointly organized by MEA and Deutsche Bundesbank's Panel on Household Finances (PHF), Hilton Park Hotel, Munich (62 Participants)

18 Jul 2012

SHARE Operators' Meeting, Uppsala, Sweden (34 Participants)

19 – 20 Jul 2012

SHARE Wave 5 Post-Pretest Meeting, Uppsala, Sweden (62 Participants)

21 Sep 2012

SHARE-ERIC Council Meeting, MEA, Munich (34 Participants)

5 Oct 2012

OLG-CGE Models and Demographic Research, Joint workshop organized by MEA and the Scottish Institute for Research in Economics (SIRE), Grassau (15 Participants)

22 – 23 Nov 2012

Workshop: Linking Survey and Social Security Data, Joint organized by MEA and the Research Data Center of the German Public Pension Fund, Berlin (30 Participants)

12 – 14 Dec 2012

SHARE Wave 5 Main TTT, Munich (83 Participants)

15 – 16 Jan 2013

Meeting of the Working Group "Social Protection" of the MacArthur Foundation Network on an Aging Society, MEA, Munich (10 Participants)

17 Jan 2013

SHARE M4 Midterm Review, Berg (Lake Starnberg) (39 Participants)

18 Jan 2013

SHARE Scientific Monitoring Board (SMB) Meeting, Berg (Lake Starnberg) (39 Participants)

30 Jan 2013

DASISH General Consortium Meeting, MEA, Munich (52 Participants)

15 – 16 Feb 2013

"Empirical Health Economics", joint conference organized by IFO, LMU, MEA, ifo Institute, Munich (52 Participants)



SHARE-ERIC Council Meeting, Munich, Mar 2014.



21 – 22 Mar 2013

"Household Finances, Saving and Inequality: An International Perspective" PHF-SAVE Conference jointly organized by Deutsche Bundesbank's Panel on Household Finances (PHF) and MEA, Eltville (60 Participants)

4 – 5 Apr 2013

"Explaining Interviewer Effects in Interviewer-Mediated Surveys", joint workshop organized by Universität Mannheim and MEA, Mannheim (40 Participants)

24 Apr 2013

SHARE Operators' Meeting, Prague, Czech Republic (38 Participants)

25 – 26 Apr 2013

SHARE Wave 5 Midterm Meeting, Prague, Czech Republic (66 Participants)

27 Jun 2013

Presentation of the First Results Book SHARE Wave 4: "Active Ageing and Solidarity between Generations in Europe – First Results from SHARE after the Economic Crisis", Brussels, Belgium (78 Participants)

4 Sep 2013

SHARE Operators' Meeting, Zürich, Switzerland (29 Participants)

5 – 6 Sep 2013

SHARE Wave 6 Kick-off, Zürich, Switzerland (60 Participants)

7 Sep 2013

Biomarker Workshop, Zürich, Switzerland (35 Participants)

10 Sep 2013

SHARE-ERIC Council Meeting, MEA, Munich (32 Participants)

14 – 15 Oct 2013

DASISH WP3 Group Meeting, MEA, Munich (16 Participants)

7 – 8 Nov 2013

Workshop "Intergenerational Exchange in Aging Societies" of the McArthur Foundation Network on an Aging Society Intergenerational, MEA, Munich (12 Participants)

27 – 28 Nov 2013

SHARE Questionnaire Board Meeting, Liège, Belgium (10 Participants)

28 – 29 Nov 2013

SHARE User Conference, Liège, Belgium (146 Participants)

5 – 7 Feb 2014

SHARE Wave 6 IT Training & Pilot TTT, Munich (87 Participants)

7 Feb 2014

1. Meeting of the Working Group "The Role of Representative Longitudinal Studies for Science and Social Policy" of the German National Academy of Sciences Leopoldina, MEA, Munich (11 Participants)

13 – 14 Feb 2014

Workshop: Meet the Data: Survey of Health, Ageing and Retirement in Europe (SHARE), GESIS, Köln. (15 Participants)

6 Mar 2014

SHARE-ERIC Council Meeting, MEA, Munich (34 Participants)

12 Mar 2014

SHARE Operators' Meeting, Tel Aviv, Israel (30 Participants)

13 – 14 Mar 2014

SHARE Wave 6 Post-Pilot Meeting, Kinneret, Israel (76 Participants)



SHARE Wave 6 Post-Pilot Meeting, Kinneret, Israel, Mar 2014.



23rd European Workshop on Econometrics and Health Economics, Starnberg, Sep 2014.

15 Mar 2014

SHARE Scientific Monitoring Board (SMB) Meeting, Kinneret, Israel (35 Participants)

31 Mar – 1 Apr 2014

"Regional Workshop Aging: From Known Knowns to Unknown Unknowns", Joint Workshop organized by the World Bank and MEA, MEA, Munich (39 Participants)

9 May 2014

1. MEA Alumni Conference, Schloss Ringberg, Kreuth (42 Participants)

12 May 2014

1. Expert Hearing of the Working Group "The Role of Representative Longitudinal Studies for Science and Social Policy" of the German National Academy of Sciences Leopoldina, MEA, Munich (19 Participants)

14 – 16 May 2014

SHARE Wave 6 Pretest TTT, Munich (91 Participants)

3 Jul 2014

2. Expert Hearing of the Working Group "The Role of Representative Longitudinal Studies for Science and Social Policy" of the German National Academy of Sciences Leopoldina, MEA, Munich (16 Participants)

16 Jul 2014

SHARE Operators' Meeting, Kraków, Poland (32 Participants)

17 – 18 Jul 2014

SHARE Wave 6 Post-Pretest Meeting, Kraków, Poland (70 Participants)

3 – 6 Sep 2014

"23rd European Workshop on Econometrics and Health Economics", Joint Workshop organized by Health, Econometrics and Data Group (HEDG), University of York, UK, Department of Economics, Empirical Economics Research Group, Ludwig-Maximilians-Universität München (LMU) and MEA, Starnberg (56 Participants)

7 Nov 2014

3. Expert Hearing of the Working Group "The Role of Representative Longitudinal Studies for Science and Social Policy" of the German National Academy of Sciences Leopoldina, Berlin (16 Participants)

24 Nov 2014

First Results Book SHARE Wave 5 Conference, Turin, Italy (42 Participants)

10 – 12 Dec 2014

SHARE Wave 6 Main TTT, Munich (92 Participants)



10. Guests

In the years 2012 through 2014, MEA hosted 122 visitors: 49 from Germany, 55 from non-German Europe, 12 from U.S., and 6 from the Rest of the World. Below is a list of all guests:

1 Oct 2011 – 30 Jun 2012: Liudmila **ANTONOVA**, Università Ca'Foscari Venezia: "Health shocks and life insurance ownership".

9 Jan 2012 – 9 Jan 2012: Andreas **REUMANN**, Københavns Universitet: "Microfinance – Is credit enough? The impact of Non-Financial Services on Microfinance Clients".

16 Jan 2012 – 17 Jan 2012: Steffen **REINHOLD**, Universität Mannheim: "Death and politics: Proportional representation and the morality decline".

20 Jan 2012 – 20 Jan 2012: Rainer **HEUER**, MPI Demographic Research, Rostock: "Academic Management".

24 Jan 2012 – 26 Jan 2012: Giuseppe **DE LUCA**, Università degli Studi di Roma Tor Vergata: "Sampling Design in SHARE".

1 Feb 2012 – 31 Mar 2012: Christian **DEINDL**, Universität zu Köln: "Support Networks of Childless Older People in Europe".

1 Feb 2012 – 31 Mar 2012: Kathrin **JOHANSEN**, Universität Rostock: "Retirement Saving and Attitude towards Financial Intermediaries".

6 Feb 2012 – 6 Feb 2012: Yu **AOKI**, University of Warwick: "An outcome of free labour supply: The effect of volunteer work on mortality".

6 Feb 2012 – 6 Feb 2012: Martin **SPINDLER**, Ludwig-Maximilians-Universität München: "Asymmetric Information in the Automobile Insurance: Evidence from Germany".

6 Feb 2012 – 7 Feb 2012: Veronica **TOFFOLUTTI**, Università degli studi di Padova: "The implications of changing employment protection".

7 Feb 2012 – 8 Feb 2012: Michele **BATTISTI**, Simon Fraser University, Vancouver: "High wage workers and high wage peers".

15 Feb 2012 – 15 Feb 2012: Bettina **SIFLINGER**, Ludwig-Maximilians-Universität München: "Just give me a second' – Response times as a measure of response uncertainty in the Health and Retirement Study".

29 Feb 2012 – 29 Feb 2012: Karsten **HANK**, Universität zu Köln: "Health, Families, and Work in Later Life".

29 Feb 2012 – 29 Feb 2012: Daniel **SCHMIDTZ**, Universität Hamburg: "Digitalisiertes Risikomanagement – Epistemologische Grundlagen, Probleme und Konsequenzen präventionsstaatlichen Regierens".

6 Mar 2012 – 6 Mar 2012: Bernd **WEBER**, Universität Bonn: "Financial Literacy of Patients with Mild Cognitive Impairment".

21 Mar 2012 – 21 Mar 2012: Christian **TRAXLER**, Philipps-Universität Marburg: "Nudges at the dentist – A field experiment on dental check-ups".

28 Mar 2012 – 28 Mar 2012: Michael **ZIEGELMEYER**, Banque centrale du Luxembourg: "Prevalence, reasons and households at risk for terminated and contribution free Riester contracts".

3 Apr 2012 – 3 Apr 2012: Johanna **BÖRSCH-SUPAN**, University of Oxford: "The generational contract in flux: intergenerational tensions in post-conflict Sierra Leone".

7 May 2012 – 9 May 2012: Margherita **FORT**, University of Bologna: "The causal effect of education on health: What is the role of health behaviors?".

15 May 2012 – 16 May 2012: Michal **KUNDERA**, Centrum Analiz Ekonomicznych, Szczecin: "SHARE Poland".

15 May 2012 – 16 May 2012: Monika **OCZKOWSKA**, Centrum Analiz Ekonomicznych, Szczecin: "SHARE Poland".

29 May 2012 – 1 Jun 2012: Johannes **KOENEN**, Universität Bonn: "Do Smarter Consumers Get Better Advice? An Analytical Framework and Evidence from German Private Pensions".

1 Jun 2012 – 22 Jun 2012: Christine **KAUFMANN**, Universität Mannheim: "Financial Literacy and Financial Difficulties".

4 Jun 2012 – 5 Jun 2012: Tobias **KLEIN**, Tilburg University: "Retirement and subjective well-being".

11 Jun 2012 – 12 Jun 2012: Hans-Martin **VON GAUDECKER**, Universität Mannheim: "How does household portfolio diversification vary with financial sophistication and financial advice?".

12 Jun 2012 – 12 Jun 2012: Francine **GRODSTEIN**, Harvard University: "Should we be planning for our future now? How do health and lifestyle choices in mid-life influence the likelihood of healthy aging in later life: data from the Nurses' Health Study".

18 Jun 2012 – 19 Jun 2012: Edgar **VOGEL**, European Central Bank, Frankfurt: "Government debt, income distribution, and population structure".

27 Jun 2012 – 27 Jun 2012: Alexander **LUDWIG**, Universität zu Köln: "The welfare effects of social security in a model with aggregate and idiosyncratic risk".

1 Jul 2012 – 31 Aug 2012: Maria **POLYAKOVA BREITER**, MIT, Cambridge: "Competition on selection and market access regulation in health insurance: evidence from Germany".

4 Jul 2012 – 4 Jul 2012: Mary **LOVELY**, Syracuse University: "China's Changing Economy: Research Themes".

4 Jul 2012 – 4 Jul 2012: John **YINGER**, Syracuse University: "Residential Sorting".

11 Jul 2012 – 13 Jul 2012: Rob **ALESSIE**, Rijksuniversiteit Groningen, Groningen, The Netherlands: "Pension Wealth and Household Saving In Europe: Evidence from SHARELIFE".

12 Jul 2012 – 13 Jul 2012: Luigi **GUISSO**, Einaudi Institute for Economics and Finance: "Time Varying Risk Aversion".

13 Jul 2012 – 13 Jul 2012: Melanie **LÜHRMANN**, Royal Holloway University of London, Egham and Institute for Fiscal Studies (ifs), London, UK: "Bodyweight, nutrition and physical activity in England".

9 Aug 2012 – 9 Aug 2012: Christine **KAUFMANN**, Universität Mannheim: "Financial Literacy and Financial Difficulties".

20 Aug 2012 – 22 Aug 2012: Stefan **LISTL**, Universität Heidelberg: "Life-course determinants of oral health".

20 Aug 2012 – 24 Aug 2012: Melanie **LÜHRMANN**, Royal Holloway University of London, Egham and Institute for Fiscal Studies (ifs), London, UK: "Bodyweight, nutrition and physical activity in England".

20 Aug 2012 – 23 Aug 2012: Annette **HOFMANN**, Universität Hamburg: "Long-term care insurance in Europe".

4 Sep 2012 – 4 Sep 2012: Christine **KAUFMANN**, Universität Mannheim: "Financial Literacy and Financial Difficulties".

24 Sep 2012 – 25 Sep 2012: Kathrin **JOHANSEN**, Universität Rostock: "Retirement Saving and Attitude towards Financial Intermediaries".

10 Oct 2012 – 13 Oct 2012: Philipp **RÖSCH**, Universität Mannheim, Mannheim: "Life Cycle Effects on the Timing of Purchasing Real Estate".

23 Oct 2012 – 23 Oct 2012: Kathleen **NOSAL**, Universität Mannheim: "Estimating switching costs for Medicare Advantage plans".

29 Oct 2012 – 31 Oct 2012: Jürgen **MAURER**, Université de Lausanne: "Healthy, wealthy, wise and happy? An exploratory analysis of the interplay between age and subjective well-being in low- and middle-income countries".

9 Nov 2012 – 9 Nov 2012: Christine **KAUFMANN**, Universität Mannheim: "Financial Literacy and Financial Difficulties".

28 Nov 2012 – 28 Nov 2012: Johan **VIKSTRÖM**, Institutet för arbetsmarknads- och utbildningspolitisk utvärdering (IFAU), Uppsala, Sweden: "Learning-by-Doing in a High-Skill Profession when Stakes are High: Evidence from Advanced Cancer Surgery".

3 Dec 2012 – 4 Dec 2012: Johannes **BINSWANGER**, Tilburg University: "Does everyone use probabilities? Intuitive and rational decisions about stockholding".

9 Jan 2013 – 13 Jan 2013: Liudmila **ANTONOVA**, Università Ca'Foscari Venezia, Venice, Italy: "Macro-economic crises and health".

1 Feb 2013 – 31 May 2013: Luis **ARANDA**, Università Ca'Foscari Venezia, Venice, Italy: "Beyond Trust: An alternative structure to Social Capital".

12 Feb 2013 – 16 Feb 2013: Fabrizio **MAZZONNA**, Università della Svizzera Italiana, Lugano, Switzerland: "Macro-economic crises and health".

14 Feb 2013 – 19 Feb 2013: Stefan **LISTL**, Universität Heidelberg, Germany: "Life-course determinants of oral health".

18 Feb 2013 – 18 Feb 2013: Bettina **DREPPER**, University of Mannheim: "Social Interaction Effects in Duration Models".

25 Feb 2013 – 27 Feb 2013: Sabine **HÜBGEN**, Freien Universität Berlin und Wissenschaftszentrum Berlin (WZB), Berlin: "International comparison of poverty among single mothers".

27 Feb 2013 – 27 Feb 2013: Iris **KESTERNICH**, Ludwig-Maximilians-Universität, München: "Us and Them. Distributional Preferences in Small and large Groups".

11 Mar 2013 – 11 Mar 2013: Ruben **SEIBERLICH**, Universität Konstanz, Konstanz: "Shrink your Weight: Improving Propensity Score Weighting Estimators".

11 Mar 2013 – 7 Jun 2013: Erwin **STOLZ**, Salzburg Centre of European Union Studies, Salzburg, Austria: "Elderly care arrangements and social inequality within European welfare states: A comparative analysis of 16 countries".

12 Apr 2013 – 12 Apr 2013: László **ANDOR**, EU Commissioner for Employment, Social Affairs and Inclusion, Brussels, Belgium: "The Employment and Social Situation – Europe's Social Crisis: Is there a Way Out?".

19 Apr 2013 – 19 Apr 2013: Christine **KAUFMANN**, Universität Mannheim: "Financial Literacy and Financial Difficulties".

21 May 2013 – 25 May 2013: Elsa **FORNERO**, Center for Research on Pensions and Welfare Policies (CERP), Collegio Carlo Alberto and Università di Torino, Turin, Italy: "Pension and Labor Market Reform in Italy".

22 May 2013 – 22 May 2013: Stephan **FUCHS**, Ludwig-Maximilians-Universität München: "The possibilities of funding SHARE-ERIC by Structural Funds".

22 May 2013 – 22 May 2013: Andreas **HEISS**, European Commission, Brussels, Belgium: "The possibilities of funding SHARE-ERIC by Structural Funds".

28 May 2013 – 29 May 2013: Giacomo **PASINI**, Università Ca'Foscari Venezia, Venice, Italy: "When you need it or when I die? Timing of monetary transfers from parents to children".

29 May 2013 – 29 May 2013: Stefan **HEROLD**, Université de Liège, Liège, Belgium: "The possibilities of funding SHARE-ERIC by Structural Funds".

1 Jun 2013 – 31 Aug 2013: Maria **POLYAKOVA BREITER**, Massachusetts Institute of Technology (MIT), Cambridge, MA, USA: "Competition on selection and market access regulation in health insurance: evidence from Germany".

3 Jun 2013 – 31 Jul 2013: Tobias **PETER**, Center for Strategic and International Studies (CSIS), Washington, DC, USA: "SHARE: Updates of SHARE brochure/Maintenance of literature database".

3 Jun 2013 – 3 Jun 2013: Lee **SECHREST**, University of Arizona, Tucson: "Measurement in the Social Sciences: Principled Pragmatism".

12 Jun 2013 – 13 Jun 2013: Katharina **HERLOFSON**, Norsk institutt for forskning om oppvekst, velferd og aldring (NOVA), Oslo, Norway: "The Norwegian panel study on life course, ageing and generation".



12 Jun 2013 – 13 Jun 2013: Gøril **LØSET**, Norsk institutt for forskning om oppvekst, velferd og aldring (NOVA), Oslo, Norway: "The Norwegian panel study on life course, ageing and generation".

12 Jun 2013 – 13 Jun 2013: Marijke **VEENSTRA**, Norsk institutt for forskning om oppvekst, velferd og aldring (NOVA), Oslo, Norway: "The Norwegian panel study on life course, ageing and generation".

18 Jun 2013 – 18 Jun 2013: Andrea **OEPEN**, Bundesministerium für Bildung und Forschung, Bonn: "Regional Partner Facilities".

18 Jun 2013 – 18 Jun 2013: Hannes **SCHWANDT**, Princeton University, Princeton, NJ, USA: "Unlucky Cohorts: Income, Health Insurance and AIDS Mortality of Recession Graduates".

18 Jun 2013 – 18 Jun 2013: Rudolf **WINTER-EBMER**, Johannes-Kepler-Universität Linz, Austria: "The role of firms in retirement decisions".

24 Jun 2013 – 26 Jun 2013: Meltem **DAYSAL**, Tilburg University, Tilburg, The Netherlands: "Saving Lives at Birth: The Impact of Home Births on Infant Outcomes".

1 Jul 2013 – 2 Jul 2013: Michael **HURD**, RAND Corporation, Santa Monica, CA, USA: "Mentoring young MEA researchers".

1 Jul 2013 – 5 Jul 2013: Liudmila **ANTONOVA**, Università Ca'Foscari Venezia, Venice, Italy: "Macro-economic crises and health".

8 Jul 2013 – 8 Jul 2013: Ken **ITAKURA**, Nagoya City University, Nagoya, Japan: "An OLG Model of Aging in Japan".

8 Jul 2013 – 8 Jul 2013: Kazuhiko **OYAMADA**, Institute of Developing Economies, Chiba, Japan: "An OLG Model of Aging in Japan".

23 Jul 2013 – 23 Jul 2013: Dimitris **GEORGARAKOS**, Goethe-Universität Frankfurt: "Exploring Differences in Household Debt across Euro Area Countries and the US".

9 Sep 2013 – 10 Sep 2013: Howard **LITWIN**, The Hebrew University of Jerusalem, Israel: "Mentoring young MEA researchers".

10 Sep 2013 – 11 Sep 2013: Radim **BOHÁČEK**, Univerzita Karlova v Praze and Akademie věd České republiky, Prague, Czech Republic: "SHARE Czech Republic".

7 Oct 2013 – 21 Oct 2013: Elsa **FORNERO**, Center for Research on Pensions and Welfare Policies (CERP), Collegio Carlo Alberto and Università di Torino, Turin, Italy: "Reforming pension systems in Europe".

15 Oct 2013 – 29 Nov 2013: Iaroslav **YOUSSEIM**, Università degli Studi di Padova, Padua, Italy: "Flows of Capitals throughout the Life-Course and Successful Aging".

22 Oct 2013 – 22 Oct 2013: Hasse **TJERNBERG**, Production and Site manager at Ipsos Observer Sweden AB: "SHARE Sweden".

22 Oct 2013 – 23 Oct 2013: Vanessa **BEHRENS**, Universität Pompeu Fabra: "Determining the Changing Behavior of Parental Leave Uptake Through Employment Status and Income Levels".

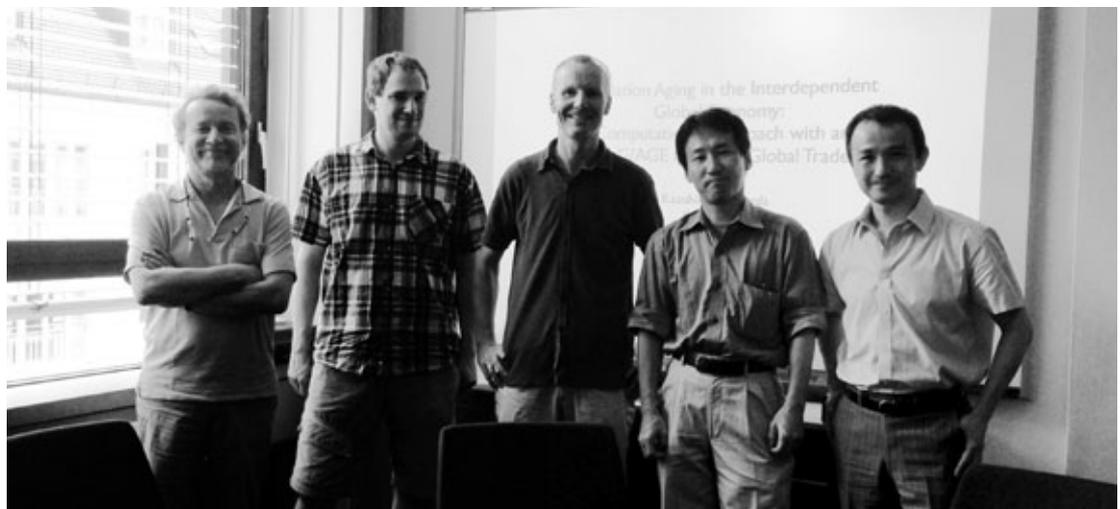
29 Oct 2013 – 30 Oct 2013: Daniel **SCHUNK**, Johannes Gutenberg-Universität Mainz: "KIDS-WIN: The kids self-regulation and working memory intervention study".

5 Nov 2013 – 6 Nov 2013: Mariska **VAN DER HORST**, Universiteit Utrecht: "Gender Differences during and at the end of the occupational career: aspirations and retirement intentions".

7 Nov 2013 – 7 Nov 2013: Howard **LITWIN**, The Hebrew University of Jerusalem, Israel: "Social Networks in SHARE".

11 Nov 2013 – 7 Dec 2013: Daniela **CRAVEIRO**, Universidade do Minho, Braga, Portugal: "Health and well-being in the aging population in Portugal and Europe: Variability of contexts and social actors".

13 Nov 2013 – 13 Nov 2013: Barbara **SCHAAN**, GESIS, Mannheim: "The Role of Gender in the Association between Education and Diabetes – Does Measurement of Diabetes Matter?".



Itakura Ken and Oyamada Kazuhiko discuss their OLG model of aging in Japan with MEA's Axel Börsch-Supan, Johannes Rausch and Matthias Weiss.

19 Nov 2013 – 19 Nov 2013: Matsuura **HIROAKI**, University of Oxford: "Evaluating the Effect of EMTALA to Assure Indigent Access to Hospital Emergency Care Services in the United States".

1 Dec 2013 – 2 Dec 2013: Hannes **ULLRICH**, Universität Zürich und Deutsches Institut für Wirtschaftsforschung: "Regulation of pharmaceutical prices: Evidence from a reference price reform in Denmark".

9 Dec 2013 – 12 Dec 2013: Fabrizio **MAZZONNA**, Università della Svizzera Italiana, Lugano, Switzerland: "Immigration, Working Conditions and Health".

13 Dec 2013 – 13 Dec 2013: Christine **KAUFMANN**, Universität Mannheim: "Financial Literacy and Financial Difficulties".

17 Dec 2013 – 17 Dec 2013: Vincent **POHL**, Queens University, Kingston, Ontario, Canada: "The Effect of Health Shocks on Employment: Evidence From Accidents in Chile".

7 Jan 2014 – 28 Mar 2014: Maria **MÜNDERLEIN**, Erasmus Universiteit Rotterdam: "Labor Market Participation of the Elderly".

14 Jan 2014 – 15 Jan 2014: Pia **PINGER**, Rheinische Friedrich-Wilhelms-Universität Bonn: "Intergenerational transmission of inequality: Maternal endowments, investments, and birth outcomes".

20 Jan 2014 – 21 Jan 2014: Marten **VAN ROOIJ**, De Nederlandsche Bank: "Social interactions and the retirement age".

23 Jan 2014 – 23 Jan 2014: Monika **MISCHKE**, Universität Siegen: "Health Behavior of the Elderly in Germany".

23 Jan 2014 – 23 Jan 2014: Nadine **REIBLING**, Universität Siegen: "Health Behavior of the Elderly in Germany".

14 Feb 2014 – 14 Feb 2014: Christine **KAUFMANN**, Universität Mannheim: "Financial Literacy and Financial Difficulties".

17 Mar 2014 – 18 Mar 2014: Annette **HOFMANN**, Hamburg School of Business Administration: "Empirical Evidence on Long-term Care Insurance Purchase in Germany: Current Issues and Challenges".

17 Mar 2014 – 19 Mar 2014: Michael **HURD**, RAND Corporation, Santa Monica, CA, USA: "Mentoring young researchers at MEA".

25 Mar 2014 – 25 Mar 2014: Christine **KAUFMANN**, Universität Mannheim: "Financial Literacy and Financial Difficulties".

26 Mar 2014 – 26 Mar 2014: Peter **HAAN**, DIW und Freie Universität Berlin: "Assessing the recent German Pension Reforms".

9 Apr 2014 – 9 Apr 2014: Alan **BARRET**, Economic and Social Research Institute (ESRI) and Trinity College, Dublin, Ireland: "The effect of a recession on the over-50s".

6 May 2014 – 7 May 2014: Alexander **LUDWIG**, Johann Wolfgang Goethe-Universität Frankfurt am Main: "Psychological biases in subjective survival assessment".

20 May 2014 – 21 May 2014: Enkelejda **HAVARI**, Università Ca' Foscari Venezia: "The causal effect of parents' schooling on children's schooling in Europe: A new IV approach".

4 Jun 2014 – 4 Jun 2014: Margherita **FORT**, Università degli Studi di Bologna: "Adults' Financial Literacy and Households' Financial Assets: The Role of Banks Information Policies".

11 Jun 2014 – 13 Jun 2014: Katharina **HERLOFSON**, Nova, Oslo: "Aging and senior life in a life course perspective".

16 Jun 2014 – 17 Jun 2014: Hendrik **JÜRGES**, Bergische Universität Wuppertal: "Health and cognitive development in the West Bank".

17 Jun 2014 – 19 Jun 2014: Hannes **SCHWANDT**, Princeton University: "Wealth Shocks and Health Outcomes".

23 Jun 2014 – 23 Jun 2014: Vesile **KUTLU KOC**, Universiteit Utrecht: "Does respondent's knowledge on population life expectancy influence the accuracy of subjective survival probabilities?".

24 Jun 2014 – 25 Jun 2014: Annette **HOFMANN**, Hamburg School of Business Administration: "Empirical Evidence on Long-term Care Insurance Purchase in Germany: Current Issues and Challenges".

7 Jul 2014 – 11 Aug 2014: Marco **BERTONI**, Università degli Studi di Padova, Padua, Italy: "Work, retirement and loss of muscular strength in old age".

23 Jul 2014 – 23 Jul 2014: Dimitris **GEORGARAKOS**, Goethe-Universität Frankfurt: "Financial Literacy and Savings Account Returns".

23 Jul 2014 – 23 Jul 2014: Amelie **WUPPERMANN**, Ludwig-Maximilians-Universität München: "Relative School Entry Age and ADHD: Evidence From German Administrative Data".

29 Sep 2014 – 12 Dec 2014: Nora **SKOPEK**, Otto-Friedrich-Universität Bamberg: "Wealth as a distinct dimension of social inequality".

1 Oct 2014 – 1 Oct 2014: Holger **STRULIK**, Georg-August-Universität Göttingen: "The Economics of Aging and Longevity: A survey".

27 Oct 2014 – 29 Oct 2014: David **PACINI**, University of Bristol: "Health econometrics".

29 Oct 2014 – 29 Oct 2014: Michael **HURD**, RAND Corporation, Santa Monica, CA, USA: "Mentoring young researchers at MEA".

2 Nov 2014 – 3 Nov 2014: Duarte Nuno **LEITE**, European Court of Auditors, Luxembourg: "The Two Revolutions, Landed Elites and Education during the Industrial Revolution".

3 Nov 2014 – 4 Nov 2014: Igor **FEDOTENKOV**, Vilnius Universitetas: "A large scale OLG model for Italy: Assessing the interpersonal and intrapersonal redistributive effects of public policies".

18 Nov 2014 – 19 Nov 2014: Osea **GIUNTELLA**, University of Oxford: "The effects of immigration on waiting times in the UK National Health Service".





Helmut Farbmacher (middle, back row) and the other awardees of the Otto Hahn Medal with the chairman of Max Planck Society's Humanities Section, Christoph Engel (right).

11. Honours, Awards, Grants

Martina Brandt

Professorship for Social Structure and the Sociology of Aging Societies, Technische Universität Dortmund, 2014.

Johanna Bristle

Best Master Thesis Award from Rational Altruists Mannheim e.V., University of Mannheim, 2012.

Travel Grant from the German Academic Exchange Service (DAAD) for Panel Survey Methods Workshop, Ann Arbor, MI, USA, 2014.

Tabea Bucher-Koenen

Selection for the participation in the "SIGN UP! Careerbuilding Program for Female Postdocs of the Max Planck Society" – a 10 day career training course for female post docs with high academic and leadership potential, 2014.

Helmut Farbmacher

Otto Hahn Medal of the Max Planck Society, 2014.

Travel grant from Fritz Thyssen Stiftung for research stay at the University of Bristol, UK, 2013.

Marlene Haupt

Grant from the Research Network on Pensions (FNA) of the German Pension Authority for the publication of the dissertation, 2014.

Young Female Scholars Research Grant of the University Koblenz-Landau for the publication of the dissertation, 2014.



Christian Hunkler receives the German Dissertation Award in the German Bundestag from the Vice-President of the Bundestag Edelgard Bulmahn.

Christian Hunkler

German Dissertation Award in the category social sciences awarded by the Körber Stiftung, 2014.

Klaus O. Fleck Doctoral Dissertation Award awarded by the Chamber of Industry and Commerce (IHK) Rhein-Neckar, 2014.

Thorsten Kneip

Paifam Best Paper Award 2013 (Bauer, Gerrit and Thorsten Kneip (2013): "Fertility from a Couple Perspective: A Test of Competing Decision Rules on Proceptive Behaviour", *European Sociological Review*, 29(3) 535-548), 2013.

Fabrizio Mazzonna

Winner of the Swiss School of Public Health (SSPH+) Assistant Professorship Program, Università della Svizzera italiana, 2012.

Barbara Schaan

The best poster prize award of the European Society for Health and Medical Sociology (ESHMS) for the poster "The association between quality of work and depressive symptoms before and after retirement" presented at the 14th conference of the ESHMS in Hannover, 2012.

RAND Scholarship for the participation at "2012 RAND Summer Institute" in Santa Monica, CA, USA, 2012.

Martin Spindler

Research Grant of the German Research Foundation (DFG) for research stay at MIT, Cambridge, MA, USA, 2013.

Matthias Weiss

Elsevier Certificate of Excellence in Reviewing, *Journal of the Economics of Ageing*, 2013.



12. Memberships, Editorships, other Academic Activities and Affiliations

Axel Börsch-Supan

Editorial Board of *Advances in Life-Course Research*, *Journal of the Economics of Aging*, *Journal of Pension Economics and Finance*

Other Academic Affiliations and Activities in External Bodies:

- *Research Associate, National Bureau of Economic Research (NBER), Cambridge, MA, USA*
- *Coordinator, Survey of Health, Ageing and Retirement in Europe (SHARE)*
- *Adjunct Research Associate, RAND Corporation, Santa Monica, CA, USA*
- *Deputy Speaker, Collaborative Research Program on the Political Economy of Reforms, SFB884, 2010 – 2012*
- *MacArthur Foundation Network on an Aging Society*
- *Monitoring Board Attendee of the English Longitudinal Study of Ageing (ELSA)*
- *Scientific Advisory Board, Korean Longitudinal Study on Aging (KLoSA), Seoul, 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*
- *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*
- *Board of Trustees, Università Bocconi, Milan, Italy*

Honours

- *Member, Berlin-Brandenburg Academy of Sciences and Humanities*
- *Member, German National Academy of Sciences Leopoldina.*

Tabea Bucher-Koenen

Netspar Research Fellow

International Research Group on "Financial Literacy: Evidence and Implications for Retirement Planning, Saving Behavior, and Financial Education Programs", Netspar

Matthias Weiss

Fellow of the Research Center for Education and the Labour Market (ROA), Maastricht, The Netherlands

13. Cooperations

13.1. The "SHARE Family"

Scientific Monitoring Board

Arie Kapteyn (University of Southern California, Dornsife Center for Economic and Social Research, Los Angeles, CA, USA): Chair

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

Mick P. Couper (University of Michigan, Institute for Social Research, Ann Arbor, MI, USA): Survey Methods, Data Dissemination Methods, and New Technology

Finn Diedrichsen (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

Pierre Pestieau (University of Liège, Department of Economics, Liège, Belgium): Retirement and Labour Markets

Norbert Schwarz (University of Michigan, Department of Psychology, Ann Arbor, MI, USA): Survey Psychology and Data Access Methodology

Andrew Steptoe (University College London, Department of Epidemiology and Public Health, London, UK): Biomarkers

Arthur Stone (Stony Brook University, New York, NY, 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. Economics

Area Coordinator

Guglielmo Weber (Università degli Studi di Padova, Dipartimento di Scienze Economiche, Padova, Italy)

Members of the Research Area

Agar Brugiavini (Università Ca' Foscari Venezia, Dipartimento di Scienze Economiche, Venezia, Italy)

Anne Laferrère (Institut National de la Statistique et des Etudes Economiques (INSEE), Paris, France)

2. Health

Area Coordinator

Karen Andersen-Ranberg (University of Southern Denmark, Institute of Public Health, Odense, Denmark)

Members of the Research Area

Johan Mackenbach (Erasmus MC, Department of Public Health, Rotterdam, Netherlands)

Mauricio Avendano-Pabon (Erasmus MC, Department of Public Health, Rotterdam, Netherlands)

3. Health Care

Area Coordinator

Hendrik Jürges (Bergisches Kompetenzzentrum für Gesundheitsmanagement und Public Health, Schumpeter School of Business and Economics, Bergische Universität Wuppertal, BKG – University of Wuppertal, Germany)

4. Social Networks

Area Coordinator

Howard Litwin (The Hebrew University of Jerusalem, Paul Baerwald School of Social Work, Jerusalem, Israel)

Members of the Research Area

Toni Antonucci (University of Michigan, Institute for Social Research, Ann Arbor, MI, USA)

Karsten Hank (University of Cologne, Research Institute for Sociology (FIS), Köln, Germany)

Martin Kohli (European University Institute, Department of Political and Social Sciences, San Domenico di Fiesole, Italy)

Stipica Mudrazija (Edward R. Roybal Institute on Aging, School of Social Work, University of Southern California, Los Angeles, CA, USA)

Edward O. Laumann (University of Chicago, Department of Sociology, Chicago, USA)

Theo van Tilburg (Vrije Universiteit Amsterdam, Faculty of Social Sciences, Amsterdam, Netherlands)

Sharon Shiovitz-Ezra (The Hebrew University of Jerusalem, Paul Baerwald School of Social Work, Jerusalem, Israel)

Jim Ogg (Unité de Recherche sur le Vieillessement (Ageing Research Department), Caisse Nationale d'Assurance Vieillesse, Paris, France)

Martina Brandt (Technical University of Dortmund, Dortmund, Germany)



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

Karel Van den Bosch, Daniela Skugor (Universiteit Antwerpen, Centre for Social Policy Herman Deleeck, Antwerpen, Belgium)

Sergio Perelman, Jérôme Schoenmaeckers (CREPP, Université de Liège, Liège, Belgium)

Croatia

Ivan Čipin, Šime Smolič (University of Zagreb, Zagreb, Croatia)

Czech Republic

Radim Bohacek (Center for Economic Research & Graduate Education – Economics Institute (CERGE-EI), Praha, Czech Republic)

Denmark

Karen Andersen-Ranberg, Astrid Vitved (University of Southern Denmark, Institute of Public Health, Odense, Denmark)

Estonia

Luule Sakkeus, Liili Abuladze (Estonian Institute for Population Studies, Tallinn University, Tallinn, Estonia)

France

Marie-Eve Joël, Nicolas Briant, Aurore Philibert (Université Paris-Dauphine, Paris, France)

Greece

Antigone Lyberaki, Platon Tinios, George Papadoudis, Thomas Georgiadis (Panteion University of Political and Social Sciences, Regional Development Institute, Athens, Greece)

Hungary

Gabor Kezdi (Department of Economics, Central European University, Budapest, Hungary)

Ireland

Liam Delaney, Eimear Breheny (UCD Geary Institute, University College Dublin, Dublin, Ireland)

Israel

Howard Litwin, Lahav Karady (The Hebrew University in Jerusalem, Israel Gerontological Data Center, Jerusalem, Israel)

Italy

Guglielmo Weber, Elisabetta Trevisan (Università degli Studi di Padova, Dipartimento di Scienze Economiche, Padova, Italy)

Agar Brugiavini (Università Ca' Foscari di Venezia Department of Economics, Venezia, Italy)

Luxembourg

Marie Noel Pi Alperin (CEPS/INSTEAD, Center for research on population, poverty and socio-economic policy/International Networks for Studies in Technology, Environment, Alternatives, Development, Luxembourg)

Netherlands

Arthur van Soest, Johannes Binswanger (Universiteit van Tilburg, Tilburg, Netherlands)

Poland

Michał Myck, Mateusz Najsztub, Monika Oczkowska (Centre for Economic Analysis, CenEA, Szczecin, Poland)

Portugal

Pedro Pita Barros (Faculdade de Economia Travessa Estevao Pinto, Universidade Nova de Lisboa, Lisboa, Portugal)

Alice Delerue Matos (Centro de Investigacao em Ciencias Sociais, Universidade do Minho, Campus de Gualtar, Braga, Portugal)

Slovenia

Boris Majcen, Vladimir Lavrač, Saša Mašič (Institute for Economic Research (IER), Ljubljana, Slovenia)

Spain

Pedro Mira, Laura Crespo (Centro de Estudios Monetarios y Financieros (CEMFI), Madrid, Spain)

Josep Garre Olmo (Institut d'Assistència Sanitaria, University of Girona, Girona, Spain)

Sweden

Gunnar Malmberg, Filip Fors (Umeå universitet, Umeå, Sweden)

Switzerland

Alberto Holly (Université de Lausanne, Institut d'Economie et Management de la Santé (IEMS), Lausanne-Dorigny, Switzerland)

Carmen Borrat-Besson (FORS, Université de Lausanne, Lausanne, Switzerland)

13.2. Data Service Infrastructure for the Social Sciences and Humanities (DASISH)

DASISH brings together all 5 ESFRI research infrastructure initiatives in the social sciences and humanities (SSH):

- CLARIN – Common Language Resources and Technology Infrastructure
- DARIAH – Digital Research Infrastructure for the Arts and Humanities
- CESSDA – Consortium of European Social Science Data Archives
- ESS – European Social Survey
- SHARE – Survey of Health, Ageing and Retirement in Europe

The goal of DASISH is to determine areas of cross-fertilization and synergy in the infrastructure development all five communities are entering into as of the beginning of 2012 and to work on concrete joint activities related to data, such as data access, data sharing, data quality, and data archiving. Synergy can also be achieved by working together on solutions regarding legal and ethical aspects.

Co-operation Partners

Bjørn Henrichsen, Norwegian Social Science Data Services (NSD), Bergen, Norway

Kadri Vider, Institute of Computer Science, University of Tartu (UT), Estonia

Hanne Fersøe, Centre for Language Technology, University of Copenhagen (UCPH), Denmark

Marcel Das, CentERdata, Tilburg University, The Netherlands

Peter Doorn, Data Archiving and Networked Services (DANS), Royal Netherlands Academy of Arts and Sciences, The Hague, The Netherlands

Prof. Koenraad De Smedt, Department of Linguistic, Literary and Aesthetic Studies, University of Bergen (UiB), Norway

Tobias Blanke, Centre for e-Research, King's College London (KLC), UK

Taina Jääskeläinen, Finnish Social Science Data Archive, University of Tampere (UTA), Finland



Wolfgang Klein, The Language Archive, Max-Planck-Institute for Psycho Linguistics, Nijmegen, The Netherlands

Prof. Dr. Norbert Lossau, Goettingen State and University Library, University of Goettingen (UEGO), Germany

Dr. Markus Quandt, GESIS, Leibniz Institute for the Social Sciences, Mannheim, Germany

Prof. Axel Börsch-Supan, Ph.D., MEA, Max Planck Institute for Social Law and Social Policy, Munich, Germany

Dr. Jane Gray, Irish Qualitative Data Archive, The National University of Ireland Maynooth (NUIM), Ireland

Núria Bel, Institute for Applied Linguistics, Universitat Pompeu Fabra (UPF), Barcelona, Spain

Prof. Hans Jørgen Marker, Swedish National Data Service, University of Gothenburg (UGOT), Sweden

Hilary Beedham, UK Data Archive, University of Essex, Colchester, UK

Rory Fitzgerald, Centre for Comparative Social Surveys (CITY), City University London, UK

Univ.-Prof.Mag.Dr. Gerhard Budin, The Institute for Corpus Linguistics and Text Technology, Austrian Academy of Sciences (OEAW), Vienna, Austria

13.3. Consortium on Health and Ageing Networks of Cohorts in Europe and the United States (CHANCES)

CHANCES is a collaborative large scale integrating project funded by the European Commission within the Seventh Framework Programme.

The CHANCES research Consortium consists of 16 partners and 2 collaborators. The project is coordinated by Hellenic Health Foundation. The ageing of the world population is one of major global challenges of this century. For many people old age is associated with illness.

The challenge posed by population ageing makes it necessary to ensure that the extra years of life are as good as possible, without limited health and social involvement opportunities. Older people's abilities to contribute to the society should never be underesti-

mated, and no artificial or preventable barriers should limit them.

WHO has stressed that healthy ageing goes beyond avoidance of disease and disability. Successful ageing is defined as ageing involving freedom from disability along with high cognitive, physical and social functioning. The elderly have certain needs to be addressed and the governments, healthcare systems, and general public should be advised about those in details. Therefore well defined health determinants of ageing and its functional outcomes are crucial in order to improve overall health and quality of life of elderly. Furthermore, valid and precise data on health characteristics of ageing populations are essential to estimate their social and economic impact.

Chronic conditions such as cardiovascular diseases, cancer, diabetes and osteoporosis-related fractures have become leading cause of disability and mortality. The CHANCES project focuses on four groups of chronic diseases and conditions which are major contributors to the burden of disease in the elderly:

- Cancer
- Cardiovascular diseases and diabetes
- Osteoporosis and fractures
- Cognitive function and dementia disorders

Co-operation Partners

Martin Bobak, University College London (UCL), UK

Axel Börsch-Supan, MEA, Max Planck Institute for Social Law and Social Policy, Munich, Germany

Paolo Boffetta, Hellenic Health Foundation (HHF), Athens, Greece

Herman Brenner, Deutsches Krebsforschungszentrum (DKFZ), Heidelberg, Germany

Sture Eriksson, MD, University of Umeå (UMU), Sweden

Francine Grodstein, SCD, The Brigham and Women's Hospital, Inc. (BWH), Boston, MA, USA

Eugene Jansen, National Institute of Public Health and Environment (RIVM), Bilthoven, The Netherlands

Mazda Jenab, International Agency for Research on Cancer (IARC), Lyon, France

Hendrik Jürges, Bergische Universität Wuppertal (BUW), Germany

Ellen Kampman, Wageningen Universiteit (WU), The Netherlands

Frank Kee, Queen's University of Belfast (QUB), Ireland

Kari Kuulasmaa, National Institute for Health and Welfare (THL), Helsinki, Finland

Inger Njølstad, University of Troms, Norway

Anne Tjønneland, Danish Cancer Society (DCS), Copenhagen, Denmark

Antonia Trichopoulou, National and Kapodistrian University of Athens (NKUA), Greece

Cornelia van Duijn, Ph.D., Erasmus Universitair Medisch Centrum Rotterdam (Erasmus MC), The Netherlands

Charles University in Prague, Department of Demography and Geodemography, Prague, Czech Republic

Demographic Research Center, Bratislava, Slovak Republic

Hungarian Demographic Research Institute, Budapest, Hungary

ESRC Centre for Population Change, Southampton and St Andrews, United Kingdom

Federal Institute for Population Research, Wiesbaden, Germany

Institut National d'Etudes Démographiques, Paris, France

London School of Economics and Political Science, London, United Kingdom

Lund University, Centre for Economic Demography, Lund, Sweden

Max Planck Institute for Social Law and Social Policy, Munich, Germany

Max-Planck Odense Center on the Biodemography of Aging, Odense, Denmark

Netherlands Interdisciplinary Demographic Institute, The Hague, Netherlands

Oxford Population Centre, Oxford, United Kingdom

National Research University Higher School of Economics, Institute of Demography, Moscow, Russian Federation

Research Group on Demographic Dynamics, Spanish National Research Council, Center for Humanities & Social Sciences, Institute of Economy, Geography & Demography, Madrid, Spain

Stockholm University Demography Unit, Stockholm, Sweden

Swiss National Centre of Competence in Research LIVES, Lausanne/Geneva, Switzerland

Tallinn University, Estonian Institute for Population Studies, Tallinn, Estonia

Université catholique de Louvain, Research Centre on Demography and Societies, Louvain-la-Neuve, Belgium

13.4. Population Europe

The collaborative network Population Europe provides comprehensive knowledge, information, and insights into fundamental demographic trends and diverging population developments. This expertise is key to understanding the political, social, and economic developments of Europe in the 21st century.

In its Council of Advisors, over 100 population experts offer support in preparing reports on policy-relevant topics and delivering scientific briefings for policy-makers and policy analysts. In its Information Centre, Population Europe coordinates the dissemination of demographic facts and findings to a broad audience via www.population-europe.eu, provides media briefings and uses a variety of other communication channels to inform Europe on population issues.

Co-operation Partners

Bocconi University, Dondena Centre for Research on Social Dynamics, Milan, Italy

Centre for Demographic Studies at the *Autonomous University of Barcelona*, Spain

Centre for Longitudinal and Life Course Studies, Antwerp, Belgium



University of Groningen, Population Research Centre, Groningen, Netherlands

University of Helsinki, Population Research Unit, Helsinki, Finland

University of Rome "La Sapienza", Department of Statistical Sciences, Rome, Italy

University of Rostock, Chair for Empirical Social Research and Demography, Rostock, Germany

Université Libre de Bruxelles, Interface Demography, Brussels, Belgium

Warsaw School of Economics, Institute of Statistics and Demography, Warsaw, Poland

Wittgenstein Centre for Demography and Global Human Capital (IIASA, VID/ÖAW, WU), Vienna, Austria.

13.5. Working Group "Longitudinal Studies" of the German National Academy of Sciences Leopoldina

Demographic, socioeconomic and scientific-technological developments change society. Population-based longitudinal studies on persons, households and businesses measure these changes over a long period of time. They are a scientific instrument with which the long-term impacts of social change on both the individual and collective level can be observed and understood. At the same time, they form the basis for political planning and management procedures in, for instance, the fields of education, social policy or employment.

The working group examines the prerequisites for a successful longitudinal study with a view to infrastructure, organization and methods. It tries to determine how relevant scientific findings can be presented to policy-makers and society in ways that will have a meaningful impact. In order to keep the longitudinal studies in Germany at the highest scientific level and to be able to adequately put them to use, to sustainably finance them and to improve them in innovative ways, broad perspectives for the studies are continuously being developed.

Co-operation Partners

Beatrice Rammstedt, Leibniz-Institut für Sozialwissenschaften (GESIS), Mannheim

Hans-Peter Blossfeld, Department of Political and Social Sciences (SPS), European University Institute, Florence, Italy

Johannes Siegrist, Institut für Medizinische Soziologie, Heinrich-Heine-Universität Düsseldorf

Josef Brüderl, Institut für Soziologie, Ludwig-Maximilians-Universität München

Karl-Ulrich Mayer, Wissenschaftsgemeinschaft Gottfried Wilhelm Leibniz (WGL), Berlin

Wolfgang Hoffmann, Institut für Community Medicine, Ernst-Moritz-Arndt-Universität Greifswald

Axel Börsch-Supan, Max-Planck-Institut für Sozialrecht und Sozialpolitik, München

Gabriele Doblhammer-Reiter, Institut für Soziologie und Demographie, Universität Rostock

Gert G. Wagner, Deutsches Institut für Wirtschaftsforschung (DIW), Berlin

Monique Breteler, Deutsches Zentrum für Neurodegenerative Erkrankungen (DZNE), Bonn

13.6. NBER International Social Security Project

Health and longevity have improved substantially over the past several decades. At the same time, the labor force participation of men at older ages has declined substantially. Assuming that improved health increases the productive capacity of older persons, the improvement in the capacity to work has not been allocated to increasing employment. With many countries facing financial stress on social security and/or health care programs the capacity to prolong working lives may be an important option in paying for the higher costs that increased longevity places on these programs. In this paper, we use measures of health to compute the theoretical capacity to work at older ages and juxtapose it with the actual employment in twelve OECD countries (Belgium, Canada, Denmark, France, Germany, Italy, Japan, the Netherlands, Spain, Sweden, the United Kingdom, and the United States). These countries correspond to the twelve countries used in earlier phases of the International Social Security project (Gruber and Wise, various issues).

Co-operation Partners

James Banks, The Institute For Fiscal Studies, London, UK

Luc Behaghel, Centre de Recherche en Économie et Statistique (CREST), Paris, France

Paul Bingley, The Danish National Centre for Social Research, Denmark

Börsch-Supan, Axel, MEA, Max Planck Institute for Social Law and Social Policy, Munich

Agar Brugiavini, Ca' Foscari University Venice, Italy

Courtney Coile, Wellesley College, MA, USA

Klaas DeVos, Tilburg University, The Netherlands

Nabanita Datta Gupta, Aarhus Universitet, Denmark

Pilar García-Gómez, Erasmus University Rotterdam, The Netherlands

Sergi Jimenez-Martin, Universidad Carlos III de Madrid, Spain

Per Johansson, Uppsala Universitet, Sweden

Michael Jørgensen, The Danish National Centre for Social Research, Copenhagen, Denmark

Hendrik Jürges, Lars Thiel, Bergische Universität Wuppertal, Germany

Arie Kapteyn, RAND, Santa Monica, CA, USA

Kevin Milligan, University of British Columbia, Vancouver, Canada

Takashi Oshio, Hitotsubashi University, Tokyo, Japan

Marten Palme, Stockholm University, Sweden

Peder Pedersen, Institut for Økonomi Aarhus Universitet, Denmark

Franco Peracchi, University of Rome "Tor Vergata", Italy

Sergio Perelman, Université de Liège, Belgium

Muriel Roger, Paris School of Economics, France

Satoshi Shimizutani, Research Institute of Economy, Trade and Industry (RIETI), Tokyo, Japan

Janet Stein, Richard Woodbury, National Bureau of Economic Research (NBER), Cambridge, MA, USA

Richard Suzman, National Institute on Aging (NIA), Bethesda, MD, USA

Judit Vall Castello, Universitat de Girona, Spain

David Wise, Harvard University, Cambridge, MA, USA

13.7. MacArthur Foundation Network on an Aging Society

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 emergence of a productive, equitable Aging Society in the United States.

Co-operation 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

Fried, Linda, Columbia University, New York, NY, USA

Furstenberg, Frank F., University of Pennsylvania, Philadelphia, PA, 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

13.8. Social Protection, Work and Family Strain: Cumulative Disadvantage Effects

Over time Americans, especially women, have experienced high demands in terms of full time work often with high family demands, coupled with low formal support (social protection policies) or informal support from other family members. The aims of this cooperation are: to describe work/family exposures for females (born 1920 – 1950), across US states and Europe; to assess morbidity, mortality and behavioral effects of work/family strain in individuals based on individual and multilevel data; to assess whether distributions of risk and/or the toxicity of risks explain geographic or temporal variations across countries and regions based on multilevel and ecologic data; and to assess if widening health inequalities are related to social protection and labor policies.

Co-operation Partners

Lisa Berkman, Harvard University, Cambridge, MA, USA

Agar Brugiavini, Ca'Voscari University, Venedig, Italy

Johann Mackenbarch, Erasmus University Rotterdam, The Netherlands

Mauricio Avendano, Harvard University, Cambridge, MA, USA

Axel Börsch-Supan, MEA, Max Planck Institute for Social Law and Social Policy, Munich, Germany

13.9. Committee of the U.S. National Academy of Sciences on the Long-Run Macroeconomic Effects of the Aging U.S. Population

The committee will set out a framework for evaluating the long-run macro-economic implications of population aging. In particular it will:

(1) Examine the main sources of existing long-run U.S. demographic projections with particular focus on increasing life-expectancy, rising numbers of oldest old, trends in fertility and net immigration, and changing dependency ratios.

(2) Identify the degree of uncertainty associated with existing demographic forecasts and how they complicate predictions of economic behavior and macroeconomic performance.

(3) Quantify in detail the influence of the "baby boom" generation on the path and likely end point of long-run trends in dependency ratios.

(4) Investigate trends in retirement ages and the prospects for people working longer.

(5) Evaluate the implications of projected demographic changes on American living standards, focusing on factors affecting income security in old age such as aggregate demand, savings, and investment, how they interact, and the aggregate burden on society across all public and private channels through which transfers flow.

(6) Investigate the capabilities for government to maintain current levels of publicly funded support for the elderly.

(7) Investigate trends in private pension provisions and how those trends might be related to the transition to an older society.

(8) Investigate what levels of personal savings would be necessary in order for people to sustain their living standards in retirement for various assumptions about retirement ages, health care cost growth, public support for the elderly, and the effects of increased national savings on investment returns. Summarize the evidence regarding savings adequacy for different age cohorts. Investigate the impediments to people saving adequate amounts.

(9) Develop research recommendations that address knowledge gaps and anticipated data needs identified during Committee deliberations and which reflect an understanding of international differences

Co-operation Partners

Alan J. Auerbach, University of California, Berkeley, CA, USA

Axel Börsch-Supan, MEA, Max Planck Institute for Social Law and Social Policy

John Bongaarts, The Population Council, New York City, NY, USA

Susan M. Collins, University of Michigan, Ann Arbor, MI, USA

Roger W. Ferguson, Teachers Insurance and Annuity Association, New York City, NY, USA

Ronald Lee, University of California, Berkeley, CA, USA

Charles M. Lucas, Osprey Point Consulting, USA

Deborah J. Lucas, Congressional Budget Office, Washington, DC, USA

Olivia S. Mitchell, University of Pennsylvania, Philadelphia, PA, USA

William D. Nordhaus, Yale University, New Haven, CT, USA

James M. Poterba, Massachusetts Institute of Technology (MIT), Cambridge, MA, USA

John W. Rowe, Columbia University, New York City, NY, USA

Louise M. Sheiner, Federal Reserve System, Washington, DC, USA

David A. Wise, Harvard University, Cambridge, MA, USA

13.10. Financial Literacy

This cooperation is funded by the European Investment Bank Institute and brings together researchers from nine different countries to collaborate on Financial Literacy research. The collaborators work on their individual work packages and meet on a yearly basis to discuss the progress and exchange further ideas.

Within the larger group of cooperation partners Tabea Bucher-Koenen has two joint research projects with Rob Alessie, Annamaria Lusardi and Maarten van Rooij. In order to further these projects regular conference calls and three to four work meetings per year take place.

Co-operation Partners

Sule Alan, Koch University, Istanbul, Turkey

Rob Alessie, University of Groningen, The Netherlands

Johan Almenberg, Swedish Ministry of Finance, Stockholm, Sweden

Laura Bottazzi, University of Bologna, Italy

Martin Brown, University of St. Gallen, Switzerland

Tabea Bucher-Koenen, MEA, Max Planck Institute for Social Law and Social Policy, Munich, Germany

Gloria Caballero, Comisión Nacional Mercado de Valores, Madrid, Spain

Annamaria Lusardi, George Washington University, Washington DC, USA

Miguel Portela, Universidade do Minho, Braga, Portugal

Marten van Rooij, De Nederlandsche Bank, Amsterdam, The Netherlands

Jenny Säve-Söderbergh, Stockholm University, Sweden

Marco Trombetta, IE Business School, Madrid, Spain



14. Third Party Funding

Since 2003: **NBER International Social Security Project**, NBER, Travel Funds

Since 2010: **Long-Run Macro-Economic Effects of the Ageing U.S. Population**, U.S. Department of Treasury, Travel Funds

2010 – 2012: **MacArthur Foundation Research Network on an Ageing Society**, MacArthur Foundation, €170,533.00

2010 – 2013: **DFG/FDZ – Respondent Incentives, Interviewer Training, and Survey Participation - BO934/9 - 1**, Deutsche Forschungsgemeinschaft, €227,000.00

2010 – 2013: **Eine neue Perspektive der empirischen Altersforschung in Deutschland: Verknüpfung von medizinisch-biologischer und sozio-ökonomischer Forschung und Verknüpfung von sozio-ökonomischen Umfragen, Prozessdaten und Biomarkern**, [Biomarkers and Linkage of Survey Data (SHARE) to Process Data (German Pension Fund)] Volkswagen Stiftung, €342,600.00

2010 – 2014: **CHANCES – Consortium on Health and Ageing Network of Cohorts in Europe and the United States**, European Commission, €141,529.77

2011 – 2013: **Analysen zu Alterssicherung, Gesundheit und Familie auf Basis von Daten der Deutschen Rentenversicherung und des Survey of Health, Ageing and Retirement in Europe**, [Analyses of Old Age Provision, Health and Family using SHARE and data from the German Pension Fund] Deutsche Rentenversicherung, €141,000.00

2011 – 2013: **Easy SHARE – Creating an HRS-Adapted Simplified SHARE Distribution File**, National Institute on Aging, \$88,256.00

2011 – 2013: **SHARE TILDA – Integrating the TILDA Health Assessments into the SHARE Policy Background**, National Institute on Aging, \$34,261.00

2011 – 2013: **Survey of Health, Ageing and Retirement in Europe Wave 4**, Bundesministerium für Bildung und Forschung, €2,899,411.00

2011 – 2014: **DFG/FDZ – Professionalisierung und Ausbau des Forschungsdatenzentrums Survey of Health, Ageing and Retirement in Europe (SHARE)**, [Research Data Center SHARE], Deutsche Forschungsgemeinschaft, €143,000.00

2011 – 2014: **SHARE-M4 – Multinational Advancement on Research Infrastructures on Ageing**, European Commission, €651,014.50

2011 – 2014: **Social protection, work and family strain: cumulative disadvantage effects in the US and Europe**, National Institute on Aging, \$174,926.00

2012 – 2013: **Beschäftigungs- und Budgetwirkungen unterschiedlicher Rentenzu- und abschläge in der GRV**, [Effects of a rise in deductions and premiums in the public pension system on employment and government budget], German Federal Ministry of Finance, €21,916.83

2012 – 2014: **DASISH – Data Service Infrastructure for the Social Sciences and Humanities**, European Union, €541,972.70

2012 – 2014: **Interviewing Interviewers**, Charles Cannel Fund in Survey Methodology of the Survey Research Center at the University Of Michigan, \$10,500.00

2013 – 2015: **MacArthur Foundation Project on Social Cohesion**, MacArthur Foundation, \$145,000

2013 – 2015: **Financial Literacy**, European Investment Bank Institute, €6,000.00

2013 – 2016: **SHARE-RV**, Deutsche Rentenversicherung, €185,900.00

2013 – 2018: **Survey of Health, Ageing and Retirement in Europe Waves 5-7**, Bundesministerium für Bildung und Forschung, €6,365,335.00

2014 – 2016: **More Years, Better Lives – The Potential and Challenges of Demographic Change**, European Union/Joint Programming Initiative, €11,476.52

2014 – 2016: **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, \$2,000,235.00

*III. Max Planck Fellow Group:
Inclusion & Disability*





Prof. Dr.
Elisabeth Wacker

1. Introduction

Elisabeth Wacker

The establishment of the "Transformation of Social Systems and Participation of Persons with Disabilities" fellow group – i.e. the "Inclusion and Disability" section for short – in 2010 tied in with a long-standing focus of the Institute, namely a social law and social policy approach to disability and participation issues.

The fellow group's research particularly emphasised the transformation in the perception and handling of impairment and disability from the angles of social law (e.g. German Social Insurance Code IX – SGB IX, General Act on equal treatment – AGG, UN-CRPD) and social policy (outpatient orientation, personal budget).

Indeed, new perspectives have emerged in these fields, the most central being the interplay between impairment or disability and opportunities for participation as well as quality of life. This new direction is underscored in the latest Federal Government's Participation Report (Teilhaberbericht – 2013): beyond enumerating measures undertaken in the field, it innovatively correlates participation opportunities with life situations. Since Professor Elisabeth Wacker agreed to chair the scientific advisory board, a direct link could be established between academic research and these new monitoring approaches.

For the first time – under her aegis – the assessment underlying the report not only relied on statistics related to officially recognised (severe) disabilities but also included data on chronic ailments and impairments in order to identify "disability".

Thus, the report provides evidence-based statements on the approximately 25 percent of the adult population in the Federal Republic who face impairment, especially in terms of whether they experience equal opportunities in their lifestyles.

When it comes to the access to resources or social participation (i.e. participation and acceptance/recognition), different groups encounter various forms of discrimination. Indeed, correlations do not only emerge from the type and the intensity of the impairment. Instead, a multi-perspective angle on disability is required, an angle that includes many dimensions of inequality (such as age, gender, migration or education background, etc.).

Hence, the programmatic orientation of the fellow group should be understood against this backdrop. To wit: the group tackles traditional sociological issues that have emerged from (international) Inequality Studies and the research on life situations with transdisciplinary approaches drawn from intersectional research as well as Disability, Diversity and Gender Studies. This perspective provides access to an innovative field of research that enriches the existing expert discourse. Moreover, the consciously entangled orientation of the programme is reflected in the individual dissertation projects of the fellow group:

- Under the "Social Participation" topic with a focus on fundamental issues, an investigation is being carried out on the inclusion and exclusion of persons with disabilities and migration backgrounds in German universities. The emphasis here is on the superposition of social inequality categories and their impact on individual success in the academic system (BALDIN). In another project, which was completed in October 2013, the Basic Constitutional Law was examined in the light of the UN Convention on the Rights of Persons with Disabilities with a special focus on the question of whether a constitutional status should be ascribed to human rights (BANAFSCHE). A project located at the intersection between the topics of "Social Participation" and "New Steering" looked into diversity management practices in both profit and non-profit organisations. The stress here was on whether and, if yes, to what extent disability can be adequately addressed with the help of this new steering approach. The dissertation completed in the context of this project was awarded a "summa cum laude" in 2014 (DOBUSCH).
- Two projects focus on transformations in emerging economies, i.e. on the potentials and limits of national and international social models in countries of the global south. One of them foregrounds the life situations and related quality of life of persons with disabilities in South Africa (BERTMANN) and the other investigates the current implementation status of the UN-Convention on the Rights of Persons with Disabilities in East Africa (Kenya, Tanzania, and Uganda) (HOFFMANN).
- The topic "New Framework and New Roles" explores the transformation of social services between a professionalisation impulse and the imperative of efficient resource use in the context of three further projects. The first investigates concepts and standards for good employees in the



The Max Planck Fellow Group and members of the Sociology of Diversity Chair, Technische Universität München: Sarah Reker, Stefan Schmidt, Prof. Dr. Elisabeth Wacker, Isabella Bertmann, Laura Dobusch, Corina Hoffmann, Stefanie Frings, Kathrin Schmidt, Luisa Demant and Dominik Baldin (left to right).

controversial field of social service (MÖLLER). The other two studies are anchored in the overlap between the "New Framework and New Roles" and "New Steering" topics. They concentrate on competence issues in the field of professional practice (educators and counselling) (DEMANT) and on the potentials of the social space orientation in the re-designing of inpatient facilities for persons with disabilities (REKER).

In **June 2012**, a well-received **expert conference** on the issue of "**Inclusion and Social Space – Disability Law and Disability Policy on the Communal Level**", which attracted renowned researchers from both social law and the social sciences, was organised with the Social Law Section of the Max Planck Institute for Social Law and Social Policy. In the wake of the conference, an anthology entitled "Inclusion and Social Space. Social Law and Social Policy on the Communal Level" was published (Becker/Wacker/Banafsche 2013).

"**Diversity and Inclusion – Coping with Difference when Faced with Impairment and Disability**", an **international conference**, was organised in cooperation with the Deutsche Gesellschaft für Soziologie and the Technische Universität München in **January 2014**. As a result, a special issue of the "Soziale Probleme und Soziale Kontrolle" (Social Problems and Social Control) Journal has just been published (Wacker/Groenemeyer

2014). Moreover, in **July 2014**, a second **expert conference** entitled "**Homo Faber Disabilis – Participation in Gainful Employment**" was hosted together with the Social Law Section of the Max Planck Institute of Social Law and Social Policy. In this context, participants reflected upon the current participation opportunities as well as obstacles to inclusion for persons with disabilities in the workplace from the perspectives of both social law and social policy. An edited volume is in preparation. (Detailed reports on the conferences can be found in Chapter III. and IV.)

In the context of the internationally oriented topics of the Fellow Group, an **academic conference** was organised in **December 2013** in Kenya (for the second time in cooperation with Pwani University in Kilifi). The "**(Dis)ability, Participation and Community Involvement – Tracing the Roots of CBR**" topic relates to the "Community-Based Rehabilitation" programmes that have been established and further developed over the past decades in the countries of the Global South. It tries to explore to what extent connections have emerged between these programmes and the newer social space approaches and inclusion theories and if the imperatives of the UN Convention on the Rights of Persons with Disabilities (UNCRPD) can be concretely implemented. A special issue of the "East African Journal on Disability and Rehabilitation" is currently being planned.





Dominik Baldin

The 5-year Fellow Group programme ended in February 2015 but in May 2014, the Max Planck Institute for Social Law and Social Policy successfully applied for a one-time **prolongation** in the context of the Max Planck Fellow research programme.

Hence, the Fellow Group will pursue its work with post-doctoral researchers under the motto "**Dis[cover]ability & Indicators for Inclusion**" for another five-year term (2015 – 2020).



Participants of the international conference "(Dis)ability, Participation and Community Involvement – Tracing the Roots of CBR", Pwani University, Kilifi, Kenya, 2 – 6 December 2013.

2. Projects

2.1. On the Overlap between Dis/ableism and Racism: Persons with Disabilities and Foreign Backgrounds in Academia

Dominik Baldin

Beyond the inherent heterogeneity characteristic of both groups, there is at least one common denominator between persons with disabilities and individuals with a foreign background: they often "fly under the radar" – be it in terms of societal or scientific perception. Sociology has tackled both foreign background and impairment/disability aspects with varying degrees of intensity. Moreover, the two groups have also been examined by neighbouring disciplines. However when it comes to the overlap between them, there are very few studies available, despite the fact that according to recent estimates there are between one and two and a half million persons with both disabilities *and* foreign backgrounds in Germany – and the trend seems to be expanding. Researcher Judy Gummich thus aptly describes the limited transdisciplinary groundwork as well as the lack of appropriate counselling and supporting agencies for persons concerned and their families as a black hole in the universe of existential realities.

Hence, the aim of the present study is to contribute towards filling this research gap. In order to obtain solid insights, it focuses on tertiary education, a move that entails two significant advantages:

On the one hand, societal developments such as demographic change and the ensuing forecasted (future) shortage of skilled labour have placed the highly selective German educational system in the limelight of academic and media-related interest. This means that there is a considerable amount of studies on the situation of students with foreign backgrounds. In recent years, students facing impairments have also attracted increasing attention, even if in this case the current state of research leaves much to be desired. At best, when it comes to research associates, one can draw upon general studies on the situation of employees with disabilities and/or foreign backgrounds in the public sector.

On the other hand, the main focus of the study is on the social perception of "successful" people, who despite an obvious disadvantage still strive towards the highest educational achievements or have already attained them. This strategy helps to undermine the dominant cliché of poor and helpless individuals with disabilities and/or foreign backgrounds.



Isabella Bertmann

Due to the lack of data beyond quantitative estimates, it appears fitting to anchor the empirical approach in a qualitative research paradigm. Concretely, problem-centred and biographically oriented interviews were conducted with students and research associates at German universities. These types of interviews are characterised (according to Witzel) by the fact that they dispense with predetermined operationalisation steps without denying the prior theoretical knowledge of interviewees. This paves the way for an analysis of the specific processes that have contributed to the past and present successes of the interviewees in the German educational system. In this context, a central question is whether the two characteristics "impairment/disability" and "foreign background" inevitably lead to what many theorists have postulated as a "double" discrimination or whether other forms of overlap actually arise in the empirical field.

Hence, from a methodological point of view, the approaches commonly summarised as "intersectional" are clearly the most compatible. Already in the 1920s, authors such as Clara Zetkin who were subsequently subsumed under the category "Gender Studies", demanded that gender not be considered as an isolated category in feminist debates but instead broached along with other socio-structural categories or repressive mechanisms, e.g. also with disability or dis/ableism. Nowadays, this approach has become increasingly established within the sociology of social inequality.

Among the great diversity of potential approaches, Winker and Degele's perspective based on Pierre Bourdieu's Theory of Practice appears particularly constructive since, among other categories, it focuses on the body and can thus be productively linked to the dis/ableism debate.

The empirical investigation part of the study is nearing completion and the study itself will be completed by the middle of next year.

2.2. Social Protection, Inclusion and Quality of Life of Persons with Disabilities in South Africa

Isabella Bertmann

Be it in the academic or the practical fields, the link between poverty and impairment/disability is repeatedly highlighted – especially when it comes to the so-called developing countries. However, individuals with disabilities often do not have equal access to poverty reduction programmes and/or social benefits, if these are available at all. Furthermore, they are confronted with barriers regarding access to the edu-

cation system as well as the regular labour market. This means that many persons with disabilities are unable to earn a living, lead a self-determined life and provide for potential loss of income. Hence, this dissertation project, which is almost completed, focuses on the inclusive design of social security systems and social protection programmes.

Among other reasons, South Africa was chosen as a case study because local residents with disabilities can apply for a particular social benefit, the so-called Disability Grant – provided they fulfil certain requirements. Moreover, guardians of children with disabilities can also apply for a Care Dependency Grant. Beside the existence of an active disability rights movement as well as corresponding political and legal structures, existing studies also provide good reasons for choosing this upper-middle-income economy as a case study while furnishing the framework for the analysis of the primary data using a qualitative multi-perspective approach.

Amartya Sen's "Capability Approach" informs both the analysis of the in-depth interviews as well as the theoretical foundation of the dissertation. This approach surveys poverty from a multi-dimensional angle and is thus particularly appropriate when it comes to formulating statements about the quality of life and agency of persons living in poverty. Until now, however, Sen's approach has been applied primarily to the analysis of quantitative data. Furthermore, few empirical studies have been published on the issues of disability and inclusion, respectively social security and social protection. This dissertation will therefore also contribute to methodological discussions and theoretical debates.

Data for this study include qualitative interviews with individuals with disabilities, their families as well as members/employees of several governmental and non-governmental organisations (among others, Disabled People's Organisations). The interview partners were questioned about their knowledge of and their experience with social policy and disability rights as well as the Disability Grant (or the Care Dependency Grant for children). The aim here was to glean both personal and expert opinions from people with and without disabilities in order to gain a comprehensive picture of the effects of social protection measures on the living situations of persons with disabilities in South Africa.

The primary data mentioned above was collected in the context of a field trip to Port Elizabeth in November 2011, sponsored by the Martin-Schmeißer-Stiftung, as well as a research stay in Cape Town,





Luisa Demant

financed by the German Academic Exchange Service (DAAD), in February and March 2012. Visiting researcher stints at the University of Cape Town as well as the University of the Western Cape also played an important role since they provided the opportunity to exchange views with local scientists from various disciplines. Beyond data collection, the stays proved particularly crucial because they fostered a heightened sensitivity to cultural aspects in order to better interpret and contextualise the results of the interview analyses thanks to a more in-depth understanding of social conditions.

Mirroring the insights already obtained in the existing literature, a few interview partners also passed criticism on the Disability Grant. Indeed, a rather medical perspective on disability can be witnessed in the relevant social and legal documents since they tend to focus on individual deficits. This contradicts the social model of disability as well as the central ideas of the UN Convention on the Rights of Persons with Disabilities, which South Africa has already ratified. In the latter, inspired by human rights discourses, the focus is on social barriers rather than bodily impairments. Correspondingly, a majority of interview partners were very vocal about these barriers, especially in the fields of traffic/transportation as well as participation in education and paid employment. Nevertheless, the Disability Grant also has positive effects – be it in terms of financial independence or respondents' self-esteem.

2.3. Counselling in Primary Schools – Fostering Participation in Education through the Mediation between Individual and Structural Possibilities

Luisa Demant

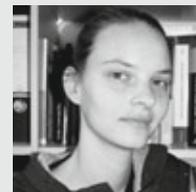
The current debates on equal opportunities, inclusion and participation are increasingly part of the reference framework of pedagogical work in (primary) schools. Beyond the "core business" of transmitting knowledge, schools are confronted with increasing expectations when it comes to offering all children the possibility to successfully participate in education. In problem-ridden urban districts especially, teachers are faced with a variety of challenges and they have to mediate between the structures of the school system and the individual competencies and skills of both children and their parents. This can be accomplished through counselling – a particularly relevant strategy in the context of current expectations about inclusive schooling and its design since children with disabilities are confronted with various forms of discrimination when it comes to participation. The aim of counselling is to increase parents' competence to act and

decide adequately as well as to provide access to structural opportunities. Hence, the dissertation aims to investigate how primary school teachers perceive their advisory role in the context of their professional pedagogical activities. It thus focuses on how professional counselling practice can match school-centred structural possibilities with the individual skills of children and their parents in order to ensure a more successful participation in education.

The theoretical part of the study introduces the basic aspects of participation from a socio-political as well as a lifeworld perspective. This approach covers two relevant aspects of participation: first, the existing social structures and services that foster participation and, second, individual perspectives on participation as well as its rating and design in the everyday lives of the persons concerned. The combination of these two approaches is what characterises the essence of participation and enables one to observe when individuals perceive participation opportunities as relevant for themselves. This is then linked to approaches developed in professional pedagogical practice, with a particular focus on institutional and individual reflexion competence. Professionalism and quality aspects are especially relevant here since counselling represents only one of the numerous activities of (primary) schoolteachers, who, as a rule, are not explicitly trained as counsellors.

The core of the dissertation is a qualitative study examining how teachers experience their role as advisors, what potential influence they have on their clients and what responsibility they feel towards them. Moreover, teachers were also asked about how they evaluate the participatory situation and opportunities of their clients. Thus, the study is based on 27 guided interviews with social workers, special education teachers and primary schoolteachers from 10 schools located in North Rhine-Westphalia. The interviews have been transcribed and are currently being analysed with the help of a qualitative coding process as well as interpreted in the light of the research question. Finally, the study compares and relates interviewees' various professions.

In terms of preliminary results, it can be said that most educators do not feel sufficiently prepared for their advisory role, despite the fact that counselling (as a road map for participation) represents a central task in their everyday professional activities. In terms of the counselling activity itself, the avowed aims of the interviewees vary between an open (indifferent) position and a more directive attitude when it comes to the negotiation process between potential solutions to the problems at hand. There are hints that



Laura Dobusch

this may be linked to the perceptions that educators have of their clients. When the former attribute children's seemingly limited participation to their parents wholesale, counselling aims to change parents' attitudes. If this fails to work, then parents are further blamed for the "problem". In very few cases one does witness an institutionally catalysed process of reflexion on educators' professional practice.

2.4. Un-/Desired Diversity? Inclusion and Exclusion within Organisational Diversity (Management) Discourses

Laura Dobusch

Even though diversity management has been considerably expanding in German-speaking regions over the past fifteen years – be it in the corporate world or municipal administrations – further research remains acutely relevant from a scientific perspective. While economic studies tend to favour empirical investigations of the positive and negative effects of diversity for organisations and their performance, research emanating from the humanities and the social sciences consider diversity management as a contribution to the gradual "commodification of the social". Thus, the aim here is to highlight this discrepancy by empirically examining concrete diversity management practices with a special focus on their inherent inclusion and exclusion potentials for particular groups of persons such as women and men with disabilities. Central research questions include: how do understandings of diversity evolve in organisations that describe themselves as routinely implementing diversity management or who are in the process of implementing it? What type of inclusion/exclusion potentials arise from varying conceptions of diversity and what do they entail for persons with disabilities and their positions? Finally, what boundaries are drawn between desirable and undesirable diversity and how are they legitimised?

A discourse/dispositif analysis perspective provides the theoretical underpinning as it ties in with the work of French historian and philosopher Michel Foucault. The concept of *dispositif* refers to a specific constellation of practices that emerges at a certain point in time as an answer to a specific social issue. In the case of the diversity management *dispositif*, its crystallisation can be interpreted as a reaction to a number of challenges. These challenges – the declining number of persons of working age, the lack of potential maximisation due to skewed recruiting, not to mention a decreasing tolerance towards discrimination in general – are usually articulated in economic and political terms. In the case of the di-

versity management *dispositif*, practices such as e.g. diversity training, quota systems or targeted PR strategies have surfaced but only empirical investigations can assess their effects in terms of inclusionary or exclusionary potential.

For this reason, 26 interviews were carried out in altogether 5 organisations – both profit and non-profit (bank, university, training institute as well as two municipal administrations) – that describe themselves as active in the field of diversity management. The concrete sample of interview partners – diversity managers as well as equal opportunities officers and members of representative bodies for disabled employees – emerged from the focus of the study, i.e. a comparative analysis of dis/ability and gender in the context of organisational diversity discourses. The analysis of the material obtained was then based on the assumptions posited by discourse analysis in the sociology of knowledge as well as on a coding process derived from Grounded Theory but adapted to the research focus.

Initial results show that the diversity discourse is characterised by an interplay of very heterogeneous interpretation patterns. On the one hand, diversity is referred to through so-called ascriptive attributes (e.g. gender, dis/ability). On the other, it is also perceived as a "variety-affirming" attitude including related behaviours – hence more as a practice than a focus on fixed person-related attributes. Despite of or, indeed, due to this relative interpretive freedom, the boundaries between desirable and undesirable variety are characterised by impermeability. To wit, the (non-)fulfilment of performance expectations represents a watershed for the classification into legitimate or illegitimate diversity – hence, it also determines the legitimacy of participation rights. However, the "performance" concept is not further defined. Instead, it is assumed to be unambiguously measurable, thus escaping any opportunity for questioning. Beyond the significance of performance delivery for the distinction between desirable and undesirable diversity, a central role is ascribed to persons with disabilities when it comes to boundary-drawing. Indeed, the status of a diversity-relevant group is not usually conferred upon persons with perplexing behaviours and/or cognitive impairments. Thus, while the diversity discourse spells inclusionary potential for particular individuals (e.g. highly-qualified women without impairments), it delivers little for other groups and sometimes even accentuates their exclusion.

The study has recently been accepted as a dissertation.





Corina Hoffmann



Melanie Möller

2.5. The Implementation of the UN Convention on the Rights of Persons with Disabilities: A Comparative Analysis of Uganda, Kenya and Tanzania

Corina Hoffmann

The adoption of the United Nations Convention on the Rights of Persons with Disabilities (UNCRPD) is central when it comes to fostering universal human rights and inclusion in all aspects of life. The UNCRPD is regarded as an integral part of a movement that has catalysed a paradigmatic change from the so-called medical model to the social model in terms of how disability should be perceived: from an individual deficiency or deviation from a constructed norm to a problem created within and by society.

Current research is characterised by a distinct lack of systematic analyses of the UNCRPD implementation, particularly with regard to countries and regions outside Europe and the OECD. Moreover, African studies themselves are predominantly focused on national issues. Therefore, this study tries to close a gap by focusing on East Africa, a politically relatively stable region. Using a comparative perspective, the study analyses the UNCRPD implementation strategies of Kenya, Uganda and Tanzania.

The theoretical approach is based on the Advocacy Coalition Framework developed by Paul Sabatier. His concept seeks to explain policy change in policy subsystems over time by focusing on allies and the formation of coalitions primarily based on common belief systems. In this dissertation, the framework is extended to the field of comparative policy analysis and tested in terms of its transferability and explanatory power for sub-Saharan African countries. On this theoretical basis, the main research approach combines explorative methods such as secondary analyses and primary data acquisition – the latter entailing field research in East Africa that was partially funded by a scholarship awarded by the Martin-Schmeißer-Foundation.

Research in Africa primarily consisted of interviews with various experts in the field, namely A) on the international level: the East African Community (EAC), the African Decade of Persons With Disabilities, the East African Legislative Assembly (EALA), the African Rehabilitation Institute (ARI) representing the African Union (AU) and the East African Federation of the Disabled (EAFOD), as well as B) on national levels: a member of Parliament in each country, at least one representative of the ministries involved and dealing with persons with disabilities in each country, the director of the monitoring agen-

cy if existing, and the director or the chairperson of the umbrella organisation in each country.

To ensure an adequate comparison between the countries, all interview partners held similar expert positions, as for example that of director of the respective umbrella organisation. Visits and semi-formal interviews were conducted with persons working in the field, i.e. in programmes for persons with disabilities located in e.g. hospitals or rehabilitation centres. In addition, field research also involved collecting secondary data in the form of important documents. These included the first official state reports to the UN but, in some cases, only their drafts. Access was also sought to semi-official shadow/alternative state reports as well as various disability acts ratified before and after the ratification of the UNCRPD. Further documents included reports and information on programmes as well as statistical data, with clues about how and on which basis the latter was and is collected. While attempting to gather data on budgets, it became obvious that collecting this kind of data is a very sensitive enterprise. Indeed, government officials were either reluctant or unable to provide it due to institutional structures that do not allow for a financial breakdown of distributional flows. In order to enrich the analytical grid, an important event was attended in Arusha, Tanzania, with high-level representatives from 9 states of greater East Africa: "The Training Workshop on Monitoring the Implementation and Preparation of Parallel Reports on the UN Convention on the Rights of Persons with Disabilities in East Africa".

Currently, the interview transcription and analysis as well as the analysis of the other documents obtained are nearing completion. Furthermore, the application of the theoretical framework on the sources has provided crucial insights on the different approaches followed by each country when implementing the UNCRPD. Thus, first findings and preliminary conclusions could be presented at a number of international conferences.

2.6. Tell Me Who the Good Ones Are – Concepts and Criteria for Good Employees in the Crucial Field of Social Service

Melanie Möller

Increasing cost pressure as well as the increasingly bolstered position of social service users are forcing service providers to focus on economic targets while maintaining a client-orientation. These contradictory demands entail a tightrope act that workers in the

field have to master. Therefore, from a content analysis perspective, this dissertation concentrates on social service staff in the field of disability support and investigates which competencies and strengths they have to acquire and cultivate in order to cope with the new tasks at hand.

Based on a keyword-led literature search as well as a secondary analysis of related sources, the first step is to analyse the structural challenges that currently face social service organisations and their employees. Beyond the debate on the shortage of skilled professionals in many social fields, not to mention the dissolution of European market boundaries, the focus here is on the organisations themselves with their various cultures and the often precarious working conditions they offer. As a complementary perspective, the change in societal expectations about the tasks and the functions of social services (i.e. compensatory function of social services versus loss of social belonging within social structures) is analysed. Moreover, the comparison with international research results (e.g. Eurofound, European Social Survey) is referred to in order to highlight the need for action in the German social sector.

A further chapter is devoted to the specific professional requirements of social service and describes the paradigm change as well as the related transformation of structural requirements demanded from employees (i.e. a role change, from caregiver to assistant). Of course, linked to this evolution, various developments and novelties on the levels of both legislation and quality standards have emerged. Indeed, the new requirements for employees have been drawn from conventions and concepts such as the UNCRPD, the ICF and the so-called *Sozialgesetzbücher* (social security codes – SGBs).

Beside the description of the complex mesh of requirements that employees must navigate in their work, the quality of work life (QWL) approach is drawn upon because it emphasises individual experience. Indeed, a QWL analysis includes a number of intrinsic and extrinsic factors that can influence quality – be it positively or negatively. The advantage of this multidimensional concept is that, depending on the professional field, different criteria may prove relevant. Hence, according to the aspects one wants to analyse, it can be optimally and individually adapted to the challenges related to social service and the needs of its employees. QWL represents a key concept in disability support services since the needs of users can be systematically coupled with those of workers; hence, it can prove very influential in the day-to-day life of institutions.

Using a category system based on this QWL approach as well as on relevant indicators for the field considered, the characteristics of good working conditions have been researched with the help of a qualitative content analysis according to Mayring. Both the structural/organisational level (including aspects such as work-life balance, remuneration, working hours, work place constraints and security) and the competencies and qualifications on the staff level (especially autonomy, meaningfulness, sense of competence, social belonging) were taken into consideration. When comparing these findings with the insights obtained in the previous chapter, it soon becomes obvious that all the aspects mentioned are particularly relevant in social service whereas, in practice, blatant shortcomings come to light in these very domains. Nevertheless, a number of best practice examples demonstrate that it is also possible to implement positive changes despite adverse conditions and tough financial constraints. This can be done even though the room to manoeuvre and to change factors that strongly influence the quality of work life is very limited due to the structural requirements of the field. Therefore, the main task now is to single out these success factors in the course of a systematically structuring content analysis of best practice examples as well as of the available literature and the conclusions drawn by various studies. Following upon this analysis, the last phase of this study will be devoted to developing the planned requirements and competencies profile for employees as well as to determining aspects that foster a high quality of work life on the organisational level.

2.7. Using the Social Space Approach to Implement the UN Convention on the Rights of Persons with Disabilities in the Region around Munich

Sarah Reker

With the ratification of the UN Convention on the Rights of Persons with Disabilities (UNCRPD) in 2009, the Federal Government and the Länder committed themselves to its implementation and they are now responsible for the development, monitoring and evaluation of corresponding measures. Furthermore, current decentralisation and outpatient-oriented efforts (such as e.g. the dismantling of large institutions/homes for the disabled and the establishment of local outpatient facilities) in the context of services and policies for persons with disabilities emphasise the (social)-space perspective. Hence, the starting point of this study is a focus on the practical conceptualisation of social space within the transformation processes in order to outline its potential for inclusive developments in the sense of the UNCRPD.



Sarah Reker



Since this concept offers a multi-perspective approach (e.g. urban development, social policy and planning, etc.), it is necessary to clarify the researcher's position. Due to the constraints of the chosen setting, the disciplinary perspectives of sociology, therapeutic pedagogy and social work have been selected. The common denominator of these disciplinary perspectives is that space cannot be isolated from social developments since the latter constantly modify the topography of the former. The investigation is focused on social interconnections in order to both expand the spatial perspective and foster the optimal use of available resources.

Concretely, in the context of this dissertation, data and information on the social space approach in patient facilities for persons with disabilities are being collected and evaluated. The definition of social space and its components is derived from within the field and both differences and commonalities in these institutions are uncovered. Linked to the components outlined, categories can then be developed that will help to assess the social space orientation of these homes for the disabled as well as the social space work performed in these institutions for the empirical section of the dissertation.

The study has been designed to include 27 guided interviews in as well as document analyses from 3 homes for the disabled in Munich and its outskirts, using a qualitative multi-method approach. These sources should enable the evaluation of the respective local perspectives – from the providers of the services to their users and other relevant interlocutors. The results will then be assessed according to the analytical grid.

In parallel with the collection of empirical data, relevant documents are being analysed, and guided interviews conducted on the levels mentioned in two residential units for adults with disabilities embedded in two different homes for the disabled. The transcription of the interviews takes place in parallel with the enquiry.

After the analysis of sources using the documentary method, outcomes should be obtained on both the structural and action levels. Since structures and actions interact to (re-)constitute the social space, it should then

be possible to articulate conclusions about this space. The information gathered should also uncover UNCRPD implementation strategies anchored in social space that can genuinely foster the participation of persons with disabilities in society.

2.8. Diversity and Inclusion – Managing Diversity and Differentness in Cases of Impairment and Disability

Dominik Baldin

The intention underlying the conference was twofold: on the one hand, participants strove to clarify the concept of diversity, since its acceptations vary widely – be it in scientific use or public discourse. On the other hand, there was a strong focus on impairment/disability – an often overlooked diversity dimension in the research on inequality – as a cross-cutting dimension. The conference was the outcome of the cooperation between the "Social Problems and Social Control" Section of the German Association of Sociology (DGS), the Max Planck Fellow Group "Inclusion & Disability" and the Technische Universität München (Sociology of Diversity Chair).

In order to foster the elaboration of a systematic foundation as well as clarifications of the diversity concept, the conference pursued a threefold strategy:

- the connection of diversity concepts to theories of inclusion and exclusion in contemporary societies
- the comparison of the various conceptual emphases when dealing with diversity
- the reconnection of the theoretical investigation of diversity with its organisational embedding



Prof. Dr. Elisabeth Wacker opens the conference.

In this context, disability as a differentiation category was particularly emphasised throughout the three streams because it is rarely or only marginally acknowledged in the majority of difference-oriented studies. Altogether, about sixty local and foreign researchers from various disciplines participated in the event.

Theories of Inclusion/Exclusion and Empirical Analyses

After the welcome address and the introduction to the conference by *Prof. Elisabeth Wacker* (MPI Fellow Group & Technische Universität München), keynote-speaker *Prof. Anne Waldschmidt* (Universität zu Köln) launched the conference with her paper entitled "The Power of Difference: Disability Studies Perspectives on Diversity, Intersectionality and Social Inequality". Waldschmidt focused on three concepts used to analyse social inequality: the "classical" inequality theory, intersectional research as well as the diversity perspective. While inequality theory remains stuck in the labelling of inequalities and intersectional research criticises societal conditions from a normative stance, the diversity perspective – as a culturally oriented discipline – both demands and fosters the acknowledgement of and respect for variety.

Isabella Bertmann and *Luisa Demant* (MPI Fellow Group) followed with their paper on "Inclusion and Justice" about the adoption and ratification of the UN Convention on the Rights of Persons with Disabilities (CRPD), with a special focus on the "capability approach" developed by Sen. They examined the prerequisites for and the limits of participatory opportunities for persons with disabilities in society.

Based on a qualitative study inspired by Bourdieu, *Arne Müller* (Universität zu Köln) compared "(Dis)abled women and men's experience of discrimination". He showed that discrimination forms vary according to class.

Prof. Kathrin Römisch (Evangelische Fachhochschule Rheinland-Westfalen-Lippe) was able to show that "Biographies and Lifestyles of Young women with Intellectual Disabilities" are characterised by institutionalisation on multiple levels. Therefore, opportunities to lead an independent lifestyle are extremely limited.

Prof. Markus Schäfers' paper (Hochschule Fulda), "'Person-centeredness' as a programmatic sociopolitical expression under the sign of inclusion", tack-

led the contradictions deriving from the re-orientation of the support system for persons with disabilities, away from institutional towards personal services. He showed how the promise of participatory processes raised expectations that could hardly be met.

A perspective on Italian models of professional inclusion for persons with disabilities was offered by *Prof. Matteo Borzaga* (Università degli Studi di Trento) with his contribution "Inclusion between Legal Provision and Targeted Promotion". He distinguished between two options in the steering process: forced participation on the one hand and a new form of professional participation in the shape of privileged cooperatives on the other.

With his paper "What Legislative Jargon Can Learn from Children: Inclusion through Accessibility of Language in CRPS and DRIP" based on the concrete example of legal texts in easily understandable language, *Daniel Pateisky* (Universität Halle-Wittenberg) demonstrated how crucial accessibility is for marginalized groups' opportunities for action.

In his talk on "Inclusion and Diversity as Legal Concepts", *Michael Wrase* (Wissenschaftszentrum Berlin für Sozialforschung – WZB) took up the question of what meaning could be ascribed to these two terms in the context of legal theory as well as in the concrete application of the law. In this context, his specific focus lay on the German educational system against the backdrop of the CRPD ratification.

Conceptions and Boundaries of Diversity

In the second keynote lecture, "Differences that Make a Difference", *Dr. Heike Raab* (Universität Innsbruck) showed how various diversity policies can be evaluated from the perspective of Disability Studies. She analysed the tension between the affirmative acknowledgement of difference and inequality theory approaches. Besides providing a detailed summary of both diversity policy "poles" as well as potential connections with Disability Studies, she sketched the plausible consequences of the redesigning of welfare regulations.

In his paper "Diversity without Agency", *Miklas Schulz* (Universität Göttingen) investigated the potential of appropriating differentiating identity categories in creatively playful manner. However, since it is linked to individual resources and competences, it cannot be embraced as a general strategy against structural inequalities.



A methodological-analytical approach to data-based depictability of difference was presented by *Dr. Monika Schröttle* (Universität Gießen & Universität Erlangen-Nürnberg) under the title of "Disability Does not Equalise". She showed how the first representative studies on the life circumstances of women and men with disabilities were operationalised and also pointed to the limits of quantifying approaches. In order to accurately depict the great variety inherent in the differentiation category of disability/impairment, qualitative research is thus indispensable as a complement.

"Other, More Other, the Most Other?", a paper offered by *Dominik Baldin* (MPI Fellow Group & Technische Universität München), presented the theoretical framework of his empirically designed study on the situation of persons with disabilities and migrant backgrounds in the German academic system.

In her presentation "Diversity – Opportunity or Stumbling Block in the Educational System", *Stefanie Frings* (Technische Universität München) analysed the interaction with diversity in the educational system from a steering theory perspective. Referring to systems theory, she advocated a focus shift away from social towards organisational theories.

On Coping with Diversity in Organisations

With her keynote address "Truth Games: Diversity versus Intersectionality or Diversity Including Intersectionality", *Prof. Gertraude Krell* (Freie Universität Berlin) introduced the third thematic stream of the conference. She emphasised that intersectionality has always been part and parcel of Diversity Studies in the U.S. and advocated the establishment of Diversity Studies within Social Sciences in Germany.



Conference participants discuss and reflect on the topic of diversity and inclusion.

Prof. Regine Bendl und *Dr. Helga Eberherr* (both from the Vienna University of Economics and Business) followed with a presentation entitled "Multiple Inequalities" on the relationship between diversity management and intersectionality research. Drawing on the example of headhunting as an executive search process, their main focus was to show when and why certain categories are taken for granted, while others are not.

In her talk on "Diversity Discourses in Organisations: Disability as a Borderline Case?", *Laura Dobusch* (MPI Fellow Group & Technische Universität München) then presented results from a case-study on interpretation patterns of diversity in organisations that describe themselves as "active" in the field of diversity management. Her main focus was on the inclusionary and exclusionary consequences of the disability category.

Florian Kiuppis (Lillehammer University College) discussed initial reflections linked to a study entitled "Discursive Synchrony of Universalisation and Particularisation in Social Movements". On the basis of case-studies, he examined the interaction with diversity in disabled people's organisations.

The third stream was then completed with "'Silent Post': Hardness of Hearing and the Organisation of Work", a paper presented by *Caroline Richter* (Ruhr-Universität Bochum) on the results of two studies examining the impact of hardness of hearing on professional communication and participation as well as the implications of personal assistance services in the workplace for hearing-impaired employees who communicate orally.

In the concluding statements provided by *Prof. Axel Groenemeyer* (spokesperson of the "Social Problems and Social Control" Section of the Deutsche Gesellschaft für Soziologie) and *Prof. Elisabeth Wacker* (MPI Fellow Group & Technische Universität München) the conference contributions were repositioned in a broader sociological context and reconnected to concrete diversity and dis/ability arenas in the wake of the CRPD and its binding ratification.

These summaries as well as the resonance of the conference imply that its thematic spectrum is being attentively surveyed from a variety of perspectives but, at the same time, tends to lead a shadowy academic existence. Hence, this should stimulate researchers to anchor their focuses (trans)disciplinarily in order to better establish the diversity research perspective within the discourse of specialised disciplines and thus counter the often superficial criticism of diversity concepts with substantial research.

3. Events

3.1. Symposia, Conferences, Workshops

18 – 20 January 2012

Workshop: "**Inklusion bei Behinderung und Zugänge zum Sozialraum – theoretische und methodische Fragen**", in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund, Schloss Ringberg, Kreuth am Tegernsee.

Elisabeth Wacker: Inklusion bei Behinderung und Zugänge zum Sozialraum – theoretische und methodische Fragen Einführung ins Thema und Feinplanung des Workshops

Dominik Baldin: Intersektionalität

Viviane Schachler: Sozialraumorientierung in der Sozialen Arbeit und der außerschulischen Behindertenhilfe

Laura Dobusch: Disability Mainstreaming – Learning Lessons from the Elder Sister

Corina Hoffmann: Die Konzepte von Transfer, Konvergenz und Diffusion: Theorie und Empirie

Isabella Bertmann: Bericht über die Feldforschung in Südafrika und Stand des Dissertationsvorhabens

Gudrun Cyprian: Sozialer Raum

Gudrun Cyprian: Integra – Mensch bewegt

Gudrun Cyprian: Inklusionskonzept und Umbau der Institutionen

Luisa Demant: Soziale Beratung – Teilhabe fördern oder behindern? Stand des Forschungsvorhabens

Melanie Biewald: Mitarbeiter/innen im Brennpunkt sozialer Dienstleistung – Stand des Forschungsvorhabens

Dorothee Schlebrowski: Promotionsstudium – Programmentwicklung

Minou Banafsche: Der Behinderungsbegriff des Neunten Buches Sozialgesetzbuch (SGB IX) im Lichte der UN-Behindertenrechtskonvention (UN-BRK)

Inke Grauenhorst: Teilhabe von Menschen mit Behinderungen und schwerwiegenden sozial auffälligen Bewältigungsstilen – zwischen Wunsch, Wille und Wirklichkeit. Stand des Forschungsvorhabens

Stefanie Frings: Neue Steuerung und berufliche Rehabilitation – Stand des Forschungsvorhabens

Stefan Schmidt: "Raus aus dem Abseits!" – Bürgerschaftliches Engagement von Menschen mit Behinderung im Profifußball!

Simone Schüller: Teilhabe am Arbeitsleben durch unterstützte Beschäftigung. Zum Wandel der Leitkonzepte und Leistungen zur Eingliederung von Menschen mit Behinderung in das Erwerbsleben

18 – 19 June 2012

Conference: "**Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune**", Max Planck Institute for Social Law and Social Policy, Munich.

Elisabeth Wacker, Ulrich Becker: Begrüßung

Elisabeth Wacker: Überall und nirgendwo – "Disability Mainstreaming" und Sozialraumorientierung als Transformationskonzepte

Ulrich Becker: Aufgaben und Handlungsspielräume der Kommune

Peter Masuch: Die UN-Behindertenrechtskonvention als normative Handlungsdirektive

Clemens Dannebeck: Inklusionsorientierung im Sozialraum – Verpflichtung und Herausforderung

Markus Dederich: Inklusionsbarrieren im Sozialraum

Gudrun Wansing: Mit gleichen Wahlmöglichkeiten in der Gemeinde leben – Behinderungen und Entthinderungen selbstbestimmten Wohnens

Felix Welti: Rechtliche Grundlagen einer örtlichen Teilhabeplanung

Markus Schüfers: Kommentar aus Sicht der Bundesvereinigung Lebenshilfe für Menschen mit geistiger Behinderung e.V.

Andreas Kuhn: Kommentar aus Sicht des Deutschen Vereins für öffentliche und private Fürsorge e.V.

Andreas Kruse: Alt und behindert – kein Ort – nirgendwo?

Gerhard Igl: Behinderung und Pflegebedürftigkeit im Alter – sind die sozialrechtlichen Reaktionen konsistent?

Stephan Rittweger: Kommentar aus Sicht der Sozialgerichtsbarkeit

Helmut Knepper: Kommentar aus kommunaler Sicht
Reinhard Wiesner: Die "große Lösung" – Eine unendliche Geschichte?

Minou Banafsche: Die "große Lösung" als gleichheitsrechtliches Gebot

Martina Weide-Gertke, Brigitta Seidenschwang: Kommentar aus Sicht einer Schule

Maria Kurz-Adam: Kommentar aus Sicht eines Jugendamts

24 – 26 September 2012

Workshop: "**Inklusion bei Behinderung – Forschungskonzepte und -fortschritte**", in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund, Hotel Schloss Westerholt, Herten.

Dominik Baldin: Migration und Behinderung – theoretische Zugänge und erste empirische Erkenntnisse

Isabella Bertmann: Disabilities & Capabilities. Zur Analyse qualitativer Interviews auf Basis des Capability Approach – Stand der Auswertung und des Forschungsvorhabens

Minou Banafsche: Schulbegleitung aus juristischer Sicht – Zur Abgrenzung von Schul- und Sozialrecht

Luisa Demant: Der Begriff der Teilhabe aus der Perspektive der Theorie der Lebenswelt nach Schütz

Laura Dobusch: Inklusion und Diversity – Zum unbestimmten Verhältnis zweier verbundener Konzepte

Stefanie Frings: Vom Adressfragment "behindert" zur Exklusionskarriere Behinderung – der Teilhabemodus Behinderung in Deutschland

Inke Grauenhorst: Teilhabe nach Plan und Ziel – Ergebnisse aus der Praxisphase

Melanie Möller: Akteure im Netz verstrickt? Theoretische Überlegungen und vertiefende Fragen zur Struktur des Forschungsdesigns

Sarah Reker: Sozialraum – Ergebnisse der Dortmunder Feldstudie

Kathrin Schmidt: Konzept eines Modellversuchs Bildungsentwicklung

Stefan Schmidt: Bürgerschaftliches Engagement 2.0 – ein zukunftsfähiges Update?!

Simone Schüller: Teilhabe am Arbeitsleben durch unterstützte Beschäftigung

Dorothee Schlebrowski: Promotionsstudium – Programm für die Doktorand/inn/en

4 – 8 February 2013

Workshop: "**Diversität – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung**", in cooperation with the Sociology of Diversity Chair, Technische Universität München, Schloss Ringberg, Kreuth am Tegernsee.



Iris Koall: Diversitätsaspekte in der Inklusionsdebatte
Isabella Bertmann: One Size Fits All? Disability & Social Grants in South Africa
Corina Hoffmann: Diffusion und Diversität: Theorie und Empirie
Kathrin Schmidt: CBR – Sozialraum und Diversität in einem Konzept?
Laura Dobusch: Diversity Management: Von welcher Vielfalt ist die Rede? Erste Ergebnisse aus der Praxis
Luisa Demant: Vielfalt und Verschiedenheit in Sozialer Beratung
Sarah Reker: Diversität – eine relevante Perspektive im Sozialraum?
Dominik Baldin: Intersektionalität – wie weit reicht der Forschungsansatz
Stefanie Frings: Neue Steuerung und Umgang mit Diversität (Diversity and Sports)
Stefan Schmidt: Engagement im Fußball und Special Needs
Simone Schüller: Exklusiv in den Arbeitsmarkt? Bringt der Diversitätsfokus neue Aspekte?
Minou Banafsche: Allgemeines Gleichbehandlungsgebot und Verschiedenheit – was sagt das Recht?
Katharina Schabarum: Respektserleben von Menschen mit und ohne Lernschwierigkeiten
Elisabeth Wacker: Ergebnissicherung und weitere Schritte

9 – 11 October 2013

Workshop: "**Mainstreaming Dis/Ability in Research – Theoretische Zugänge, methodische Umsetzungen**", in cooperation with the Sociology of Diversity Chair, Technische Universität München, Villa La Collina, Cadenabbia, Italien.

Laura Dobusch: Catching a Scientific Butterfly – Zur Eingrenzung und Spezifizierung des Diversitäts-Begriffs
Stefanie Frings: "Steuerung aus Sicht der Systemtheorie" – Chancengleichheit und Teilhabe durch "neue Steuerung"?!
Dominik Baldin: Ableism – eine Annäherung
Isabella Bertmann: Verwirklichungschancen erfassen – Lebensqualität bewerten
Luisa Demant: "Gute" oder "schlechte" Teilhabe? – Professionalität in der Einschätzung von Teilhabesituationen in sozialer Beratung
Corina Hoffmann: Making East Africa More Inclusive: The Implementation of the UN CRPD – Das Paradox der Interessenverbände
Kathrin Schmidt: CBRResearch
Sarah Reker: Sozialraumorientierung und Umsetzung der UN-BRK im Sozialraum – Auf dem Weg zum inklusiven Gemeinwesen?
Stefan Schmidt: Soziale Verantwortung im Profifußball – Inklusion im Sportverein?

2 – 6 December 2013

Conference & Workshop: "**(Dis)ability, Participation and Community Involvement – CBR as a Strategy for Inclusive Development: Tracing the Roots of CBR**", in cooperation with the Sociology of Diversity Chair, Technische Universität München and Pwani University (PU), Kilifi, Kenya.

Mohamed Rajab, Elisabeth Wacker: Welcoming Remarks
Robert Maneno: What is the Project "CBResearch" about?
Letlhokwa George Mpedi: When "Copy and Paste" does not Work – an International and Comparative Perspective on the Extension of Social Protection to Persons with Disabilities

Kathrin Schmidt: Introductory Remarks: (Dis)ability in an Internationally Comparative Perspective
Geoffrey Karugu: (Dis)ability – the Kenyan Perspective
Elisabeth Wacker: (Dis)ability: Yesterday-Today-Tomorrow. The German Perspective
Halimu Suleiman Shauri: Community and Social Space – an Academic Perspective
Paul Achola: Community, Community Resources and (Dis)ability
Edward Joash Kochung: Participation and Disability – an Academic Perspective
Joel M. Chomba: Participation in the Course of Life – a Personal Perspective
Tanja-Maria Ebert: Participation in Education – Challenges and Opportunities
Joseph Gona: Learning from Practice: Lessons Learned from CBR Projects in Kenya
Sarah Reker: The Socio-spatial Approach – a New Way of Using Community Resources in Germany?
Richard Zigler: Introduction to the Field of Emerging Issues from an International Perspective
Stefanie Frings: Inclusion and Sports as an Emerging Issue
Gabriel Katana: Concluding Remarks on Emerging Issues
Muniro Tsanuo: Closing Remarks

Poster Session

Corina Hoffmann: Implementing the UN Convention on the Rights of Persons with Disabilities (UN CRPD) in a Strategic Way
Sarah Reker: The art of belonging and social space – How does the Convention on the Rights of Persons with Disabilities challenge society and service provision?
Kathrin Schmidt: Transitions into Work and Employment of Youths and (Young) Adults with (Dis)abilities in Kenya – The Gains of Inclusive Livelihood Development
Stefan Schmidt: Football for All! – Women Inside – Promoting and Demanding Diversity through Football – A Practical Project Based on Women's Football in Kilifi

30 – 31 January 2014

Conference: "**Diversität und Inklusion – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung**", in cooperation with the Sociology of Diversity Chair, Technische Universität München and the German Sociological Association, Munich.

Elisabeth Wacker, Axel Groenemeyer: Begrüßung
Anne Waldschmidt: Macht der Differenz: Perspektiven der Disability Studies auf Diversität, Intersektionalität und soziale Ungleichheit
Isabella Bertmann, Luisa Demant: Inklusion und Gerechtigkeit: Voraussetzungen und Grenzen für Teilhabemöglichkeiten in der Gegenwartsgesellschaft
Arne Müller: Diskriminierungserfahrungen (nicht) behinderter Frauen und Männer im Vergleich. Eine qualitative Analyse im Anschluss an Pierre Bourdieu
Kathrin Römisch: Institutionalisierte Ungleichheit – Lebensläufe und Lebensentwürfe junger Frauen mit geistiger Behinderung
Markus Schäfers: "Personenzentrierung" als sozialpolitische Programmformel im Zeichen der Inklusion – Zu den Widersprüchlichkeiten einer Neuausrichtung des Hilfesystems für Menschen mit Behinderung
Matteo Borzaga: Inklusion zwischen gesetzlicher Vorschrift und gezielter Förderung: Modelle der Arbeitsinklusion von Menschen mit Behinderungen im italienischen Kontext

Daniel Pateisky: What Legislative Jargon Can Learn from Children: Inclusion through Accessibility of Language in UNCRPD and UNDRIP

Michael Wrase: Inklusion und Diversity als Rechtsbegriffe?

Heike Raab: Unterschiede die einen Unterschied machen: Politiken der Vielfalt aus Sicht der Disability Studies

Miklas Schulz: Diversity ohne Handlungsmächtigkeit?

Monika Schröttle: Behinderung macht nicht gleich! – Überlegungen zur Diversität der Problem- und Lebenslagen behinderter Frauen und Männer aus der Perspektive der empirischen Teilhabe- und Gewaltforschung

Dominik Baldin: Anders, anderer, am anderen? Zur Überlagerung von konstruierter Andersartigkeit am Beispiel von Ableismus und Rassismus – Eine intersektionale Perspektive

Stefanie Frings: Vielfalt – Chance oder Stolperstein im (Aus-)Bildungssystem. Zum Umgang mit Vielfalt im Bildungssystem aus steuerungstheoretischer Perspektive

Gertraude Krell: Wahrheitsspiele: Diversity versus Intersektionalität oder Diversity inklusive Intersektionalität?

Regine Bendl, Helga Eberherr: Multiple Ungleichheiten: Zur Bestimmung des Verhältnisses von Diversitäts- und Intersektionalitätsforschung

Laura Dobusch: Diversity-Diskurse in Organisationen: Behinderung als "Grenzfall"?

Florian Kiuppis: Diskursive Gleichzeitigkeit von Universalisierung und Partikularisierung in Sozialen Bewegungen: Fallbeispiele zum Umgang mit Diversität in Disabled People's Organizations

Caroline Richter: "Stille Post" – Schwerhörigkeit und die Organisation von Arbeit

Elisabeth Wacker, Axel Groenemeyer: Zusammenfassung und Ausblick

10 – 12 February 2014

Workshop: "**Chance for Diversity, Change with Diversity**", in cooperation with the Sociology of Diversity Chair, Technische Universität München, Schloss Ringberg, Kreuth am Tegernsee.

Stefan Schmidt: Der X-Faktor des Fußballs

Corina Hoffmann: EquiFrame – Policy Analysis "on the Books"

Sarah Reker: Die Raumtheorie nach Martina Löw

Luisa Demant: Zwischen den Zeilen lesen – Herausforderungen der qualitativen Inhaltsanalyse

Minou Banafsche: Prävention im Sozialleistungsrecht

Kathrin Schmidt: CBRResearch: Planung, Stand und Herausforderungen der aktuellen Forschungs- und Kooperationsprojekte

Gwen Bingle: "The Sex of the Things"

Elisabeth Wacker: Ergebnissicherung und weitere Schritte

7 – 8 July 2014

Conference: "**Homo faber disabilis? – Teilhabe am Erwerbsleben**", Max Planck Institute for Social Law and Social Policy, Munich.

Ulrich Becker, Elisabeth Wacker: Begrüßung

Ulrich Becker: Rechtliche Grundlagen der beruflichen Teilhabe von Menschen mit Behinderungen

Elisabeth Wacker: Vom tätigen Leben und Teilhabe – Eingliederung, Beteiligungschance und Erwerbsleben für Menschen mit Beeinträchtigung

Iris Beck: Unterstützte oder geschützte Beschäftigung? Vielfalt, Angemessenheit und Nutzen beruflicher Eingliederung – Eignung als Exklusionsfaktor?

Felix Welti: Die Rolle der Einrichtungen der beruflichen Rehabilitation – zwischen "Arbeitgeber" und Vermittler?

Katja Robinson: Kommentar aus Sicht der Bundesarbeitsgemeinschaft der Berufsbildungswerke e.V.

Jens Nitschke: Kommentar aus Sicht der Bundesagentur für Arbeit

Olaf Deinert: Die Beschäftigungspflicht der Arbeitgeber und ihre praktische Wirksamkeit

Mathilde Niehaus: Die Bedeutung von Menschen mit Behinderungen für einen Betrieb

Andreas Melzer: Kommentar aus Sicht eines Unternehmens (Siemens AG)

Oswald Utz: Kommentar aus Sicht des Behindertenbeauftragten der Landeshauptstadt München

Katja Nebe: Instrumente zur Ermöglichung und Erhaltung einer Beschäftigung

Klaus-Dieter Thomann: Leistungsfähigkeit und Erwerbsminderung

Alfons Adam: Kommentar aus Sicht einer Schwerbehindertenvertretung

Jürgen Rodewald: Kommentar aus Sicht der Deutschen Rentenversicherung

Hans Förstl: Grenzen der Teilhabe?

Minou Banafsche: Der besondere Kündigungsschutz schwerbehinderter Menschen nach §§ 85 ff. SGB IX – eine Schutzlücke für Menschen mit Behinderungen außerhalb des Anwendungsbereichs des Schwerbehindertenrechts?

Anke Berger: Kommentar aus Sicht der Arbeitsgerichtsbarkeit

Andreas Heilek: Kommentar aus Sicht eines Integrationsamtes

Wilhelm Vossenkuhl: Berufliche Teilhabe als Wesensmerkmal – vom Funktionieren und Leisten

Ulrich Becker, Elisabeth Wacker: Schlussworte

3 – 5 September 2014

Workshop: "**Teilhabeorientierung und Gerechtigkeit. Konzepte-Programme-Fragen**", in cooperation with the Sociology of Diversity Chair, Technische Universität München, Harnack-Haus, Berlin.

Stefanie Frings: Begrüßung, Einführung, Ausblick auf die Tagung

Dominik Baldin: Gerechte Hochschule? Zur Teilhabe von Menschen mit Behinderung und Migrationshintergrund an deutschen Universitäten

Laura Dobusch: Inklusion durch und Teilhabe an Praktiken des Diversity Management

Stefanie Frings: Neue Steuerung – neue Chancen?

Chancengerechte(re) Teilhabe am Bildungssystem

Isabella Bertmann: "I'm a happy quad" – Zur Bedeutung von Alltagsleben und subjektivem Wohlbefinden für Lebensqualität und chancengerechte Teilhabe

Corina Hoffmann: Teilhabeorientierte Koalitionsbildungen in der Politik Tansanias, Ugandas und Kenias unter besonderer Berücksichtigung des Art.4 (3) der UN BRK

Kathrin Schmidt: CBRResearch: Bisherige Ergebnisse und weitere Schritte

Yvonne Kuhnke: Heterophobie – Barrieren in den Köpfen auf dem Weg zu einer diversitätsfreundlichen Gesellschaft?

Luisa Demant: Teilhabeorientierung in der Beratung – eine qualitative Studie in der Grundschule

Sarah Reker: Teilhabeorientierung und Gerechtigkeit im Sozialraum

Jennifer Eckhardt: Chancengerechte Teilhabe durch eine neue Sozialberichterstattung



3.2. Events Organised by Members of the Fellow Group

Dominik BALDIN

Stream: "Dis/abilities and inclusion at the work place: What can we learn from intersectional research for inclusive employment strategies" (with Caroline Richter). 7th Equality, Diversity and Inclusion Conference: "Organizing Inclusion: Beyond Privileges and Discrimination", Technische Universität München, Munich (7 – 9 June 2014).

Isabella BERTMANN

Workshop: "Inclusion at the Workplace – Diversity vs. Disability?" (with Stefanie Frings). 7th Equality, Diversity and Inclusion Conference: "Organizing Inclusion: Beyond Privileges and Discrimination", Technische Universität München, Munich (7 – 9 June 2014).

Session: "Quality of Life of Persons with Disabilities" (with Vera Tillmann). ISQOLS Conference: "Sustaining Quality of Life across the Globe", Freie Universität Berlin, Berlin (15 – 18 September 2014).

Laura DOBUSCH

Stream: "Organizing Political Diversity – Inclusion and Exclusion in Parties, NGOs and social movements" (with Jasmin Siri & Paula Villa). 7th Equality, Diversity and Inclusion Conference: "Organizing Inclusion: Beyond Privileges and Discrimination", Technische Universität München, Munich (7 – 9 June 2014).

Stream: "Dis/ability and Diversity: Organizations as enabling or disabling forces" (with Caroline Richter). 6th Equality, Diversity and Inclusion Conference: "Solidarity", Athens University of Economics and Business, Athens (1 – 3 July 2014).

Sarah REKER

Workshop: "Community Involvement – Tracing the Roots of CBR". Kick-off Conference: "Jump-CBRresearch: Joint Undertaking to Multiply Powers – Research and Teaching in CBR and Related Fields", Pwani University (PU), Kilifi, Kenya (4 December 2013).

4. Publications

Dominik BALDIN

Ihsen, Susanne, Höhle, Ester & Baldin, Dominik (2013 [2010]). Spurensuche!: Entscheidungskriterien für Natur- bzw. Ingenieurwissenschaften und mögliche Ursachen für frühe Studienabbrüche von Frauen und Männern an TU9-Universitäten. Münster: LIT.

Baldin, Dominik (2014). Behinderung – eine neue Kategorie für die Intersektionalitätsforschung?. In: Wansing, Gudrun & Westphal, Manuela (eds.). Behinderung und Migration. Inklusion, Diversität, Intersektionalität. Wiesbaden: Springer VS, 49-71.

Minou BANAFSCHE

Banafsche, Minou (2012). Art. 19 UN-BRK – Unabhängige Lebensführung und Einbeziehung in die Gemeinschaft. In: Welke, Antje (ed.). UN-Behindertenrechtskonvention mit rechtlichen Erläuterungen. Berlin: Eigenverlag.

Banafsche, Minou (2012). Die Beschäftigungspflicht der Arbeitgeber nach §§ 71 ff. SGB IX zwischen Anspruch und Wirklichkeit. In: Neue Zeitschrift für Sozialrecht (NZS) 6, 205-210.

Banafsche, Minou (2012). Die UN-Behindertenrechtskonvention und das deutsche Sozialrecht – eine Vereinbarkeitsanalyse anhand ausgewählter Beispiele, Teil I. In: Die Sozialgerichtsbarkeit (SGB) 7, 373-379.

Banafsche, Minou (2012). Die UN-Behindertenrechtskonvention und das deutsche Sozialrecht – eine Vereinbarkeitsanalyse anhand ausgewählter Beispiele, Teil II. In: Die Sozialgerichtsbarkeit (SGB) 8, 440-445.

Banafsche, Minou (2012). Fachtagung "Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune". In: Zeitschrift für die sozialrechtliche Praxis (ZFSH/SGB) 9, 505-513.

Banafsche, Minou (2012). Freie Berufswahl für Arbeitslose und Arbeitsgelegenheiten gegen Mehraufwandsentschädigung im Lichte von Grundgesetz und UN-Sozialpakt. In: Vierteljahresschrift für Sozialrecht (VSSR) 2, 131-155.

Banafsche, Minou (2012). Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune – Bericht über eine Fachtagung, Teil 1. In: Nachrichtendienst des Deutschen Vereins für öffentliche und private Fürsorge e.V. (NVD) 10, 505-513.

Banafsche, Minou (2012). Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune – Bericht über eine Fachtagung, Teil 2. In: Nachrichtendienst des Deutschen Vereins für öffentliche und private Fürsorge e.V. (NVD) 11, 527-531.

Banafsche, Minou (2013). §§ 176 und 177 (bis Ende September 2013). In: Gagel, Alexander (ed.). SGB II/SGB III, Band 3, Loseblatt-Kommentar, München, Stand: Oktober 2014.

Banafsche, Minou (2013). Bremisches Wohn- und Betreuungsgesetz (BremWoBeG). In: Dahlem, Otto, Giese, Dieter & Igl, Gerhard (eds.). Heimrecht des Bundes und der Länder, Band II, Loseblatt-Kommentar, Köln, Stand: November 2014, bis Ende September 2013 erschienen: §§ 1 bis 11, § 31, §§ 33 bis 35.

Banafsche, Minou (2013). Die "große Lösung" als gleichheitsrechtliches Gebot – verfassungsrechtliche Grenzen des dualen Systems der Eingliederungshilfe für Kinder und Jugendliche. In: Becker, Ulrich, Wacker, Elisabeth & Banafsche, Minou (eds.). Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune. Baden-Baden: Nomos, 169-192.

Becker, Ulrich, Wacker, Elisabeth & Banafsche, Minou (eds.). (2013). Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune. Baden-Baden: Nomos.

Banafsche, Minou (2013). Unabhängige Lebensführung und Einbeziehung in die Gemeinschaft nach Art. 19 UN-BRK als Ausdruck rechtlicher Handlungsfähigkeit. In: Aichele, Valentin (ed.). Das Menschenrecht auf gleiche Anerkennung vor dem Recht – Artikel 12 der UN-Behindertenrechtskonvention. Baden-Baden: Nomos, 251-272.

Isabella BERTMANN

Bertmann, Isabella & Demant, Luisa (2014). Inklusion und Gerechtigkeit. Voraussetzungen und Grenzen für Teilhabemöglichkeiten in der Gegenwartsgesellschaft. In: Soziale Probleme 25(2), 301-316.

Luisa DEMANT

Bertmann, Isabella & Demant, Luisa (2014). Inklusion und Gerechtigkeit. Voraussetzungen und Grenzen für Teilhabemöglichkeiten in der Gegenwartsgesellschaft. In: Soziale Probleme 25(2), 301-316.

Laura DOBUSCH

Dobusch, Laura, Hofbauer, Johanna & Kreissl, Katharina (2012). Behinderung und Hochschule: Ungleichheits- und interdependenztheoretische Ansätze zur Erklärung von Exklusionspraxis. In: Klein, Uta & Heitzmann, Daniela (eds.). Diversity und Hochschule: Theoretische Zugänge und Empirische Bestandsaufnahme. Weinheim: Juventa, 69-85.

Dobusch, Laura, Kreissl, Katharina & Siri, Jasmin (2013). Von Krisenerzählungen über Parteien zur Beobachtung von Praktiken der Exklusion. Eine programmatische Einführung. In: Momentum Quarterly 2(2), 57-66.

Dobusch, Laura (2014). Diversity (Management-)Diskurse in Organisationen: Behinderung als "Grenzfall"? In: Soziale Probleme, 25(2), 268-285.

Dobusch, Laura (2014). How exclusive are inclusive organizations? In: Equality, Diversity and Inclusion: An International Journal, 33(3), 220-234.

Corina HOFFMANN

Hoffmann, Corina (2015). Die Umsetzung der UN-Behindertenrechtskonvention in Ostafrika: das Paradox der Dachverbände. In: Leonhardt, Annette; Müller, Katharina & Truckenbrodt, Tilly (eds.). Die UN-Behindertenrechtskonvention und ihre Umsetzung. Beiträge zur Interkulturellen und International vergleichenden Heil- und Sonderpädagogik. Bad Heilbrunn: Klinkhardt, 288-296.

Melanie MÖLLER

Frings, Stefanie & Möller, Melanie (2012). Der Weg zum Persönlichen Budget weist noch Hürden auf. In: Neue Caritas 10, 14-16.

Biewald, Melanie & Stefanie, Frings (2012). Auf die Plätze fertig los!? An die Arbeit – mit Persönlichem Budget! In: Teilhabe 1, 37-42.

Frings, Stefanie & Möller, Melanie (2015). WfbM zukunfts-fähig gestalten – evolutionäre Schritte mit dem Persönlichen Budget. In: Leonhardt, Annette u.a. (eds.). Die UN-Behindertenrechtskonvention und ihre Umsetzung. Beiträge zur Interkulturellen und International vergleichenden Heil- und Sonderpädagogik. Bad Heilbrunn: Klinkhardt, 580-587.

Sarah REKER

Reker, Sarah (2015). Ist Sozialraumarbeit die Lösung? Ein traditionelles Konzept der Sozialarbeit auf dem Prüfstand der Forderungen der UN-Behindertenrechtskonvention (UN-BRK) – Ergebnisse einer ersten Erkundung. In: Leonhardt, Annette u.a. (eds.). Die UN-Behindertenrechtskonvention und ihre Umsetzung. Beiträge zur Interkulturellen und International vergleichenden Heil- und Sonderpädagogik. Bad Heilbrunn: Klinkhardt, 333-340.

Schmidt, Stefan & Reker, Sarah (2014). Partizipation und Teilhabe von Menschen mit geistiger Behinderung an Gesundheit. In: Zeitschrift für Erwachsenenbildung und Behinderung 2, 26-32.

Tillmann, Vera & Reker, Sarah (2014). Wissenschaftliche Begleitung des Projekts "Auf dem Weg zur Vision 2030" Einen kritischen Blick wagen! In: Zeitschrift Augenblicke Franziskuswerk Schönbrunn, 7, 14.

Elisabeth WACKER

Wacker, Elisabeth (2012). Geistige Behinderung und Teilhabe an der Gesellschaft. In: Albrecht, Günter & Groenemeyer, Axel (eds.). Handbuch soziale Probleme. Wiesbaden: Springer VS, 601-623.

Wacker, Elisabeth (2012). Startbahn oder Abstellgleis? Frühförderung und Gesundheit für alle im Licht des 13. Kinder- und Jugendberichts. In: Gebhardt, Britta, Hennig, Birgit & Leyendecker, Christoph (eds.). Interdisziplinäre Frühfördern. exklusiv – kooperativ – inklusiv. Stuttgart: Kohlhammer, 295-304.

Becker, Ulrich, Wacker, Elisabeth & Banafsche, Minou (eds.). (2013). Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune. Baden-Baden: Nomos.



Wacker, Elisabeth (2013). Überall und nirgendwo – "Disability Mainstreaming" und Sozialraumorientierung als Transformationskonzepte. In: Becker, Ulrich, Wacker, Elisabeth & Banafsche, Minou (eds.). Inklusion und Sozialraum. Behindertenrecht und Behindertenpolitik in der Kommune. Baden-Baden: Nomos, 25-45.

Wacker, Elisabeth (2013). Versorgung und Inklusion behinderter Menschen in lokalen Strukturen. In: Luthe, Ernst-Wilhelm (ed.). Kommunale Gesundheitslandschaften. Wiesbaden: Springer VS, 243-261.

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Wacker, Elisabeth (2015). Diversity und Dis-ability – ein neues Aufgabenfeld nach der UN-BRK? Reflexionen zur Teilhabeforschung im Vierklang. In: Leonhardt, Annette u.a. (eds.). Die UN-Behindertenrechtskonvention und ihre Umsetzung. Beiträge zur Interkulturellen und International vergleichenden Heil- und Sonderpädagogik. Bad Heilbrunn: Klinkhardt, 67-78.

Wacker, Elisabeth (2014). Geleitwort: Inklusion und Mobilität. In: Tillmann, Vera. Teilhabe am Verkehrssystem – Der Einfluss selbständiger Mobilität auf die Freizeitgestaltung junger Menschen mit geistiger Behinderung. Wiesbaden: VS Research (Schriftenreihe "Gesundheitsförderung – Rehabilitation – Teilhabe").

Wacker, Elisabeth (2014). Inklusion bei Behinderung im Sport? Der neue Teilhabebericht der Bundesregierung als Richtschnur. In: Hebbel-Seeger, Andreas, Horky, Thomas & Schulke, Hans-Jürgen (eds.). Sport und Inklusion – ziemlich beste Freunde?! 13. Hamburger Symposium für Sport, Ökonomie und Medien 2013. Aachen: Meyer & Meyer, 39-61.

Wacker, Elisabeth (2014). Verwobene Behinderungsprobleme. Diversität und Inklusivität als Spagat und Zwickmühle. In: Soziale Probleme 25(2), 231-267.

Groenemeyer, Axel & Wacker, Elisabeth (2014). Einleitung. Diversität und Inklusion bei Beeinträchtigung und Behinderung. In: Soziale Probleme 25(2), 147-149.

Wacker, Elisabeth & Groenemeyer, Axel (eds.) (2014). Diversität und Inklusion. Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung. Soziale Probleme 25(2), 145-338.

5. Papers and Lectures

5.1. Papers

Dominik BALDIN

"Intersektionalität". Workshop: "Inklusion bei Behinderung und Zugänge zum Sozialraum – theoretische und methodische Fragen", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Ringberg, Kreuth am Tegernsee (18 January 2012).

"Exploring the inclusion and exclusion of persons with disabilities and migrant backgrounds". Conference: "Intersectionality and Spaces of Belonging", Bangor University, Wales, Great Britain (28 June 2012).

"Migration und Behinderung – theoretische Zugänge und erste empirische Erkenntnisse". Workshop: "Inklusion bei Behinderung – Forschungskonzepte und -fortschritte", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Westerholt, Herten (25 September 2012).

"Inklusion und Exklusion von Menschen mit Behinderung und Migrationshintergrund". Conference: "Die gespaltene Gesellschaft", Johannes Kepler University Linz, Austria (6 December 2012).

"Zur Inklusion und Exklusion von Menschen mit Behinderung und Migrationshintergrund". Workshop: "Intersektionalität in der (Forschungs-)Praxis". TU Hamburg-Harburg, Hamburg (26 January 2013).

"Intersektionalität – wie weit reicht der Forschungsansatz?". Workshop: "Diversität – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Schloss Ringberg, Kreuth am Tegernsee (5 February 2013).

"Ableism, Racism and the University". Conference: "Ableism, Racism and Conflicts of Participation and Inclusion in Society and the Labour Market", Universität Hamburg, Hamburg (7 June 2013).

"Wider den Kategorismus – Sportler_innen mit Behinderung und Migrationshintergrund". Conference: "Migration, Inklusion und Integration – Herausforderungen für den Sport", Annual Conference of the "dvs-Sektion" of the Sociology of Sport, Universität Paderborn, Paderborn (21 June 2013).

"Students with Disabilities and Migrant Backgrounds: An Intersectional Approach". Conference: "Crisis, Critique and Change", European Sociological Association, Università degli Studi di Torino, Turin, Italy (29 August 2013).

"Ableism – eine Annäherung". Workshop: "Mainstreaming Dis/Ability in Research – Theoretische Zugänge, methodische Umsetzungen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Villa La Collina, Cadenabbia, Italy (10 October 2013).

"Anders, anderer, am andersten? Zur Überlagerung von konstruierter Andersartigkeit am Beispiel von Ableismus und Rassismus – Eine intersektionale Perspektive". Conference: "Diversität und Inklusion – Umgang

mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München and the German Sociological Association. Max Planck Institute for Social Law and Social Policy, Munich (31 January 2014).

"Students and employees with disabilities and migrant backgrounds in the German academic field". DSE 2014 Conference, Victoria University, Melbourne, Australia (25 July 2014).

"Gerechte Hochschule? Zur Teilhabe von Menschen mit Behinderung und Migrationshintergrund an deutschen Universitäten". Workshop: "Teilhabeorientierung und Gerechtigkeit. Konzepte-Programme-Fragen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Harnack-Haus, Berlin (3 – 5 September 2014).

Minou BANAFSCHE

"Kinder mit Behinderungen im deutschen Recht – Eine Analyse mit Blick auf die UN-Behindertenrechtskonvention". 26th International Annual Meeting of the Integrations-/InklusionsforscherInnen", Wartaweil/Herrsching (29 February – 1 March 2012).

"Die praktische Wirksamkeit von Instrumenten zur Teilhabe von Menschen mit Behinderungen am Arbeitsleben – Am Beispiel der Beschäftigungspflicht nach §§ 71 ff. SGB IX". 21st Colloquium for Rehabilitation Sciences, Hamburg (5 – 7 March 2012).

Participant in the Panel Discussion. Conference: "Patientenrechte – und wie sie gestärkt werden können", 10th German Senior Citizen Day of the Sozialverband VdK Deutschland, Hamburg (4 May 2012).

"Die 'große Lösung' als gleichheitsrechtliches Gebot – verfassungsrechtliche Grenzen des dualen Systems der Eingliederungshilfe für Kinder und Jugendliche". Conference: "Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune", Max Planck Institute for Social Law and Social Policy, Munich (18 – 19 June 2012).

"Schulbegleitung aus juristischer Sicht – Zur Abgrenzung von Schul- und Sozialrecht". Conference: "Schulbegleitung", Ludwig-Maximilians-Universität, Munich (12 October 2012).

Chair of and introduction to the "Forum zur Eingliederungshilfe nach § 35a SGB VIII". Conference: "Mehr Inklusion wagen?!", Working Group: "Fachtagungen Jugendhilfe (AGFJ) im Deutschen Institut für Urbanistik (Difu)", Berlin (22 – 23 November 2012).

"L'Esperienza tedesca". International Seminar: "L'Inserimento al lavoro delle persone disabili – Indagine su alcune esperienze nazionali in ambito europeo", Università Degli Studi di Bari Aldo Moro, Bari, Italy (30 November 2012).

"Definition von Behinderung – Der Behinderungsbegriff in Deutschland und die UN-Behindertenrechtskonvention". Friedrichshainer Kolloquium 2012: "Inklusion und Exklusion", Fürst Donnersmarck-Stiftung und Institut Mensch, Ethik und Wissenschaft (IMEW), Berlin (11 December 2012).

"Das Bildungs- und Teilhabepaket des § 28 SGB II – verfassungsrechtlicher Anspruch und einfach-gesetzliche Wirklichkeit". 15th Colloquium zum Arbeits- und Sozialrecht, Hans-Böckler-Stiftung, Erfurt (14 – 15 February 2013).

"Schulbegleitung". Gesprächsforum für die juristische Abteilungsleitung Soziales Bayerische Verwaltungsschule, BVS-Bildungszentrum Holzhausen, Utting (5 July 2013).

Isabella BERTMANN

"Bericht über die Feldforschung in Südafrika und Stand des Dissertationsvorhabens". Workshop: "Inklusion bei Behinderung und Zugänge zum Sozialraum – theoretische und methodische Fragen", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Ringberg, Kreuth am Tegernsee (18 – 20 January 2012).

"PhD project: Social security for persons with disabilities in South Africa". Research Seminar Series, Disability Studies Programme, School of Health and Rehabilitation Sciences. University of Cape Town, Cape Town, South Africa (19 March 2012).

"Social security, well-being and living conditions of persons with disabilities in South Africa". CERES Summer School: "International Development Studies: A Challenge for the Future?", University of Amsterdam, Amsterdam, Netherlands (25 – 26 June 2012).

"Soziale Sicherung und Inklusion in Südafrika". Conference: "Gemeinsam in Vielfalt – Dortmund in der Einen Welt", Dortmund (29 June 2012).

"Soziale Sicherung und Teilhabe von Menschen mit Behinderung in Südafrika". Meeting of the Board of Trustees of the "Martin-Schmeißer-Stiftung", Dortmund (14 June 2012).

"From Disabilities to Capabilities – What Impact Does Social Security Have on the Well-Being and Inclusion of Persons With Disabilities in South Africa?". PhD Conference on International Development, Ruhr-Universität Bochum, Bochum (18 – 19 September 2012).

"Disabilities & Capabilities. Zur Analyse qualitativer Interviews auf Basis des Capability Approach – Stand der Auswertung und des Forschungsvorhabens". Workshop: "Inklusion bei Behinderung – Forschungskonzepte und -fortschritte", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Westerholt, Herten (24 – 26 September 2012).

"Impacts of Social Policy and Disability Rights on the Quality of Life and Well-being of Persons with Disabilities in South Africa" (Poster Presentation). ISQOLS Conference: "Discovering new frontiers in Quality-of-Life research", Università Cà Foscari, Venice, Italy (1 – 4 November 2012).

"One Size Fits All? Disability & Social Grants in South Africa?". Workshop: "Diversität – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Schloss Ringberg, Kreuth am Tegernsee (4 – 8 February 2013).



"Persons with Disabilities and their Quality of Life: Impacts of Social Protection in South Africa". 20th International Research Seminar, Foundation for International Studies on Social Security, Sigtuna, Sweden (13 – 15 June 2013).

"Capabilities and Disabilities – The Impact of Social Policy on the Inclusion and Well-Being of Persons with Disabilities in South Africa". HDCA 2013 Annual Conference: "Human Development: Vulnerability, Inclusion and Wellbeing", Managua, Nicaragua, (9 – 12 September 2013).

"Soziale Sicherheit, Lebensqualität und Inklusion von Menschen mit Behinderungen in Südafrika". 6th Symposium of Pedagogy and Special Education: "Die UN-Behindertenrechtskonvention – Umsetzung und Auswirkungen weltweit", Ludwig-Maximilians-Universität, Munich (3 – 5 October 2013).

"Verwirklichungschancen erfassen – Lebensqualität bewerten. Werkstattbericht über die Interviewauswertung". Workshop: "Mainstreaming Dis/Ability in Research – Theoretische Zugänge, methodische Umsetzungen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Villa La Collina, Cadenabbia, Italy (9 – 11 October 2013).

"Inklusion und Gerechtigkeit: Voraussetzungen und Grenzen für Teilhabemöglichkeiten in der Gegenwartsgesellschaft" (with Luisa Demant). Conference: "Diversität und Inklusion – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München and the German Sociological Association. Max Planck Institute for Social Law and Social Policy, Munich (30 – 31 January 2014).

"I'm a happy quad" – Zur Bedeutung von Alltagsleben und subjektivem Wohlbefinden für Lebensqualität und chancengerechte Teilhabe". Workshop: "Teilhabeorientierung und Gerechtigkeit. Konzepte-Programme-Fragen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Harnack-Haus, Berlin (3 – 5 September 2014).

"Everyday Life Experiences & Perceptions of Well-Being among Disability Grant Recipients in South Africa". ISQOLS Conference: "Sustaining Quality of Life across the Globe", Freie Universität Berlin, Berlin (15 – 18 September 2014).

Luisa DEMANT

"Soziale Beratung – Teilhabe fördern oder behindern?". Workshop: "Inklusion bei Behinderung und Zugänge zum Sozialraum – theoretische und methodische Fragen", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Ringberg, Kreuth am Tegernsee (18 – 20 January 2012).

"Der Begriff der Teilhabe aus der Perspektive der Theorie der Lebenswelt nach Schütz". Workshop: "Inklusion bei Behinderung – Forschungskonzepte und -fortschritte", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Westerholt, Herten (24 – 26 September 2012).

"Vielfalt und Verschiedenheit in sozialer Beratung?". Workshop: "Diversität – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with Sociology of Diversity Chair, Technische Universität München. Schloss Ringberg, Kreuth am Tegernsee (4 – 8 February 2013).

"Beratung in der Schule – Gatekeeper zur Teilhabe an Bildung?!" (Poster Presentation). Conference: "Inklusive Entwicklungslinien", PH Heidelberg, Heidelberg (7 – 8 March 2013).

"Beratung in der Schule – Gatekeeper zur Teilhabe an Bildung?!". 6th Symposium of Pedagogy and Special Education: "Die UN-Behindertenrechtskonvention – Umsetzung und Auswirkungen weltweit", Ludwig-Maximilians-Universität, Munich (3 – 5 October 2013).

"Gute' oder 'schlechte' Teilhabe? – Professionalität in der Einschätzung von Teilhabesituationen in sozialer Beratung". Workshop: "Mainstreaming Dis/Ability in Research – Theoretische Zugänge, methodische Umsetzungen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Villa La Collina, Cadenabbia, Italy (9 – 11 October 2013).

"Inklusion und Gerechtigkeit: Voraussetzungen und Grenzen für Teilhabemöglichkeiten in der Gegenwartsgesellschaft" (with Isabella Bertmann). Conference: "Diversität und Inklusion – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München and the German Sociological Association. Max Planck Institute for Social Law and Social Policy, Munich (30 – 31 January 2014).

"Teilhabeorientierung in Beratung – eine qualitative Studie in der Grundschule". Workshop: "Teilhabeorientierung und Gerechtigkeit. Konzepte-Programme-Fragen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Harnack-Haus, Berlin (3 – 5 September 2014).

"Inklusion von Menschen mit Behinderungen und Gerechtigkeit". Doctoral Colloquium of the Respect Research Group Hamburg: "Respekt verschaffen, Recht verschaffen: Respekt und Gerechtigkeit", Hamburg (16 – 19 October 2014).

Laura DOBUSCH

"Disability Mainstreaming – Learning Lessons from the Elder Sister". Workshop: "Inklusion bei Behinderung und Zugänge zum Sozialraum – theoretische und methodische Fragen", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Ringberg, Kreuth am Tegernsee (18 – 20 January 2012).

"Doing Gender, Producing Dis/Ability – An Intersectional Approach to Exclusion at Modern University" (with Johanna Hofbauer & Katharina Kreissl). 7th Biennial International Interdisciplinary Conference of Gender, Work and Organization, Keele University, Keele, Great Britain (27 – 29 June 2012).

"Diversity of Dis/Ability? Dominant Discourses in Three Organizations." 5th Equality, Diversity and Inclusion International Conference, Toulouse Business School, Toulouse, France (23 – 25 July 2012).

"Inklusion und Diversity – Zum unterbestimmten Verhältnis zweier verbundener Konzepte". Workshop: "Inklusion bei Behinderung – Forschungskonzepte und -fortschritte", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Westerholt, Herten (24 – 26 September 2012).

"Diversity Management: Von welcher Vielfalt ist die Rede? Erste Ergebnisse aus der Praxis". Workshop: "Diversität – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Schloss Ringberg, Kreuth am Tegernsee (4 – 8 February 2013).

"Von welcher Vielfalt ist die Rede? – Wie Ein- und Ausschlüsse legitimiert werden", Swiss Sociological Association, University of Bern, Bern, Switzerland (26 – 28 June 2013).

"Dis/ability and Gender in Diversity Management: The Discursive Legitimation of Different Forms of Inclusion/Exclusion". 6th Equality, Diversity and Inclusion International Conference, Athens University of Economics and Business, Athens, Greece (1 – 3 July 2013).

"Catching a Scientific Butterfly – Zur Eingrenzung und Spezifizierung des Diversitäts-Begriffs". Workshop: "Mainstreaming Dis/Ability in Research – Theoretische Zugänge, methodische Umsetzungen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Villa La Collina, Cadenabbia, Italy (9 – 11 October 2013).

"Diversity-Diskurse in Organisationen: Behinderung als 'Grenzfall?'". Conference: "Diversität und Inklusion – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München and the German Sociological Association. Max Planck Institute for Social Law and Social Policy, Munich (30 – 31 January 2014).

"Diversity without borders? – As long as the performance is right." Workshop: "When, why and how organisations respond to diversity", the Max-Planck-Institute for the Study of Religious and Ethnic Diversity, the Göttingen Diversity Research Institute and the University of Kassel, Göttingen (6 – 7 February 2014).

"Discourses of Dis/ability, Gender and Diversity – Similarities and Differences". 8th Biennial International Interdisciplinary Conference of Gender, Work and Organization, Keele University, Keele, Great Britain (24 – 26 June 2014).

"Inklusion durch und Teilhabe an Praktiken des Diversity Management". Workshop: "Teilhabeorientierung und Gerechtigkeit. Konzepte-Programme-Fragen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Harnack-Haus, Berlin (3 – 5 September 2014).

"Diversity und Behinderung: Problemloses Passungsverhältnis oder ein Zuviel der Vielfalt?". Momentum 14 Congress: "Emancipation", Hallstatt, Austria (16 – 19 October 2014).

"Diversity (Management)-Diskurse in Deutschland und Österreich – Zwischen organisationaler Kontinuität und Sagbarkeitsspielräumen". Networking Meeting: "Vielfalt, Diversifizierung, (Ent)Solidarisierung

in der organisationalen Diversitätsforschung: eine Standortbestimmung im deutschen Sprachraum", Institute for Gender and Diversity in Organizations, Vienna University of Economics and Business, Vienna, Austria (14 November 2014).

Corina HOFFMANN

"Die Konzepte von Transfer, Konvergenz und Diffusion: Theorie und Empirie". Workshop: "Inklusion bei Behinderung und Zugänge zum Sozialraum – theoretische und methodische Fragen", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Ringberg, Kreuth am Tegernsee (18 – 20 January 2012).

"Diffusion und Diversität: Theorie und Empirie?". Workshop: "Diversität – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Schloss Ringberg, Kreuth am Tegernsee (4 – 8 February 2013).

"Diffusion and Inclusion: the Implementation of the UN CRPD in East Africa". Workshop: "International Impacts on Welfare State Change: Theories and Methods in the Study of Social Policy Diffusion", European Consortium for Political Research – 41. ECPR Joint Sessions of Workshops, University of Mainz, Germany (11 – 16 March 2014).

"Diffusion und Teilhabe: die Umsetzung der UN-Behindertenrechtskonvention in Ostafrika. – Das Paradox der Interessenverbände". 6th Symposium of Pedagogy and Special Education: "Die UN-Behindertenrechtskonvention – Umsetzung und Auswirkungen weltweit", Ludwig-Maximilians-Universität, Munich (3 – 5 October).

"Making East Africa More Inclusive: The Implementation of the UN CRPD – The Paradox of Umbrella Organizations". Workshop: "Mainstreaming Dis/Ability in Research – Theoretische Zugänge, methodische Umsetzungen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Villa La Collina, Cadenabbia, Italy (9 – 11 October 2013).

"Community Based Rehabilitation (CBR): Implementing the UN Convention on the Rights of Persons with Disabilities (UN CRPD) in a Strategic Way" (Poster Presentation). Conference: "(Dis)ability, Participation and Community Involvement – CBR as a Strategy for Inclusive Development: Tracing the Roots of CBR", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair and Pwani University (PU). Kilifi, Kenya (3 December 2013).

"EquiFrame – Policy Analysis 'on the Books'". Workshop: "Chance for Diversity, Change with Diversity", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair. Technische Universität München. Schloss Ringberg, Kreuth am Tegernsee (10 – 12 February 2014).

"Disability-Rights-Movement in East Africa: The Role and Impact of Self-Representation of Persons with Disabilities on National, Transnational and Regional Levels". Workshop: "Methodological Challenges and Contradictory Results in the Study of Interest Groups" European Consortium for Political Research – 42. ECPR Joint Sessions of Workshops, Salamanca University, Spain (10 – 15 April 2014).



"Teilhabeorientierte Koalitionsbildungen in der Politik Tansanias, Ugandas und Kenias unter besonderer Berücksichtigung des Art. 4(3) der UN BRK". Workshop: "Teilhabeorientierung und Gerechtigkeit. Konzepte-Programme-Fragen", Max Planck Fellow Group in cooperation with Sociology of Diversity Chair, Technische Universität München. Harnack-Haus, Berlin (3 – 5 September 2014).

Melanie MÖLLER

"Sag' mir, wer die Guten sind! Konzepte und Maßstäbe für gute Mitarbeiter/innen im Brennpunkt sozialer Dienstleistung". Workshop: "Inklusion bei Behinderung und Zugänge zum Sozialraum – theoretische und methodische Fragen", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund Schloss Ringberg, Kreuth am Tegernsee (18 – 20 January 2012).

"Unterstützung auf dem Weg zum Präventiven Selbst. Der Beitrag eines veränderten Professionsverständnisses in der Behindertenhilfe für die Entwicklung eines Gesundheitssektors für Alle". Conference: "Health profession in transition", Zurich University of Applied Sciences, Winterthur (Switzerland), Munich (1 – 2 June 2012).

"Akteure im Netz verstrickt? Theoretische Überlegungen und vertiefende Fragen zur Struktur des Forschungsdesigns". Workshop: "Inklusion bei Behinderung – Forschungskonzepte und -fortschritte", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Westerholt, Herten (24 – 26 September 2012).

"Das System der WfbM gefangen zwischen zwei Evolutionsstufen?!". 6th Symposium of Pedagogy and Special Education: "Die UN-Behindertenrechtskonvention – Umsetzung und Auswirkungen weltweit", Ludwig-Maximilians-Universität, Munich (3 – 5 October 2013).

Sarah REKER

"Sozialraum – Ergebnisse der Dortmunder Feldstudie". Workshop: "Inklusion bei Behinderung – Forschungskonzepte und -fortschritte", Max Planck Fellow Group in cooperation with the Sociology of Rehabilitation Chair, Technische Universität Dortmund. Schloss Westerholt, Herten (24 – 26 September 2012).

"Diversität – eine relevante Perspektive im Sozialraum?". Workshop: "Diversität – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair. Technische Universität München, Schloss Ringberg, Kreuth am Tegernsee (4 – 8 February 2013).

"Ist Sozialraumarbeit die Lösung? Ein traditionelles Konzept der Sozialarbeit auf dem Prüfstand der Forderungen der UN-Behindertenrechtskonvention (UN-BRK) – Ergebnisse einer ersten Erkundung". 6th Symposium: "Internationale Heil- und Sonderpädagogik", Ludwig-Maximilians-Universität, Munich (3 – 5 October 2013).

"Sozialraumorientierung und Umsetzung der UN-BRK im Sozialraum – Auf dem Weg zum inklusiven Gemeinwesen?". Workshop: "Mainstreaming Dis/Ability in Research – Theoretische Zugänge, methodische Umsetzungen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Villa La Collina, Cadenabbia, Italy (9 – 11 October 2013).

"The art of belonging and social space – How does the Convention on the Rights of Persons with Disabilities challenge society and service provision?" (Poster Presentation). Disability Studies International Conference 2013: "The art of belonging", Amsterdam, The Netherlands (1 November 2013).

"Social space approach in practice in Germany". Conference: "(Dis)ability, Participation and Community Involvement – CBR as a Strategy for Inclusive Development: Tracing the Roots of CBR", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair and Pwani University (PU). Kilifi, Kenya (3 December 2013).

"The art of belonging and social space – How does the Convention on the Rights of Persons with Disabilities challenge society and service provision?" (Poster Presentation). Conference: "(Dis)ability, Participation and Community Involvement – CBR as a Strategy for Inclusive Development: Tracing the Roots of CBR", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair and Pwani University (PU). Kilifi, Kenya (3 December 2013).

"Die Raumtheorie nach Martina Löw". Workshop: "Chance for Diversity, Change with Diversity", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair. Technische Universität München. Schloss Ringberg, Kreuth am Tegernsee (10 – 12 February 2014).

"Teilhabeorientierung und Gerechtigkeit im Sozialraum". Workshop: "Teilhabeorientierung und Gerechtigkeit. Konzepte-Programme-Fragen", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München. Harnack-Haus, Berlin (3 – 5 September 2014).

Elisabeth WACKER

"Die Bedeutung des Persönlichen Budgets für die Inklusion oder Renaissance in der Behindertenpolitik?". 10th Expert Conference at Abensberg: "Das Persönliche Budget für Menschen mit Autismus", Berufsbildungswerk St. Franziskus Abensberg, Abensberg (8 February 2012).

"Report Max Planck Fellow Group: Changing Social Systems and Equal Participation for Persons with Disabilities". Scientific Advisory Board, Max Planck Institute for Social Law and Social Policy, Munich (29 – 30 March 2012).

"Heranwachsen mit Beeinträchtigung, Benachteiligung, Behinderung – geht einfach teilhaben?". Expert Conference for the Employees of the Munich District Youth Association, Unterschleißheim (4 May 2012).

"Überall und nirgendwo – "Disability Mainstreaming" und Sozialraumorientierung als Transformationskonzepte". Conference: "Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune", Max Planck Institute for Social Law and Social Policy, Munich (18 – 19 June 2012).

"Towards a knowledge based society – location, importance and impact of young and upcoming universities – a German case study". Regional Eastern African DIES Alumni Network (REAL): "Networking for Quality Higher Education", Kenyatta University, Nairobi, Kenya (17 September 2012).

"Sind Disability Mainstreaming und Sozialraumorientierung als Konzepte der Ambulantisierung geeignet?". Expert Conference: "Ambulatory Assisted Living in Central Franconia, Ansbach (16 October 2012).

"Inklusion und Indikatoren – wie lassen sich Fortschritt und Barrieren messen?". Inclusion Days 2013: "Report on Participation and Research on Inclusion", Federal Ministry of Labour and Social Affairs, Berlin (28 May 2013).

"Bundesteilhaberbericht und seine Bedeutung für Sport und Inklusion". 13th Symposium Sport, Economy and Media: "Sport und Inklusion – ziemlich beste Freunde?!", Hamburg (30 May 2013).

"Die Lebenslage von Menschen mit Behinderung. Aufgabe der Behindertenberichterstattung und Arbeit des Wissenschaftlichen Beirats. Datenlage und Indikatoren für die Umsetzung der UN-BRK". Representatives of People with Disabilities of Large Cities, Cologne (5 – 7 June 2013).

"Überall und nirgendwo – Disability Mainstreaming im kommunalen Lebensraum – Ein Transformationskonzept". Workshop: "Inklusion! Wo steht Loew, wo will Loew hin?", Dr. Loew Einrichtungen, Wernberg (11 July 2013).

"Teilhabe – Beeinträchtigung – Behinderung. Wege in die inklusive Gesellschaft". Festival Wee: "Exzellente in Inklusion", Wernberg (12 July 2013).

"Diversity und Dis-ability – ein neues Aufgabenfeld nach UN-BRK. Reflexionen im Vierklang". 6th Symposium of Pedagogy and Special Education: "Die UN-Behindertenrechtskonvention – Umsetzung und Auswirkungen weltweit", Ludwig-Maximilians-Universität, Munich (3 – 5 October 2013).

"Teilhaberbericht der Bundesregierung – ein Rezeptbuch für Inklusion und Teilhabe?". Full Conference of the Foundation Bethel.regional, Dortmund (19 November 2013).

"Dis-ability. Yesterday, Today, Tomorrow. The German Perspective". Conference: "(Dis)ability, Participation and Community Involvement – CBR as a Strategy for Inclusive Development: Tracing the Roots of CBR", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München and Pwani University (PU). Kilifi, Kenya (3 December 2013).

"Alles inclusive – oder? Teilhabe, Beeinträchtigung und Behinderung". kbo-Kinderzentrum, Munich (23 January 2014).

"Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung. Einführung". Conference: "Diversität und Inklusion – Umgang mit Vielfalt und Verschiedenheit bei Beeinträchtigung und Behinderung", Max Planck Fellow Group in cooperation with the Sociology of Diversity Chair, Technische Universität München and the German Sociological Association. Max Planck Institute for Social Law and Social Policy, Munich (30 – 31 January 2014).

"Diversitätsdiskurse als Krisenindikatoren – auch in (Wissenschafts-)Unternehmen? Am Beispiel des Umgangs mit Behinderung und Beeinträchtigung". Diversity Stakeholder-Workshop Fraunhofer, Fraunhofer-Gesellschaft, Berlin (25 February 2014).

"Impuls: Der Teilhaberbericht – ein Schritt nach vorn". 23rd Colloquium for Rehabilitation Science: "Arbeit – Gesundheit – Rehabilitation", Karlsruhe (12 March 2014).

"Eine für alle? Teilhabe und Lebensqualität beim Älterwerden von Menschen mit Behinderung als Auftrag der Lebenshilfe". Conference: "Seid ihr auf das Alter vorbereitet? Übergänge für älter werdende Menschen mit Behinderung aktiv gestalten – Strategische Ausrichtung und Angebote", Bavarian Association of "Lebenshilfe", Feuchtwangen (1 April 2014).

"Teilhaberbericht – Teilhabe. Beeinträchtigung. Behinderung". Symposium: "Der Teilhaberbericht der Bundesregierung – Innovative Erfordernisse der zukünftigen Sozialpolitik", Gesellschaft zur Förderung sozialer Innovationen e.V.G., Berlin (9 May 2014).

"Wandel der Sozialsysteme und Teilhabe bei Behinderung". Meeting of the Board of Trustees, Max Planck Institute for Social Law and Social Policy, Munich (24 May 2014).

"Lebenslage und Lebensqualität: Eine Wechselbeziehung für Menschen mit Behinderung". Conference: "Auf dem Weg zur inklusiven Gesellschaft", Forum 1st Federal Association of "Caritas Behindertenhilfe und Psychiatrie", Schwäbisch Gmünd (3 June 2014).

"Organizing Inclusion: Beyond Privileges and Discrimination – Introduction". 7th Equality, Diversity and Inclusion Conference: "Organizing Inclusion: Beyond Privileges and Discrimination", Technische Universität München, Munich (7 – 9 June 2014).

"Unterstützt im Alter und/oder Inklusion – eine Gretchenfrage?". Expert Conference: "Förderung der Selbstständigkeit älterer Menschen mit Behinderung", Baden-Württemberg Stiftung gGmbH, Stuttgart (3 July 2014).

"Inklusion konkret". Bavarian Day of Districts: "Inklusion konkret", Altötting (3 – 4 July 2014).

"Vom tätigen Leben und der Teilhabe – Eingliederung, Beteiligungschancen und Erwerbsleben für Menschen mit Beeinträchtigungen". Conference: "Homo faber dis-abilis? Teilhabe am Erwerbsleben", Max Planck Institute for Social Law and Social Policy in cooperation with the Sociology of Diversity Chair, Technische Universität München, Munich (7 – 8 July 2014).

"Building an Inclusive Society: A Case-Study on German Transformation". Conference: "Social Inclusion & Diversity", Taita Taveta Campus University, Voi, Kenya (28 August 2014).

"Sozialberichterstattung der Stadt Duisburg: Lebenslagen von Menschen mit Behinderung in Duisburg. Modellprojekt Teilhabe-Check". (with Jennifer Eckhardt and Stefanie Frings). Meeting of the Political Advisory Board of the City of Duisburg (8 September 2014).

"Rehabilitation und Teilhabe behinderter Menschen in guter Verfassung? Einige soziologisch getriebene Anmerkungen". Conference: "60 Jahre Bundessozialgericht" and Colloquium: "46. Richterwoche", Kassel (10 September 2014).

"Dortmund – Sozial innovative Stadt für Teilhabe". Town Hall, Dortmund (13 September 2014).



"Fußball als Inklusionsfaktor in Deutschland – Der DFB im Spiegel der UN-BRK" (with Stefan Schmidt). Meeting of the Political Advisory Board of the City of Duisburg (8 September 2014). DFB Forum – 9th Symposium for Sports Game of the German Association for Sport Science (dvs), Kassel (24 – 26 September 2014).

"Nutzung der Sozialräume für alle! Die Instrumente stimmen! Stimmen die Instrumente?". Workshop: "Zum 10jährigen Bestehen der Ko-KoBe im Rheinland", Regional Association of the Rhineland Cologne, Cologne (28 October 2014).

"Zur Lebenslage der Menschen mit Behinderungen in Dortmund – Fortschreibung der Dortmunder Sozialberichterstattung mit Indikatoren zur Beschreibung der Lebenslage von Menschen mit Behinderungen – Primärerhebung in Eving/Lindenhorst, Westerfilde/Bodelschwingh und Hombruch". Workshop: "Dortmund – Sozial innovative Stadt für Teilhabe", Social Research Centre – Central Scientific Institute of Technische Universität Dortmund, Dortmund (17 November 2014).

"Lebensqualität sichern durch die Umsetzung der UN-Behindertenrechtskonvention in der Kommune". Expert Conference: "Inklusion kommunal – Chance und Herausforderung für Kommunen", City of Fellbach, Fellbach (18 November 2014).

"Inklusion und Indikatoren – wie lassen sich Fortschritt und Barrieren messen?". Inclusion Days 2014, Federal Ministry of Labour and Social Affairs, Berlin (24 – 26 November 2014).

"Mit 50 hat man noch Träume ... Routen zur inklusiven Gesellschaft". Inclusion Day 2014, Future Congress of "Aktion Mensch": "Inklusion2025", Berlin (2 – 3 December 2014).

"Diversität und Inklusion – Voraussetzungen und Grenzen für Teilhabemöglichkeiten in der Gegenwartsgesellschaft". Pre-Christmas Talk: "Diversität und Inklusion – Umgang mit Vielfalt und Teilhabe", Federation of Voluntary Welfare Organisations in Baden Württemberg e.V., Stuttgart (4 December 2014).

"Eine für Alle?! Teilhabe und Selbstbestimmung bei Behinderung. Lage – Berichterstattung – Perspektiven aus soziologischer Sicht." Conference: "Das Recht auf unabhängige Lebensführung und Einbeziehung in die Gemeinschaft. Art. 19 der UN-Konvention über die Rechte von Menschen mit Behinderungen", Austrian Institute for Human Rights, University of Salzburg, Salzburg (10 December 2014).

5.2. Lectures and Courses

Dominik BALDIN

Technische Universität Dortmund

WS 2011/2012: Seminar: "Migration und Behinderung" (2 hrs.).

WS 2011/2012: Seminar: "Alter und Behinderung – eine neue Herausforderung für die Behindertenhilfe?" (2 hrs.).

SS 2012: Seminar: "Migration und Behinderung" (2 hrs.).

SS 2012: Seminar: "Lebenslagen, Lebensstile, Lebenswelten: Wo bitte geht's zur Lebenswelt?" (2 hrs.).

SS 2012: Seminar: "Vertiefung: Klassiker der Soziologie" (2 hrs.).

WS 2012/2013: Seminar: "Migration und Behinderung" (2 hrs.).

WS 2012/2013: Seminar: "Lebenslagen, Lebensstile, Lebenswelten: Die Lebenswelt von Menschen mit Behinderung" (2 hrs.).

WS 2012/2013: Seminar: "Verschiedenheitskonzepte im Vergleich" (2 hrs.).

SS 2013: Seminar: "Migration und Behinderung" (2 hrs.).

Technische Universität München

SS 2013: Lecture: "Grundlagen einer Soziologie des Sports" (2 hrs.).

WS 2013/2014: Seminar: "Soziale Ungleichheit im Profifußball" (2 hrs.).

WS 2014/2015: Lecture: "Einführung in die Soziologie" (with Elisabeth Wacker, 2 hrs.).

WS 2014/2015: 2 Seminars: "Einführung in die Soziologie" (2 hrs.).

Minou BANAFSCHE

Technische Universität Dortmund

WS 2011/2012: Lecture: "Einführung in das SGB IX" (2 hrs.).

SS 2012: Lecture: "Einführung in das SGB IX" (2 hrs.).

WS 2012/2013: Lecture: "Einführung in das SGB IX" (2 hrs.).

University of Kassel

WS 2011/2012: Seminar: "Recht der Kinder- und Jugendhilfe" (2 hrs.).

WS 2011/2012: Lecture: "Recht der Arbeitsförderung, Grundsicherung für Arbeitsuchende und Sozialhilfe" (2 hrs.).

SS 2012: Seminar: "Recht der Kinder- und Jugendhilfe" (2 hrs.).

SS 2012: Seminar: "Recht der gesetzlichen Krankenversicherung" (2 hrs.).

SS 2012: Seminar: "Sozialrechtliches Forschungsseminar zur Arbeitslosigkeit im Gefüge des Sozialrechts" (2 hrs.).

WS 2012/2013: Lecture: "Recht der Grundsicherung und der Sozialhilfe" (2 hrs.).

WS 2012/2013: Seminar: "Recht der Kinder- und Jugendhilfe" (2 hrs.).

SS 2013: Seminar: "Recht der Kinder- und Jugendhilfe" (2 hrs.).

SS 2013: Seminar: "Arbeitslosigkeit im Sozialrecht" (2 hrs.).

Guest Lectures

22 May 2012: "Kostenfaktor Kindeswohl? – Die Bedeutung der Hilfen zur Erziehung im leistungsrechtlichen Gefüge des SGB VIII". Lecture Series: "Kinderschutz und Soziale Arbeit – Zugänge zwischen Theorie, Empirie und Praxis", University of Kassel.

Isabella BERTMANN

Technische Universität Dortmund

SS 2012: Seminar: "Capabilities, Well-Being and Quality of Life" (2 hrs.).

SS 2012: Seminar: "Politik für Menschen mit Behinderungen: Handlungsfelder – Themen – Akteure" (2 hrs.).

WS 2012/2013: Seminar: "Capabilities, Well-Being and Quality of Life – Amartya Sen's Capability Approach and Disability" (2 hrs.).

WS 2012/2013: Seminar: "Politische Partizipation – Politik von und für Menschen mit Behinderung" (2 hrs.).

Guest Lectures

27 June 2013: Lecture: "Political Determinants of Health Promotion and their Effects". Lecture Series: "Public Health", Technische Universität München.

4 July 2013: Lecture: "Role Perception of Stakeholder in Health Policy". Lecture Series: "Public Health", Technische Universität München.

Luisa DEMANT

Technische Universität Dortmund

SS 2012: Seminar: "Beratung in sozialen Berufen – zwischen Profession und Alltagsaufgabe" (2 hrs.).

SS 2012: Seminar: "Community based rehabilitation in gesundheitsrelevanten Settings" (2 hrs.).

WS 2012/2013: Seminar: "Beratung in sozialen Berufen – zwischen Profession und Alltagsaufgabe" (2 hrs.).

WS 2012/2013: Seminar: "Gesundheitsförderung in rehabilitationspädagogischen Settings" (2 hrs.).

Technische Universität München

WS 2013/2014: Seminar: "Ist es normal verschieden zu sein? Diversität, Normalität und Teilhabe an der Gesellschaft" (2 hrs.).

SS 2014: Seminar: "Teilhabe an der Gesellschaft – Eine Frage der Mobilität" (2 hrs.).

WS 2014/15: Seminar: "Teilhabe an der Gesellschaft – Eine Frage der Mobilität" (2 hrs.).

Laura DOBUSCH

Technische Universität Dortmund

SS 2012: Seminar: "Disability Mainstreaming und soziale Inklusion" (2 hrs.).

WS 2012/SS 2013: Seminar: "Disability Mainstreaming und soziale Inklusion" (2 hrs.).

SS 2013: Seminar: "Disability Mainstreaming und soziale Inklusion" (2 hrs.).

Technische Universität München

SS 2014: Seminar: "All different, all equal" – Einführung in die Diversitätssoziologie (2 hrs.).

WS 2014/2015: Seminar: "Einführung in die Soziologie" (2 hrs.).

Corina HOFFMANN

Technische Universität Dortmund

WS 2011/2012: Seminar: "Grenzenlos? Politische Strukturen und Umgang mit Verschiedenheit auf nationaler und internationaler Ebene" (2 hrs.).

SS 2012: Seminar: "Grenzenlos? Politische Strukturen und Umgang mit Verschiedenheit auf nationaler und internationaler Ebene" (2 hrs.).

WS 2012/2013: Seminar: "Grenzenlos? Politische Strukturen und Umgang mit Verschiedenheit auf nationaler und internationaler Ebene" (2 hrs.).

Melanie MÖLLER

Technische Universität Dortmund

WS 2011/2012: Seminar: "Organisation und Management im Gesundheitswesen" (2 hrs.).

WS 2011/2012: Seminar: "Professionsspezifische Themen der Rehabilitation: Profession und professionelles Handeln" (2 hrs.).

SS 2012: Seminar: "Empowerment mit dem Persönlichen Budget? Von der Sachleistung zur Geldleistung" (2 hrs.).

SS 2012: Seminar: "Die Lebenswertdiskussion im Spiegel der Zeit" (2 hrs.).

WS 2012/2013: Seminar: "Organisation und Management im Gesundheitswesen" (2 hrs.).



WS 2012/2013: Seminar: "Professionelles Handeln in der Praxis – Einblicke in rehabilitationspädagogische Arbeitsfelder" (2 hrs.).

WS 2013/2014: Lecture: "Struktur und Funktion des Wohlfahrtswesens" (2 hrs.).

WS 2014/2015: Lecture: "Struktur und Funktion des Wohlfahrtswesens" (2 hrs.).

Sarah REKER

Technische Universität Dortmund

WS 2012/2013: Seminar: "Theoriebasierte Konzepte und Zugänge zum Sozialraum" (2 hrs.).

SS 2013: Seminar: "Theoriebasierte Konzepte und Zugänge zum Sozialraum" (2 hrs.).

Technische Universität München

WS 2013/2014: Seminar: "Zugänge zum Sozialraum – theoretisch, praktisch, gut?" (2 hrs.).

SS 2014: Seminar: "Chancen-gerechte Teilhabe am Sport – Eine Frage der Mobilität" (2 hrs.).

WS 2014/2015: Seminar: "Chancen-gerechte Teilhabe am Sport – Eine Frage der Mobilität" (2 hrs.).

Elisabeth WACKER

Technische Universität Dortmund

WS 2011/2012: Doctoral Colloquium: "Rehabilitationsssoziologie" (2 hrs.).

SS 2012: Doctoral Colloquium: "Rehabilitationsssoziologie" (2 hrs.).

WS 2012/2013: Doctoral Colloquium: "Rehabilitationsssoziologie" (2 hrs.).

Technische Universität München

SS 2013: Doctoral Colloquium: "Rehabilitation, Diversity, Inclusion" (2 hrs.).

WS 2013/2014: Seminar: "Hauptsache gesund? Lebenslagen – Lebenswelten – Gesundheitskompetenz" (2 hrs.).

WS 2013/2014: Doctoral Colloquium: "Rehabilitation, Diversity, Inclusion" (2 hrs.).

SS 2014: Seminar: "Hauptsache gesund? Lebenslagen – Lebenswelten – Gesundheitskompetenz" (2 hrs.).

SS 2014: Seminar: "Chancen-gerechte Teilhabe am Sport" (2 hrs.).

SS 2014: Seminar: "Chancen-gerechte Teilhabe am Sport" (2 hrs.).

SS 2014: Lecture: "Basiskompetenz Behindertensport: Didaktik und Methodik des Sports mit Menschen mit Behinderungen" (1 hr.).

SS 2014: Doctoral Colloquium: "Rehabilitation, Diversity, Inclusion" (2 hrs.).

WS 2014/2015: Lecture: "Einführung in die Soziologie" (with Dominik Baldin, 2 hrs.).

WS 2014/2015: Seminar: "Einführung in die Soziologie" (with Dominik Baldin, 2 hrs.).

WS 2014/2015: Lecture: "Einführung in die Dimension von Gesundheit" (2 hrs.).

WS 2014/2015: Doctoral Colloquium: "Rehabilitation, Diversity, Inclusion" (2 hrs.).

6. Honours

Isabella BERTMANN

2013: Nomination for the Best Paper Prize for the paper "Persons with Disabilities and their Quality of Life: Impacts of Social Protection in South Africa". 20th International Research Seminar, Foundation for International Studies on Social Security, Sigtuna, Sweden (13 – 15 June 2013).

Laura DOBUSCH

2012: Best Paper Award of the Stream "Diversity Management and Identity Regulation" for the paper "Diversity of Dis-/Ability? Dominant Discourses in Three Organizations". 5th Equality, Diversity and Inclusion International Conference, Toulouse Business School, Toulouse, France (23 – 25 July 2012).

7. Work of Members of the Fellow Group in External Bodies

Isabella BERTMANN

Editorship: Member of the Editorial Board of the journal "Disability and International development" (since 2013).

Laura DOBUSCH

Referee Activities: Equality, Diversity and Inclusion: an International Journal; Gender, Work & Organization; Momentum Quarterly; Organization Studies.

Elisabeth WACKER

Editorships

- "Studies on the life worlds of persons with disabilities", Tübingen (co-editor since 1995)
- Book series "Health and Society", Wiesbaden (since 2005)
- Book series "Health Promotion – Rehabilitation – Participation", Wiesbaden (since 2008)
- Editorial Board of "Berufliche Rehabilitation" (since 2013)
- Editorial Board of "Soziale Probleme" (since 2014)

Technische Universität Dortmund

- Chair for Sociology of Rehabilitation (C4), Faculty of Rehabilitation Sciences (1996 – 2012)
- Dean of the Faculty of Rehabilitation Sciences (2008 – 2012)
- Chair of the Faculties' Conference (Deans' Conference) (2009 – 2012)

Technische Universität München

- Faculty Council of the Department of Sport and Health Sciences (since 2013)
- Diversity Board of the Department of Sport and Health Sciences (since 2013)
- PhD Committee of the Department of Sport and Health Sciences (since 2013)

- Appointment Committee "Sport- und Gesundheitspädagogik" of the Department of Sport and Health Sciences (2013)
- Appointment Committee "Sport- und Gesundheitsdidaktik" of the Department of Sport and Health Sciences (2013 – 2014)
- Appointment Committee "Epidemiologie" of the Department of Sport and Health Sciences (since 2014)

Memberships of Advisory Boards, Boards of Trustees, Committees, Research Organisations

- Scientific Advisory Board of "Zukunftsperspektive Inklusion" of Aktion Mensch (since 2014)
- Scientific Advisory Board of the Pilot Project "Ambient Assisted Living-Modelle zur Verbesserung der gesellschaftlichen Teilhabe von Menschen mit Behinderung" of the Caritas "Behindertenhilfe und Psychiatrie" (since 2014)
- General Meeting of the German Youth Institute (since 2014)
- Jury for the Research Prize of the "Fürst Donnersmarck-Stiftung" (since 2014)
- Board of the Section "Soziale Probleme" of the German Sociological Association (since 2014)
- Scientific Advisory Board of the Foundation Wohlfahrtspflege (since 2013)
- "Inklusionsbeirat" of North Rhine-Westphalia (since 2013)
- Gender & Diversity Board of the Technische Universität München (since 2013)
- "AG Barrierefreiheit" of the Technische Universität München (since 2013)
- Scientific Board for the Report of the German Government on the situation in life of persons with disabilities (chairperson), German Federal Ministry of Labour and Social Affairs (since 2011)
- Discussion group on inclusion and participation of the SPD party executive committee, Berlin (since 2010)
- External Evaluation Board for the University of Koblenz-Landau, Campus Landau, Division 5: Institute for Educational Sciences/Philosophy (since 2010)
- Scientific Advisory Board of the "House of Competence" (HoC) at the Karlsruhe Institute of Technology (KIT), University of Karlsruhe (TH), (since 2009)
- Advisory Council of the Austrian Science Fund (FWF), University of Vienna, Department of Education, research project "Vocational Participation of Persons with Intellectual Disabilities" (2008 – 2013)



- Consultant for Higher Education Quality Management at Karl Franzens University, Graz, Austria (since 2007)
- Scientific Council of the International Graduate School of Science and Engineering, Technische Universität München (IGGSE TUM) (since 2006)
- Scientific Advisory Board of the State Institute of Social Research Center sfs Dortmund, Technische Universität Dortmund (since 2006), Chairperson since 2014
- Perspective Commission, Karl Franzens University, Graz, Austria (since 2003)
- Scientific Advisory Board of the Rummelsberg Institutions for the "Schutzbengel Award" (since 2009)
- Scientific Advisory Board of the Bavarian State Ministry of Labour and Social Welfare, Family Affairs and Women, "ConSozial" Jury – Science Award (since 2005)
- Scientific Advisory Board of the German Society of Rehabilitation Sciences (DGRW) for the Zarnekow Award (since 2002)
- Founding member and board member of the "Institute for Rehabilitation Research, Quality Development and Structural Analysis" e.V. (REQUEST) at the University of Tübingen (since 1995)

Other Memberships

- Disability and Third World Network (since 2002)
- Inclusion Europe, AG: "Persons with extensive need of support" (since 2001)
- International Society for Quality of Life Research (ISQOL) (since 2001)
- German Society for Rehabilitation Sciences DGRW e.V. (since 2000)
- American Association on Mental Retardation (since 1999)
- German Society for the Promotion of Interdisciplinary Research for People with Intellectual Disabilities e.V. (DiFGB) (since 1998)
- Advisory Board, St. Josefshaus Herten ("Future Council"), Rheinfelden (1997 – 2013)
- German Society of Sociology (DGS) (since 1989)
- Founding member of the "Interdisciplinary Center for Research of "Lebenswelten" of Persons with Disabilities" (Z.I.E.L.) at the University of Tübingen (since 1985)

8. Expertises

Minou BANAFSCHE

19 March 2012: Expert opinion on "**Umsetzung der UN-Behindertenrechtskonvention**" for the Expert Commission "Arbeit und Soziales" of the German Federal Government, Berlin.

31 January 2013: Expert opinion on "**Schulbegleitung in Bayern**" for the hearing of the Committee on Social, Family and Work Affairs and the Committee on Education, Youth and Sports, Bavarian Landtag, Munich.

Elisabeth WACKER

2013: Expertise on "**Konzeptionelle Anlage und inhaltliche Schwerpunkte im Schwerpunkt-kapitel 'Menschen mit Behinderungen' des Bildungsberichts 2014**" for the German Institute for International Educational Research.

9. Dissertation

Supervisor:

Elisabeth WACKER

2014: Laura Dobusch, "Diversity Limited – Inklusion, Exklusion und Strategien der Grenzziehung mittels Praktiken des Diversity Management", Technische Universität München.

IV. Joint Projects





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



Prof. Axel
Börsch-Supan, PhD



Dr. Marlene Haupt



Dr. Eva Maria
Hohnerlein

1. Portability Corridor Study

Ulrich Becker and Axel Börsch-Supan

Portability is defined as the ability to preserve, maintain and transfer vested social security rights or rights in the process of being vested, independent of profession, nationality and country of residency. Bilateral or multilateral social security agreements usually include provisions on nondiscrimination between nationals and migrants with respect to social security, provisions on export of cash benefits and rules of cooperation between the social security institutions of the signatory countries.

This project will answer the following questions: How effective is the process of coordination and what are the key issues? What is the share of processed requests compared to potentially eligible beneficiaries? What is the magnitude of portability loss prevented by the agreements? How do migrants evaluate the redemption of benefits? Do they have sufficient knowledge about the agreements? What is known about migrants who claim benefits? Filling these knowledge gaps requires comprehensive and in-depth study of existing agreements and the functioning of the relevant institutions on different levels, i.e. the administrative and the migrant level.

To do so, MPISOC participates, together with the World Bank, in a set of corridor studies between countries of long-established migration flows. Appropriate corridors need to be characterized by migration flows that have followed this corridor traditionally and over many years, and by the presence of elaborate social security agreements. Specifically, the project involves migration from Turkey to Germany and Austria. The two bilateral social security agreements with Turkey may bring substantial experiences, as they existed for many years in a migra-

tion-intensive corridor. The pool of migrants is likely to include young migrants as well as migrants who are about to retire or have retired and who intend to move back to Turkey. In addition, the agreement with Austria includes health benefits, a case that is rare and of great relevance to other countries.

2. Population Europe Resource Finder and Archive (Perfar)

Axel Börsch-Supan and Ulrich Becker with Marlene Haupt and Eva-Maria Hohnerlein

Almost all analyses of social law and social policy require precise institutional data such as the applicable statutory retirement ages by year, cohort, industry and gender; actuarial adjustment factors for early retirement; tax rates for labor and capital income; subsidy and incentive schemes for old-age saving; maternity leave provisions; unemployment and disability insurance rules; and many more examples.

This infrastructure project collects and assembles such data from various sources as we need them in our analytical projects in a large data base which is maintained by Population Europe, an international network for demographic and related research co-sponsored by the Max Planck Society. The data base is web-based with open access for all researchers. It will include qualitative descriptions provided by the Social Law Department as well as quantitative indicators provided by the Social Policy Department.



Prof. Axel Börsch-Supan, PhD, Prof. Dr. Ulrich Becker and Prof. Dr. Jens Kersten (LMU Munich).



Dr. Daniela Schweigler



Dr. Joachim Lemppenau (voestalpine AG), Prof. Dr. Herbert Henzler (Herbert Henzler Beratungs- und Beteiligungs GmbH), Dr. Michela Coppola and Prof. Helmut Rainer, PhD (Ifo Centre for Labour Market Research and Family Economics).

3. Annual Conferences

3.1. 1st MPISOC Annual Conference: Social Law and Social Policy of Ageing, Lenbach-Palais/ Rilano Munich, 15 November 2013

Daniela Schweigler

The first joint annual conference of the Institute's Department of Foreign and International Social Law and its Munich Center for the Economics of Aging addressed the challenges posed to the systems of social security by demographic change from a legal and economic perspective.

Prof. Dr. Ulrich Becker opened the conference by welcoming the guests and introducing the topic. He made clear, to start with, that the increasing importance of elder rights, justified by demographic change, necessitated a cross-sectional perspective of the different fields of law, of which social law was but one and yet a particularly important one. The restructuring of the pension system with a well-established second and third pillar of old-age protection was a general focus of this field. A current challenge posed to politics, science and practice was the need to develop an adequately modern definition of long-term care dependency which particularly took account of the negative impacts of dementia. Furthermore, help and support services for the elderly had to be developed further and adapted to the changing requirements and to a new understanding of old age.

Following this, Prof. Helmut Rainer, PhD from the Munich Ifo Centre for Labour Market Research and Family Economics talked about the economic and demographic consequences of governmental family

policy. A research project carried out at his institute on behalf of the Federal Ministry of Family Affairs and the Federal Ministry of Finance had evaluated various family benefits. The result, according to Rainer, was that in-kind transfers on the one hand and monetary benefits on the other had contrary effects: while, for instance, the labour participation rate of mothers and tendency to have children was increased by the prospect of state-supported childcare, cash benefits had no influence on fertility and could even create disincentives to work. Monetary benefits such as income splitting between spouses and childcare allowance did therefore, as opposed to their propagated purpose, not lead to greater economic stability of families in general.

Under the title "Reforms, crises and other turbulences: What have we learnt from this?" [Reformen, Krisen und andere Stürme: Was haben wir gelernt?] Dr. Michela Coppola outlined the different factors influencing the savings behaviour of German private households. The current SAVE study (ongoing since 2003) had shown a heterogeneous adaptation of households to the falling level of the statutory pension. Even though the so-called Riester pension had generally seen an increase in concluded contracts since its introduction, these contracts were clearly unequally distributed among the income quintiles. It was especially the lower income groups – those who could, by percentage, benefit the most from state-funded benefits – who modified their savings behaviour much more slowly than higher earners. According to Coppola, one important factor for the individual tendency to provide for old age was the financial knowledge of the respective person. Persons with less knowledge in financial matters had worse prospects to obtain high returns on investment



than those who were well-versed in the field. Another problem was the common misjudgement of one's own entitlement to state-subsidised benefits and of one's own expected income in old age: 38% of those interviewed expected to draw on a basic pension in old age, an assumption which was wrong for approximately half of the persons in question.

The morning session was concluded by *Prof. Axel Börsch-Supan, PhD*, who gave a summary on the question "Have we achieved sustainability in old-age provision? First results" [Nachhaltigkeit in der Altersvorsorge erreicht? Eine Bilanz]. He outlined some of the core pension reforms of the past decades and their significance for the purpose of a sustainable and stable old-age protection system. Currently the greatest challenge, according to *Börsch-Supan*, was to prevent poverty in old age, to contain early retirement and to cope with the adverse effects of demographic change. Future reform strategies would have to focus on the increase of income generated by the statutory pension plan while allowing for a decrease in benefits granted. Labour participation, particularly among women and older persons, was to be increased further; this was to be achieved by way of raising the retirement age and, at the same time, by noticeable pension cuts in the event of early retirement. Private and occupational old-age provision schemes had to be strengthened. In this context, an obligatory private insurance was to be considered that would complement state-funded insurance.

After the lunch break, by taking reference to the previous, *Dr. Sebastian Weber* talked about the legal scope for action with regard to the reforms of old-age protection. Taking Sweden as an example, he showed how, on the basis of a state-guaranteed pension, the elements of an income-related pay-as-you-go pension annuity could be combined with an obligatory capital-funded premium pension. The "premiépension", introduced in 1999, for the first time combined elements of social and private law within the first level of the old-age protection system. In this example, part of the pension-generating income was fed into up to five funds selected by the insuree from a pool of about 840 approved funds. The income of insurees who did not select a fund was automatically fed into a standard fund. With reference to *Coppola's* elaborations on the significance of individual knowledge of financial matters in the German system, *Weber* pointed out that the Swedish model was more transparent and easier to understand even by non-experts.

Prof. Dr. Jens Kersten, chairholder of public law and administration sciences at Ludwig-Maximilians-Universität Munich, subsequently extended the view to the demographic constitution of the Federal Republic of Germany. Even though the text of the constitution did not explicitly refer to Germany's demography, a large number of fundamental rights and structural principles of the Basic Law bore demographic signatures. *Kersten* illustrated this by way of three examples. To begin with, the use of computer- and robot-aided assistance systems in long-term care was to be viewed ambivalently with regard to the general right to protection of personality. On the one hand, the deployment of such systems was intended to enable an autonomous life for as long as possible; on the other hand, their use also involved a great level of data monitoring and control over a person's daily life. *Kersten* warned that, secondly, an overreaction might be triggered with a view to the principle of equal treatment if a collective dimension of the prohibition of age discrimination was established. Thirdly, the right to property as laid down in the Basic Law was to be examined for its ability to deal with the loss of real estate value in areas with a declining population.

Prof. Dr. Claudia M. Buch, tenured professor of economics at Otto-von-Guericke-Universität Magdeburg and member of the German Council of Economic Experts, closed the conference with a presentation of the 2013 Annual Expert Report of the council of experts. Accordingly, the economic situation in Germany had relaxed in 2013 due to the monetary policy expansion and structural reforms. *Buch* reasoned that the most urgent fields of action to be addressed by domestic policy were the continuation of fiscal consolidation, the preparation of the labour market for the demographic challenges that lay ahead and the building-up of the banking sector for the banking union. At European level, agreements on fiscal burden-sharing were necessary in order to lend credibility to the efforts to rehabilitate the bank balance sheets. However, the council of experts objected to a more far-reaching coordination of national economic policies.

3.2. 2nd MPISOC Annual Conference: The Europeanisation of Social Law and Social Policy, Lenbach-Palais/Rilano Munich, 14 November 2014

Daniela Schweigler

The focus of the second joint annual conference of the Institute's Department of Foreign and International Social Law and its Munich Center for the Economics of Aging was on the Europeanisation of Social Law and Social Policy.

Prof. Axel Börsch-Supan, PhD opened the conference by welcoming the guests and introduced the topic by outlining the two levels of the Europeanisation of social policy. The latter was, for one thing, characterised by the continuously growing mobility of European Union citizens, a circumstance which posed considerable challenges to the national social benefits systems. On the other hand, the coordination and harmonisation processes of national social policies within the European Union were improving. Both processes required the monitoring and benchmarking through political science. This was what the Institute contributed to by means of its research, with the comparative analyses of European social law systems and social policy regimes offering a particularly important part. In this connection, Börsch-Supan pointed at the methodological challenges arising in the context of a comparative analysis of social

policies: Such an analysis had to, after all, take into consideration the different languages, historically grown institutions and cultures and be mindful of these factors in the operationalisation process.

Prof. Dr. Elsa Fornero, professor of economics at the University of Turin and former Italian Minister for Labour, Social Affairs and Equal Opportunities, reported on "Welfare reforms as social investments – the role of economic-financial education in restoring the generations and gender balances". In order for the Italian welfare state to overcome its adjustment crisis it would have to follow an integrated pension and labour market policy, aiming at the development of a more inclusive labour market. Fornero further advocated the reinforcement of the intergenerational contract by incorporation of the economic growth rates into the calculation of pensions (defined con-



Prof. Dr. Elsa Fornero (University of Turin), Prof. Dr. Hans-Joachim Reinhard and Josef Kastner, Prof. Dr. Herbert Henzler (Herbert Henzler Beratungs- und Beteiligungs GmbH), Prof. Dr. Ulrich Becker, Prof. Dr. Lars P. Feld (Walter Eucken Institute) with Prof. Axel Börsch-Supan, PhD, Dr. Sebastian Kluth, Prof. Dr. Franz Marhold (Vienna University of Economics and Business), Dr. Michela Coppola with Prof. Dr. Elsa Fornero and Prof. Axel Börsch-Supan, PhD (top left to bottom right).

tribution model). However, the viability of reform programmes ultimately depended on the participation of the population in the reform process. This, in turn, implied an improvement of education in economic and financial matters.

Following this, *Prof. Dr. Franz Marhold*, chairman of the Institute for Austrian and European Labour Law and Social Security Law at Vienna University of Economics and Business, examined the "necessities and limits of European social welfare coordination". In view of the drastic differences within Europe as regards living standards and social protection, the issue of social welfare entitlements to non-national Union citizens became more and more pressing. Traditional EU law, basing its right to benefits on gainful activity, offered only insufficient solutions to this matter. Taking the example of the CJEU judgments in the cases of *Brey* and *Dano*, *Marhold* explained the inconsistencies in the judicature, which showed the need for greater coordination. He advocated a model which would leave the responsibility for social welfare with the country of origin of the migrating Union citizen during the first six to twelve months of the former's stay in another member state.

The afternoon session was opened by *Prof. Dr. Lars P. Feld*, member of the German Council of Economic Experts and director of the Walter Eucken Institute. He delivered facts from the 2014 Annual Expert Report, stating that while the overall economic situation in Germany was currently still positive, the indicators for 2015 were less optimistic due to the weak economy within the euro area and the fact that unemployment within the EU still remained at a very high level. A division was clearly visible in the euro area between the (former) "programme countries" Portugal, Spain and Greece on the one side, which were able to improve their economic efficiency, and Italy and France on the other side, whose consolidation efforts had noticeably decreased. On the whole, almost no recovery could therefore be expected for 2015 with a view to the gross domestic product and the consumer price index; however, a deflation was not to be expected either.

Following this, *Dr. Sebastian Kluth* gave a presentation entitled "Flexible Retirement: An International Perspective", offering findings from a research project of the Munich Center for the Economics of Aging on flexible pension models. Three different models were examined within the frame of this project with a view to their impacts on the participation of older persons in the labour market. The systems examined in this context were the Austrian part-time

retirement system, the Finnish partial pension and the Swedish solution, the latter of which facilitated a flexible combination of income from pension and gainful activity from the age of 61. According to *Kluth*, these findings indicated that partial pension models might indeed have a positive effect on the labour market participation of older persons. However, the standard retirement age must not be set too low due to its signalling function. What is more, a system of this sort had to allow for bonuses or, respectively, penalties in order to maintain the actuarial equivalence.

Isabella Bertmann subsequently talked about the mandate for inclusion on the part of social policy and about participation-oriented development concepts. After an introductory account of the sociological concept of disability, she described the three main trends of disability policy within the European Union; these could be subsumed under the terms of compensation, rehabilitation and participation. Germany practiced a policy mix including elements of all three groups. *Bertmann* emphasized the paramount role of the European Union for the development of antidiscrimination legislation. The most far-reaching impulses, however, had been given by the UN Convention on the Rights of Persons with Disabilities, which had issued to the contracting states of this agreement a comprehensive mandate to exercise inclusion policies. In connection with this, *Bertmann* offered a peek into her own dissertation project, which deals with the living conditions of persons with disabilities in South Africa.

Prof. Dr. Ulrich Becker concluded the conference with his report on the concept of the social state in the European Union. Current challenges such as the financial crisis or the question how to deal with the so-called "poverty migration" made clear how little could be effected by the European Union in specific policy areas where its competence was limited. Social security law, however, already today displayed a regulatory structure that was highly interrelated with and mutually dependent on the law of the member states and EU law. In view of the fact that social policy tended to be more and more interrelated with economic and fiscal policy issues, the ever more pressing question was how "European" the concept of the social state in Europe should become in future. *Becker* sketched a model of a European unemployment insurance which could absorb and dissipate shocks caused by economic crises. Such an insurance model, designed as a basic system, could – unlike the current legal situation – contribute to the preservation of national scopes of action and thus promote solidarity.

4. EU Commissioner László Andor Visits the Max Planck Institute for Social Law and Social Policy (12 April 2013)

Michael Schlegelmilch

Europe's financial crisis is, above all, also a social crisis. Over 120 million EU citizens are currently at risk of poverty and social exclusion – more than ever before. In order to offer solutions on how to contain the damage in the common European house, *László Andor* sought the dialogue with Institute directors *Axel Börsch-Supan* and *Ulrich Becker*. During his visit he also seized the opportunity to learn about the research of the Institute.

After the two directors had given a brief account of the scientific work carried out at the Institute, EU Commissioner *Andor* gave a presentation entitled "The Employment and Social Situation – Europe's Social Crisis: Is there a Way Out?", in which he outlined the impacts of the eurozone crisis on the welfare state and offered possible solutions from the viewpoint of the Commission. *Andor* started out by showing, with the aid of current data, that the welfare state is in a crisis. He stated that it was particularly the negative labour market trend that posed a risk to an increasing number of European citizens, and that an ever-increasing North-South divide could be noticed in Europe. While unemployment in northern Europe was at approximately 7%, the corresponding rate in the crisis-ridden states amounted to 18%.

Social benefits provided by the state could absorb the financial shock waves of the crisis by compensating loss of household income and bringing the unemployed back to work. Yet, unlike in previous times

of crisis, the member states affected had responded to the enormous pressure to cut costs by raising taxes all too fast and drastically cutting public expenditures, particularly in the field of social services. According to EU Commissioner *Andor*, this kind of policy had led to the circumstance that social benefits could barely continue to unfold their stabilising function for the overall economy.

In the eyes of the EU Commissioner, the current crisis thus constituted a threat to Europe's social cohesion. Even though, ultimately, a solution could be found only if the eurozone crisis was brought to an end, the member states would also have to adopt a smart budgetary policy focusing particularly on social investment. *Andor* pointed out how the EU Commission sought to contribute to the above by means of social and labour market policy measures, e. g. the EU Employment Package.

To conclude his presentation, the EU Commissioner emphasised that the future of the whole European project was at stake if we could not preserve our common prosperity for the future. In order to accomplish the necessary socio-economic convergence in terms of the growth potential of the individual member states, systemic and collective solutions would be required that went beyond bailout solutions for individual troubled states, said *Andor*. The European house did not just need a "fresh coat of paint". What it really needed was a good structural repair or even reconstruction of the building.

Subsequently, MPI members and guests – among which *Prof. Dr. Dr. h.c. Wolfgang Schön*, vice president of the Max Planck Society and *Dr. Ludwig Kronthaler*, secretary general of the MPS – were given the opportunity to interview EU Commissioner *László Andor* and to discuss the proposals for solution offered by the Commission. There was consensus that a stabilisation



Michael Schlegelmilch



Prof. Dr. Dr. h.c. Wolfgang Schön (MPI for Tax Law and Public Finances), *Prof. Axel-Börsch-Supan*, PhD, *László Andor* (EU Commissioner for Employment, Social Affairs and Inclusion), *Prof. Dr. Ulrich Becker* and *Ludwig Kronthaler* (Secretary General of the MPS) (left picture, left to right).





Dr. Bettina Lamla

of the markets was decidedly not the sole way out of the European sovereign debt crisis, but rather that the social damage incurred required additional socio-political solutions.

5. Joint Social Law-MEA Seminars

In order to promote research co-operations between the two departments, the Max Planck Institute for Social Law and Social Policy organizes a joint seminar series where researchers from the two departments as well as external researchers present work that is related to both departments' research agendas. During the reporting period, we had six talks, two from external, two from MEA and two from both departments presenting joint Social Law MEA research projects.

The discussions in these seminars were particularly prolific as both sides benefitted from the – at times – entirely disparate perspectives and approaches of the respective other discipline. This clash of cultures is not always smooth and harmonious but ultimately, both sides learn a lot from each other, both in terms of substantive knowledge and in terms of methodology.

Below is the list of seminars of the reporting period.

8 Aug 2012: BETTINA LAMLA: **Why Don't You Start Saving? On the Link Between Social Assistance for the Elderly and Private Old Age Provision of the Young**

23 Jan 2013: THORSTEN KNEIP: **Bargaining in the Shadow of the Law: Demographic and Social Consequences of Unilateral Divorce Law** [Demographische und soziale Konsequenzen unilateralen Scheidungsrechts]

24 Apr 2013: SEBASTIAN WEBER, SEBASTIAN KLUTH, MARLENE HAUPT: **Economic and Legal Preconditions regarding an Obligatory Supplementary Private Pension Insurance System in Germany** [Ökonomische und rechtliche Voraussetzungen einer obligatorischen privaten Zusatz-Rentenversicherung in Deutschland]

22 May 2013: ELSA FORNERO (Università degli Studi di Torino): **Pension and Labor Market Reforms in Italy**

3 June 2013: LEE SECHREST (University of Arizona): **Measurement in the Social Sciences: Principled Pragmatism**

16 Apr 2014: MICHELA COPPOLA, JOHANNES RAUSCH, HANS-JOACHIM REINHARD, DANIELA SCHWEIGLER: **Are Some More Equal than Others? Winners and Losers of Reductions in the Retirement Age**

5.1. Why Don't you Start Saving? On the Link Between Social Assistance for the Elderly and Private Old-Age Provision of the Young

Bettina Lamla

Means testing of social benefits has been criticized for discouraging individual saving and work effort. At the same time means testing helps target benefits to those in need. In Germany, basic security in old age, so called "Grundsicherung im Alter" is means-tested. In her analysis, *Bettina Lamla* investigates how many German households expect to receive basic security and whether they differ in their socio-demographic characteristics, their savings behavior and labor supply from those who do not have this expectation. Finally, she analyzes whether some households have wrong expectations on which they ground their savings decisions and proposes two possible reasons for their misjudgment.

In the first part of the presentation, she presented theoretical considerations on the relationship between the expectation to rely on means-tested benefits in old age, savings and labor supply. In the second part of the presentation, she divided the sample into two groups based on their self-assessed probability to receive basic security in the form of so-called "Grundsicherung im Alter" and documented how these groups differ in their mean characteristics. Furthermore, she identified a fraction of households who most likely misjudged their eligibility based on survey answers on their public pension entitlements. The analysis was based on SAVE 2011.

38% of German households believe that they will be highly likely to depend on "Grundsicherung im Alter". Households who expect to receive basic security differ significantly in their socio-economic characteristics from households that do not expect to be dependent on this particular program. These households exhibit a different savings and labor market behavior. Half of the households expecting to receive basic security misjudge their eligibility as they have already accumulated enough public pension rights today to place them above the threshold of the means test. These misjudgments could be based on low (financial) knowledge and pessimism and show that differences between the two groups exist.



Dr. Thorsten Kneip



5.2. Bargaining in the Shadow of the Law: Demographic and Social Consequences of Unilateral Divorce Law in Europe

Thorsten Kneip

Divorce laws in Europe have been subject to crucial revisions in the past decades. From a theoretical point of view, the introduction of unilateral divorce in the 1970s and early 1980s is of particular interest. Under unilateral divorce, a spouse seeking divorce is no longer reliant on the other's agreement. This reform offers the opportunity to investigate the applicability of Coase's theorem in the context of family decision-making, where it has often been applied.

The project, conducted in cooperation with *Gerrit Bauer* (LMU Munich) and *Steffen Reinhold* (University of Mannheim), deals with a variety of questions that have not as yet been resolved in the previous research on potential effects of unilateral divorce legislation on familial processes. For example: Has the introduction of unilateral divorce laws had sustained effects on divorce rates in Europe? If so, how are these effects manifested, and in what ways have the new laws impacted trends in marriage patterns, women's employment and fertility? Has the introduction of unilateral divorce laws had lasting effects on child development? And are these effects attributable to a higher probability of parental divorce, or rather the result of altered parental negotiating positions in intact marriages?

Alongside aggregate data, the data collected in the retrospective survey SHARELIFE are used to answer these questions. Analyses reveal that the introduction of unilateral divorce laws has led to a sustained and marked increase in divorce rates and risks in Europe. Direct effects are partially obscured by the decline in marriage rates and, respectively, by the rise in age at first marriage, indicating a more selective choice of spouses following the new legislation. Looking at heterogeneous effects for couples with and without children, it is primarily parents that are affected by an increased divorce risk. As for children who have grown up under unilateral divorce laws, adverse effects are reflected in lower levels of education and worse health in advanced age. These effects cannot be accounted for completely by the increased likelihood of experiencing parental divorce but are in part attributable to shifts in the relative bargaining power of spouses induced by unilateral divorce law.

5.3. Economic and Legal Preconditions regarding an Obligatory Supplementary Private Pension Insurance System in Germany: "Effective Legislation to Ensure Old-Age Pension Provision – Can the Swedish Premium Pension Serve as an Alternative to the Riester Pension?" (Dr. Marlene Haupt, Dr. Sebastian Kluth, Dr. Sebastian Weber)

Marlene Haupt

German pension reforms as carried out at the beginning of the 21st century signified a turn away from the assumption that the statutory pension insurance would guarantee sufficient economic security for the individual and his/her standard of living in old-age. Changing the pension adjustment formula through the contribution-rate factor and the sustainability factor shall serve two opposite objectives, namely to keep both the pension level and the contribution rate stable. Even though, as a result, the development of old-age pensions is still essentially oriented towards the development of wages, it will trail behind wage development. The introduction of the so-called Riester pension as a government-subsidised, privately financed supplement to the public and occupational pension systems likewise marked a change. The Riester pension shall help balance out the benefit reductions in the statutory pay-as-you-go pension insurance system, which have become unavoidable due to the demographic change.

The 10th anniversary of the Riester pension therefore frequently served as an occasion to take stock. One of the major points of criticism was that the products offered were not transparent enough and much too complex for the customer in order to determine whether it was worth concluding a contract. The legislator is now trying to tackle the situation by introducing a uniform product information sheet. Moreover, by way of legal comparison, alternative solutions can be identified in other legal systems. It is not without reason that, within the context of the introduction of the Riester pension as a supplementary, voluntary, state-subsidised means of old-age provision, it was decided to take a look beyond national borders. Especially the model of the premium pension, which was introduced in Sweden in the wake of the pension reform of 1998 as an obligatory funded pension scheme complementing the remaining obligatory pay-as-you-go pension, appeared to be an alternative and even today is considered a role model regarding the development of funded old-age provision systems.

The joint research project is carried out by the Department for Foreign and International Social Law and the Munich Center for the Economics of Aging and

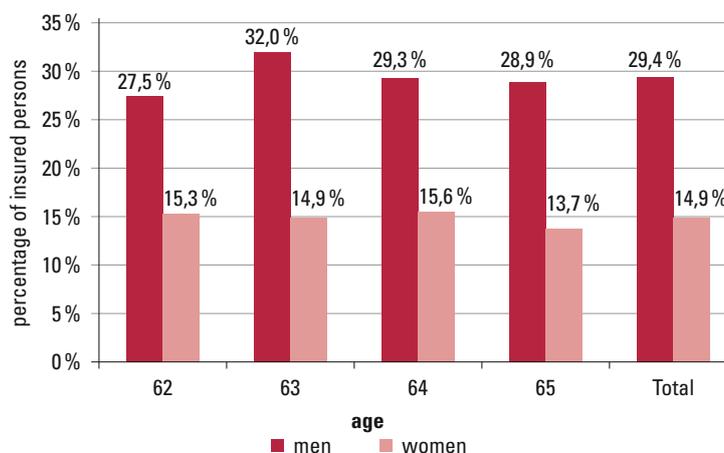
assesses the theory and practice of the Riester pension against the background of the Swedish regulations on the obligatory premium pension and its real impacts. Moreover, the project examines what conditions the legislator might impose to achieve a standard beyond the one reached via the current tools in order to obtain a more effective economic security in old age than has hitherto been the case. In this respect, both legal and economic preconditions are to be examined.

5.4. Are Some More Equal than Others? Winners and Losers of Reductions in the Retirement Age

Daniela Schweigler

In a joint seminar entitled "Are Some More Equal than Others? Winners and Losers of Reductions in the Retirement Age" and held by the departments of Social Law and of Social Policy on 16 April 2014, *Dr. Michela Coppola*, *Johannes Rausch*, *Prof. Dr. Hans-Joachim Reinhard* and *Dr. Daniela Schweigler* discussed the legislative draft of the German Federal Government on the so-called "pension at 63".

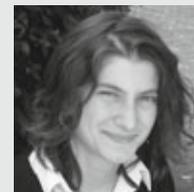
To begin with, *Prof. Dr. Hans-Joachim Reinhard* explained the contents of the "draft of a law regarding the improvement of pension benefits in the statutory pension scheme (Entwurf eines Gesetzes über Leistungsverbesserungen in der gesetzlichen Rentenversicherung, RV-Leistungsverbesserungsgesetz)" of 25 March 2014. He made clear in this context that the "pension at 63" model constituted a temporary interim regulation for cohorts of persons born up to the year 1963, with a gradual increase of the minimum retirement age for persons with a particularly long contribution history, starting with cohorts born in 1953 and after, up to the age of 65 for cohorts born in 1964 and after. For in contrast to public assumption, the "pension at 63" was by no means a new type of pension. The introduction of a pension for persons with a particularly long contribution history (§ 38 German Social Code Book VI) had, in fact, been decided on in as early as 2007 in connection with the increase in the statutory retirement age to 67 years, and it had come into effect in 2012. *Reinhard* further explained that the 45-year qualification period for eligibility to a pension for persons with a particularly long contribution history would in future also include the entitlement periods for certain benefits, especially for employment promotion benefits, i. e. what is today known as the



unemployment benefit *Arbeitslosengeld I* (paid during the first 12-18 months of unemployment), formerly simply known as *Arbeitslosengeld*. According to *Reinhard*, a particular implementation problem had arisen from this context: prior to 1 January 2001, the insurance accounts of the German statutory pension insurance scheme had listed periods of unemployment merely as such, as according to the legal situation at the time it had not been deemed relevant to differentiate between the receipt of unemployment benefits and jobseeker's allowance. This issue was to be remedied after the introduction of the new regulation: insured persons were to make an affidavit confirming that any periods of unemployment prior to 2001 were connected to the receipt of unemployment benefits.

Following this, *Dr. Michela Coppola* presented the results of the examination of a representative random sample from the insurance accounts of the German statutory pension insurance scheme. This sample comprised data on 5,182 persons in the 1946 to 1949 birth cohorts. First, *Coppola* explained how the data were prepared in order to obtain reliable approximation values despite the lack of differentiation prior to 2001 between the receipt of unemployment benefits and the receipt of jobseeker's allowance. According to *Coppola*, these data showed, among other things, that with regard to the fulfilment of the stipulated contribution period of 45 years a significant imbalance existed to the disadvantage of women. Even though child-rearing periods of up to ten years per child were included in the calculation of the qualification period, only 14.9% of women from the sample reached a qualification period of 45 years. Among men, however, the proportion was nearly twice as high with a rate of 29.4%.

Johannes Rausch next addressed the question as to what kinds of costs were to be expected as a result of the reform. His deliberations were based on calculations aided by the pension simulation model MEA-



Jun.-Prof. Dr.
Minou Banafsche

Pensim 2.0. On the basis of previously made suppositions regarding population and labour market trends, as well as regarding the development of wages, prognoses on the development of contribution rates and pension levels can, among other things, be made with the aid of this model. *Rausch* used a projection of the German population in the year 2012 on the basis of the assumed values of variant 1W2 of the 12th coordinated population projection, as well as the values provided by the 2012 Pension Insurance Report with a view to wage growth, and presumed a constant unemployment rate and constant labour force participation rates up to the age of 63. The labour force participation rates from the age of 63 were selected by *Rausch* on the basis of the maximum behavioural responses as calculated by *Coppola*. *Rausch* showed that the proportion of compulsorily insured persons entitled to a pension without deductions among the cohort of West German men aged 63 and 64 would, compared to the status quo, increase by 16 percentage points, meaning a consequential decrease in the labour force participation rate. Although this was an interim ruling, the financial consequences would definitely have an impact in the long term: the difference in the number of compulsorily insured persons was at 140,000 in 2014 and would, in the year 2035, still amount to 80,000 persons. In order to level the related costs for the pension fund incurred through higher expenses with a lower number of actual contributors, an increase in the contribution rate of 0.3 percentage points in 2014 and of still as much as 0.1 percentage points in 2035 would be required. At the same time, the gross standard pension level would sink, which would be significantly reflected in the budget by up to -0.39 percentage points particularly in the years from 2014 to 2017.

As a last point, *Dr. Daniela Schweigler* discussed several constitutional problems that have arisen in the context of pension payments for persons with a particularly long contribution history. She put a major focus on the question whether women were unjustifiably indirectly discriminated against in view of the differences demonstrated by *Coppola* regarding the statistical frequencies according to which men on the one side and women on the other fulfilled the 45-year qualification period. Looking at the legal practice applied in comparable cases by the German Constitutional Court and the Court of Justice of the European Union, *Schweigler* ultimately came to the conclusion that according to the standard identified, the materiality threshold for the assumption of indirect discrimination was exceeded here. Furthermore, the general principle of equal treatment might also be affected by the rules requiring prima facie evidence for the receipt of unemployment benefits. In this context, *Schweigler* drew a parallel to the so-called "Zinsurteil", a ruling

from 1991 by the Federal Constitutional Court regarding the equal taxation of interest income of similarly situated persons. Accordingly, the constitutional principle of equal taxation would be violated if procedural law could not sufficiently guarantee the effective implementation of material tax law. Procedures concerning the determination of eligibility requirements for pensions payable to persons with a particularly long contribution history would therefore, according to *Schweigler*, have to allow for effective ways of verifying the relevant affidavits in order to prevent enforcement deficits in this context.

The joint seminar showed the close interrelationship of legal and economic discourse and made clear how dependent they are on each other. The socio-political analysis of pension reforms, for instance, requires legal expertise in order to gain access to the regulatory structure. Conversely, it became evident that especially with regard to the question of indirect discrimination, constitutional argumentation was dependent on data related to the actual impact of certain legal configurations.

6. Inclusion and Social Space – Disability Law and Disability Policy on the Communal Level

Minou Banafsche

Introduction

On 18 and 19 June 2012, the Max Planck Institute for Social Law and Social Policy hosted an expert conference in Munich on the topic of "Inclusion and Social Space – Disability Law and Disability Policy on the Communal Level". Under the aegis of the Institute's Managing Director, *Prof. Ulrich Becker*, as well as rehabilitation sociologist and head of the "Inclusion and Disability" section at the aforementioned institute, *Prof. Elisabeth Wacker*, the conference was designed as an interdisciplinary arena. Indeed, together with the speakers, the audience, which was composed of select experts including representatives of regional parliaments (Landesparlamente), social courts, various associations and academia, discussed the impact of the UN Convention on the Rights of Persons with Disabilities (UNCRPD) on the lives of persons with disabilities on the municipal level, over three years after its ratification. In 2013, the individual contributions to the conference were published in the anthology "Inklusion und Sozialraum



– Behindertenrecht und Behindertenpolitik in der Kommune" (Inclusion and Social Space – Disability Law and Disability Policy on the Communal Level) edited by Prof. Ulrich Becker, Prof. Elisabeth Wacker and Dr. Minou Banafsche.

Aims and Background of the Conference

The aim of the conference was to discuss the implementation of the UNCRPD, which legally came into force on 26 March 2009, in terms of its impacts on the concrete life situations of persons with disabilities. The anchoring

point here was the concept of social space in the sense of both a geographical and social life space, in which all relevant actors meet. It represents a coming together of the persons concerned, their relatives as well as funding and care providers – taking the individual social environment and concrete regional and (infra)structural aspects into consideration.

In this context, a dialogue between social law and the social sciences was initiated with the opportunity of elaborating on and evaluating different perspectives. The underlying question was which paths actually lead to the future transformations in service provision and in real life and how these paths can be negotiated.

Contents of the Conference

From sociological and legal perspectives respectively, Prof. Wacker and Prof. Becker provided an overview of the challenges facing municipalities as regional and social living environments with regard to the creation of inclusive structures.

As a second step and linked to these challenges, Peter Masuch (President of the Federal Social Court, Kassel) and Prof. Clemens Dannenbeck (Hochschule Landshut) investigated which instruments can be enrolled in order to concretely realise inclusion.

Building upon access points to inclusion, the third thematic session was centred on existing barriers from a theoretical perspective as provided by Prof. Markus Dederich (Universität zu Köln), from an empirically documented angle with Prof. Gudrun Wansing (Uni-



versität Kassel) and from a legal position offered by Prof. Felix Welti (Universität Kassel). The three papers were discussed by Dr. Markus Schäfers from the Federal Association for the Support of Persons with Intellectual Disabilities (Bundesvereinigung Lebenshilfe für Menschen mit geistiger Behinderung e. V.; Berlin) and Dr. Andreas Kuhn from the German Association for Public and Private Welfare (Deutscher Verein für öffentliche und private Fürsorge e. V.; Berlin).

The fourth thematic stream focused on the final implementation level by examining

two life situations encountered by persons with disabilities in which particular barriers to inclusion emerge – old age on the one hand and childhood or youth on the other.

Gerontologist Prof. Andreas Kruse (Rupprecht-Karls-Universität Heidelberg) tackled the issue of "ageing and disability" from a psychological angle, whereas Prof. Gerhard Igl (Christian-Albrechts-Universität, Kiel) focused on the legal perspective. Commentaries were provided by Stephan Rittweger, Chief Judge at the Bavarian Higher Social Court, as well as Helmut Knepppe, Departmental Head for Youth, Family and Social Affairs of the Siegen-Wittgenstein district.

While Prof. Reinhard Wiesner (Freie Universität Berlin) presented the different social provision situations of children and youths with physical and intellectual disabilities as compared with those facing psychological disabilities from a past, present and future perspective, Dr. Minou Banafsche (Max Planck Institute for Social Law and Social Policy, Munich) specifically examined the issue of whether the current state of affairs is compatible with the constitutional principle of equality. These contributions were supplemented by commentaries provided by Martina Weide-Gertke, Director of the Pfennigparade Secondary and Specialised Secondary School in Munich, Brigitta Seidenschwang, a teacher at that school, as well as Dr. Maria Kurz-Adam, the Head of Munich's Youth Welfare Office.

Insights and Outlook

The expert conference demonstrated the existence of a broad consensus beyond disciplinary boundaries when it comes to developing concepts and offering tools to support the maximum effectiveness of the UNCRPD with its self-determination and participation paradigms. Participants also agreed that no other international convention had met with such a resonance in both politics and society. Furthermore, the significance of the municipality as a space in which the social, cultural and political participation of persons with and without disabilities is enacted was undisputed.

However, dissonances routinely emerged when it came to the issue of how social service providers with their limited resources can live up to the inclusion ambition of the UNCRPD. Indeed, the latter is less supply-oriented than previous legislation in terms of support and needs and it requires signatory states to facilitate access on all levels to e.g. high-quality mobility aids, supportive technologies as well as human and animal assistance to persons with disabilities through affordable offers in order to ensure accessibility and mobility (cf. Art. 9 & 20 UNCRPD).

Against this background, whether inclusion-related concepts are doomed to fail due to feasibility limits or whether inclusion can still be meaningfully realised within these very limits obviously depends on the individual perspective and the expectations at stake. However, conference participants did not react with a resigned withdrawal from the target of designing inclusive societal coexistence within social space. On the contrary, thanks to the interdisciplinary exchange between representatives from social law and the social sciences, they gained an expanded awareness of options for action in order to pursue the path towards inclusion.

(An unabridged version of the conference report can be found in "Inclusion and Social Space – Social Law and Social Policy on the Communal Level", ZFSH/SGB 9/2012, pp. 505-513. Cf also: Inclusion and Social Space – Social Law and Social Policy on the Communal Level – Expert Conference Proceedings, Part 1, NDV 10/2012, pp. 468-473; Part 2, NDV 11/2012, pp. 527-531.)

7. *Homo Faber Disabilis? – Participation in Gainful Employment*

Minou Banafsche

Introduction

On 7 and 8 July 2014, the Max Planck Institute for Social Law and Social Policy hosted the conference "Homo Faber Disabilis? Participation in Gainful Employment" under the supervision of Prof. Ulrich Becker, the Director of the Institute, as well as Prof. Elisabeth Wacker, the Sociology of Diversity Chair at Technische Universität München as well as Head of the Inclusion and Disability Section at the Max Planck Institute. The conference was co-organised by Prof. Minou Banafsche from Universität Kassel, a former employee of the Institute. It focused on issues of inclusion and rehabilitation for persons with impairments from an interdisciplinary perspective, as did the "Inclusion and Social Space – Disability Law and Disability Policy on the Communal Level" conference, which took place on 18 – 19 June 2012. In both cases, the participants represented a broad specialist audience drawn from academia in general, jurisdiction, policy-making as well as various associations.

Aims and Background of the Conference

The aim of the conference was to analyse, evaluate and develop suggestions to improve the current options to foster the participation of persons with impairments and disabilities in gainful employment. The perspective was multidisciplinary – i.e. social sciences, social law, medicine and philosophy – and encompassed all stages of the work process, from recruitment to retirement through active working life.

The background for this endeavour was the need to define the range (i.e. the possibilities and limits) of participation in gainful employment for persons with impairments and disabilities in the light of the United Nations Convention on the Rights of Persons with Disabilities (UNCRPD). Open issues include e.g. the establishment of inclusive (higher) education in order to develop individual abilities, skills and talents to their highest potential (Art. 24 UNCRPD), effective and appropriate measures of professional habilitation and rehabilitation (Art. 26 UNCRPD), as well as realistic opportunities to earn one's living in an open, inclusive and barrier-free work environment without being subjected to discrimination (Art. 27 UNCRPD).



On the one hand, participation in gainful employment is often perceived from a rather functional angle when it is oriented toward the preservation, the improvement and the (re-)production of earning capacity as well as the safeguarding of professional participation – as formulated by the Law on the Rehabilitation and Participation of Persons with Disabilities in Volume 9 of the German Social Code (hereafter SGB IX). Here the focus is on the quality of earning capacity and gainful employment in the sense of wage labour as an economically significant factor.

On the other hand, life plans and, as also prescribed by SGB IX, individual affinities and skills should also be taken into consideration in gainful employment since they are central to self-esteem and social participation.

Contents of the Conference

The conference was inaugurated with two seminal introductory papers delivered by *Prof. Ulrich Becker* on the legal considerations pertaining to the professional participation of persons with disabilities and by *Prof. Elisabeth Wacker* on inclusion, participation opportunities and gainful employment for persons with impairments. Both referred to Max Frisch's novel "Homo Faber" (published in 1957) that provides an – ultimately fragile – portrait of a go-getter. The fundamental question underpinning the conference was if work (activity) should primarily ensure existence or also (chiefly) allow for an active life with participation – including social inclusion and opportunities to develop self-esteem through recognition,

thus contrasting with the "animal laborans" featured in Hannah Arendt's book "The Human Condition", originally published in English in 1958. Indeed, these questions influence both socio-political planning as well as social and legal implementations.

Following upon the introductory papers, the second topic was broached, namely that of occupational participation in the work process – from qualification to redundancy through hiring and the employment phase itself.

Prof. Iris Beck (Universität Hamburg) introduced the qualification phase from a social science perspective, concretely embedded in professional rehabilitation institutions, while *Prof. Felix Welti* (Universität Kassel) presented qualification from a legal angle. The two papers were commented by *Dr. Katja Robinson* representing the views of the Federal Council of Vocational Training Centres (Bundesarbeitsgemeinschaft der Berufsbildungswerke e. V. – BAGBBW; Berlin) and by *Jens Nitschke* from the Federal Employment Agency (Bundesagentur für Arbeit; Nuremberg).

Prof. Olaf Deinert (Georg-August-Universität Göttingen) covered the legal issues pertaining to the hiring phase for persons with disabilities. Building on his input, *Prof. Mathilde Niehaus* (Universität zu Köln) examined the value of persons with impairments for firms. *Andreas Melzer* from Siemens AG then contributed a corporate perspective on the papers while *Oswald Utz* commented from his position as Munich's representative for persons with disabilities.



Panelists: Oswald Utz (representative for persons with disabilities for the City of Munich), Prof. Dr. Olaf Deinert (Georg-August Universität Göttingen), Prof. Dr. Mathilde Niehaus (Universität zu Köln) and Andreas Melzer (Siemens AG) (left to right).



Prof. Dr. Ulrich Becker, Prof. Dr. Elisabeth Wacker and Jun.-Prof. Dr. Minou Banafsche open the conference (left to right).

In the context of the employment phase, *Prof. Katja Nebe* (Universität Bremen) discussed the legal process and instruments that enable employment and also help to secure it. From his position as a medical expert, *Prof. Klaus-Dieter Thomann* (Institute for Insurance Medicine/Institut für Versicherungsmedizin; Frankfurt am Main) then provided a broad perspective on the necessary evaluation of performance and reduction in earning capacity that conditions the choice of legal instruments in individual cases. Thereupon, both *Alfons Adam* from the Representative Body of Persons with Severe Disabilities at Daimler AG and *Jürgen Rodewald* from the German Statutory Pension Insurance Scheme (Deutsche Rentenversicherung; Braunschweig-Hannover) shared their remarks on the papers.

Redundancy, as the last phase of the work process, was tackled by *Prof. Hans Förstl* (Technische Universität München) with a paper on the limits of participation. In the second contribution, *Prof. Minou Banafsche* examined the question of whether the special dismissal protection for persons with severe disabilities or persons categorized as equivalent, according to SGB IX, represents a protection gap for persons with disabilities beyond the field of implementation of law for the severely disabled. In this context, Judge *Anke Berger* from the Federal Labour Court (Erfurt) provided a welcome complement since she analysed the legal provisions of the special dismissal protection according to SGB IX and the relations between the actors involved. From the perspective of an integration office, *Andreas Heilek* from the Bavarian Centre for Family and Social

Affairs (Zentrum Bayern Familie und Soziales; Nuremberg) explained the role and tasks of integration offices in the case of (planned) dismissals of persons with severe disabilities or equivalent.

To conclude the conference, *Prof. emeritus Wilhelm Vossenkuhl* (Ludwig-Maximilians-Universität München) reflected on the value of work from a philosophical viewpoint.

Insights and Outlook

Beyond all disciplinary boundaries, the papers clearly showed that the participation of persons with disabilities could not be dissociated from quality-of-life issues. However, the awareness that the occupational inclusion of persons with disabilities also represents an asset for firms is not yet as widespread. Views on whether employer acceptance can be generated solely through awareness-raising (Art. 8 UN-CRPD) or can/should (also) be secured through legal constraints diverged – as e.g. apparent from conflicting opinions on the employers' obligation to hire versus the obligation to pay a compensatory levy when failing to comply with the obligation to hire.

Nevertheless, it can be concluded that employer acceptance will increase to the extent that the individual skills demonstrated by persons with disabilities are recognised and fostered, according to the (re)habilitation obligation (Art. 26 UNCRPD). Hence, participation in gainful employment may be a question of competence but, more than anything else, it represents a genuine social issue.



8. Symposia, Conferences and Workshops

18 – 19 June 2012

Expert Meeting: **Inklusion und Sozialraum – Behindertenrecht und Behindertenpolitik in der Kommune**, Max Planck Institute for Social Law and Social Politics, Munich.

Ulrich Becker, Elisabeth Wacker: Welcome Address

I. Lebensraum Kommune als Herausforderung

Elisabeth Wacker: Überall und nirgendwo – "Disability Mainstreaming" und Sozialraumorientierung als Transformationskonzepte

Ulrich Becker: Aufgaben und Handlungsspielräume der Kommune

II. Zugänge zur Inklusion

Peter Masuch: Die UN-Behindertenrechtskonvention als normative Handlungsrichtlinie

Anne Waldschmidt: Inklusion – Normalität – Barrieren: Fallanalysen im Anschluss an die Disability Studies

Clemens Dannenbeck: Inklusionsorientierung im Sozialraum – Verpflichtung und Herausforderung

III. Barrieren der Inklusion

Markus Dederich: Inklusionsbarrieren im Sozialraum

Gudrun Wansing: Mit gleichen Wahlmöglichkeiten in der Gemeinde leben – Behinderungen und Ent hinderungen selbstbestimmten Wohnens

Felix Welti: Rechtliche Grundlagen einer örtlichen Teilhabeplanung

Markus Schäfers: Kommentar aus Sicht der Bundesvereinigung Lebenshilfe für Menschen mit geistiger Behinderung e.V.

Andreas Kuhn: Kommentar aus Sicht des Deutschen Vereins für öffentliche und private Fürsorge e.V.

IV. Inklusion über die Lebensspanne

1. Alter und Behinderung – Aufgabe des Sozialraums

Andreas Kruse: Alt und behindert – kein Ort – nirgendwo?

Gerhard Igl: Behinderung und Pflegebedürftigkeit im Alter – sind die sozialrechtlichen Reaktionen konsistent?

Stephan Rittweiger: Kommentar aus Sicht der Sozialgerichtsbarkeit

Helmut Knepper: Kommentar aus kommunaler Sicht

2. Kinder und Jugendliche mit Behinderungen in der Kommune

Reinhard Wiesner: Die "große Lösung" – Eine unendliche Geschichte?

Minou Banafsche: Die "große Lösung" als gleichheitsrechtliches Gebot

Martina Weide-Gertke, Brigitta Seidenschwang: Kommentar aus Sicht einer Schule

Maria Kurz-Adam: Kommentar aus Sicht eines Jugendamts

8 August 2012

Seminar: **Why Don't You Start Saving? On the Link Between Social Assistance for the Elderly and Private Old-Age Provision of the Young**, Max Planck Institute for Social Law and Social Politics, Munich.

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23 January 2013

Seminar: **Bargaining in the Shadow of the Law: Demographic and Social Consequences of Unilateral Divorce Law**, Max Planck Institute for Social Law and Social Politics, Munich.

24 April 2013

Seminar: **Ökonomische und rechtliche Voraussetzungen einer obligatorischen privaten Zusatz-Rentenversicherung in Deutschland**, Max Planck Institute for Social Law and Social Politics, Munich.

22 May 2013

Seminar: **Pension and Labor Market Reforms in Italy**, Max Planck Institute for Social Law and Social Politics, Munich.

3 June 2013

Seminar: **Measurement in the Social Sciences: Principled Pragmatism**, Max Planck Institute for Social Law and Social Politics, Munich.

15 November 2013

1st MPISOC Annual Conference: **Sozialrecht und Sozialpolitik des Alters**, Lenbach-Palais/Rilano, Munich.

Ulrich Becker: Welcome Address and Introduction

Helmut Rainer: Die ökonomischen und demografischen Auswirkungen staatlicher Familienpolitik

Michela Coppola: Reformen, Krisen und andere Stürme: Was haben wir gelernt?

Axel Börsch-Supan: Nachhaltigkeit in der Altersvorsorge erreicht? Eine Bilanz

Sebastian Weber: Rechtliche Gestaltungsspielräume für Reformen der Alterssicherung

Jens Kersten: Die demografische Verfassung der Bundesrepublik

Claudia M. Buch: Vorstellung des Jahresgutachtens 2013

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16 April 2014

Seminar: **Are Some More Equal than Others? Winners and Losers of Reductions in the Retirement Age**, Max Planck Institute for Social Law and Social Politics, Munich.

7 – 8 July 2014

Expert Meeting: **Homo Faber Disabilis?** – **Teilhabe am Erwerbsleben**, Max Planck Institute for Social Law and Social Politics, Munich.

Ulrich Becker, Elisabeth Wacker: Welcome Address

I. Leistungsgestaltung und Wirkungen

Ulrich Becker: Rechtliche Grundlagen der beruflichen Teilhabe von Menschen mit Behinderung

Elisabeth Wacker: Vom tätigen Leben und Teilhabe – Eingliederung, Beteiligungschance und Erwerbsleben für Menschen mit Beeinträchtigung

II. Der Arbeitsprozess

1. Qualifizierung

Iris Beck: Unterstützte und geschützte Beschäftigung? Vielfalt, Angemessenheit und Nutzen beruflicher Eingliederung – Eignung als Exklusionsfaktor?

Felix Welti: Die Rolle der Einrichtungen der beruflichen Rehabilitation – zwischen "Arbeitgeber" und Vermittler?

Katja Robinson: Kommentar aus Sicht der Bundesarbeitsgemeinschaft der Berufsbildungswerke e.V.

Jens Nitschke: Kommentar aus Sicht der Bundesagentur für Arbeit

2. Einstellung

Olaf Deinert: Die Beschäftigungspflicht der Arbeitgeber und ihre praktische Wirksamkeit

Mathilde Niehaus: Die Bedeutung von Menschen mit Behinderung für einen Betrieb

Andreas Melzer: Kommentar aus Sicht eines Unternehmens

Oswald Utz: Kommentar aus Sicht des Behindertenbeauftragten der Landeshauptstadt München

3. Laufendes Arbeitsverhältnis

Katja Nebe: Instrumente zur Ermöglichung und Erhaltung einer Beschäftigung

Klaus-Dieter: Thomann: Leistungsfähigkeit und Erwerbsminderung

Alfons Adam: Kommentar aus Sicht einer Schwerbehindertenvertretung

Jürgen Rodewald: Kommentar aus Sicht der Deutschen Rentenversicherung Braunschweig-Hannover

4. Entlassung

Hans Förstl: Grenzen der Teilhabe?

Minou Banafsche: Der besondere Kündigungsschutz schwerbehinderter Menschen nach §§ 85 ff. SGB IX – eine Schutzlücke für Menschen mit Behinderungen außerhalb des Anwendungsbereichs des Schwerbehindertenrechts?

Anke Berger: Kommentar aus Sicht der Arbeitsgerichtsbarkeit

Andreas Heilek: Kommentar aus Sicht eines Integrationsamtes

III. Ausblick

Wilhelm Vossenkuhl: Berufliche Teilhabe als

Wesensmerkmal – vom Funktionieren und Leisten

Ulrich Becker, Elisabeth Wacker: Closing Remarks

14 November 2014

2nd MPISOC Annual Conference: **Europäisierung von Sozialrecht und Sozialpolitik**, Lenbach-Palais/Rilano, Munich.

Axel Börsch-Supan: Welcome Address and Introduction

Elsa Fornero: Welfare Policies in an Ageing Europe

Franz Marhold: Notwendigkeit und Grenzen einer europäischen Koordinierung der Sozialhilfe

Lars P. Feld: Vorstellung des Jahresgutachtens 2014

Sebastian Kluth: Flexible Retirement: An International Perspective

Isabella Bertmann: Inklusionsauftrag der Sozialpolitik und teilhabeorientierte Entwicklungskonzepte

Ulrich Becker: Sozialstaatlichkeit in der Europäischen Union

Daniel Deckers: Chair



9. Publications

- *Vol. 54:* Becker, Ulrich; Wilman, Nikola (eds.): Im Zweifel auf Privatrezept? Sozial- und haftungsrechtliche Aspekte des Off-Label-Use. Baden-Baden 2012.
- *Vol. 55:* Landauer, Martin: Die staatliche Verantwortung für die stationäre Langzeitpflege in England und Deutschland. Eine rechtsvergleichende Analyse von Steuerungsinstrumenten im Gewährleistungsstaat. Baden-Baden 2012.
- *Vol. 56:* Becker, Ulrich; Szurgacz, Herbert; Maydell, Bernd von (eds.): Die Realisierung der Arbeitnehmerfreizügigkeit im Verhältnis zwischen Deutschland und Polen aus arbeits- und sozialrechtlicher Sicht. Baden-Baden 2012.
- *Vol. 57:* Fichtner-Fülöp, Viktória: Einfluss des Verfassungsrechts und des internationalen Rechts auf die Ausgestaltung der sozialen Sicherheit in Ungarn. Baden-Baden 2012.
- *Vol. 58:* Schweigler, Daniela: Das Recht auf Anhörung eines bestimmten Arztes (§ 109 SGG). Dogmatische Einordnung und sozialgerichtliche Praxis eines umstrittenen Prozessinstruments. Baden-Baden 2013.
- *Vol. 59:* Becker, Ulrich; Wacker, Elisabeth; Banafsche, Minou (eds.): Inklusion und Sozialraum. Behindertenrecht und Behindertenpolitik in der Kommune. Baden-Baden 2013.
- *Vol. 60:* Neueder, Magdalena: Behinderung und berufliche Rehabilitation in Deutschland und der Schweiz. Strukturen der Einbindung Dritter in die Erbringung von Sozialleistungen. Baden-Baden 2014.
- *Vol. 61:* Becker, Ulrich; Hohnerlein, Eva Maria; Kaufmann, Otto; Weber, Sebastian: Die "dritte Generation". Rechte und Förderung von Kindern in Deutschland, Frankreich, Italien und Schweden. Baden-Baden 2014.

V. The Institute



1. *Personalia*

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Florian Ruhs (until 4/2014)

Hasret Seker (from 3/2013)
 Mona Shafiee Araghi Nejad (from 2/2014)
 Johannes Stechno (from 10/2013)

1.5. Central Services

Administration

Josef Kastner (Head)
 Brigitte Albrecht
 Peter Drapatow
 Adriana Exner (until 12/2014)
 Silvia Glaus
 Annemarie Huber
 Andrea Kilian (from 2/2013)
 Sylvia Klemm
 Heidrun Kohnle-Koitzsch
 Thomas Lendle
 Christine Moser
 Claudia Pethke
 Werner Pfaffenzeller
 Carina Podachmann (from 3/2012 to 6/2012)
 Ulrike Sauerer (from 10/2012)
 Andreas Schmidt (until 11/2013)
 Andrea Then

Information Technology (IT)

Philipp Rautenberg (Head) (until 5/2014)
 Philipp Flesch
 Ronny Lauenstein
 Axel Römmelmayer
 Munir Salman
 Dominik Steinberger (from 5/2012 to 4/2014)
 Michael Putz (from 8/2012 to 8/2014)
 Thomas Reiff (from 10/2014)

Public Relations and Reporting

Dr. Monika Niflein

Translation Services

Eva Lutz, M.A.
 Christina McAllister, M.A.

Assistants

Ulrike Campen (from 2/2013 to 8/2014)
 Alexander Daminger (from 5/2012 to 2/2014)
 Carolin Fischer (from 10/2013 to 4/2014)
 Stefanie Izutani-Siebenhütter (until 7/2013)
 Shabnam Najafian (from 11/2013 to 5/2014)
 Mohammad Norouzian (from 5/2012 to 5/2014)
 Sarah Reinthaler (from 4/2014)
 Bekrije Sadiku (from 2/2013 to 2/2014)
 Blagina Simeonova (from 7/2012 to 1/2013)

1.6. Representatives and Special Tasks

*Academic Staff Representative in the
 Humanities and Social Sciences Section (GSHS)
 of the Max Planck Society*

Dr. Lorena Ossio Bustillos (until 6/2013)
 Dr. Matthias Weiss (from 7/2013)

Ombudsperson

Prof. Dr. Hans-Joachim Reinhard

Data Protection Officer

Kathrin Axt (until 9/2014)
 Andrea Oepen (from 10/2014)

Equal Opportunity Commissioner

Dr. Tineke Dijkhoff

Occupational Safety

Thomas Lendle



Dr. Monika Niflein
 Public Relations
 and Reporting



Christina McAllister
 Translation Services



Eva Lutz
 Translation Services



Josef Kastner with Administration and IT staff.



Dr. Daniela Schweigler

2. Scientific Advisory Board and Board of Trustees

2.1. Meeting of the Board of Trustees, Max Planck Institute for Social Law and Social Policy, 24 May 2014

Daniela Schweigler

The spring 2014 meeting marked, at the same time, the beginning of the new term of office of the Board of Trustees; it started in 2014, and will run until 2019. Therefore, after executive director *Prof. Axel Börsch-Supan, PhD* had opened the constituent meeting by welcoming those present, a number of new members to the Board of Trustees were introduced. The Board elected *Peter Masuch*, president of the Federal Social Court, their new chairman; *Dr. Monika Queisser*, head of the Department of Social Policy at the OECD in Paris, was elected deputy chairperson.

Following this, *Dr. Ludwig Kronthaler*, secretary general of the Max Planck Society, gave an account of the efforts of the MPS to increase the proportion of women in director's positions. He reported, among other things, about the self-imposed obligation on the part of the MPS to raise the proportion of female scientific staff in W2 and W3 positions and in salary grades E13 to E15 of the collective agreement for the public service (TVöD) by one percentage point per year between 2012 and 2017. *Kronthaler* further explained the viewpoints and demands of the MPS with a view to the plans of the German Federal Government to finance universities and non-academic research facilities from 2016 onwards.

The first presentation unit was opened by *Prof. Dr. Ulrich Becker*, who gave an overview of the research carried out at the Institute's Department of Foreign and International Social Law. The research work of this law department of the Institute examined social law as a socio-political instrument on the one hand,



Dr. Monika Queisser (OECD) and Prof. Dr. Bernd Baron von Maydell, Dr. Joachim Breuer (DGUV), Prof. Dr. Herbert Henzler (Herbert Henzler Beratungs- und Beteiligungs GmbH), Prof. Dr. Ulrich Becker, Prof. Dr. Elisabeth Wacker, Peter Masuch (Federal Social Court), Corina Heel (Administrative Headquarters of the MPS), Dr. Ludwig Kronthaler (General Secretary of the MPS), Prof. Dr. Ulrich Becker, Prof. Axel Börsch-Supan, PhD (top left to bottom right).

and as a specific form of administrative law on the other. The focus was on social benefits law in general, without restriction to individual subareas. *Becker* emphasized that only a holistic approach of this sort could facilitate a deeper understanding of welfare-state concepts and the interrelations between the individual social benefits systems. The methods used in this context were mainly based on comparative analysis. This meant that it was not only different legal systems that were compared, but that also the various levels of the legislative hierarchy within one legal system were investigated.

An example of this procedure was then given by *Prof. Dr. Hans-Joachim Reinhard*, who presented to the Board of Trustees a research project under his supervision entitled "Social Security and Long-Term Care Dependency in Europe". In this large-scale legal comparison a multitude of European states was examined in detail with a view to their legal infrastructures available in the event of long-term care dependency. The wide range of configurations – from countries with merely selective services up to those who have their own full-fledged national benefits and services system to protect against the risk of long-term care dependency – showed that particular emphasis had to be put on the cross-system approach. This approach took into consideration the individual benefits and services provided to persons dependent on long-term care, the specific requirements to be entitled to such benefits, as well as the provisioning and financing structures; even more, it looked at the legal situation of family caregivers and other non-professional carers.

The presentation of the Department for Foreign and International Social Law was followed by *Prof. Dr. Elisabeth Wacker's* illustration of the research conducted by her Max Planck Fellow Group on "Inclusion and Disability". *Wacker* first reported on the fellow group focusing on the "Change of Social Systems and Participation in the Event of Disability"; this group would extend until 2015 and dealt, from a multidisciplinary perspective, with the question as to what the situation was in society regarding the inclusion of persons with disabilities against the background of the UN Convention on the Rights of Persons with Disabilities and demographic change; as well as with the question as to what interdependencies and mutual impacts existed between legal provisions on the one side, and social discourses on the other. *Wacker* then gave an outlook on the second fellow group that would focus on "Dis[cover]ability & Indicators for Inclusion" and would start its work in 2015, investigating the operationalisation of diversity in the pluralist society.

The presentation unit on the Institute's Munich Center for the Economics of Aging (MEA) was opened by *Prof. Axel Börsch-Supan, PhD*, who outlined the research work and research infrastructures of his department. He emphasized the interdisciplinary way in which MEA conducted its research, the latter being dependent on the collaboration of scientists from the fields of economics, empirical sociology and epidemiology. This was also reflected in the structure of the MEA with its subdivisions "Old-Age Provision and Savings Behaviour/Social Policy", "Health Economics", "Macroeconomics" and the "Survey of Health, Ageing and Retirement in Europe (SHARE)".

Dr. Michela Coppola and *Luzia Weiss* subsequently presented two examples of the research work conducted at the MEA Department.

Coppola presented research findings on the role of the expected retirement age from the SAVE study on savings behaviour and old-age provision in Germany. She emphasised that it was less the statutorily predefined than the individually expected retirement age that played a pivotal role among people with regard to their savings behaviour for old age. This individually expected retirement age, too, had steadily increased in the past years. Despite this fact, insurances tended to schedule the start of their retirement considerably before the statutory age limit applicable to them. *Coppola* pointed at the differences with a view to the education level of the interviewees: While less-educated persons living in households with a relatively large fortune rather planned to retire early, the better-educated tended to expect a longer participation on their part in working life. *Coppola* emphasised that the discrepancy between retirement at the statutory age and that at the expected retirement age may, in some circumstances, result in deductions; these could be compensated only partially by individually accumulated savings.

Weiss talked about the topic of undiagnosed diabetes, looking at how many were affected, who was affected and why these persons were affected. Within the frame of the SHARE data survey, blood samples were taken of the interviewees and sent, in the form of dried blood spots, to a Danish laboratory for evaluation. Among other things, diabetes mellitus could be diagnosed in this way. In her study, *Weiss* examined the connections between undiagnosed diabetes and certain socio-economic factors. She had devoted particular attention to circumstances beyond the generally known risk factors for diabetes. As was to be expected, the tendency for persons with a higher education to have developed diabetes mellitus was



lower than among poorly educated persons; however, surprisingly, the group with the highest level of education among those interviewed showed higher numbers of undetected cases of diabetes than the only slightly less educated group. SHARE data furnished a possible explanation: according to *Weiss*, one significant factor for this surprising connection could be the subjective perception of well-educated individuals that everything in life is under their control – the consequence being that they underestimate the necessity to have their blood sugar levels checked by a physician.

2.2. Members of the Scientific Advisory Board and the Board of Trustees

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University of Regensburg, Germany

Prof. Dr. Gijsbert VONK
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Prof. Dr. Martin WERDING
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Ruhr University Bochum, Germany

Board of Trustees

Until 31 December 2013:

Peter MASUCH
President of the German Federal Social Court,
Kassel

Prof. Dr. Dres. h.c. Hans-Jürgen PAPIER
President of the German Federal Constitutional
Court, Karlsruhe (Chair)

Dr. Klaus Theo SCHRÖDER (until 2/2012)
State Secretary, German Federal Ministry of
Health, Berlin

Kari TAPIOLA
Special Adviser to the Director-General,
International Labour Organization, Geneva

Dr. Werner TEGTMEIER
State Secretary (retired), German Federal Ministry
of Labour and Social Affairs, St. Augustin

Dr. Manfred WIENAND
Councillor, German Association of Cities, Cologne

From 1 January 2014:

Dr. Marc BEISE
Head of the Business Section,
Süddeutsche Zeitung, Munich

Dr. Joachim BREUER
Managing Director of the German Social Accident
Insurance (DGUV), Berlin

Dr. Daniel DECKERS
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Dr. Doris PFEIFFER
Chair of the Board at the National Association
of Statutory Health Insurance Funds (GKV)
in Germany, Berlin

Dr. Monika QUEISSER
Head of the Department of Social Policy,
OECD, Paris

Prof. Dr. Franz RULAND
Chair of the German Social Advisory Council
(Sozialbeirat der Bundesregierung) (retired)
Munich

3. Institute Library

Henning Frankenberger

Library

The library of the Max Planck Institute for Social Law and Social Policy offers a unique collection of specialised literature on German, foreign and international social law and on German, European and international social policy. In addition to European law, national and international constitutional and administrative law, as well as economic and public procurement law, the library also has a collection of works on mathematics, statistics, philosophy, sociology, psychology and the economic sciences.

Holdings

The Institute's holdings comprise monographs, commemorative publications, conference proceedings and other collective works, printed and electronic statutory material, databases, e-journals and 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, as well as other academically interested users. A structured expansion of library holdings contributes to the growth of the library. Currently, the library comprises just under 120,000 volumes, consisting of some 13,000 bound journals and continuing sets. Current serial issues embrace 242 periodicals, among which 131 are German and 111 foreign; 132 loose-leaf collections, with 120 German and 12 foreign; as well as 11 daily papers, with 6 German and 5 foreign.

Publication Management

Publications by the Institute are collected and recorded by the library staff and made accessible on the central electronic eDoc Server of the Max Planck Society as well as in PubMan, whose installation was accomplished as scheduled. So far, the latter keeps data available for internal use.

Library System and Catalogue

The library uses the Aleph 500 library system provided by ExLibris. This product, used by 38 libraries within the Max Planck Society, is no longer being developed by the manufacturing company. As the successor product was not licensed by the Max Planck Society, a project phase was started in



Henning Frankenberger





The Library Team: Henning Frankenberger, Stefan Götz, Irina Neumann (back); Hasret Seker and Marsa Hadji-Rajabali (front).

autumn 2011 with the aim of looking for alternatives. The library played a pioneering role among the legal institutes of the Max Planck Society in that it took part in the so-called VuFind Project implemented together with the Max Planck Digital Library and the GBV Head Office in Göttingen.

The results have been very positive and well acclaimed by the scholars of the Institute. Its introduction facilitated the access to the search and sorting functions that can be expected from modern discovery systems.

Acquisitions

In the past three years, the library's stock of volumes increased by approximately 10,000. The process of incorporating new literature from the fields of eco-

nomie policy, statistics, mathematics and social psychology, accrued due to the expansion of the Institute, was already completed in spring 2012. The library's field of work as well as its scope of tasks have expanded considerably as a result of the establishment of the second department. Apart from additional material needed in the fields of statistics, mathematics, economics, sociology and political science, further databases, licences and electronic journals have to be acquired. Although the staff of the second department to a major extent prefers the procurement of media through electronic channels, they too occasionally make use of our document delivery services and inter-library loans.

Library Usage

The library is a reference library and is committed to the academic work of the Institute. It is considered to have the largest holdings of literature on social law and social policy worldwide.

If required, literature not available in the Institute library can be borrowed from the Bavarian State Library, from other Munich libraries or via inter-library loans, or can be acquired without delay for the Institute library. The library offers 11 workstations for guest scholars and other academically interested users.





Staff and Projects

During this reporting period there have been various staff changes. The project position of Bernd Zumdick expired at the end of 2012. Alexandra Müller left the Institute in spring 2013; she had been employed for a further year after successfully completing her apprenticeship to be a qualified assistant in media and information services specialising on librarianship.

Within the framework of a new project position Andreas Ganzenmüller joined the team in autumn 2014. Assisting the MEA department within the context of the SHARE project, his task is to set up an automated tracking system for detecting and tracing the use of data published and made available by SHARE. The system shall be able to identify, on a global scale, all scientists that have used SHARE data in their various publications, to cite the latter and to show their thematic focus. Within the context of the information sciences this is based on the concepts of bibliometrics and altmetrics, and in some measure represents a form of "inverse provenance research" or a "reversed list of literature".

4. Information and Communication Technology

While in previous years the main focus was on the reorganisation of the IT department into a department for information and communication technology services, as well as on the integration of the Munich Center for the Economics of Aging (MEA) into the Institute's IT infrastructure, the emphasis could now be put on the support of scholarly work processes.

In accordance with the task focus, the projects of the department during the period under review showed emphases in a new direction. Apart from minor infrastructure jobs these were mainly tasks related to web services.

In this context, a new homepage for the Institute was designed and, in a second step, ported to the central Content Management System (CMS) of the Max Planck Society. This system enables an editor to present information on any particular website in a sophisticated way without the former having to be an IT expert.

A web-based system for the administration of scientific publications and lectures has also been developed ("Relatio").

The multifarious and varied contacts established by the Institute gave rise for the request to find a way to administer this valuable collection of data in an even more structured way in the future. In order to comply with this demand, an address management system has been introduced and made available to the secretariats of the departments and the public relations office.



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