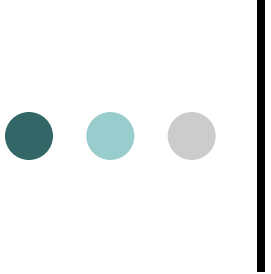


# **The further development of Neofunctionalism until the early 1970s**

## **Structure**

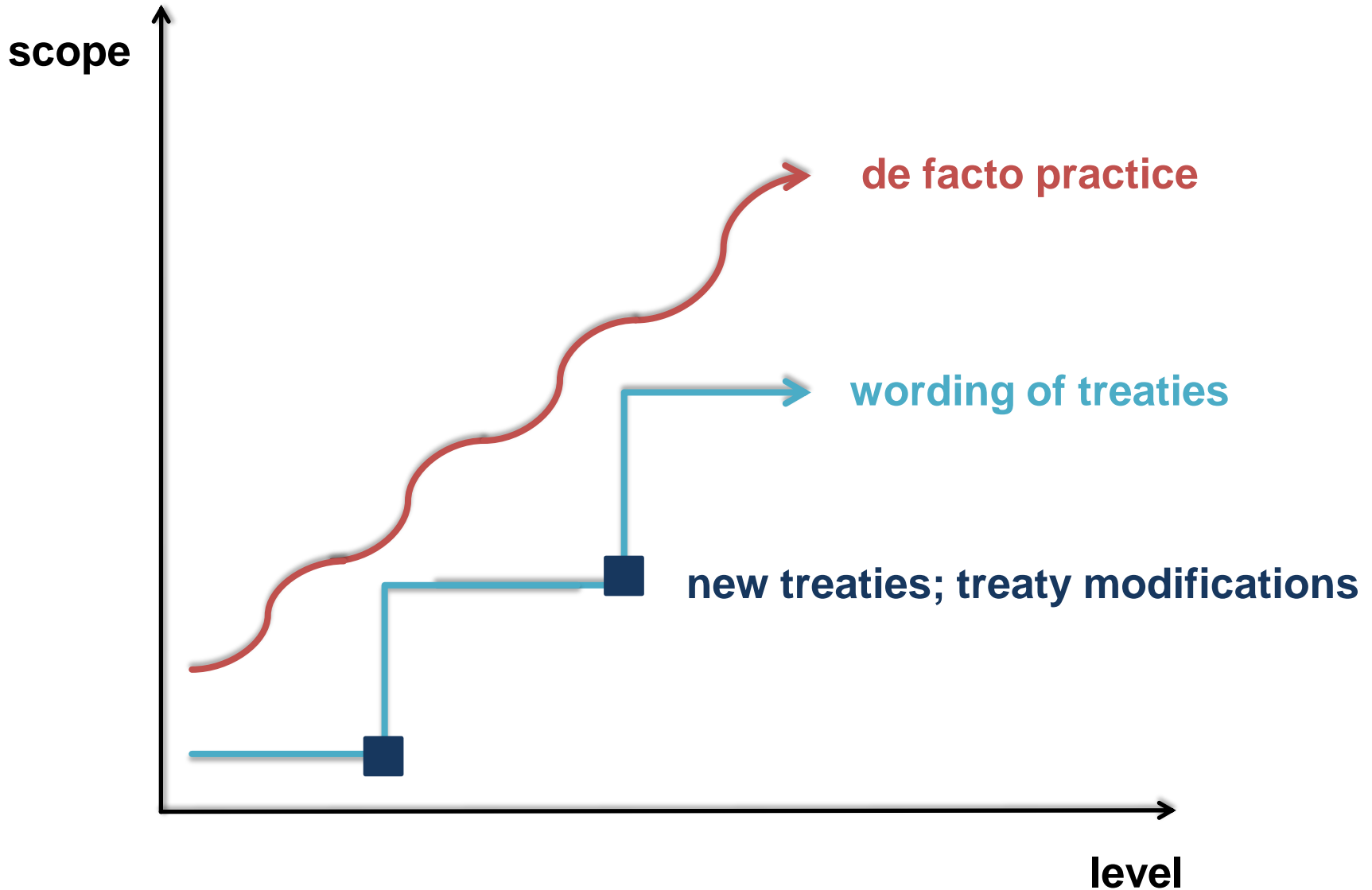
- I Modified neofunctionalism as response to critique and factual occurrences
- II Neofunctionalism as an example of theory building

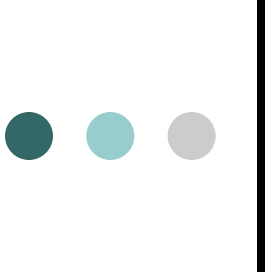


# I Modified neofunctionalism as response to critique and factual occurrences

Central differences	Neofunctionalism	Intergovernmentalism
Integration	as a (continuing, incremental) process	as a series of (isolated) events
Key actors	pluralistic national elites	nation states as “black boxes”
Actors’ driving forces	rational choices, various interests	ideology/nationalism, security interests
Supranational institutions	develop their own dynamic	play no independent role/ not in focus

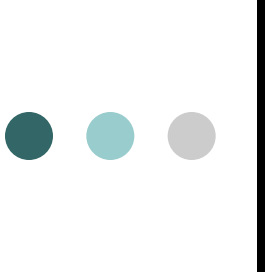
# Ladder of fusion





# I Modified neofunctionalism as response to critique and factual occurrences

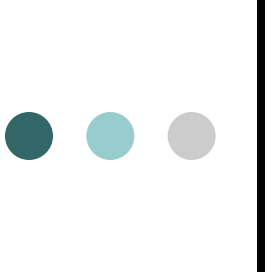
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I Modified neofunctionalism as response to critique and factual occurrences

## **Central aspects of (intergovernmentalist) criticism of (early) neofunctionalism:**

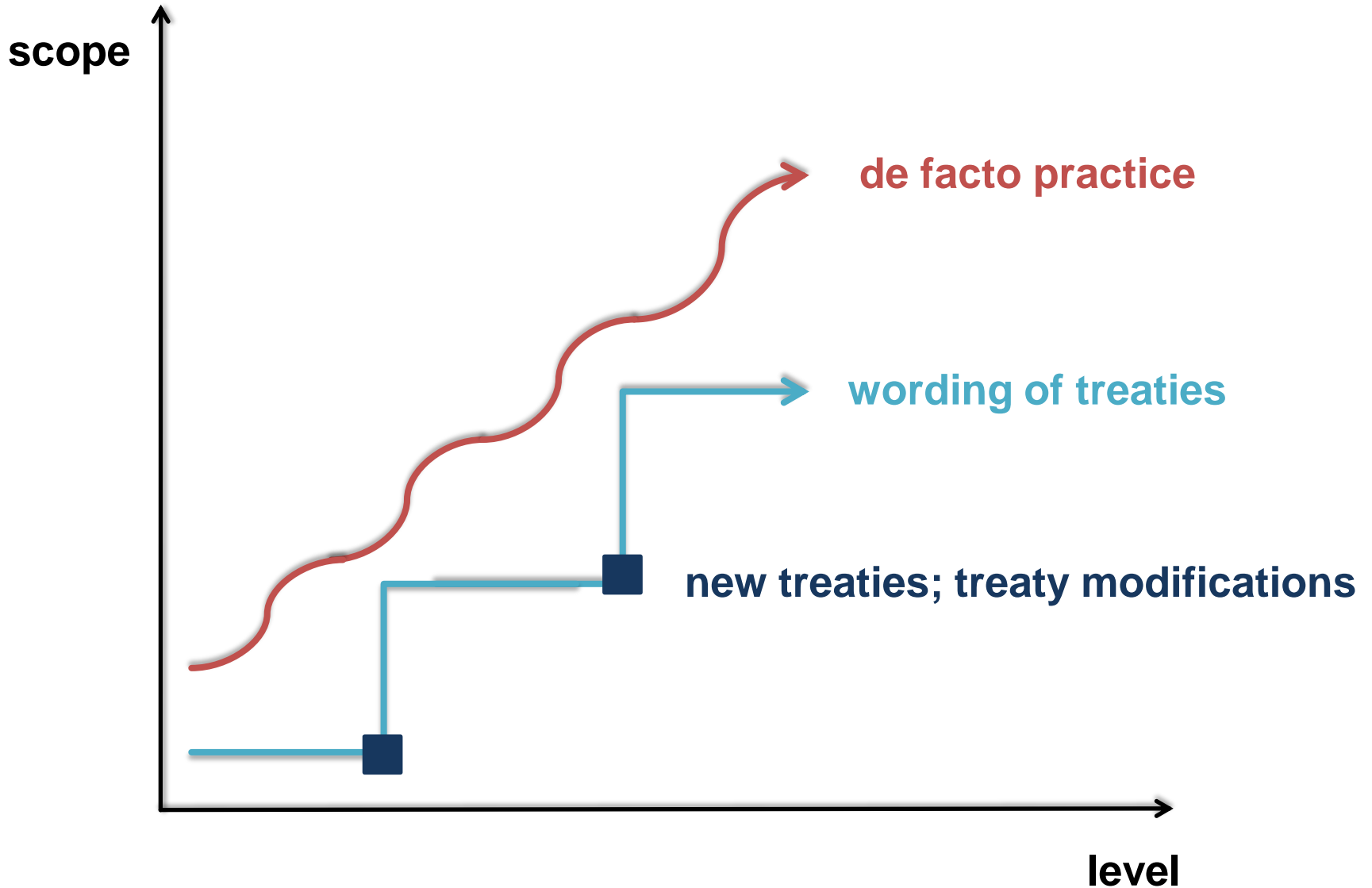
- Underestimation of continuing impact of sovereignty consciousness and nationalism
- Failure to take the broader international context into account
- Automatism and determinism of integration process



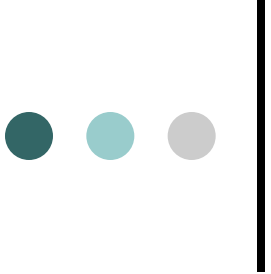
I Modified neofunctionalism as response to critique and factual occurrences

- Stagnation of European integration caused by the Empty Chair crisis (1965/66)
- No major treaty revisions until the Single European Act (1986/87)
- Crisis not predictable with earlier versions of neofunctionalism

# Ladder of fusion

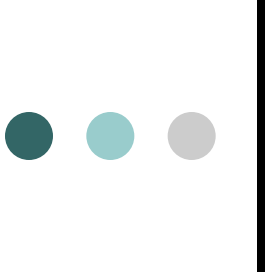






I Modified neofunctionalism as response to critique and factual occurrences

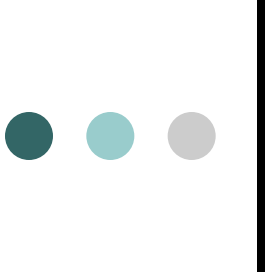
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- No major treaty revisions until the Single European Act (1986/87)
- Crisis not predictable with earlier versions of neofunctionalism



I Modified neofunctionalism as response to critique and factual occurrences

## **Modified theory by Schmitter:**

- Reaction to criticism and historical facts
- Schmitter's aim: Formulation of hypothesis and variables valid also in other processes of regional integration

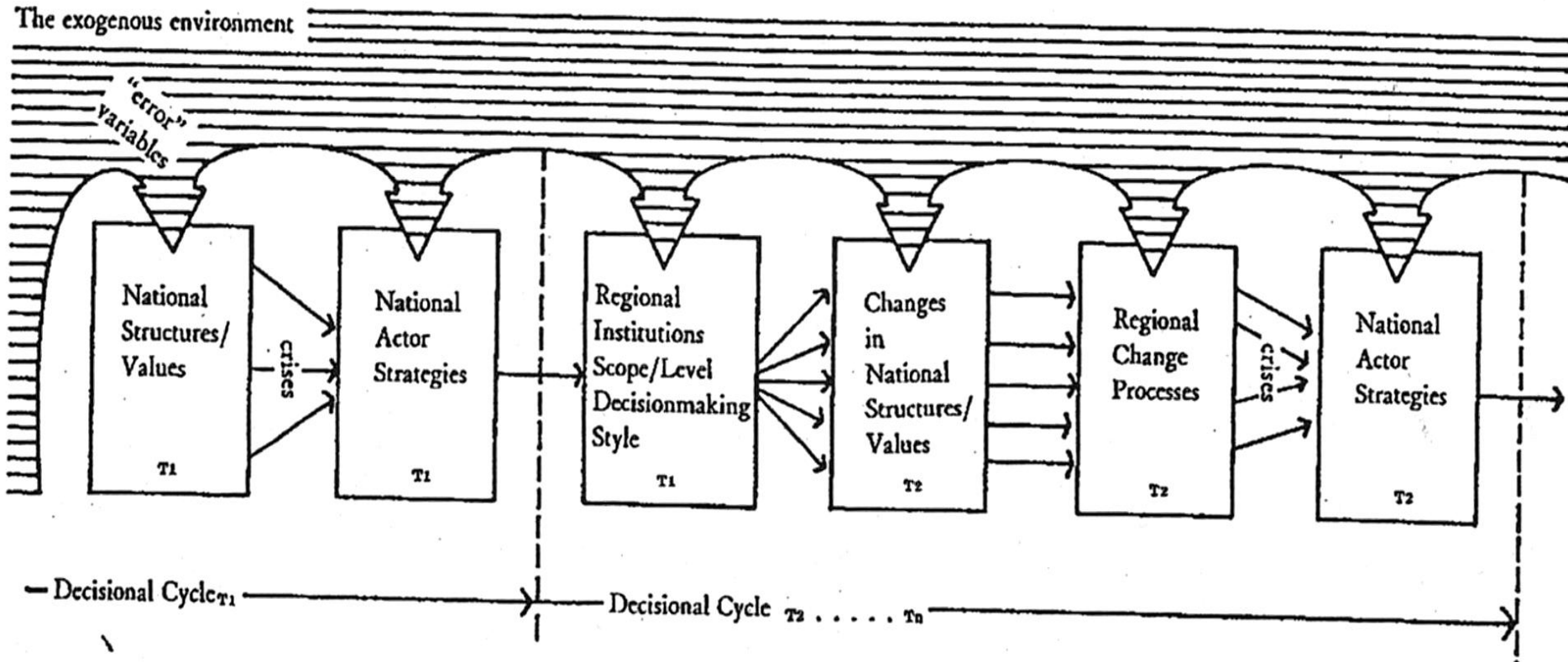


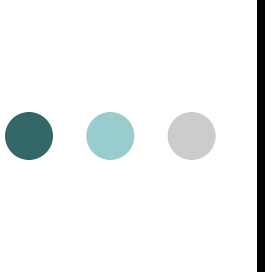
I Modified neofunctionalism as response to critique and factual occurrences

## **Modified theory by Schmitter:**

- Integration process as model of decisional cycles
  - Integration taking place as long as actions are commonly taken by the member states
- <=> Otherwise regional system disintegrated

# Model of decisional cycles

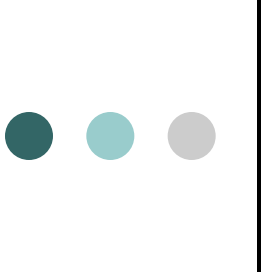




I Modified neofunctionalism as response to critique and factual occurrences

## Modified theory by Schmitter:

- Distinction of 7 possible **actors' strategies** concerning the **scope** and **level** of integration
- Scope: types of issues resolved jointly
- Level: authority of supranational institutions  
(mode of decision making, influence of institutions)



I Modified neofunctionalism as response to critique and factual occurrences

## **Differentiation of actors' strategies:**

(1) Spillover: Increase both the scope and level of an actor's commitment concomitantly.

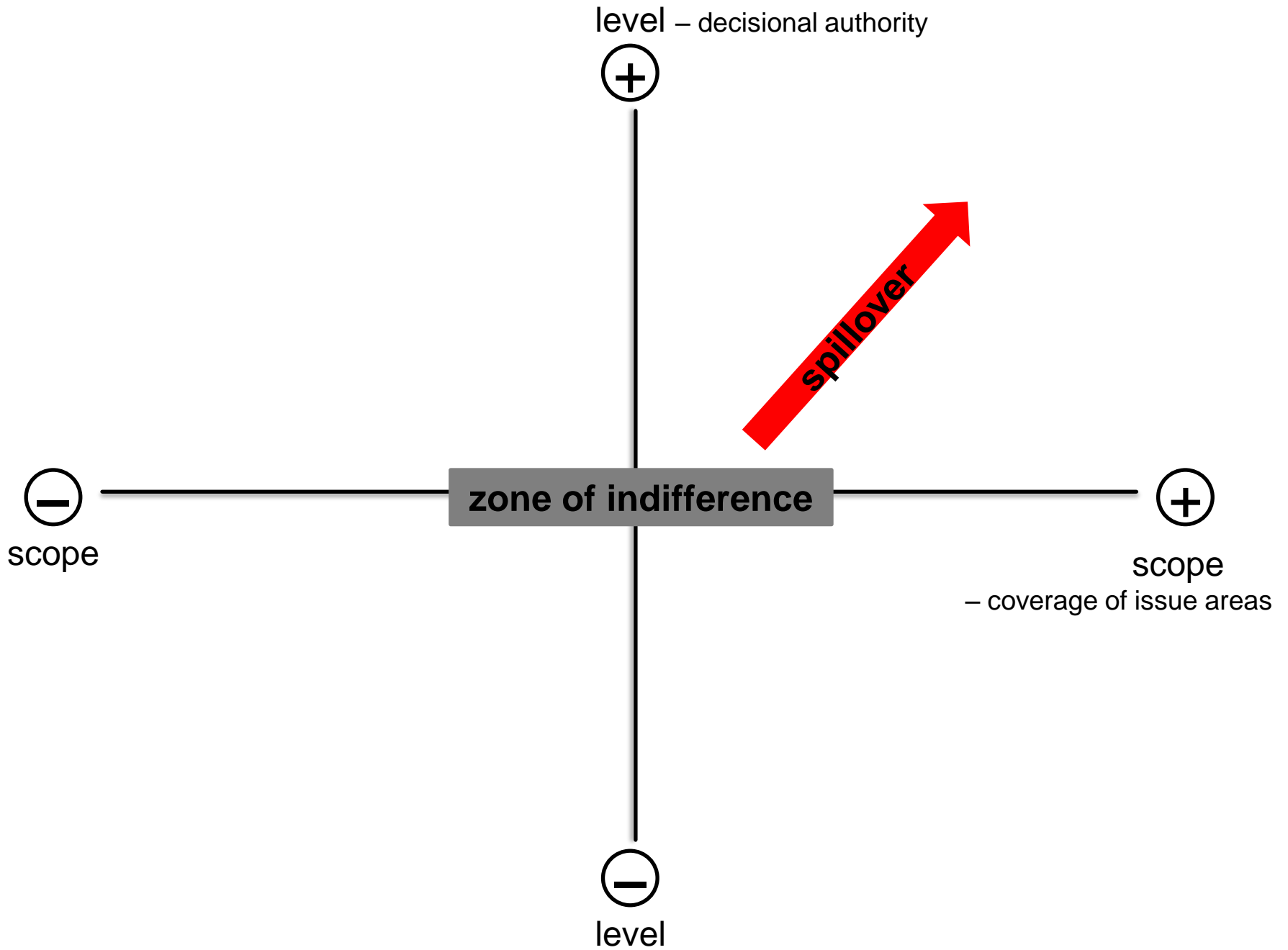
Spillover



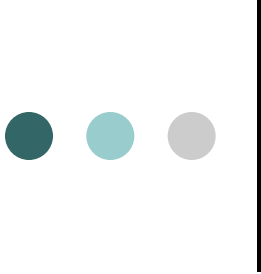
scope



level



*Illustration V.S. on the basis of Schmitter 1971: p. 241.*



# I Modified neofunctionalism as response to critique and factual occurrences

## Differentiation of actors' strategies:

- (1) Spillover: Increase both the scope and level of an actor's commitment concomitantly.

Spillover



scope



level

- (2) Spill-around: Increase only the scope while holding the level of authority constant or within the zone of indifference.

Spill-around



scope



level



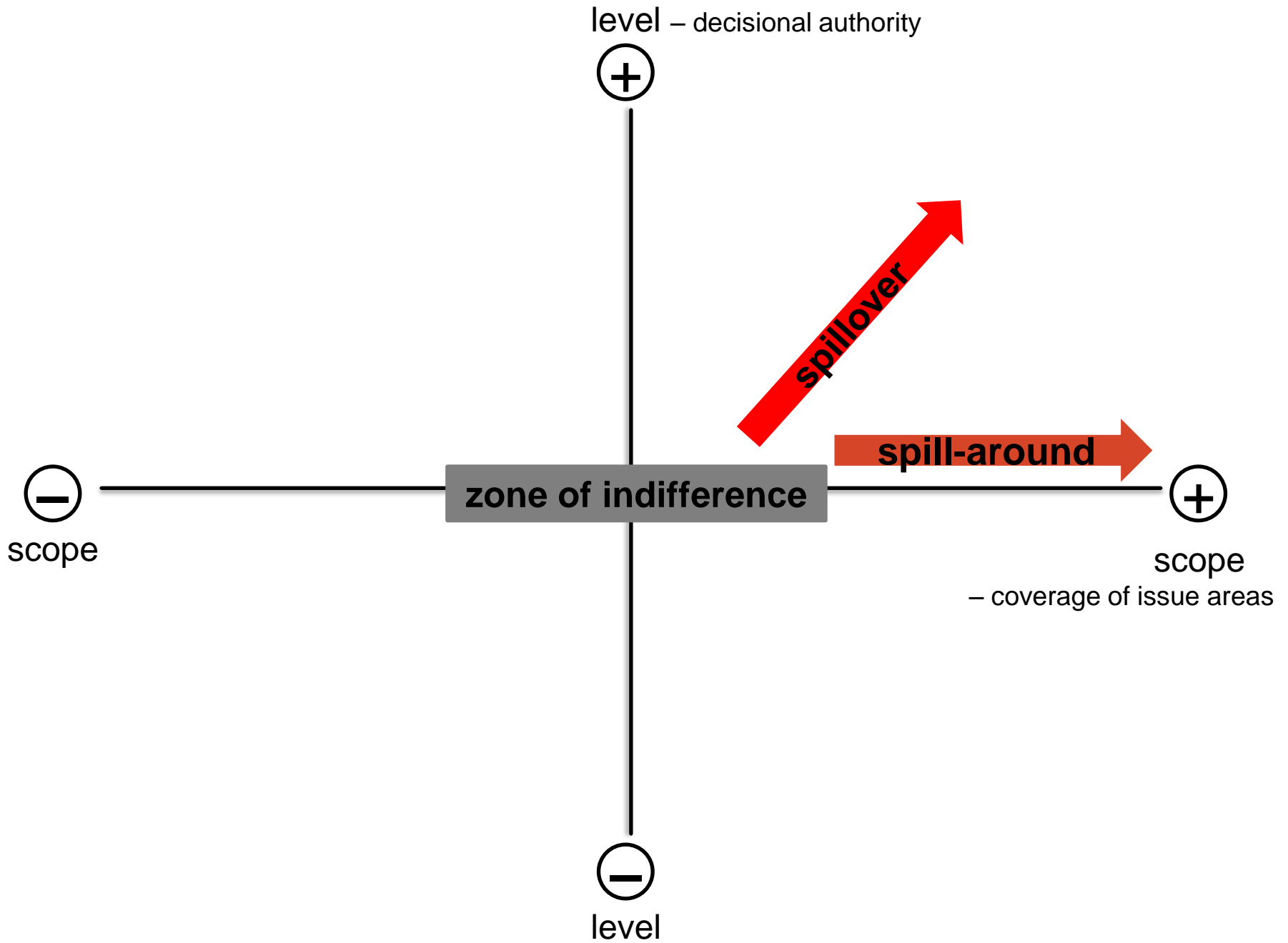


Illustration V.S. on the basis of Schmitter 1971: p. 241.

I Modified neofunctionalism as response to critique and factual occurrences

## Differentiation of actors' strategies:

(1) **Spillover**: Increase both the scope and level of an actor's commitment concomitantly.

Spillover



scope



level

(2) **Spill-around**: Increase only the scope while holding the level of authority constant or within the zone of indifference.

Spill-around



scope



level

(3) **Buildup**: Agree to increase the decisional autonomy or capacity of joint institutions, but deny them entrance into new issue areas.

Buildup



scope



level

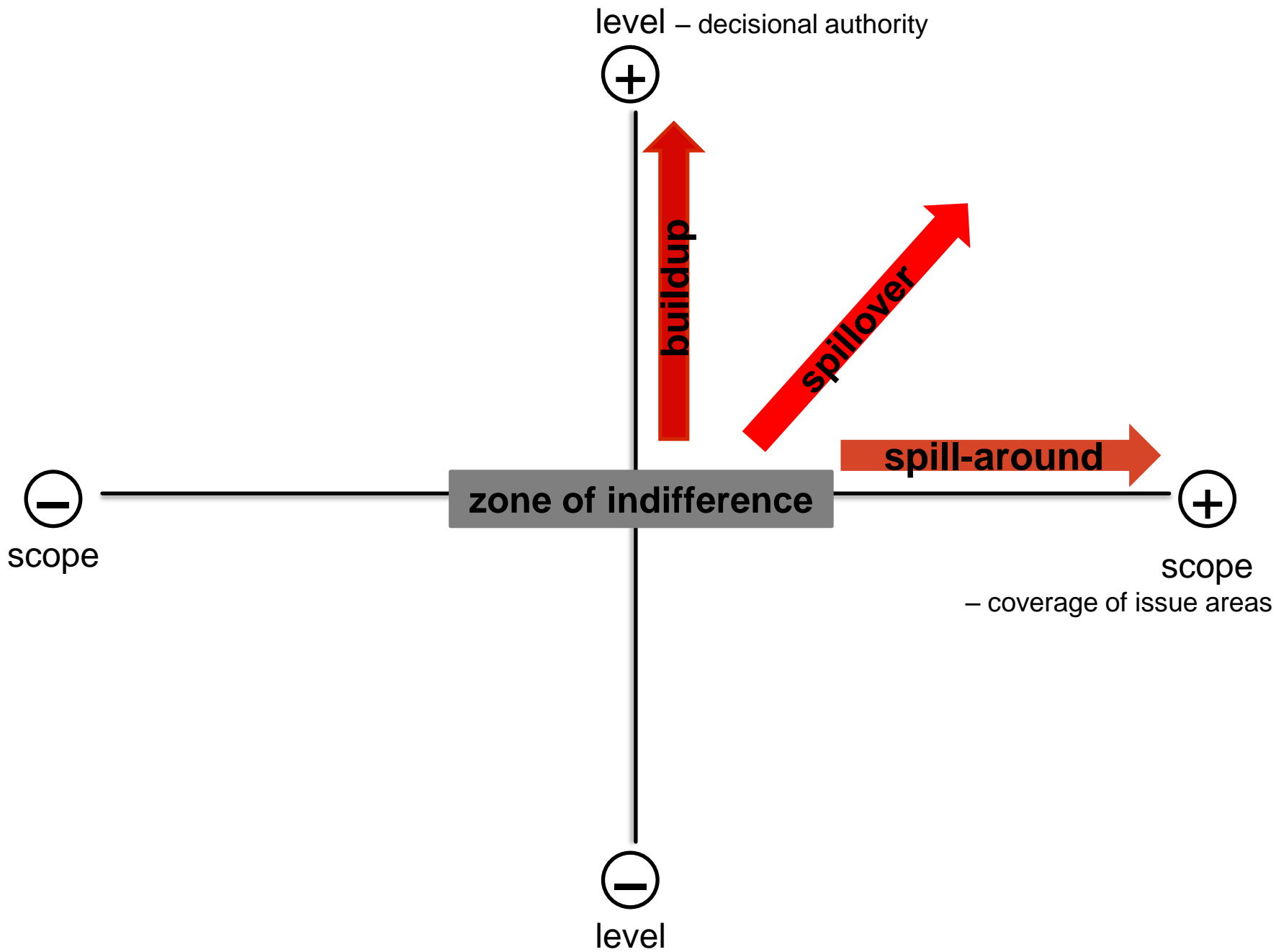
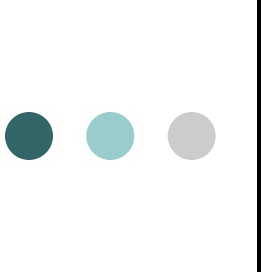


Illustration V.S. on the basis of Schmitter 1971: p. 241.



# I Modified neofunctionalism as response to critique and factual occurrences

(4) **Retrench**: Increase the level of joint deliberation, but withdraw the institutions from certain areas.

Retrench



scope



level

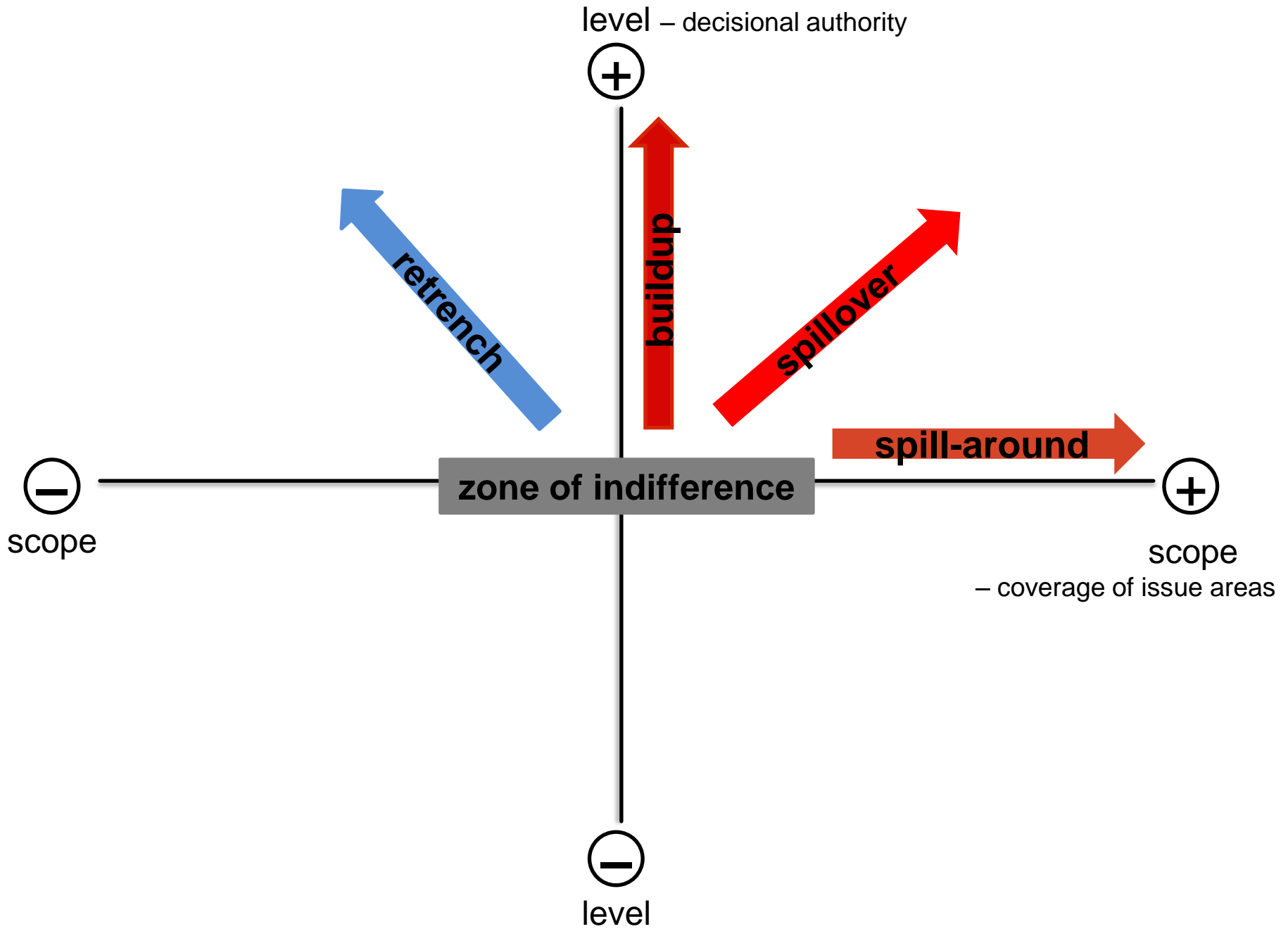
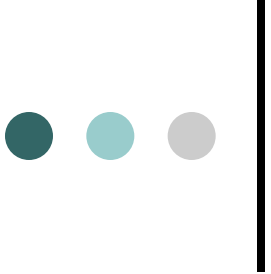


Illustration V.S. on the basis of Schmitter 1971: p. 241.



# I Modified neofunctionalism as response to critique and factual occurrences

(4) **Retrench**: Increase the level of joint deliberation, but withdraw the institutions.

Retrench



scope



level

(5) **Muddle-about**: Let the regional bureaucrats debate, suggest, and expostulate on a variety of issues, but decrease their actual capacity to allocate values.

Muddle-about



scope



level

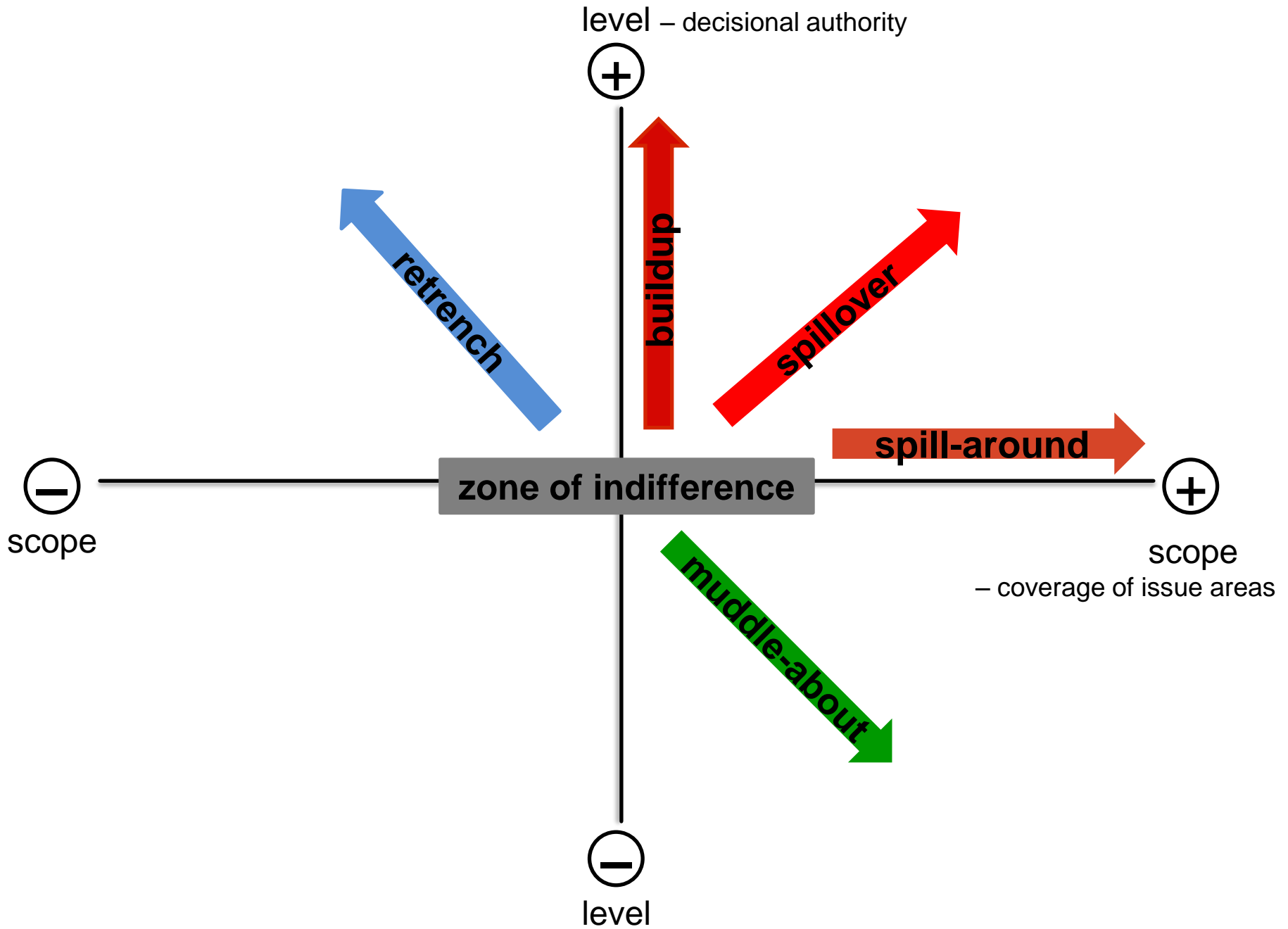
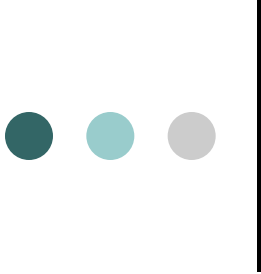


Illustration V.S. on the basis of Schmitter 1971: p. 241.



# I Modified neofunctionalism as response to critique and factual occurrences

(4) **Retrench:** Increase the level of joint deliberation, but withdraw the institutions.

Retrench



scope



level

(5) **Muddle-about:** Let the regional bureaucrats debate. Suggest and expostulate on a variety of issues, but decrease their actual capacity to allocate values.

Muddle-about



scope



level

(6) **Spill-back:** Retreat on level and scope of authority, perhaps returning to the status quo prior to initiation of integration.

Spill-back



scope



level



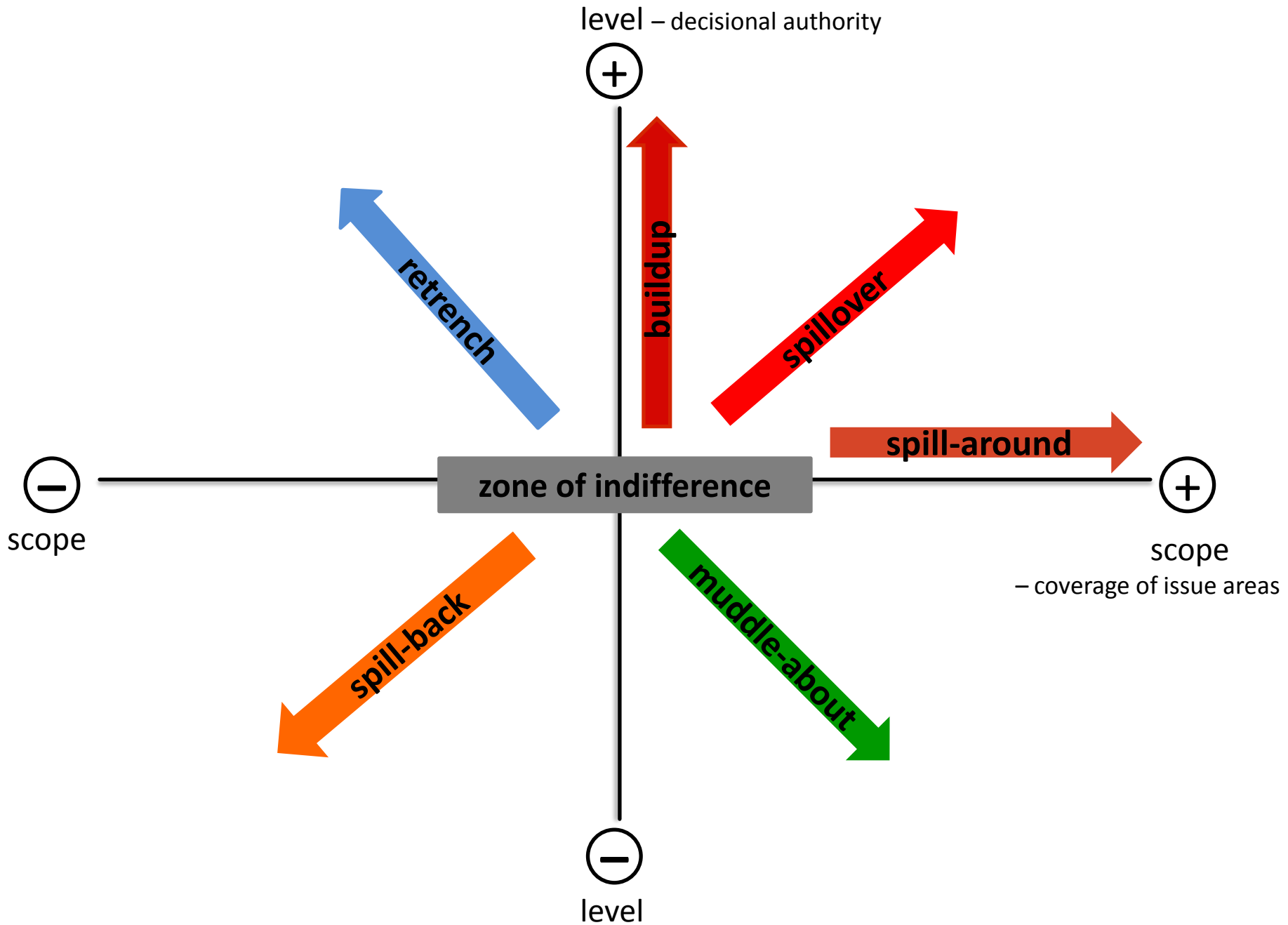
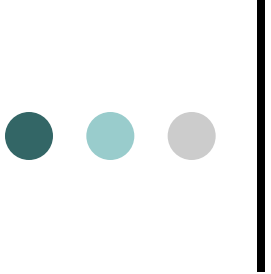


Illustration V.S. on the basis of Schmitter 1971: p. 241.



# I Modified neofunctionalism as response to critique and factual occurrences

**(7) Encapsulation:** Respond to crisis by marginal modifications.

Encapsulation



scope



level

=> Most likely strategy

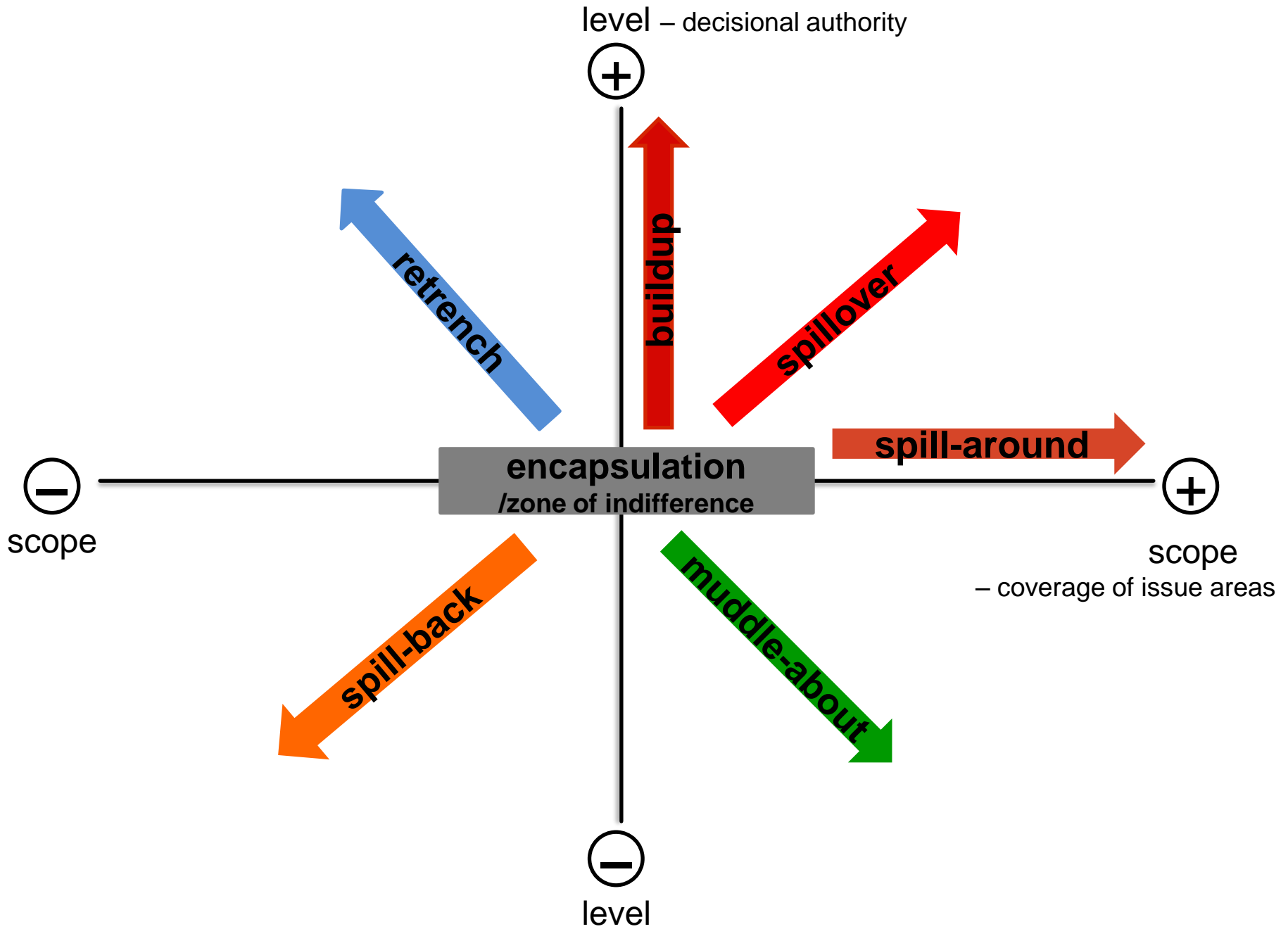


Illustration V.S. on the basis of Schmitter 1971: p. 241.

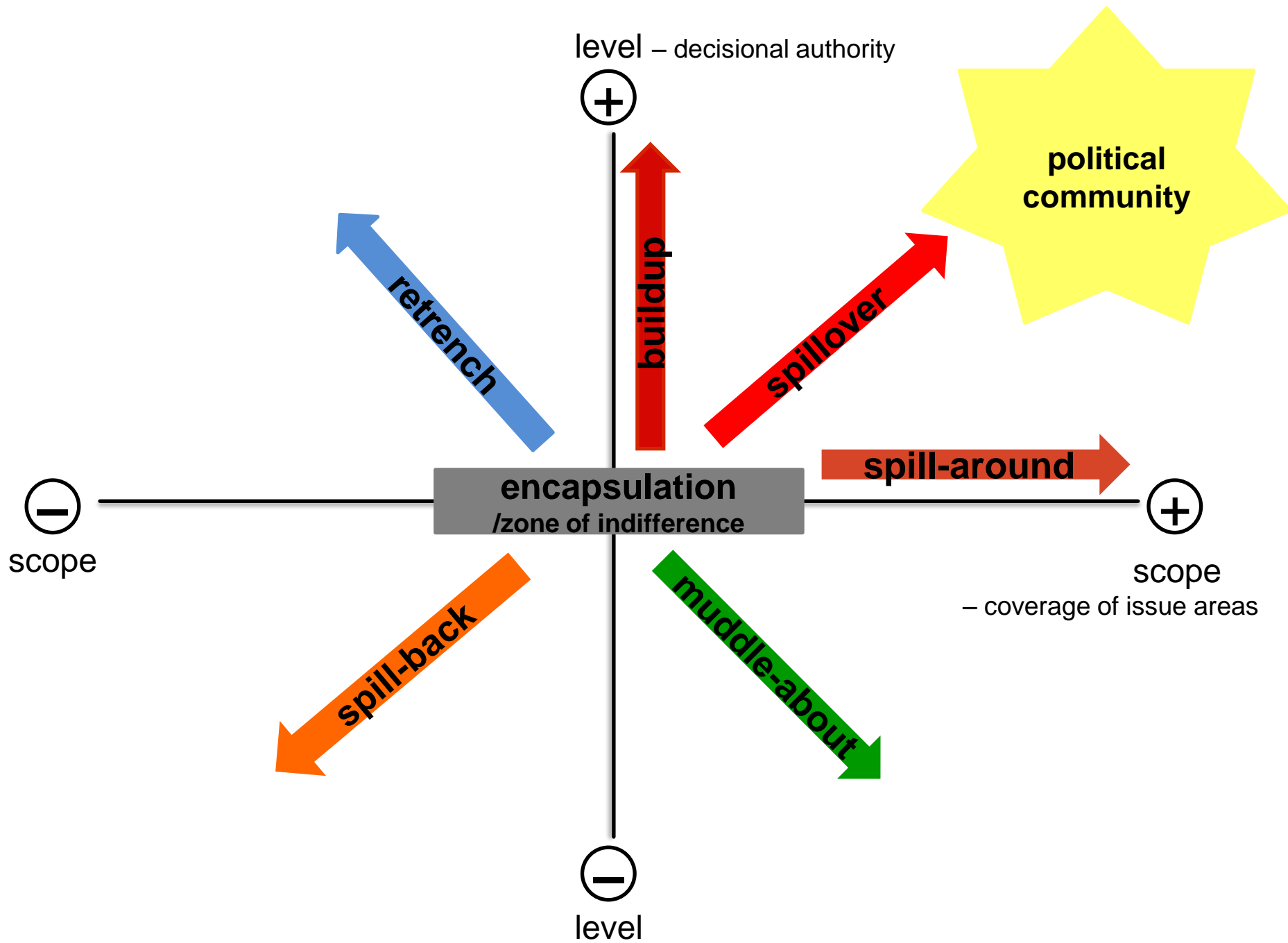
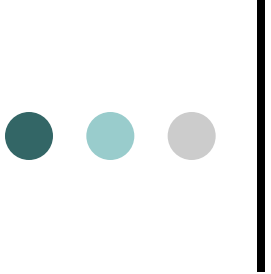


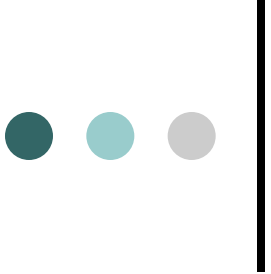
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# I Modified neofunctionalism as response to critique and factual occurrences

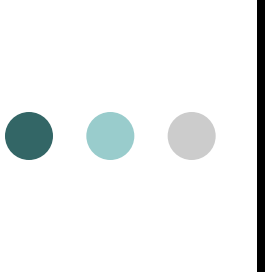
## 8 Hypotheses (relevant in all decisional cycles)

- (1) Tensions and dissatisfaction lead to search for alternatives or new and additional means to reach common goals (**spill-over hypothesis**)
- (2) Chosen strategy aiming at minimal institutional adaption and attempting to guard regional system from externally influence (**natural-entropy hypothesis**)
- (3) Widening and deepening of integration only rarely takes place (**politicization hypothesis**)
- (4) Conditions under which integration processes are started not identified in model; over time model's ability of predicting possible strategies should increase (**hypothesis of increasing mutual determination**)



# I Modified neofunctionalism as response to critique and factual occurrences

- (5) States involved in integration process are increasingly forced to pursue a common policy towards third countries (**externalisation hypothesis**)
- (6) Actors increasingly include their perceptions of the integration's impact into their interest allocation (**additive hypothesis**)
- (7) If integration includes too many and too fast changes, national actors react defensively or negatively to further steps of integration (**curvilinear hypothesis**)
- (8) Surrounding of actors characterised by insecurities and uncertainties => this leads to rather conservative actors' strategies (**underpinning the second hypothesis**)

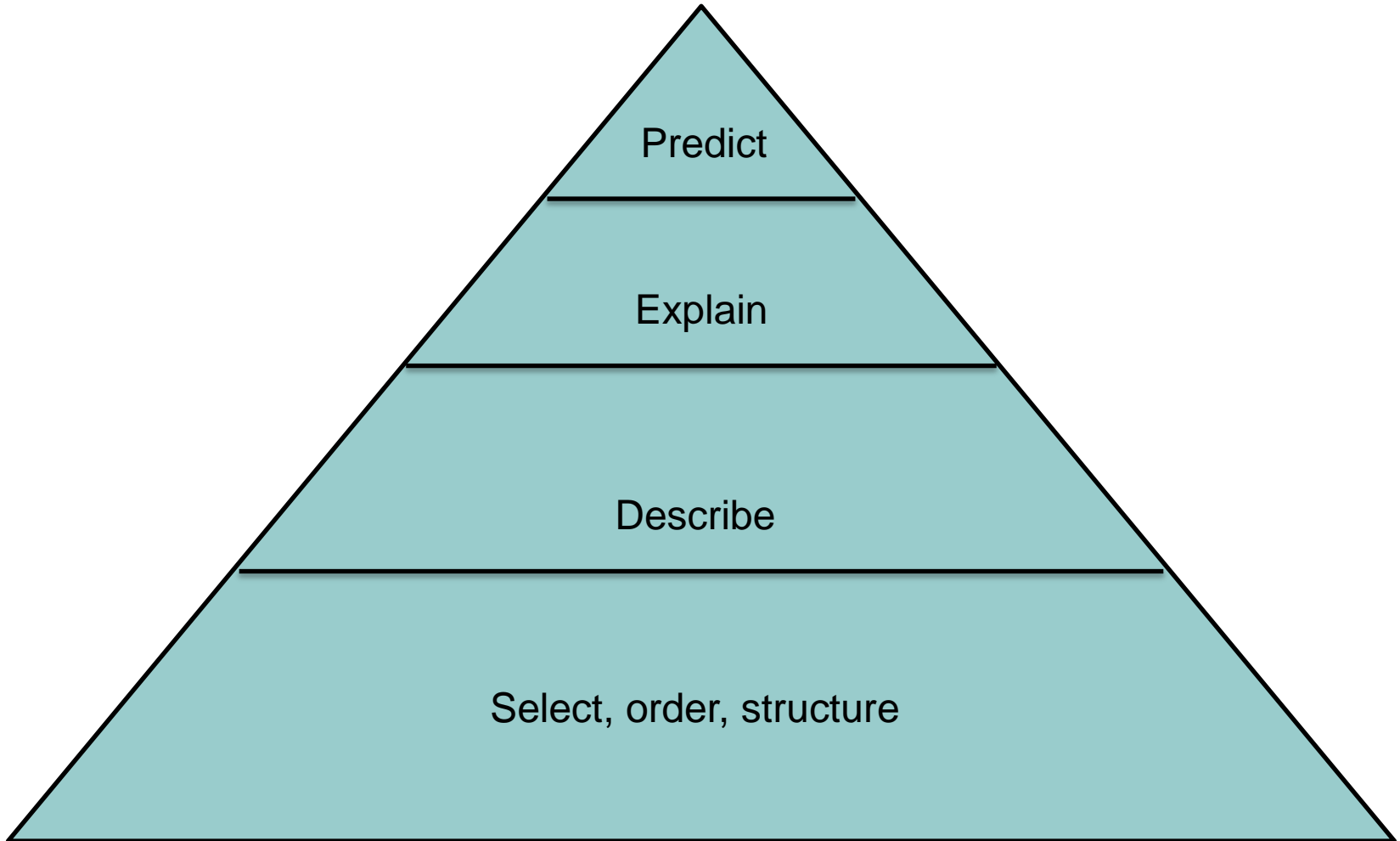


# I Modified neofunctionalism as response to critique and factual occurrences

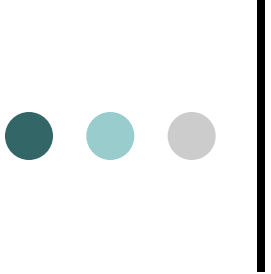
## Response to criticism of neofunctionalism

- Underestimation of continuing impact of sovereignty consciousness and nationalism
  - ↔ Schmitter: In initiation cycle national actors treated as unities pursuing one single strategy
  - During the transforming cycles national actors become more differentiated sub-national groups
- Failure to take the broader international context into account
  - ↔ Schmitter: One reason for change on regional level are external crisis; externalisation hypothesis
- Automatism and determinism of integration process
  - ↔ Schmitter: More than 1 possible actors' strategy;
  - Integration as an open-ended process;
  - Without tendency to become political community;
  - Encapsulation as most likely strategy
- Schmitter disposed the determinism and automatism of earlier neofunctionalism

● ● ● | II Neofunctionalism as an example of theory building







## II Neofunctionalism as an example of theory building

### **Schmitter's own quality criteria for an integration theory:**

- Comprehensive and parsimonious model of political consequences of integration
- Operationability and intersubjective reliability
- Ability to predict conditions under which certain actors' strategies are chosen



## II Neofunctionalism as an example of theory building

- Goal of creating a grand theory of regional integration
- Formulation of variables and hypothesis for every type of decisional cycle
  - Not parsimonious, but complex
  - Not operationalisable



## Sources

- Faber, Anne (2005): Europäische Integration und politikwissenschaftliche Theoriebildung. Neofunktionalismus und Intergouvernementalismus in der Analyse. Wiesbaden.
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