



Degree Conferring Ceremony at the European University Institute



Friday, 3 October 2008
Badia Fiesolana

2008 EUI Doctorates and *Honoris Causa* Degrees

Honoris Causa Degrees

John H. Jackson, University Professor, Georgetown University Law Center, Washington DC

Fritz Sharpf, Emeritus Director, Max Planck Institute for the Studies of Societies, Cologne

Thomas Sargent, Professor of Economics, New York University

Doctorates in History and Civilization

Olga BARANOVA

Eva BAUER

Christina BLANCO SÍO-LÓPEZ

Maria Del Mar CEBRIAN V.

Rita Maria GARSTENAUER

Moritz Friedrich ISENMANN

Takuro IWASA

Julia Christine LEDERLE

Davide LOMBARDO

Laura MANZANO BAENA

Ciaran Colum O'SCEA

Fernandao Manuel PIMENTA

Sigfrido RAMIREZ PEREZ

Massimo ROSPOCHER

Marco M. C. SCHNYDER V. W.

Hitoshi SUZUKI

Henning TRÜPER

Janou VORDERWUELBECKE

Doctorates in Economics

Marta ARESPA CASTELLO

Judith AY

Clara V. BARRABES SOLANES

Victor BYSTROV

Juan GONZALES A.

Christian Jonathan KASCHA

Alessandro MARAVALLE

Massimiliano G. MARCELLINO

Mario MARINIELLO

Laurent MEUNIER

Christopher MILDE

Markus POSCHKE

Elvira PRADES

Katrin RABITSCH

Matthias Christian RAU-GÖHRING

Konstantinos TATSIRAMOS

Natacha VALLA

Doctorates in Law

Levente Benő BORZSÁK

Helene BOUSSARD

Federica CASAROSA

Fernando DOMINGUEZ G.

Vanesa HERNANDEZ G.

Poul KJAER

Cormac Seamus MAC AMHLAIGH

Tambiama André MADIEGA

Alexandre Cardoso MOTA PINTO

Patricia QUILLACQ

Ekaterina ROUSSEVA

Ruth RUBIO MARIN

Irene SOBRINO GUIJARRO

Annelies VERSTICHEL

Doctorates in Political and Social Sciences

Sophie-Charlotte BRUNE

Yordanka CHOBANOVA

Chiara DE FRANCO

Mario Eduardo DRAGO CAMUS

Maria GOMEZ GARRIDO

Eva HEIDBREDE

Maria JIMENEZ BUEDO

Koen JONKERS

Jean-Antoine KARAGIANNIS

Xymena KUROWSKA

Gabriella MELONI

Thomas POGUNTKE

Christine REH

Carla M. RODRIGUEZ GARCIA

Hans Jakob SKOVGAARD

Jonathan Peter James WHITE

Lea Leman YPI



***Laudatio* for John H. Jackson**

Presenter: Ernst-Ulrich Petersmann, Head of the Law Department

John H. Jackson, who is Professor of Law and Director of the Institute of International Economic Law at Georgetown University, Washington DC, has been proposed for this doctor *honoris causa* in recognition of his leading contributions, over more than four decades, to the theory and practice of international economic law. Just as Adam Smith is widely recognized as the founding father of modern economic theory, so is Prof. Jackson recognized—all over the world—as the founding father of modern international trade law as an academic discipline. And just as Adam Smith built his economic theories on moral ideas of justice, so do the numerous books by Prof. Jackson analyze international economic law as part of national constitutional systems and international ‘treaty constitutions’ committed to the protection of freedom, economic welfare, the rule of law and democratic governance.

In 1969, when his classic textbook on *The Law of World Trade* was first published, hardly any citizen in Europe knew the meaning of the word ‘GATT.’ Even today, only few European citizens recall that the European Community Treaty of 1957 and the European common market were explicitly based on the customs union rules of the General Agreement on Tariffs and Trade (GATT), and that the absence of a GATT in the 1930s was a major cause of the emergence of dictatorships in Europe and World War II. By contrast, taxi drivers in China readily confirm today that the recent emergence of liberty and economic welfare in China is closely related to China’s membership in the GATT. These interrelationships between national, regional and worldwide economic law and constitutional rules are one of the core subjects of Prof. Jackson’s research and practical work as legal advisor to many governments and international organizations. The current financial crisis confirms this important function of world trade law as a bulwark protecting citizens not only against welfare-reducing protectionism, but also against the transformation of economic recessions into political crises as in the 1930s.

As author of numerous books and articles and chief editor of the leading *Journal of International Economic Law*, Prof. Jackson continues to shape—as he has for more than 40 years—worldwide research on international economic law. Prof. Jackson’s proposal, in 1990, for transforming the GATT into the new World Trade Organization (WTO) illustrates the policy-oriented focus of his research on facilitating legal change and political adaptation to economic globalization. By engaging, every year, in lectures and conferences with European academics, policy-makers and legal practitioners at London, Geneva and Brussels, Prof. Jackson has set a unique example for transatlantic cooperation in the search for common strategies supporting a more beneficial world trading system. Many European lawyers and academics are proud of

having studied international economic law, and its ‘domestic law effects’ inside constitutional democracies, in the seminars of Prof. Jackson at the universities of Michigan and Washington or at the numerous European universities that have invited Prof. Jackson as visiting professor.

This honorary doctorate is justified not only by the academic excellence of Prof. Jackson and by the unique political contribution of his work to promoting economic welfare and rule of law. He is also one of the best American representatives for the values underlying our EUI: his research is interdisciplinary in its methods; it is comparative, transatlantic and global in its approach; and it is committed to promoting democratic governance and rule of law through social discourse and legal innovation. John has always remained a kind citizen, eager to help—with curiosity, modesty and humor—students and doctoral researchers all over the world. During the few days of his visit to the EUI, Prof. Jackson participated in the doctoral defense of our EUI researcher Lukasz Gruszczynski and offered to publish this thesis in the prestigious OUP series of books on international economic law, which he edits. It is my pleasure to present John Jackson for admission to the Honorary Degree of Doctor of the European University Institute.



Professor John H. Jackson

Laudatio for Fritz Scharpf

Presenter: Stefano Bartolini, Director of the Robert Schuman Centre of Advanced Studies

Fritz Scharpf's academic formation and *parcours* is fairly classical for a scholar of his generation in continental Europe, in the recovery years of the 1950s and 1960s.

He pursued studies in law and political science at the University of Tübingen and Freiburg between 1954-1959; and then had his first encounter with the *mecca* of post WWII political science, the United States, with a fellowship at Yale, state examinations in law and legal internship service between 1959 and 1964; a masters in law at Yale in 1961 and a second 'American' period, between 1964 and 1968, as assistant professor and visiting assistant professor at Yale and Chicago Law schools.

Back to Germany, he became full professor of *Politikwissenschaft* in 1968 at the University of Konstanz. Between 1973 and 1984 he directed the International Institute for Management at the Wissenschaft Institute in Berlin, and in 1986 he made the move to the newly created Max Planck Institute for the Study of Societies in Cologne, established in 1985 and initially headed by sociologist Renate Mayntz, with whom Fritz Scharpf intensely cooperated. Both of them exerted a profound influence on the institute's research and public image.

During his career, Fritz Scharpf has won a considerable list of academic awards and honours in recognition of his work, among which I mention here only the 2000 Johan Skytte Prize in Political Science; and the 2007 Lifetime Contribution Award in EU Studies from the European Studies Association.

So, the beginning of the 21st century was benign to Fritz Scharpf and brought about a broad and full recognition of the importance of his work in several fields and across many different academic circles, and in the world of policy practice.

In recent years Fritz Scharpf has also been a close associate with the EUI, repeatedly visiting us, serving on thesis committees, in the Research Council and then on the Steering Committee of the Robert Schuman Centre for Advanced Studies. If I am allowed a personal memory, as research council member he offered, together with Johan Olsen, a crucial contribution to the SPS department in a delicate period of its life in the second half of the 1990s, helping the department to stabilise itself, define its profile and plan its recruitment policy.

But let's come to substance and chart briefly his special contributions to the social sciences. Among the many, I will point to three areas that seem to me to have been not only fields of high level production but also of constant personal commitment and

concern: federalism, European integration, and the political economy of inflation, employment and the welfare state.

The analysis of the relationships between federal, regional and local governments in Germany was originally developed in a famous book on *Politikverflechtung* (1976) [*Joint decision making*] written together with Bernd Reissert and Fritz Schnabel. This analysed theoretically and explained empirically—in the light of different problem types (distributive problems, coordination problems etc.)—the varying success of the so-called *Gemeinschaftsaufgaben* of 'joint tasks' of the German Federal, Länder, and municipal governments, which involved the joint financing of tasks for the funding of universities, the building of motorways, and other big investments.

Having so thoroughly studied the problems of joint decisions in multi-level governmental structures, it was only natural that Fritz Scharpf would then move to observe in that same light the growing political production of the EU since the 1980s. He applied there at the European level this theory of joint decision making, developing the now famous notion of the 'joint decision trap'.



Professor Fritz Scharpf

He explained that in a context of multi-level decision-making where actors at the supranational level depend on the acquiescence of domestic constituencies at the lower level; find themselves in bargaining context with no exit option; and apply unanimity rule; specific imbalances develop:

- imbalances between the high political costs of decision making in the Council, where only incremental policy changes can be envisaged, and the lower political costs and faster decision making of the ECJ and the Commission;
- imbalances between the 'positive integration' driven by Council political decisions and the 'negative integration' driven by ECJ and Commission; imbalances between the reduction of the latitude of action for national policy options in the area of market correction (environmental policy, social policy), and the market integration agenda of the ECJ and the Commission.
- imbalances between the incapacity of the EU to face its growing legitimacy problem - as it rests on a continuous 'output legitimacy' based on effective delivering of positively evaluated policy output - and the EU capacity to erode the national bases of political legitimacy. He developed those thoughts further in his work on 'Governing Europe: effective or democratic?' (1999)

'Joint decision trap', 'positive and negative integration', and 'input versus output legitimacy' are concepts invented or re-interpreted by Fritz Scharpf that have profoundly shaped the debate about EU development since the 1980s.

[...]

Fritz Scharpf has explored the consequences for the national welfare state and national macro-economic policies of the growing but unevenly distributed new mobility options of productive factors and of exchanges connected with globalisation tendencies and the lowering of economic boundaries.

Accompanying these main substantive contributions is also a strong epistemological concern that runs through Fritz Scharpf's books and papers, which offer an important methodological contribution.

Working in the interstitial methodological space between the super-heroic assumptions of neo-classical economic theory and hard-core rational choice theory, on the one hand, and the agnosticism of descriptive social sciences about theoretical and generalisable explanations, on the other hand, he has attempted to identify those conditions that can make human action (individual as well as aggregate unit actions) predictable in situations where actors' perceptions are not necessarily an accurate representation of objective reality, cognitive capabilities are limited, and preference over outcomes are neither necessarily utility maximising nor strictly selfish.

In this endeavour, he has focused on the role of *institutions*: formal rules and social norms (sanctioned and unsanctioned) as constructs that tend to reduce the range of potential behaviour by determining the required, prohibited, appropriate or permitted action, which are by far less numerous than the possible actions in any given cultural environment.

In his view, the discovery of empirical regularity and the sheer possibility of a social science can only be achieved if the institutionalized expectations reduce the range of feasible behaviours and constitute the set of relevant actors.

In this type of institutionalism—to be identified as 'actor-centered institutionalism'—the definition of actors beyond the individual and below the systemic properties and structures is not postulated, but needs to rest on a theoretical analysis of their internal micro-level interactions.

[...]

Thus, by combining insights from various strands, such as neo-classical economic theory and game theory, sociological institutionalism, the roles of norms and reciprocal expectations, as well as cognitive sciences, Fritz Scharpf has contributed to the setting up of an organic programme for social science research and methodological reflection. *Games Real Actors Play* (1997) is the book in which this attempt has been most coherently pursued.

[...]

In conclusion, we appreciate not only Fritz Scharpf specific scientific contributions, but more generally his intellectual attitude of trespassing disciplinary boundaries, working at the crossroads of several social sciences, and in the 'interstices' of disciplinary specialisation; of invoking the principle of 'possibility' and 'plausibility' as against the principles of 'elegance' and 'parsimony' of theories; of reminding us of the need to face with honesty and courage the difficult and often 'demoralising' ontological and methodological problems of the social sciences.

These qualities are the distinguishing features of a 'classic' scholar as they remain the fundamental antidotes against any excessive blinding specialisation, and 'scholastic' paradigmatic standardisation, in the social sciences.

For all these reasons I present Fritz Scharpf for admission to the Honorary Degree of Doctor of the European University Institute.

***Laudatio* for Thomas Sargent**

Presenter: Ramon Marimon, Director of the Max Weber Programme, Professor in the Economics Department

Dear President, professors, researchers and families,

In these days of unprecedented global financial crisis, as economists, as social scientists, there are few things we cannot—we should not—avoid thinking about.

First, thinking about the role of expectations. In contrast with nature, where the future doesn't play a part in the present, today's economic situation is not only a function of the past, of years of unprecedented financial growth, but also a function of the future, of investors' and consumers' perceptions, expectations and anxieties about the uncertain future.

Second, thinking about the role of general equilibrium. The fate of many families is at stake; not only wealthy investors, but also home-owners with home-mortgages, workers in firms in dire straits, researchers looking for jobs. Their fate not only depends on their actions and chance, but also—and mostly—on social trust, on mutual confidence. To regain such trust, there are no one-sided solutions: an unpleasant arithmetic links financial, fiscal and monetary solutions, links domestic and global actions, links today's actions with tomorrow's opportunities, links trust as well as mistrust. This is the nature of our dynamic general equilibrium.



Professor Thomas Sargent, President Yves Mény and Secretary-General Marco Del Panta

Third, thinking about the role of our profession in the face of social demands. As doctors and engineers, we economists are called upon, in times of crisis, for fast and sharp solutions. In time of crisis charlatans have a field day. But it also is a good time to take honest stock of what we have learned from crises and policies in the past, to reassess our theories and models. Today's headlines talk about the 'great depression of the 1930s'. The situation is not the same, and it is not the same particularly in one respect: decades of research in economics have given a much better understanding of the economy and of the possibilities and limits of economic policies.

A good share of our understanding of macroeconomics comes from the forty years of research, teaching and academic writing Thomas Sargent has produced since his 1968 Harvard Ph.D. This includes his sixteen years at the University of Minnesota, with his productive collaborations with Neil Wallace, Chris Sims, Robert Lucas and Edward Prescott (the latter two, already Nobel Laureates), and also with his Ph.D. students; his following years at Stanford and the University of Chicago, and, since 2002, at New York University.

Addressing the problem of expectations has been central to Sargent's research agenda. First, as a key figure in the 'rational expectations revolution' that swept through the profession during the 1970s and 1980s, developing new models and statistical methods that have become standard in the profession. But he did not stop there, and has also been a leading figure in the exploration of models of learning where agents have subjective beliefs, showing how models with 'self-confirming beliefs' can provide a better explanation of historical data. The author of nine books, his latest one, *Robustness* with Lars Hansen, builds upon the most advanced engineering literature to show us how economic policy should be designed in situations where the policy maker is uncertain of which is the 'true model' of the economy. Work that could hardly be more timely!

Linked to the 'rational expectations revolution', a radical transformation of macroeconomics in the last thirty years has taken place in the development of dynamic stochastic general equilibrium models, which has allowed us to better understand the interlinks between individual decisions, economic policies and aggregate outcomes in an uncertain world, where often credibility and commitment are at stake. As in complex models in physics, biology and engineering, the so-called DSGE models often need to be simulated on a computer. Again, in this wide field of models and methods, Tom Sargent's research and graduate textbooks have had a major impact, as any graduate in economics from the EUI, or any other leading Ph.D. programme, will testify. For them, as

one was asking me yesterday, a recurrent question is: 'when is he going to get the Nobel Prize?'

The impact has not only been in providing a better 'toolkit', of models and methods for the profession, but also—and today I would like to emphasize this—in addressing a wide range of economic policy issues. From the reconsideration of monetary policy, in the light of the rational expectations hypothesis, emphasizing the deep interconnections between fiscal and monetary policy, to rethinking the European unemployment problem. In his extremely prolific list of refereed—often co-authored—articles, the macroeconomic problems which he has not addressed are very few indeed.

Tom Sargent is a Social Scientist of an unusual intellectual curiosity. Not only does he have an insatiable thirst for knowledge, learning not only from other leading researchers, and colleagues, in economics and in technical fields, but also from students and young researchers, as well as researchers from other social sciences and the humanities. It is not by chance that he has made major contributions in other areas; for example, in monetary economic history (in fact, a recent Ph.D. thesis in the HEC-EUI department builds on his work). It is not by chance that he has been extremely prolific as Ph.D. advisor, on a wide range of topics. As it is not by chance that he likes to come back to Florence often, to give seminars and interact with faculty and researchers of the EUI, but also, with his wife Carolyn, to explore Florentine art.

It is with great personal pleasure that I present Thomas Sargent for admission to the Honorary Degree of Doctor of the European University Institute.

This year's Mauro Cappelletti Prize was awarded to Annelies Verstichel for her thesis entitled "Representation and Identity: The Right of Persons Belonging to Minorities to Effective Participation in Public Affairs: Content, Justification and Limits", which she defended in 2007 under the supervision of Prof. Bruno De Witte.



The Alumni Prize for the Best Interdisciplinary Doctoral Thesis was awarded to Yannis Karagiannis for his thesis entitled "Preference Heterogeneity and Equilibrium Institutions: The Case of European Competition Policy", which he defended in 2007 under the supervision of Prof. Adrienne Héritier









