

# LIST OF PUBLICATIONS

Johannes Stephan

## Monographs and edited Books

*The Technological Role of Inward Foreign Direct Investment in Central East Europe*. Studies in Economic Transition. Series edited by J. Hölscher and H. Tomann (Basingstoke: Palgrave Macmillan and New York: St Martin's Press) 2013, Pp. xii, 299.

*Foreign Direct Investment and Technology Transfer in Transition Countries: Theory - Method of Research - Empirical Evidence*. Studies in Economic Transition. Series edited by J. Hölscher and H. Tomann (Basingstoke: Palgrave Macmillan and New York: St Martin's Press) December 2005, Pp. xxiv, 175. Co-editorship with J. Hamar, B. Jindra, and P. Vahter.

*Analysis of statements made in favour of and against the adoption of competition law in developing and transition economies*. Sonderheft 1 / 2005, Halle Institute for Economic Research (Halle/Saale: IWH) July 2005, Pp. 80. Co-editorship with F. Emmert and F. Kronthaler.

*Evolving Structural Patterns in the Enlarging European Division of Labour: Sectoral and Branch Specialisation and the Potentials for Closing the Productivity Gap*. Sonderheft 5 / 2003, Halle Institute for Economic Research (Halle/Saale: IWH) June 2003, Pp. 85.

*Währungskrisen in Mittel- und Osteuropa*. Schriften des Institute für Wirtschaftsforschung Halle, Band 5 (Baden-Baden: Nomos) June 2000, Pp. 205. Co-editorship with A. Brüggemann, H. Gabrisch, M. Kämpfe, T. Linne and L. Orlowski.

*Economic Transition in Hungary and East Germany - Gradualism and Shock Therapy in Catch-Up Development*. Studies in Economic Transition. Series edited by J. Hölscher and H. Tomann (Basingstoke: Macmillan and New York: St Martin's Press) March 1999, Pp. xv, 293.

## Articles in Books

'Is (Post-Communist) China Becoming a Dominant Economic Power in South East Asia?', in W. Andreff (ed.) (2021), *Comparative Economic Studies in Europe – a Thirty Year Review*, (Palgrave Macmillan and Springer: Cham), pp. 297-319 (with D. Okwor).

'On the problem of Institution Transfer: The Experience of Multilateral Institution-Assistance in Developing a Competition Regime in Emerging Markets', in A. Horsch and L. Sysoyeva (eds) (2017), *Financial Institutions and Financial Regulation – New Developments in the European Union and Ukraine*, (Cuvillier Verlag: Göttingen), pp. 705-104 (with F. Kronthaler).

'Information Asymmetries about Institutions which Reduce Information Asymmetries on (Credit) Markets', in A. Horsch and L. Sysoyeva (eds) (2017), *Financial Institutions and Financial Regulation – New Developments in the European Union and Ukraine*, (Cuvillier Verlag: Göttingen), pp. 119-144 (with C. Morscher).

'Unabhängige Subventionskontrolle und staatliche Beihilfen in der erweiterten Europäischen Union', in T. Theurl (ed.) (2013), *Unabhängige staatliche Institutionen in der Demokratie*,

Schriften des Vereins für Socialpolitik, Band 337, pp. 273-296 (with Jens Hölscher and Nicole Nulsch).

'State aid in the enlarged European Union: taking stock', in B. Cerović et al (eds) (2012), *From Global Crisis to Economic Growth – Which Way to Take?*, Faculty of Economics, University of Belgrade, pp. 3-31 (with Jens Hölscher and Nicole Nulsch).

'Contagion and real economy effects of the current financial crisis on Central East Europe', in R. Barczyk, H. Brezinski, and K. von Delhaes (eds) (2012), *Consequences of World Economic Crisis for Poland and Central East Europe*, Wydawnictwo Uniwersytetu Ekonomicznego w Poznaniu, Zeszyt Naukowe, No. 228, pp. 76-103.

'Technology transfer via FDI and absorptive capabilities', in H. Brezinski (ed.), *Zur Rolle der Auslandsdirektinvestitionen in Mittel- und Osteuropa nach der EU-Erweiterung*, edited conference volume of the symposium of the Fachkommission Wirtschafts- und Sozialwissenschaften of the J.G. Herder Forschungsrate in Freiberg, forthcoming in 2012.

'Foreign Direct Investors in Post-Socialist Economies: the Role of the Intellectual Property Regime for Investors' Roles, and Policy Implications for Technology Transfer', in Y. Ma, M. Taube, D. Cassel (eds) (2011), *Challenges to Long-run Economic Growth in China and Europe* (Marburg: Metropolis), pp. 271-305. Translated and reprinted in a Chinese edited book, 2012.

'FDI and the National Innovation System - Evidence from Central and Eastern Europe', in D. Dyker (ed.) (2011), *Network Dynamics in Emerging Regions of Europe* (Imperial College Press), pp. 303-332 (with J. Günther and B. Jindra).

'The Role of the Euro for Catching Up in CEE – using the Global Crisis as a Stress Test', in C. Kunze and T. Lenk (eds) (2010), *Wirtschaftlicher Aufholprozess und EU-Integration in Mittel- und Osteuropa – das Europäische Wachstumsmodell in der Krise? Transformation – Leipziger Beiträge zur Wirtschaft und Gesellschaft Nr. 26/27*, Zentrum für Internationale Wirtschaftsbeziehungen, Universität Leipzig, pp. 231-248 (with H. Brezinski).

'Market Concentration and Innovation in Transitional Corporations: Evidence from Foreign Affiliates in Central and East Europe', in J. Larimo and T. Vissak (eds) (2009), *Research on Knowledge, Innovation and Internationalization – Progress in International Business Research*, Volume 4 (Bedfordshire, UK: Emerald Books), Chapter 10 (with L. Voinea).

'Lower Firm-Specific Productivity Levels in East Germany and East European Industrial Branches: The Role of Managerial Factors', in J. Hölscher et al. (2007), *Germany's Economic Performance: From Unification to Euroisation* (Basingstoke: Macmillan and New York: St Martin's Press), pp. 201-228.

'Control of FDI subsidiaries and reciprocal technology transfer', in H. Brezinski (ed.) (2006), *Kooperationsperspektiven deutscher Unternehmen in östlichen Grenzregionen* (Freiberg: TU Bergakademie Freiberg), pp. 69-86 (with J. Hamar).

'Can EU Policy Intervention Help Productivity Catch-Up?', in D. Dyker (ed.) (2006), *Closing the EU East-West Productivity Gap – Foreign direct Investment, Competitiveness, and Public Policy* (London: Imperial College Press), pp. 153-196 (with P. Holmes, J. Lopez-Gonzales, and C. Stolberg).

'Money and Credit Market Integration in an enlarging Euro Zone: Methodological Issues', in E. Hein, A. Heise and A. Truger (eds) (2006), *European Economic Policies – Alternatives to Orthodox Analysis and Policy Concepts* (Marburg: Metropolis), pp. 181-197 (with J. Hölscher).

'FDI, Productivity and Economic Restructuring in Central and Eastern Europe', in J. Stephan (ed.) (2005), *Foreign Direct Investment and Technology Transfer in Transition Countries: Theory - Method of Research - Empirical Evidence* (Basingstoke: Palgrave Macmillan and New York: St Martin's Press), pp. 77-95 (with J. Hamar).

'Empirical Studies: Results of a Fieldwork Project', in J. Stephan (ed.) (2005), *Foreign Direct Investment and Technology Transfer in Transition Countries: Theory - Method of Research - Empirical Evidence* (Basingstoke: Palgrave Macmillan and New York: St Martin's Press), pp. 126-159 (with J. Hamar).

Comment on A. Bley's article on 'Monetary Aspects of European Eastern Enlargement and CEE participation in ERM and EMU', in J. Hölscher and H. Tomann (eds) (2005), *Globalisation of Capital Markets and Monetary Policy* (Basingstoke: Macmillan and New York: St Martin's Press), pp. 187-190.

Comment on A. Török's article on 'Turbulences and Emergency Landings on Leased Planes' in J. Hölscher (ed.) (2000), *Financial Turbulences in Transition Economies* (Basingstoke: Macmillan and New York: St Martin's Press), pp. 209-220.

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'Export-Oriented Development and Income Creation in Hungary' (with J. Hölscher), and 'Comment on Pál Gaspar', in: J. G. Backhaus and G. Krause (eds) (1997), *The Political Economy of Transformation: Country Studies* (Marburg: Metropolis) pp. 47-71.

### **Articles in refereed Journals**

'Credit Information Sharing and Its Link to Financial Inclusion and Financial Intermediation' (with C. Morscher and A. Horsch), *Financial Markets, Institutions and Risks*, Vol. 1, Issue 3, pp. 22-33 (2017).

'State Aid in the New EU Member States' (with J. Hölscher and N. Nulsch), *Journal of Common Market Studies*, Vol 55, Issue 4, pp. 779–797 (2017).

'Ten Years after Accession: State Aid in Eastern Europe' (with J. Hölscher and N. Nulsch), *European State Aid Law Quarterly – EStAL*, Issue: 2/2014 - pp. 305-309 (2014).

'What drives FDI into Central East Europe? Evidence from the IWH-FDI-Micro Database' (with A. Gauselmann and M. Knell), *Post-Communist Economies*, Vol. 23, No. 3, pp. 343-358 (2011).

'Foreign Direct Investment in Weak Intellectual Property Rights Regimes – the Example of Post-Socialist Economies', Post-Communist Economies, Vol. 23, No. 1, pp. 35-53 (2011).

'Does Local Technology matter for Foreign Investors in Central and Eastern Europe? - Evidence from the IWH FDI Micro Database' (with J. Günther and B. Jindra), Special Issue of the Journal of East West Business on Market Entry and Operational Strategies of MNEs in Transition and Emerging Economies, Vol. 15, No. 3&4, pp. 210-247 (2009).

'Competition and Antitrust Policy in the Enlarged European Union – A Level Playing Field?' (with J. Hölscher), Journal of Common Market Studies, Vol. 47, Issue 4, pp. 863-889 (2009).

'Foreign Subsidiaries in the East German Innovation System – Experience from Manufacturing Industries' (with J. Günther and B. Jindra), Applied Economics Quarterly Supplement, Issue No. 59, pp. 137-165 (2008).

'Ownership Structure, Strategic Controls and Exporting of Foreign-Invested Firms in Transition Economies' (with B. Jindra and I. Filatotchev), Journal of International Business Studies, Vol. 39/7, pp. 1133-1148 (2008).

'The Role of the Human Capital and Managerial Skills in Explaining the Productivity Gaps between East and West' (with W. Steffen), Eastern European Economics, Vol. 46/6, pp. 5-24 (2008).

'Factors accounting for the enactment of a competition law – an empirical analysis' (with F. Kronthaler), Antitrust Bulletin, Volume 52, No. 2, pp. 137-168 (2007).

'Knowledge Transfer to MNE Subsidiaries in Central and East Europe - Integrating Knowledge-based and Organisational Perspectives: An Introduction to the Special Issue' (with B. Jindra), East-West Journal of Economics and Business, Vol. VIII, No.1 & 2, pp. 11-18 (2005).

'The Potentials for Technology Transfer via Foreign Direct Investment in Central East Europe - Results of a Field Study' (with J. Hamar), East-West Journal of Economics and Business, Vol. VIII, No. 1 & 2, pp. 19-41 (2005).

'Industry level Technology Gaps and Complimentary Knowledge Stocks as Determinants of intra-MNC Knowledge Flows' (with B. Jindra and I. Klugert), East-West Journal of Economics and Business, Vol. VIII, No. 1 & 2, pp. 135-156 (2005).

'Firm-Specific Determinants of Productivity Gaps between East and West German Industrial Branches', East-West Journal of Economics and Business, Vol. VII, No. 2, pp. 11-38 (2004).

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'Merger Control and Competition Policy in Central East Europe in view of EU Accession' (with J. Hölscher), ICFAI Journal of International Business Law, Vol. II, No. 2, pp. 55-72 (2003).

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'Contagion and Real Economy Effects of the Current Global Crisis on Central East Europe' (mit H. Brezinski): pending.

### **Articles in Journals without double-blind reviewing processes**

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'Capital inflows, Current Accounts, and Exchange Rate Regimes in Central East Europe during and after the Global Financial Crisis', Jahrbuch für Wirtschaftswissenschaften - Review of Economics (with H. Brezinski), Vol. 62, No. 1, pp. 22-39 (2011).

'Property (IP) marketplaces and how they work: Evidence from German pharmaceutical firms' (with B. Andersen and F. Rossi), Intereconomics – Review of European Economic Policy, Vol. 45, No. 1, February 2010, pp. 35-41.

„Aktuelle Trends: Gemeinsam statt einsam: Forschungsk Kooperationen auswärtiger Investoren in Ostdeutschland“ (with J. Günther and B. Jindra), Wirtschaft im Wandel, No. 5/2009, p. 199.

„Aktuelle Trends: Überraschend stabile Geschäftsaussichten auswärtiger Investoren in Ostdeutschland für das Jahr 2009“ (with J. Günther and B. Jindra), Wirtschaft im Wandel, No. 2/2009, p. 71.

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„Aktuelle Trends: Gute Gründe für ausländische Direktinvestitionen in Ostdeutschland“ (with J. Günther and B. Jindra), Wirtschaft im Wandel, No. 1/2008, p. 3.

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'Effects of European Competition Policy Reform for Central East Europe - An Institutional Perspective' (with J. Hölscher), Intellectual Economics, No1(1), pp. 40-45 (2007).

'Comparative Study of Multinational Companies in the Enlarged EU - A Technology Transfer Perspective' (with B. Jindra and I. Klugert), in: Conference Proceedings of „Comparing International Competitiveness of Manufacturing Companies in the EU with Special Emphasis on Central and Eastern Europe“, Ritsumeikan University (Japan) and the Institute for World Economics of the Hungarian Academy of Sciences. Budapest 2007, pp. 44-83 (2007).

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„Ursachen niedriger Produktivitäten auf Unternehmensebene in Ostdeutschland und Beitrittsländern“, Wirtschaft im Wandel, No. 16/2004, pp. 464-470.

„Eine Projektion der Potenziale zukünftigen Produktivitätswachstums im verarbeitenden Gewerbe der Kandidatenländer Mittel- und Osteuropas“, Wirtschaft im Wandel, No. 03/2003, pp. 76-81.

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„Ungarns Wirtschaftswachstum von Ungleichgewichten geprägt: ein erneutes Problem mit dem Zwillingseffizit?“, Wirtschaft im Wandel, No. 8/1999, pp. 10-16.

„Faktoren wirtschaftlicher Erholung in Transformationsländern - Eine Wachstumskomponentenanalyse“, Wirtschaft im Wandel, No. 13/1998, pp. 10-16.

### **Discussion Papers**

„War die Ausweitung der staatlichen Beihilfen für die Realwirtschaft im Gefolge der Finanzkrise markttheoretisch angezeigt?“, Beiträge zur Jahrestagung des Ausschusses für Wirtschaftssysteme und Institutionenökonomik im Verein für Socialpolitik: "Die EU-Institutionen im Lichte der Schuldenkrise", 28.-30. September 2014, Göttingen.

„State Aid in the Enlarged European Union. An Overview“ (with J. Hölscher and N. Nulsch), Halle Institute for Economic Research (IWH): Discussion Paper No. 24/2010.

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'Foreign Subsidiaries in the East German Innovation System – Evidence from Manufacturing Industries' (with J. Günther and B. Jindra), Halle Institute for Economic Research (IWH): Discussion Paper No. 4/2008.

'The Relationship between Knowledge Intensity and Market Concentration in European Industries: An inverted U-Shape' (with Niels Krap), Halle Institute for Economic Research (IWH): Discussion Paper No. 3/2008.

'The Role of the Human Capital and Managerial Skills in Explaining the Productivity Gaps between East and West' (with Wolfgang Steffen), Halle Institute for Economic Research (IWH): Discussion Paper No. 11/2007.

'Unternehmenssteuerung im klimapolitischen Umfeld (CO2-Navigator)' (with E. Günther, U. Blum, A. Fritzsche, H. Dannenberg), Dresdner Beiträge zur Betriebswirtschaftslehre, No. 121/06.

'Progressivity and Flexibility in Developing an Effective Competition Regime: Using Experiences of Poland, Ukraine, and South Africa for developing countries' (with Franz Kronthaler), Halle Institute for Economic Research (IWH): Discussion Paper No. 6/2006.

'Comparative Study of Multinational Companies in the Enlarged European Union - A Technology Transfer Perspective' (with Björn Jindra), Halle Institute for Economic Research (IWH), February 2006.

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'Trade Deficits in Poland and Estonia: Capital Imports versus Import Penetration and the Sustainability of Current Account Deficits', Halle Institute for Economic Research (IWH): Discussion Paper No. 82/1998.

'Hungary's New Approach to Stabilisation and Development Policies: A Critical Note on the Austerity Programme', Research Institute for European Studies (RIES): Research Paper No. 32/1996.

## **Project Reports**

‘Understanding the Relationship between Knowledge and Competitiveness in the Enlarging European Union’ (as project coordinator), End Report for the 6<sup>th</sup> Framework Programme STREP Project no. CIT5-028519, Halle and Freiberg, 2010.

‘Competition Policy Foundations for Trade Reform, Regulatory Reform and Sustainable Development’ (as workpackage coordinator), End Report for the EU 6<sup>th</sup> Framework Programme STREP Project No. SCS-CT-2003-502564, St Gallen and London, 2006.

‘EU Integration and the Prospects for Catch-Up Development in CEECs - The Determinants of Productivity Gaps’ (as project coordinator), End Report for the EU 5<sup>th</sup> Framework Programme RTD Project No. HPSE-CT-2001-00065, Halle 2004.

‘Is Merger Control too Lax in Transition Countries? An Assessment of the apparently passive behaviour of Antimonopoly and Competition Offices towards enterprise concentration in transition countries’(with J. Hölscher, L. Somogyi, and A. Török as project coordinator), End Report for the ACE Phare Project No: P97-8020-R, Budapest, 2001.