



# Katharine Rockett

**Date of birth:** 26/12/1958 | **Nationality:** Belgian, British, American | **Gender:** Female |

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**Address:** Department of Economics, University of Essex, Wivenhoe Park, Co43SQ, Colchester, United Kingdom (Work)

## WORK EXPERIENCE

01/09/2000 – CURRENT Colchester, United Kingdom  
**PROFESSOR OF ECONOMICS** UNIVERSITY OF ESSEX

Research, administrative, and teaching responsibilities at the University of Essex. Concurrently serving as:

*Universities and Colleges Union, Essex Branch Senior Caseworker, 2021-present*  
*iCES/ESI Fellow, University of Essex, 2009-present*  
*CEPR Research Fellow, 1997-present*

*Senior Examiner, University of London (international programmes)*

Details available upon request

## EDUCATION AND TRAINING

01/09/1982 – 01/12/1988 Berkeley, California, United States  
**PHD ECONOMICS** University of California, Berkeley

**Website** <https://www.berkeley.edu/>

## LANGUAGE SKILLS

Mother tongue(s): **ENGLISH**

Other language(s):

	UNDERSTANDING		SPEAKING		WRITING
	Listening	Reading	Spoken production	Spoken interaction	
<b>FRENCH</b>	C1	C2	C1	C1	C1
<b>SPANISH</b>	B2	B2	B2	B2	B1

Levels: A1 and A2: Basic user; B1 and B2: Independent user; C1 and C2: Proficient user

## DIGITAL SKILLS

Microsoft Office | Google Drive | Microsoft Word | Social Media | Facebook

## PUBLICATIONS

2023  
[\*\*Is Data the New Gold? Considering Intellectual Property Protection and Regulation of Data\*\*](#)

This article reviews the economics literature on the optimal design of intellectual property, the current framework for protecting data, focussing on the European Union, and the main features of data. It combines these to ask how current intellectual property protection instruments and surrounding regulation could be adapted to more usefully protect (non-personal) data that require investment to create and encourage its diffusion. The main changes from current

protections include an expansion of registration and cataloguing systems, more definition of quality certification, and increased attention to portfolios of protection mechanisms.

Economics 17(1), pp. 20220040. 2023

### **Mergers and Product Innovation: Seeds and GM Crops**

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We examine the additional issues raised by innovation in merger review. We outline the economic challenges generated by mergers in the presence of innovation and propose a new typology to assess static effects, dynamic effects, and efficiency. We hypothesise that remedying the static effects of merger largely mitigates the negative effects on innovation, since they flow through the same channels. If these cannot be remedied, or if foreclosure in innovation markets is a concern, then analysing the offsetting positive effects on innovation becomes indispensable to a fair review. Here, the burden of proof should be on the merging parties, since the size of these “additional” effects will depend on features of the R&D process that are better known to the merging parties than to the competition authority. These principles lead us to propose a policy algorithm, which distinguishes between first and second order effects, and helps to compare the innovation dimension of mergers to the pricing/output dimension. We empirically implement this algorithm in sample mergers drawn from the genetically modified crops and seed industries, leading them to conclusions for the merger policy of emergent economies, such as BRICS.

with Regibeau, P. in Global Food Value Chains and Competition Law, I. Lianos, Ed. OUP.

2020

### **Semantically-Based Patent Thicket Identification**

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Patent thickets have been identified as a major stumbling block in the development of new technologies, creating the need to accurately identify thicket membership. Various citations-based methodologies have been proposed, which have relied on broad survey results for validation. Expert evaluation is an alternative direct method of judging thicket membership at the individual patent level. While this method potentially is robust to drafting and jurisdictional differences in patent design, it is also costly to use on a large scale. We employ a natural language processing technique, which does not carry these large costs, to proxy expert views closely. Furthermore, we investigate the relation between our semantic measure and citation based measures, finding them quite distinct. We then combine a variety of thicket indicators into a statistical model to assess the probability that a newly added patent belongs to a thicket. We also study the role each measure plays, as part of creating a prospective screening model that could improve efficiency of the patent system, in response to Lemley (2001).

with Gatkowski, M., Dietl, M., Skrok, L, and Whalen, R., Research Policy 49(2), 2020.

### **Grantbacks, Territorial Restraints, and Innovation**

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We analyse the effect of grantback clauses in licensing contracts. While competition authorities fear that grantback clauses might decrease the licensee's *ex post* incentives to innovate, a standard defence is that grantback clauses are required for the patent-owner to agree to license its technology in the first place. We examine the validity of this “but for” defence and the equilibrium effect of grantback clauses on the innovation incentives of the licensee for both non-severable and severable innovations, which roughly correspond to infringing and non-infringing innovations. We show that grantback clauses do not increase the patent-holder's incentives to license when non-severable innovations are at stake but they do when severable innovations are concerned – suggesting that the “but for” defence might be valid for severable innovations but not for non-severable ones, in direct contradiction to regulation in some jurisdictions. Moreover we show that, for severable innovations, grantback clauses can increase the range of parameters for which follow-on innovation by the licensee occurs. Our work extends the large literature on sequential innovation to an environment where information diffuses through licensing rather than through the mere act of patenting. In this different informational set up we show that Green and Scotchmer (1995)'s conclusion that the initial innovator should have a patent of infinite breadth no longer holds.

with Ambashi, M. and Regibeau, P. International Journal of Industrial Organization 67, 2019

2019

### **Mergers and Innovation**

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Do mergers raise substantial additional issues when the parties have significant innovation programs? To answer this, we examine the merger-related efficiencies that arise only with substantial innovation, arguing that innovation-intensive mergers should be treated more leniently than mergers without this dynamic dimension. We provide guidance on evidence that might determine the magnitude of such efficiencies. Next, we argue that where innovation is “directed” towards a product market, dealing with product line overlap should allay concerns about postmerger innovation. If research is not directed, we argue that theories of harm linked to the product market are unconvincing. Instead, one should look at theories of harms in the innovation market, which stem from the advantage in being first to innovate. Such first-mover advantages can be rooted in patent protection, switching costs, or network effects. This

approach helps explain some of the remedies recently imposed on transactions such as Dow-Dupont and Bayer-Monsanto.

with Pierre Regibeau, *Antitrust Bulletin* 64(1), 31-53, 2019.

### **Research Assessment and Recognised Excellence: Simple Bibliometrics for More Efficient Academic Research Evaluations**

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Many countries perform research assessment of universities, although the methods differ widely. Significant resources are invested in these exercises. Moving to a more mechanical, metrics-based system could therefore create very significant savings. We evaluate a set of simple, readily accessible metrics by comparing real Economics departments to three possible benchmarks of research excellence: a fictitious department composed exclusively of former Nobel Prize winners, actual world-leading departments, and reputation-based rankings of real departments. We examine two types of metrics: publications weighted by the quality of the outlet and citations received. The publication-based metric performs better at distinguishing the benchmarks if it requires at least four publications over a six year period and allows for a top rate for a very small set of elite reviews. Cumulative citations received over two six-year review periods appear to be somewhat more consistent with our three benchmarks than within-period citations, although within-period citations still distinguish quality. We propose a simple evaluation process relying on a composite index with a journal-based and a citations-based component. We also provide rough estimates of the cost: assuming that all fields of research would be amenable to a similar approach, we obtain a total cost of about £12M per review period.

with Pierre Regibeau, *Economic Policy*, 31(88), 611-652, 2016.

2014

### **Incentives to Create Jobs: Regional Subsidies, National Trade Policy and Foreign Direct Investment**

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A national authority wishes to attract foreign direct investment (FDI) to create local jobs. We analyse the optimal national trade policy when local authorities might offer subsidies to convince a multi-national enterprise (MNE) to invest in their jurisdiction. With centralised decision-making or with allocation of investment to particular localities, the central authority's optimal policy is to use a high tariff to avoid payment of any subsidy to the MNE. Despite this, some socially undesirable (but locally desirable) FDI cannot be avoided. If local authorities compete to offer subsidies to attract local investment, then the central government's optimal policy is to try to discourage FDI by choosing a low tariff. Despite this, some socially undesirable – and even locally undesirable – FDI prevails. We conduct our analysis both assuming an upper bound on tariffs, as would be consistent with trade liberalisation, and allowing tariffs to vary freely. The effect of increasing trade liberalisation depends heavily on the system of granting local subsidies: if the system is centralised, trade liberalisation decreases the range of parameters for which FDI occurs; if the system is decentralised and competitive, it increases this range.

with Laurel Adams and Pierre Regibeau, *Journal of Public Economics* 111, 102-119, 2014.

### **Economic Analysis of Resilience: A Framework for Local Policy Response based on New Case Studies**

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A recent set of case studies on resilience of ecocultures forms the basis for our review of and comment on the resilience literature. We note the diversity of definitions of resilience and the confusion this creates in implementing resilience studies. We develop a synthesis view that establishes a framework for defining resilience in an implementable way. This framework emphasises the importance of defining the source of and magnitude of shocks. Next, we outline measurement issues, including a variety of performance measures. We argue that self-determination and local ownership of resources is supported in the cases, and review the effectiveness of the informal insurance arrangements that are observed. We close with the variables suggested by the case studies to include in a resilience index and lessons for regional governments developing resilience policy.

with Pierre Regibeau, *Journal of Innovation Economics* 11(1), 107-147, 2013.

2010

### **Assessment of Potential Anticompetitive Conduct in the Field of Intellectual Property Rights and Assessment of the Interplay between Competition Policy and IPR Protection**

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The interface between competition policy and intellectual property rights is of growing importance. A main aspect of this interface, addressed in the Technology Transfer Guidelines, is the type of licensing agreements that might have significant anti-competitive effects. This report provides an economic analysis of such agreements, focussing on cross-licensing, patent pools, grant-backs, pass-throughs and the use of licensing and IPR divestment as merger remedies

with Pierre Regibeau, *European Commission Competition Report (COMP/2010/16)*, 2010

2010

### **Minimum Quality Standards and Novelty Requirements in a One-Shot Development Race**

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We examine the timing and quality of product introduction in an R&D stopping game, where we allow for horizontal and vertical differentiation in the product market. We observe that discontinuous changes in introduction dates can occur as firms' abilities as researchers change. Further, when the research abilities of the firms differ, either the high ability firm or the low ability firm may be the first mover. The underlying research abilities of the firms determine the social optimality of the entry patterns we observe. Minimum quality standards and novelty requirements can play a role in correcting these suboptimal patterns of entry. While minimum quality standards increase welfare for a large range of research abilities, we find that increasing the novelty requirement does not necessarily increase either the profits or, consequently, the research investment incentives of the initial innovator, contrary to much of the cumulative innovation literature. Indeed, as the effect of policy interventions differs significantly across industries where quality improvement is steep and those where it is flat, targeted policies towards specific industries as are often observed in minimum quality standards are generally preferable to more broad-based policies.

with Jacek Prokop and Pierre Regibeau *Economics – The Open-Access, Open-Assessment E-Journal*

## ● **PROJECTS**

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CURRENT

### **Competition Policy for Conglomerates, Platforms, and Eco-Systems**

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forthcoming publication. With Pierre Regibeau. *Oxford Review of Economic Policy*

CURRENT

### **Price Dispersion in Restaurant Sales of Wines**

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Submitted article. With Olivier Gergaud, Emmanuel Offei, Kathleen Desveaud, and Pierre Regibeau.

CURRENT

### **Citizen Kane: The Evils of Industrial Concentration**

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invited chapter. With Pierre Regibeau, to appear in *Filmonomics*. Luc Leruth and Andre De Palma, Eds., Routledge (contract agreed)

CURRENT

### **Incentives in Races and Tournaments: Theory and Evidence from Track and Field**

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Work in progress. Mimeo available (August, 2024). With Lingqing Jiang, Elke Weidenholzer, and Pierre Regibeau

CURRENT

### **Optimal Pricing Policy for a Digital Food Waste Platform: Effects on the Production and Use of Waste Food**

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Work in Progress. With Emmanuel Offei, Olivier Gergaud, and Pierre Regibeau.

CURRENT

### **How Basic is (Patented) University Research? The Case of GM Crop Innovation**

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Work in Progress. Mimeo available, May, 2024. With Maurizio Conti, Gordon Kemp, Diana Terrazas Santamaria, and Pierre Regibeau.

CURRENT

### **Does Leniency Work?**

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Work in Progress. Mimeo available, February, 2024. With Zeina Alsharkas, Pierre Regibeau, and Angelos Stenimachitis.

## ● **PREVIOUS EMPLOYMENT AND TEACHING**

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### **Teaching Experience**

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*Economics teaching:*

Undergraduate: Intermediate Microeconomics, Market Structure and Strategic Behaviour, Management of New Technology, Environmental Economics, Introductory Microeconomics, Economics for Business, Economics of the European Union

Master: Theory of International Trade, Theory of Industrial Organisation (MSc),

*MBA teaching:*

Strategy and Organisations, Competitive Strategy, Strategic Management of Technology

*Professional Teaching:*

Competition Policy and Intellectual Property Rights (CRESSE – European Summer School in Competition and Regulation -- module 7, 2010-2023); directed training programme as part of major shift in automated processing of pensions, Mutual Of New York, 1982.

CURRENT

**Previous Employment**

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*Vice President and Pensions Officer*, University and Colleges Union (Essex Branch), 2019-2023.

2015-2019 *Head of Department*, Department of Economics, University of Essex (“acting HoD” in first year of post)

2004-2016 *Senior Lecturer (Associate Professor)*, Department of Economics, University of Essex

*Deputy Head of Department*, 2012-2015, 2019-2021.

*Dean of Faculty of Social Sciences*, 2010-2011.

2006-2010 *Associate Professor II in Economics*, Department of Economics, Norwegian College of Fishery Science (Tromsø, Norway).

1999-2004 *Lecturer (Assistant Professor)*, Department of Economics, University of Essex

1996-1999

& *Visiting Assistant Professor*, Instituto de Analisis Economico, CSIC, Spain.

1993-1994

1988-1996 *Assistant Professor of Management and Strategy*, Kellogg Graduate School of Management, Northwestern University, USA.

1983-1984 *Consultant*, Blue Cross of California (modelling support for strategic planning).

1980-1982 *Pension Analyst*, Mutual of New York (designed and implemented automated pension processing).

(various shorter term posts not formally listed include: legislative assistant, US House of Representatives, research assistant, NYC Mayoral Office, Instructor/counsellor for the Lighthouse for the Blind, and translator for Russian trade group exchange sponsored by YMCA)

● **SELECTED SERVICE**

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**External Memberships of note**

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*CEPR*

*Research Fellow* (1997-present)

*Applied Industrial Organisation Conference Organising Committee*, 2004-2017.

*Economic Policy Panel*, 1997-1999

*Royal Economic Society*

*Council member*, 2006-2011. (member, RES, 2005-present)  
*Trustee*, 2006-2010, Nominating Committee, 2006-2009.  
Judging Panel Organiser, *Young Economist of the Year Essay Competition*,  
2019-2022  
*Discover Economics* member and event-sponsor, 2023.

## **Selected Scientific Committees and Research Council Service**

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*GAEL* Conference Scientific Committee, 2013.  
*EARIE* Conference Scientific Committee, 2010.

*Panel Member*, Research Council, Norway, Evaluation of the Social Sciences in Norway Economics, 2018 and Research Grant Selection Committee, Economics and Business, 2019-2022

*Grant Reviewer*, NSF, Research Council (Canada), Danish Research Council (panel chair, Economics)

*Scientific Committee Member*, Digital SME Alliance, 2024-

## ● **FURTHER INFORMATION**

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**Publications pre-2010, other projects, PhD supervisions, Grants, other service and administrative posts**

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For any further information, see my Google Scholar page, <https://scholar.google.co.uk/citations?user=iYnripsAAAAJ&hl=en>, my personal website, <http://kerock.wixsite.com/mysite>, or my university webpage, <https://www.essex.ac.uk/people/ROCKE62806/Katharine-Rockett>