RESEARCH PLAN 2014

G I G A
German Institute of Global and Area Studies
Leibniz-Institut für Globale und Regionale Studien

- Institute of African Affairs
- Institute of Asian Studies
- Institute of Latin American Studies
- Institute of Middle East Studies
Table of Contents

GIGA RESEARCH PROFILE
1. Area Studies, Comparative Area Studies and Globalisation
2. Organisational Structure
3. Research Programmes
4. Regional Institutes

GIGA RESEARCH PROJECTS 2014, OVERVIEW

GIGA RESEARCH PROJECTS 2014, RP 1–4
Research Programme 1: Legitimacy and Efficiency of Political Systems
Research Programme 2: Violence and Security
Research Programme 3: Socio-Economic Development in the Context of Globalisation
Research Programme 4: Power, Norms and Governance in International Relations

GIGA ACADEMIC STAFF

GIGA DOCTORAL STUDENTS

MEMBERS OF THE ACADEMIC ADVISORY BOARD

ANNEX
Cooperation Partners in Research Projects
Associations
International Cooperation Agreements
GIGA Organisational Chart

GIGA Regional Institutes:
Institute of African Affairs (IAA): Prof. Dr. Andreas Mehler (Director)
Institute of Asian Studies (IAS): Prof. Dr. Patrick Köllner (Director)
Institute of Latin American Studies (ILAS): Prof. Dr. Bert Hoffmann (Acting Director)
Institute of Middle East Studies (IMES): Prof. Dr. Henner Fürtig (Director)

GIGA Research Programmes (RP):
RP 1: Legitimacy and Efficiency of Political Systems
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RP 2: Violence and Security
Head: Prof. Dr. Matthias Basedau

RP 3: Socio-Economic Development in the Context of Globalisation
Head: Jun.-Prof. Dr. Jann Lay

RP 4: Power, Norms and Governance in International Relations
Head: Prof. Dr. Anja Jetschke

GIGA Research Council:
President
Directors of Regional Institutes
Heads of Research Programmes
Research Manager
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Research Manager:
Sonja Bartsch

Equal Opportunities Commissioner:
Julia Kramer
Janina Pawelz (Deputy)
GIGA research agenda also embraces single-area and single-case studies but puts these in a research context in which these are intrinsically linked to a dialogue with scholarship on other world regions. On these grounds, the GIGA remains profoundly embedded in the respective area-specific communities, while at the same time bringing its area-based research forcefully into the overarching disciplinary and inter-disciplinary debates on its core topics.

The interest in comparative perspectives on cases outside the northern hemisphere has increased notably in recent times. This expanded interest is linked to real-world changes in the political, economic, and societal spheres: Political regimes that for decades seemed to be stable are undergoing massive changes. New forms of violence and conflict that have emerged since the end of the East–West conflict are challenging classical notions of security. The globalized economy has brought about new opportunities and threats, as well as calls for answers to issues like poverty or climate change. And the BRICS countries (Brazil, Russia, India, China, South Africa) have emerged in various world regions as new powers that are able to challenge the traditional dominance of the trans-Atlantic players. Comparative area studies can play an important role in better understanding these developments and their repercussions for Asia, Africa, Latin America and the Middle East – as well as for Germany and Europe.

GIGA is one of the leading European research institutes for area studies and comparative area studies. It analyses political, economic, and social trends in Africa, Asia, Latin America, and the Middle East. GIGA’s research connects the strengths of area- and country-specific knowledge and in-depth field research with cutting-edge theoretical and methodological approaches from political science, international relations, economics, sociology, and other related disciplines.

GIGA’s four regional institutes – the Institute of African Affairs, the Institute of Asian Studies, the Institute of Latin American Studies, and the Institute of Middle East Studies – have extensive expertise on and long-standing working relations with the regions they study. They play a key role in the academic debates within their respective area studies communities. At the same time, GIGA’s research – with its empirical basis in the non-OECD world – contributes important insights to overarching scholarly debates in both intra- and interdisciplinary fora.

GIGA’s four research programmes (RPs) – Legitimacy and Efficiency of Political Systems, Violence and Security, Socio-Economic Development in the Context of Globalisation, and Power, Norms, and Governance in International Relations – cut across the regions and deal with both theoretical and practical questions from a comparative perspective.

Comparative area studies (CAS), one of the unique selling points of GIGA’s work, systematically combines the regional focus and expertise of area studies with the explicit and rigorous use of comparative methods to generate additional insights into the cases under study and to contribute to broader discipline-specific and theoretical debates. Comparative area studies is a multi-disciplinary endeavor endorsing a plurality of methods and schools of thought. Its comparative perspective encompasses as many inter- and cross-regional approaches as intra-regional comparisons. The
regions? How much power do courts have within political systems in different regions? Which relationships can be identified between regime type, inequality, and poverty reduction? GIGA’s Research Programme 1: Legitimacy and Efficiency of Political Systems deals with these and other related questions.

Since the end of the East–West conflict new forms of violent conflict have dominated in many regions of the world. Intra- and transnational armed conflicts, often with asymmetrical conflict structures, have replaced bipolar confrontation. Today observers consider state failure, international terrorism, tensions between ethnic and religious identity groups, and conflicts regarding scarce strategic raw materials to be among the most important global security challenges. GIGA’s Research Programme 2: Violence and Security analyses these issues in its comparative research, focusing on the following questions: Under which conditions do religious factors lead to violence or peace? Do ethnicity and natural resources jointly increase the risk of violent conflict onset? How can institutional engineering and power-sharing be utilized effectively and successfully in post-conflict societies in different regions of the world? Are sanctions an effective way to deal with so-called pariah states?

The globalisation processes that have occurred since the 1990s have brought about profound economic and societal transformations in most countries in Africa, Asia, Latin America, and the Middle East. While globalisation has in many cases led to economic growth and a higher standard of living, the benefits are not distributed evenly among and inside countries. Poverty, inequality, changes in land-use patterns, and adaption to climate change are some of the challenges individuals, households, firms, and states now have to cope with. GIGA’s Research Programme 3: Socio-Economic Development in the Context of Globalisation aims to identify common patterns in the reactions to globalisation-related socio-economic transformations, while at the same time accounting for national and regional differences. How can poverty dynamics and poverty traps be explained? What is the relationship between climate change mitigation and poverty reduction? What are the impacts of large-scale land acquisitions? How can economic and social development be combined with environmental sustainability?

Globalisation has also affected international relations and global policy-making. Emerging countries such as China, India, Brazil, and South Africa are challenging the global distribution of power and have become important players in both their respective regions and at the global level. At the same time, intergovernmental organisations – especially regional organisations – and non-state actors such as transnational companies and non-governmental organisations are playing an increasing role in addressing social problems that are beyond the individual control of nation states. These developments give rise to a number of questions that call for comparative research: How are the emerging countries influencing regional and global shifts of power? What role do non-state actors play in global norm-building processes? What determines the institutional design of regional organisations in different world regions? GIGA’s Research Programme 4: Power, Norms and Governance in International Relations addresses these and other questions.

The GIGA research profile reflects the above societal and political changes and the corresponding academic debates. Political science and economics form the backbone of the institute’s disciplinary focus, but GIGA remains open to the incorporation of other disciplines such as history, cultural anthropology, and sociology. Because its scholars have both a distinct background in a particular discipline and profound area-specific expertise on Africa, Asia, Latin America, or the Middle East, the GIGA combines the respective strengths of area studies and disciplinary approaches. Through its approach, the institute contributes not only to a deeper understanding of country- or region-specific developments but also to general theory-building and methodological innovation. Intra-, inter-, and cross-regional comparisons are highly useful in identifying common patterns and differences in and between regions and in analysing the interactions between global, national and local processes.

As a member of the Leibniz Association, the GIGA is committed to academic excellence and research-based knowledge transfer. In accordance with the core principle of the Leibniz Association, “theoria cum praxi”, the topics the GIGA researches are always of both academic and real-world relevance. The institute’s research findings are distributed not only to the scientific community but also to decision makers and the general public.

The GIGA’s research is organized in a matrix structure that systematically links four regional institutes and four research programmes. The regional institutes cultivate the necessary area competence at the GIGA, maintain close ties to their respective regions, act as hubs for the area studies communities, and transfer knowledge on developments in the four world regions. The research programmes structure the research agenda at the GIGA, bring in the necessary disciplinary perspectives from the fields of political science, economics history and related disciplines, promote comparative approaches on inter-, intra-, or cross-regional issues, and conduct knowledge transfer on overarching topics. It is the complementary interaction of both elements that enables the GIGA to pursue its unique comparative area studies approach.

All researchers are based in one regional institute and participate in at least one research programme. This guarantees the continuous exchange of ideas and knowledge on and beyond the regions and stimulates innovative research. New research topics are generated both through bottom-up processes and through the strategic decisions of the GIGA research council (RC) and the executive board. The RC consists of the directors of the regional institutes, the heads of the research programmes, the academic director of the doctoral programme, the research manager, and the president. The council discusses and coordinates all issues relevant to the GIGA research profile – including this research plan.
Third-party funding plays an important role in the implementa-
tion of the GIGA research agenda. Roughly 26 per cent of the
institute’s overall budget comes from competitive calls or programmes. Funds from the German Research Foundation (DFG) account for approximately 30 per cent of all third-party funding. A considerable share also comes from independent foundations such as the Volkswagen Foundation, the Fritz Thyssen Foundation, and the German Foundation for Peace Research, which together account for around 20 per cent of all third-party funding. Another 30 per cent of third-party funding is competitively acquired from federal ministries, and a further 20 per cent comes from other sources, among them the Leibniz Competition, the EC, and the World Bank. In 2013, for example, the GIGA successfully applied for funding in the Leibniz Competition for the creation of an international network on authoritarian regimes (approx. 900,000 EUR), and secured new DFG funding of altogether 1,270,000 EUR. The institute is also participating in three FP 7-funded projects where its share of the budget is roughly 725,000 EUR. Altogether, the GIGA’s third-party funding amounted to 2.74 million EUR in 2013.

All the entities within the matrix structure – the four regional institutes and the four research programmes – are well positioned in national and international networks and associations. GIGA’s lead researchers are represented on the boards of area-specific associations such as the African Studies Association in Germany (VAD), the Africa-Eurogroup Programme for Interdisciplinary Studies (AEGIS), the German Association for African Studies, the German Association of Latin American Studies (ADLAF), the Consejo Europeo de Investigaciones Sociales de América Latina (CESIAL), and the European Association for Middle Eastern Studies (EURAMES). GIGA is also an institutional member of the European Consortium for Political Research (ECPR) and the European Association of Development Research and Training Institutes (EADI), and its researchers engage in discipline-specific associations such as the German Political Science Association (DVVPW), the International Studies Association (ISA) and the Verein für Socialpolitik (VS).

GIGA has formal cooperation agreements with leading research institutes and universities in Europe, Africa, Asia, Latin America, and the Middle East. The institute aims to conduct research not only on the regions but with the regions. GIGA also initiated and coordinates three cross-regional research networks: Together with the University of Oxford, the University of Hamburg, and Sciences Po’ Paris, the GIGA has initiated the Regional Povens Network (FPN), which addresses the rise of regional powers in Africa, Asia, Latin America, and the Middle East. The Institutions for Sustainable Peace (ISP) Network was initiated together with the Peace Research Institute Oslo, the University of Uppsala, the University of Oslo, the Graduate Institute Geneva and the School of Oriental and African Studies in London and deals with the role of institutions in divided societies and their contribution to peace processes. The third cross-regional network, International Diffusion and Cooperation of Authoritarian Regimes (IDCAR), will start in mid-2014.

GIGA is also well positioned in the German academic landscape. It collaborates closely with a number of universities (for example, Hamburg, Göttingen, Lüneburg FU Berlin, Frankfurt, Kiel) and non-university research institutes (for example, WZB, HSPK) through joint research projects, teaching activities, the joint appointment of professors, and/or joint doctoral training. The institute has a long and fruitful history of cooperation, especially with the University of Hamburg. GIGA researchers teach up to 30 hours per semester at the university’s School of Business, Economics and Social Sciences and its School of Humanities. The GIGA and the University of Hamburg also collaborate in doctoral training. Together they successfully acquired funding for a structured graduate school from the Leibniz Competition and the Excellence Initiative of the Free and Hanseatic City of Hamburg. With this funding (from 2010 to 2013) they jointly ran the Hamburg International Graduate School for the Study of Regional Powers. They also closely collaborate in the new GIGA doctoral programme that started in 2013. Doctoral students participate in many of the research projects detailed in this research plan; their training and qualification is an integral part of GIGA’s personnel development strategy.

Ultimately, it is the GIGA’s highly qualified academic and non-academic staff who are key to the successful implementation of the research agenda outlined above. Their strong commitment to excellence ensures the institute’s position as an innovative area in academic studies and comparative area studies work.

The GIGA’s research is contributing to understanding political and socio-economic developments in its study regions, and how these regions shape and are affected by global processes. Topical issue of regional and global relevance are addressed using GIGA’s approach to area and comparative area studies that combines social science and area expertise and allows the GIGA to contribute to and shape both disciplinary and regional debates. The topics are being generated within the broad thematic corridors provided by the research programmes that cover key facets of regional and global developments. The profile of the research programmes is presented below; a detailed description of the GIGA’s research projects is provided on pages 33–151.

Research Programme 1: Legitimacy and Efficiency of Political Systems

In recent years, international calls for minimum standards of rule in terms of democracy and human rights in Africa, Asia, Latin America and the Middle East have continued. These calls have had consequences on the ground: not only is there resistance within these regions to these standards, but the resistance has also impacted universal norms. Research Programme (RP) 1’s researchers thus examine the tensions between the efficiency and legitimacy of political systems in the above-mentioned regions.

No political regime can survive for long without the diffuse legitimacy of the political system as a whole. At times, this more general legitimacy can be replaced by a specific legitimacy that comes from the economic and social benefits of the system. Conversely, citizens might accept the inefficiency of political institutions for some time if, for example, the system simultaneously broadens participation or improves the protection of minority rights. RP 1 analyses how the reproduction of systems occurs despite a lack of legitimacy and/or efficiency. Within national political systems, legitimacy and efficiency are influenced by changes in statehood, and by international and transnational linkages. Gaining a comprehensive understanding of these processes usually requires multilevel analyses.

The RP investigates not only formal but also informal mechanisms that lead to the reproduction of different types of political systems, as well as the interrelated formal and informal actors, organisations and institutions involved. Informal mechanisms for the reproduction of political systems or subsystems have only rarely been analysed comparatively. If such mechanisms have been the subject of interest, they have usually been dealt with in a typifying and normatively pejorative manner. These informal mechanisms, however, can also have positive effects, including increased efficiency or even the legitimacy of governance within a particular political system.

The RP combines institutional and actor-oriented approaches to study the reproduction, transformation, and consolidation of political systems as well as the quality, direction, and distributional effects of these systems’ policy outputs.

Research Team 1: Persistence and Change in Non-Democratic Regimes

With the ebbing of the “third wave of democratisation”, the number of non-democratic regimes has remained largely constant. In addition, the international influence of a number of authoritarian states, particularly the People’s Republic of China, has increased significantly, while some democracies have suffered an extensive loss of democratic quality and are now classified as “hybrid regimes”. As the glamour of the Western model of democracy has appeared to fade, the question of whether there is substance behind a global shift in favour of liberal political models has emerged. The ambiguous evolution of the “Arab Spring” mirrors this contradictory development.
Against this background, the empirical and theoretical analysis of non-democratic regimes has gained relevance. The research team's aim is to explore the functional logic of authoritarian and hybrid regimes in non-OECD regions, and to analytically capture their similarities and differences, their transformation processes, and their developmental leaps. The team analyses not only formal institutions, but also informal strategies of legitimation, such as the patronage-based preservation of power and institutions. RT 1 researchers apply relational and differential sociological approaches in their investigations of civil society, associations, the public sphere and social movements.

RT members analyse the following key issues within the scope of their individual projects:

- Which legitimisation strategies do authoritarian regimes pursue, and are these strategies successful? What role do economic performance, the strategic distribution of resources to certain parts of society, and the normative justification of rulefulness and the preservation of power play in this context?
- Which processes of adaption to international and economic standards, as well as related learning and interaction processes, can be observed among non-democratic and, above all, authoritarian regimes?
- How are political actors and institutions in non-democratic regimes interrelated, and do they form lasting alliances? Which governance outcomes do civil society organisations and actors in particular generate, and what role do these groups play in the maintenance of authoritarian regimes?
- Which factors favour the development of neopatriarchal rule in non-democratic regimes?

The functioning of authoritarian and hybrid regimes can also be effectively elaborated by looking at selected parts of the regime, policy fields, issues or conflicts. For this purpose, single case studies intended to generate explanatory theoretical approaches can be of great value. However, the RT's focus is designed to be compara-
tive (with small and large numbers of cases) and to aim for explanatory theoretical approaches with a medium reach. These concern, not least, the extent to which region-specific characteristics that allow for convincing typologies can be detected, or the extent to which cross-regional characteristics are decisive factors.

Research Team 2: The Politics of Courts and Constitutions

This well-established research field in political science deals with the boundaries that legal regulations set for the behaviour of government representatives and organisations (constitutional debate aspects) as well as with the influence of political actors, institutions and processes on legislation (judicial policy aspects). The RT develops projects that tackle both perspectives. On the one hand, the study of the politics of constitutional reforms acknowledges the numerous contemporary judicial and constitutional reform processes. These reforms affect the type and number of human rights that acquire constitutional status and redefine features of the governmental institutions. These sometimes create tensions between the two parts of the basic laws, i.e. institutional systems not well suited for the protection of rights. Therefore, the positive or negative implications of constitutional reforms for democratization processes are a major concern for this research team. On the other hand, the creation of courts with review powers has been a marked trend all over the world after the Second World War. With these prerogatives, courts acquired an increasingly important political role, as evinced in growing judicial influence on policies and increased resort to the courts by different social and political actors. The judicialization of politics is a topic of concern for this RT, as well as the independence and the power of courts vis-à-vis the other branches of power.

RT 2 analyses the following questions:

- How much power do courts have within a political system? Why are powerful courts created and sustained? Has there been an increase in the power of courts following democratization processes? Do courts have the ability to control the executive branch? How independent are courts – in democratic as well as in authoritarian regimes? How do courts contribute to and safeguard fundamental democratic procedures? Which actors are involved in constitutional amendment processes? How are constitutional amendment processes related to their political context (for example, in the context of regional administrations)?
- What influence do constitutional reforms have on the political system? How do plural legal norms shape resource governance? What role does international and domestic law play in contentious politics? What kinds of issues emerge when international, national, and indigenous legal systems encounter at particular local sites?

Research Team 3: Participation and Representation in the Context of Inequality

Within Africa, Asia, Latin America, and the Middle East the global call for democratic equality is being challenged by societies characterised by strong internal inequality, from significant social and economic inequalities to ethnic, religious, and gender-related differences. Even though these societies – which include but are not limited to India, Indonesia, Brazil and South Africa – are in many ways marked by a high degree of political and social fragility, among other problems, relatively stable democratic development can also be observed. These countries seem to refute the conventional wisdom that democracy and participation are based on a certain degree of societal homogeneity, and that pronounced social inequality represents a threat to democracy. It is therefore evident that in these regions the potential threat to democracy cannot be reduced to the classical issue of the unresolved “social question”. Any analysis of it requires the inclusion of multiple types of inequality.

The RT’s research agenda is not confined to young democracies. It also includes some older democracies, since most of the democracies in the regions under study are fragile rather than consolidated. This means they are potentially affected not only by declining democratic quality but also by possible transitions into hybrid and authoritarian regimes.

The research team thus investigates the following questions through both intraregional and cross-regional comparisons:

- What impact do the aforementioned inequalities have on civic participation and therefore on both the quality and endangerment of democracy?
- Under which conditions does an increase in (1) political participatory rights, (2) civil society organisations, and (3) partisan and social mobilization encourage democratic development?
- What are the conditions under which an increase in participation encourages clientelism, corporatism, and populist regimes with authoritarian traits?

Research Programme 2: Violence and Security

Research programme (RP) 2 focuses on violence and security issues that affect Africa, Asia, Latin America, and the Middle East and also have repercussions for Germany, Europe, and the West. In current world politics, intrastate and transnational conflicts dominate. These are often characterised by asymmetrical conflict structures and exhibit many region-specific features. State failure, transnationally active terrorist and criminal networks, tensions between ethnic and religious identity groups, the spread of weapons of mass destruction, and the quest for scarce raw materials are among today’s key security challenges.

Within RP 2, five research teams (RTs) focus on five sets of problems, all of which can be researched especially effectively using comparative area studies: RT 1 deals with natural resources and security; RT 2 studies religion, conflict and politics; RT 3 examines war and peace processes; RT 4 is dedicated to international sanctions; and RT 5 focuses on forms of violence and public (in)security.

The programme’s researchers use a variety of theoretical approaches and methodologies. Methodologically, they utilise both quantitative and qualitative approaches, including inferential techniques such as multivariate regressions, configurational and interpretative methods (QCA, discourse analysis), and carefully selected small-N samples and (country) case studies. They are particularly interested in adopting a mixed-method approach that combines qualitative and quantitative methodologies and different levels of analysis within single projects.
The events of 9/11 and the recent political upheavals in the Middle East, Africa, Latin America, Central Asia, and the Caucasus. Due to the GIGA staff's regional expertise, the issues raised in RT 1 can be addressed especially well using comparative area studies. To this end, the research projects use both econometric techniques (large-N) and qualitative comparisons of case studies with a smaller number of cases (small-N).

Research Team 2: Religion, Conflict and Politics

The events of 9/11 and the recent political upheavals in the Arab world have underscored the growing importance of religion in global political developments. Conventional wisdom claims that religion's catalyst effect results in an exceptionally high potential for conflict in political processes. The research team focuses on the following research questions:

- Under which conditions do religious factors lead to violence, and when do they lead to peace?
- How are religious identities mobilised in political processes? Does mobilization on the basis of religion involve international actors, and if so, to what extent?
- Which problem-solving strategies have been used to date, and have they been successful? To what extent and under which conditions are religious peace initiatives successful?
- What determines whether religious, and especially Islamic, groups are dialogue- or conflict-oriented towards the West?

The RT has already established a research project on the subcategory "religion and conflict". It assumes that the connection between religion and (violent) conflict is much more complex than the public debate suggests. According to Scott Appleby (The Ambivalence of the Sacred), religion is fundamentally ambivalent, and mediation efforts based on religion indicate religion's peaceful potential. Additionally, the various dimensions of religion – demographic structures, identities, ideas, institutions, and elites – have to be differentiated if one is to understand, for example, the mechanisms used to mobilize religious identities in political processes.

The RT's second analytical focus is the role and potential of political Islam/Islamism as a factor in conflict and/or peace. Building on previous research on political Islam's transnational network-building processes, RT members have reacted to new challenges and questions deriving from the "Arab Spring" by redirecting and diversifying their research. One of the new projects will focus, for instance, on recent developments within Salafism, such as the development of a political strand that explicitly promotes participation in formal politics. Another looks at power-sharing arrangements in multireligious societies with the aim of determining whether such arrangements, which have shown promise in Lebanon and Iraq, would work in Syria and Bahrain. A further project examines the development of the Muslim Brotherhood in Egypt during the last decades and its current influence on regional politics.

Research Team 3: War and Peace Processes

Organized violent conflicts outside of Europe and North America are becoming increasingly relevant since they involve a growing number of different types of actors; they often display a transnational dimension; and, in the context of globalisation, they have repercussions well beyond the actual battlefields. At the same time, in recent decades there has been a trend towards the peaceful settlement of violent conflicts. The latter phenomenon can be attributed to a paradigm shift within the United Nations ("responsibility to protect") and to the growing engagement of regional organisations, neighbouring states, and non-state actors in conflict resolution.

Recent experiences with state-building in post-war societies show that the way in which state institutions are designed and structured can contribute to peace or conflict, and that the content of peace agreements, the handling of war crimes, and the specific ways in which post-war societies come to terms with the past deeply influence peace processes' chances of success. In turn, the failure of peace processes can lead to the renewed escalation of violence and to a resumption of conflict.

Against this backdrop, RT 3 investigates and analyses those factors – at the international, regional, national, and local levels – that determine the transition from war to peace and, possibly, back to war. The team focuses on organised violent conflicts, and on the institutional and processual features of conflict conduct and settlement. Moreover, the RT aims to access which institutional arrangements help promote peace (e.g., decentralization, electoral systems, party regulations, government systems, etc.). RT researchers investigate these topics using qualitative and quantitative methods, paying particular attention to intra- and interregional comparisons.

The RT focuses particularly on the following research questions:

- What are the implications of (1) the institutional design of a peace treaty and (2) how a society comes to terms with the past for the sustainability of a peace process?
- How can institutional design contribute to guaranteeing long-term peace in divided societies?
- What are the consequences of failed peace efforts for the intensity of violence in civil wars?
- What unintended effects of peace agreements (for example, the negative effects of power-sharing and ethnicization) can be identified? How can these be countered?

Research Team 4: Causes and Effects of Sanctions

International sanctions have a bad reputation; many researchers perceive them as ineffective or even counterproductive. In contrast, the United Nations, the United States, and the European Union are increasingly using sanctions to enforce certain behaviours, to restrict the sanctioned unit's room to manoeuvre or to signal disapproval. However, various autocratic regimes such as Iran, Cuba, North Korea, and Zimbabwe have proven to be extremely resilient to the long-enduring sanctions levied against them.

To date, researchers have provided largely contradictory evidence concerning the effects of sanctions on the stability of autocratic regimes. In response, RT 4 comparatively analyses the reactions of autocratic regimes to external pressure. Building on insights from research on authoritarianism, sanctions and transitions, the team's researchers theoretically identify the potential effects of sanctions and the specific features of those regimes that have remained stable in the face of such external sanctions.

The RT is particularly interested in autocratic regimes' international relations, as well as their characteristics, strategies and actions: How do sanctions affect such regimes’ use of repression, their legitimacy and their ability to safeguard their rule? To what extent does external pressure impel the maintenance of power? How do autocratic regimes use sanctions as a resource, and how do they try to influence the imposition of sanctions?
The RT addresses the following questions:

- What exactly does external pressure look like – that is, which actor is applying which form of pressure with which intensity?
- What factors account for the long-term stability of autocratic regimes in the face of external sanctions?
- Which structural power resources (for example, repression, rents, legitimacy) do regimes fall back on, and how do they use them in reaction to external pressure in its various forms?
- Which counter-strategies do targeted autocratic regimes and rulers pursue, nationally and internationally?

Research Programme 3: Socio-Economic Development in the Context of Globalisation

Research Programme (RP) 3 focuses on selected socio-economic challenges in the context of Globalisation. Globalisation has been accompanied by unprecedentedly swift periods of economic and societal transformation in Africa, Asia, Latin America and the Middle East. As part of RP 3, two research teams (RTs) and the Claussen-Simon Professorship in Economics investigate these socio-economic transformations from different perspectives and with different focuses:

RT 1 analyses the strategies adopted by individuals, households, firms or specific social groups in order to adapt to challenges related to globalisation. It also examines how these actors make use of new opportunities and the extent to which they contribute to social and global change. Starting from the observation that economic growth puts pressure on the world’s resources and ecosystems, RT 2 studies the sustainability of economic transformations. It analyses possible trade-offs and win-win situations between sustainable development on the one hand and economic and human development on the other. The Claussen-Simon Professorship in Economics studies the patterns of socio-economic transformation at the macro-level, focusing on the interdependence of long-term economic growth and socio-economic structural change.

Answering these two central questions requires a comparative research approach as well as substantial country- and region-specific expertise. The interdisciplinary team applies quantitative and qualitative techniques, often to primary data they have collected themselves. The theoretical concepts used are of course shaped by the individual researchers’ different disciplinary backgrounds. These can be broadly grouped into three important theoretical categories: First, rational choice approaches, including neoclassical price theory. Such approaches can be used to model how actors respond to changes in economic conditions. Second, sociological approaches, including social order and norm formation, as well as institutional economics approaches. These can be used to explain the inability of actors to respond or adapt to globalisation and the persistence of some socio-economic phenomena, such as informal sector activity or strong income disparities. Third, social network theories, which can capture the degree and quality of the actors’ social interaction. Social networks often play a crucial role in facilitating or inhibiting agency and responsiveness.

Research Programme 2: The Socio-Economics of Sustainable Development

Of the many pressures that human activity puts on natural resources and the environment, RT 2 focuses on two key, interrelated issues: climate change and land-use change. The RT studies the drivers and consequences of these phenomena to answer the following two fundamental research questions:

- How can economic and social development be reconciled with environmental sustainability?
- How can possible trade-offs be managed, and can we identify win-win situations that foster both human and “green” development?

Climate change is one of the most pressing global challenges. While it was initially caused by the industrialisation of today’s developed world, its continued intensification is mainly attributable to increased emissions from rapidly growing low- and middle-income economies. Identifying climate policy options that will enable these countries to achieve lower-carbon trajectories without compromising economic development and poverty reduction is hence of the utmost importance. Similarly, land-use change entails important trade-offs between economic development, and environmental sustainability. While increased agricultural production and more land under cultivation are necessary to feed the globe’s growing population, land-use change threatens biodiversity-rich areas, particularly tropical forests. A particular facet of land-use change is at the core of the team’s current research activities: large-scale land acquisitions in poor countries. While some observers view “land grabbing” as a major threat to the rights and livelihoods of the rural poor, others point to the potential opportunities that could arise from new investments in a long-neglected sector.

To address these issues, RT 2 applies a wide range of (mainly) empirical methods, which are often embedded in comparative research designs. These methods range from case study approaches (using qualitative techniques such as focus group discussions) to macroeconometric methods and economy-wide modelling approaches. The comparative approach most often involves comparing micro-evidence at the national level – for example the quality and practice of land governance or the distributional effects of a carbon tax – across countries.

The Claussen-Simon Professorship in Economics

Unprecedented periods of economic growth have recently accompanied political, cultural, and sectoral structural change in several developing and emerging countries. The Claussen-Simon Professorship – held by Prof. Dr. Erich Gundlach – analyses the macroeconomic drivers behind the different facets of this structural change.

One of the professorship’s underlying research hypotheses identifies long-term economic growth as the main driving force behind the multidimensional phenomenon of structural change. Conversely, structural change has, through its many facets, certainly been influencing economic growth. The hypothesis of “change through growth” implies that the focus on single dimensions of structural change – for example democratisation and higher levels of public education – is misleading. Instead,
sustainable development requires an integrated approach that considers multiple dimensions of structural change and their interactions at different levels of development. These considerations raise two issues: First, growth and socio-economic structural change must be analysed and explained using a theoretical framework that allows for the derivation of explicit hypotheses about causal relationships. Such a framework needs to combine growth and trade theory with insights from political science. Second, the social relevance of the hypothesis of "change through growth" needs to be examined empirically and must include the identification of causality as the key challenge.

The Clausen-Simon Professorship conceives of socio-economic structural change as systematic patterns of interdependent changes. These interdependencies, as well as possible common drivers of structural change, are the professorship's empirical focus. The goal of the research agenda is thus to generate a better understanding of long-term multidimensional development processes.

Research Programme 4: Power, Norms and Governance in International Relations

Over the last few decades the nature of international relations has changed considerably. Alongside the process of globalisation, two major political transformations have occurred: the shifting of global power from the US or Western powers to emerging powers (Brazil, Russia, India, China) and a shift in power from state to non-state actors. This development is likely to have significant repercussions for the international system: one can already observe the emergence of new governance structures that more prominently feature non-state actors and emerging powers. One is also seeing regions and regionalisation processes becoming increasingly important. Furthermore, one is witnessing a lively debate about whether the rise of emerging powers such as China will lead to increased violent conflict in the transition phase.

Therefore, Research Programme (RP) 4 has two main research priorities. First, RP 4 seeks to analyse and explain the new patterns of interaction between states, non-state actors, and international organisations. Second, RP 4 identifies what direction international relations will take in the future. RP 4 transcends the traditional state- and hegemony-centred debates on the existence of unipolar or multipolar hegemonic structures (USA/Europe/China/Japan) as well as those concepts that emphasize a mere regional shift in the international system ("Pacific Century").

Three research teams (RTs) deal with these issues:

- RT 1 analyses the foreign policy strategies of emerging powers and the effects of these strategies on different international policy fields.
- RT 2 focuses on the emergence of global governance and transnational norm-building, and also examines non-state actors’ participation in these processes.
- RT 3 deals with the increasing influence of regions and regional organisations in international relations.

The RT's research on these topics is based on the assumption that even though similar challenges exist around the globe, such as climate change or the perceived threat of emerging states to international security, they result in the evolution of regionally specific governance structures. This is precisely because these structures are influenced by the particular group of actors involved: the emerging powers, transnational and hybrid actors, and regional organisations. The RT analyse these similarities and variations in regional power and governance structures through inter-, intra- and cross-regional comparisons.

Research Team 1: Foreign Policy Strategies in a Multipolar System

RT 1 focuses on the foreign policy of emerging powers. There are several deductive categories for such powers in international politics (status-quo oriented, revisionist) which assume divergent from other foreign policy behaviour. However, we actually know very little about which foreign policy strategies these powers really pursue, or about the factors explaining the choice of a specific strategy. As a country's actual strategic behaviour allows for statements and predictions on the development of international relations, the research team analyses these emerging powers' foreign policy strategies across policy fields and regions.

Emerging powers in Africa, Asia, and Latin America are characterised by active foreign policies with institutional and discursive strategies at the global and regional levels. Furthermore, these new powers are using their increased economic and technological potential to build up their military capacity, which also increases their importance in questions of global security. The increasingly multipolar world order has created new parameters for the development of foreign policy strategies, and these are impacting regional and global interaction. New steering mechanisms like the G20 or intergovernmental networks such as IBIS, BRICS or BASIC provide examples in this regard. In turn, these new mechanisms are shaping the decision making not only of emerging powers’ foreign policy actors, but also of the governments of established great powers and regional secondary powers.

To explain foreign policy strategies, the research team undertakes structured and focused case studies of three broad policy fields. The main goal of these studies is to determine the influence of other states' reactions on the behaviour of emerging powers:

- How do secondary powers react to the rise of new powers and their claims to leadership?
- What influence do extra-regional great powers exert on regional power structures? How does the existence or non-existence of regional support influence the global impact of regional powers?
- Which strategies do emerging powers follow in different policy fields, and how effective are they in their global activities?

Research Team 2: The Social Constitution of Global Politics

This team researches the social construction of actors' identities in global politics. The rise of new powers is embedded in the process of globalisation, in which states as well as non-state actors are a key force. The team contends that the rise of new states and the interactions between states and non-state actors are always a matter of social construction. The RT deals specifically with the ideas, norms, roles, and values that are being built, interpreted, contested, reframed, and diffused by actors in regional and global governance structures – as well as by actors in regional and international institutions. Understanding these socially driven constellations and dynamics at the regional-global nexus is one of the team’s primary tasks.

RT2 is organized around a set of themes that are critical to the research on social identity. It has developed a research agenda on the dominant theme of identity building in regional and international structures via the interaction of actors (states, non-state actors, and regional and global institutions) and the interaction of actors and structures. The team also looks specifically at the relationships between states. The key focus are the BRICS (Brazil, Russia, India, China, South Africa) as new regional powers that have created a set of interactions. Both, among themselves – for example, the BRICS and IBISA (India, Brazil, South Africa) forums – and with established powers such as the United States and the European Union. In addition, RT2 assesses these two tracks of research and brings them together through research on the ideas, norms, roles and values that non-state actors and rising powers from the Global South contest, both within regional organisations and in their interactions with established powers within global governance institutions.

On the basis of the theoretical and empirical interest in social identity – in the form of ideas, norms, roles, and values – the research team is particularly interested in the following questions:

- How and by what means is social identity being built and disseminated by states, non-state actors, and regional and global institutions?
- How do regional powers and well-established powers relate to each other within regional and global settings?
- How do regional powers and non-state actors contest regional and international institutions?
- How do networks’ governance processes form global norms? How are these legitimized, and how is compliance established?
- How do international institutions react to regional powers’ and non-state actors’ contestation of their norms, rules, and regulations?
- How are countries of the South integrated into global governance structures? How do national, regional, and global policy processes interact?
As a result of the restructuring of international relations, the importance of regions has increased (and continues to increase). The United Nations now even conceptualizes regions as security regions that should be more strongly integrated in the management of regional conflicts. However, it is not just regional organisations’ influence in security matters that has been increasing. Since the beginning of the 1990s, the number of regional trade agreements has increased enormously as more and more regional organisations have devoted themselves to both economic and security cooperation. Here the EU has assumed an important role as an exporter of regional integration.

Although (comparative) research on regionalism has blossomed since the 1990s, there is very little systematic knowledge about which organisations assume which tasks, or about which organisations are successful and which are not. RT 3 therefore focuses on examining the institutional design of regional organisations, looking specifically at how external factors influence this design. In particular, it explores the innovative argument that it is processes of diffusion between regional organisations that determine their institutional design. The Comparative Regional Organisation Project is currently coding 83 regional organisations in terms of their institutional characteristics and measuring external diffusion influences. Additional focuses of the RT’s research include rising powers’ strategies vis-à-vis regional organisations and the interactions between regional organisations. Many regional organisations compete with each other in a regional context or have overlapping member states. The RT’s research questions are as follows:

- How are regional organisations structured?
- How do these structures change over time?
- How does their institutional design influence the effectiveness of regional organisations?
- How does competition impact the effectiveness of regional organisations?

In the GIGA matrix the regional institutes guarantee the necessary area competence, maintain close ties to their respective regions, act as hubs for the area studies communities, and conduct knowledge transfer on developments in the four world regions. In addition to the research programmes the regional institutes act as laboratories for ideas and bring in regional issues. On these grounds, the GIGA remains profoundly embedded in the respective area-specific communities, while at the same time bringing its area-based research forcefully into the overarching disciplinary and inter-disciplinary debates on its core topics.

**Institute of African Affairs (IAA)**

Sub-Saharan Africa demonstrates a specific mix of real-world challenges and opportunities that have attracted significant academic interest. These include armed conflicts, their causes, and their resolution; difficulties in consolidating democratic institutions; widespread poverty; and new investments, be they for large-scale land acquisitions or the conquest of the growing consumer markets. A limited number of African governments have now become global players and are also receiving more international scholarly attention. This pattern of interest in Africa is reflected in the IAA’s research programme. The institute continues to be part of major Africa-focused research initiatives. For instance, it participates in the DFG’s Priority Programme 1448 (Adaptation and Creativity in Africa), wherein IAA researchers have initiated cross-disciplinary discussions on comparative approaches. At the same time, the IAA is engaged in many cross-regional studies undertaken within GIGA. The analysis of institutional change (which highlights the different formal and informal notions of institutions) plays a role in all IAA research projects, while IAA scholars also pay particular attention to the continent’s openness to external influences.

Within the GIGA’s Research Programme (RP) 1: Legitimacy and Efficiency of Political Institutions, IAA researchers play a leading role in the new network International Diffusion and Cooperation of Authoritarian Regimes (IDCAR; funded by the Leibniz Competition) and continue to focus on political regimes in a DFG-funded project that deals with historical-institutional explanations for the evolution of different regime types in Africa. IAA researchers are also contributing to a cross-regional research project on the degree of judicial independence vis-à-vis the political power vested in the chief of government; the African countries under study are Benin, Madagascar, Mali, and Senegal. The RP’s well-established research on neopatrimonial regimes includes an EC-funded project on corruption (a cross-regional project with many African cases).

**4. Regional Institutes**

In PIP 2: Violence and Security, IAA research examines the causes of violent conflicts and the institutional prerequisites for lasting peace. With regard to the causes, the IAA focuses on two major aspects: natural resources and religion. The combined effects of resource abundance and ethnic diversity on peace and war dynamics are being investigated in a DFG-funded research project, the ambivalence of religious factors in Africa (and other world regions) is being examined in a project funded by the DFG and the BMBF, and with regard to the prerequisites for lasting peace, IAA scholars are investigating power-sharing arrangements in Africa in two DFG-funded projects. In the context of the CRC 700 at the Free University Berlin, IAA researchers investigate the alternatives to state-sponsored security in areas of extremely limited statehood (in the peripheries of the Central African Republic and South Sudan). They also deal with the effects of sanctions on authoritarian regimes (funding: Fritz Thyssen Foundation). The IAA further has a prominent position in the network Institutions for Sustainable Peace (ISP; funded by the Leibniz Competition) which explores how different institutional combinations impact peace and how particular forms of conflict resolution affect the choice of institutions.
The growing commercial interest in Africa has reignited academic interest in foreign direct investment (FDI). Within RP 3: Socio-Economic Development in the Context of Globalisation, IAA researchers investigate the productivity effects in Africa of FDI from North-South and South-South firms (funding: DFG). In cooperation with the IAS, the IAA is also investigating (within DFG Priority Programme 1448) African – Chinese encounters – specifically, the local implications and perceptions of the ever-growing Chinese presence in African economies. In the current project phase researchers are following West African traders who travel to China to establish commercial relations. Although this is common knowledge, empirical research on the exact scope of the phenomenon, how these operations are implemented, and their social consequences is still required. IAA researchers are participating prominently in this endeavour, inter alia through case studies on Kenya, Mali, and Zambia.

The classic interest in questions of economic development also continues to play a role in the IAA’s work. IAA research on labour markets in Africa focuses on the constraints faced by informal economies and the large number of microenterprises. These businesses account for 60 to 80 per cent of employment in the sub-Saharan region and will remain the most important employers in the foreseeable future. The project (under-taken in cooperation with the KfW and funded by the BMZ) explores the multidimensional relationship between the employment, empowerment and living standards of poor individuals and households in, inter alia, Burkina Faso, and Uganda. Research on Africa in RP 3 also explores other poverty dynamics, focusing on education and the role that targeted interventions play in breaking the cycle of poverty. Specifically, the EC-funded project NDOPPOF deals with the role of education in explaining the persistence of poverty and inequality for the South African case.

Within RP 4: Power, Norms and Governance in International Relations, the IAA analyses the roles of both of the major continental powers (Nigeria and South Africa) in international affairs. IAA scholars are also part of the Regional Powers Network. A number of doctoral students affiliated to both the IAA and RP 4 have completed their doctoral theses or are in the process of doing so.

Institute of Asian Studies (IAS)

Asia is the most populous and heterogeneous continent in the world. Arguably, it consists of three distinct but deeply interconnected world regions: Northeast Asia, Southeast Asia, and South Asia, which are all covered by the IAS. In recent years, substantial parts of Asia have experienced rapid development. The current international status of Asian countries such as China, Japan, India, Indonesia, and South Korea is attested to their inclusion in the G20. Yet, especially China's rise also poses tremendous challenges to regional and global governance. In addition, notwithstanding the expanding middle classes across the region, socio-economic challenges continue or have come to loom large in Asia. Rising inequality, rapid aging, inadequate social security nets, and other adverse developments and issues bedevil numerous Asian nations, including the regional heavyweights of China, Japan, and India. Moreover, political power and wealth are deeply interwoven in a number of Asian countries, which has led to a rise in the number of anti-establishment candidates and parties in some of the region's democracies.

Political regimes in Asia range from (post-)totalitarian North Korea at the one end of the spectrum, to well-established democracies such as India, Japan, South Korea, and Taiwan at the other. Asia is also home to various “hybrid regimes” that are located in the “foggy zone” between clear-cut autocracies and democracies. The IAS's research on political regimes in Asia, which also examines these regimes from a comparative perspective, is carried out within RP 1. IAS scholars are engaged in BMBF-funded research on ideological change and regime legitimacy in China, which is part of the Governance in China competence network. This research is complemented by a new DFG-funded project on Chinese political scientists’ discourse on China’s political system. IAS researchers are also part of RP 1’s IDCCAR network, which deals with the international cooperation of authoritarian regimes. Another new DFG-funded cross-regional research project investigates the role of civil society organisations in Vietnam, Algeria, and Mozambique. Political parties and party systems in Asia constitute another long-standing focus of the IAS's RP 1 research. IAS scholars are currently preparing new comparative research projects on party and political finance in Southeast Asia, and on the effects of electoral system reform on party and party system development in Japan and New Zealand.

Despite a number of unresolved international conflicts in Asia (e.g. on the Korean peninsula and across the Taiwan Strait), there have been remarkably few battle-related deaths in the region over the past three decades. Domestic confrontations in a number of Asian nations have, however, led to heavy bloodshed. Relevant research at IAS falls within RP 2. Among the topics that have been analysed is the role of regional and extra-regional third parties in violent conflicts in South Asia, including Afghanistan. IAS researchers have looked specifically at mediation processes in civil wars and have investigated the case of Sri Lanka.

Asia's tremendous heterogeneity in terms of socio-economic development is reflected in the projects carried out by IAS scholars within RP 3. A multi-method research project, funded by the BMZ, examines the interconnections between employment, empowerment, and standards of living in three less developed African and Asian nations, including Sri Lanka. With joint funding from the ESRC and DFG, IAS researchers are also investigating how anti-poverty interventions affect labour participation in rural areas of India and Bangladesh. In recent years China has been Asia's most robust growth engine. Accordingly, IAS scholars have been examining Chinese overseas economic activities, e.g. through studies on Chinese foreign direct investment in Europe, and on German views of China and vice versa. The activities of Chinese actors in Africa and other world regions also receive attention; the Land Matrix Database of RP 3 provides information on land deals by Chinese and other large investors. As very little is known about the small-scale economic activities of individual Chinese entrepreneurs in Western Africa, such activities were the focus of a project funded by the DFG’s Priority Programme 1448. The successor project changes perspectives by investigating the role of West African traders as mediators between Chinese and African urban modernities. Empirical macro-quantitative research is the mainstay of the Claussen Simon Foundation Professorship on Economics in Asia. Ongoing research in this respect focuses on the connections between a number of global economic, political, and social transformationstions, as well as on Asia-specific issues including fiscal federalism in India and China's changing terms of trade.

The fact that China and India are increasingly assuming roles as regional and global powers makes these nations important research topics for RP 4. IAS researchers are investigating how China, India, and also South Korea relate to their regions, and what their impact is at the global level. China's engagement in Central Asia, the implications of India's rise, the representation of North Korea in international politics, climate governance in India compared to South Africa, and China's foreign policy think tanks, for example, have been analysed by IAS doctoral students in the context of the GIGA Doctoral Programme or the Hamburg International Graduate School for the Study of Regional Powers (HIGS). IAS scholars are also heavily involved in RP 4's research on comparative regionalism. Regionalization, one of the most important trends in world politics today, is investigated using three perspectives: diffusion, inter-regionalism, and overlap-regionalism.

Institute of Latin American Studies (ILAS)

In recent years, Latin America has experienced an economic boom led by resources and commodities exports. This has facilitated sustained growth rates and new social and redistribution policies domestically, as well as a higher profile and increased political assertiveness on the international stage. The ILAS has developed a research agenda in the context of the four research programs that analyses these trends from diverse perspectives, taking into account the conflicts sparked by extractive industries: the rise of the middle class; the emergence of new integration schemes; the continuing problems of violence, security, and corruption; the political implications of the high levels of out-migration; and the quality of the continent’s democratic institutions.

Within RP 1, ILAS scholars cooperate with their IAA colleagues in a cross-regional research project (funding: Leibniz Competition) on the independence of the judiciary in new democracies. The Latin American component of the study focuses on the Southern Cone countries of Argentina, Paraguay and Chile. The ILAS is also actively involved in the newly created IDCCAR network. Moreover,
ILAS researchers are engaged in two EC-funded projects on corruption (ANTICORP) and poverty reduction (NOPOOR). The BMUF-funded designAClades network on interdependent inequalities in Latin America (in which the GIGA has been a core partner over the past four years) has been extended for another two years, and ILAS researchers will conduct a study on migration and the resulting inequalities in citizenship status. Finally, in 2014 ILAS researchers will undertake a DFG-funded research project on the dynamics of emigrant policies and politics in Latin America. This three-year study will seek to assess how homeland states reach out to emigrants, what drives the adoption of specific emigrant policies, and how the interaction between homeland political actors and emigrants plays out in this process.

In RP 2 ILAS is carrying out comparative research (funding: German Foundation for Peace Research, DSF) on prior consultation and conflict transformation in resource governance. The project, which uses Bolivia and Peru as case studies, has a strong focus on in-depth, qualitative empirical methods. The ILAS is also responsible for the Latin American component of a cross-area research project on the link between ethnicity, natural resources, and conflict onset, and in a project on the ambivalence of religious factors in conflicts in Africa, Asia, Latin America, and the Middle East (funding: BMZ and DFG). Latin America is also of key interest to the Institutions for Sustainable Peace (ISP) network, which compares institutional options for divided societies and post-conflict countries in different world areas. In addition, Latin America’s grave problems of violence and public insecurity are being addressed in a BMZ-funded project on the consequences of violence on youth socialization. The study analyses how young people in the high-risk contexts of post-war societies can make the transition to adulthood without using violence.

While much of Latin America has been experiencing an economic boom over the past decade due to the high prices of the region’s natural resources and agricultural exports, major development problems persist. Latin America’s empirical reality is part and parcel of most of the research projects conducted within RP 3, which is led by an ILAS researcher. Research projects focus, for example, on the role of social policies for poverty (as part of NOPOOR), the relationship between climate change mitigation policies and poverty reduction (funding: Volkswagen Foundation), and the opportunities and constraints of micro- and small enterprises in developing countries (funding: BMZ, KfW Development Bank). ILAS researchers also deal with the dynamics and impacts of large-scale land acquisitions (funding: BMUF, BMZ) and are in charge of the Land Matrix database, an innovative web-based database that gives comprehensive information on land deals worldwide.

Over the past decade, Latin America has emerged as a major player on the global political scene. Within RP 4, a number of projects examine the region’s new protagonism – generally by comparing to other world regions. Such is the case not only in the Regional Powers Network (RPN), but also in a joint project with the WZB and HSPK on contested world orders (funding: Leibniz Competition). Of particular interest to ILAS is Brazil’s rise as a regional leader and emerging global power. This is also the overarching topic of a number of GIGA dissertation projects, which include analyses of Brazil’s policy towards Africa, its influence in global sectoral governance, its nuclear policy, and the interplay of state and non-state actors in its international profile. Furthermore, ILAS researchers, in a project funded through a Schumpeter Fellowship from the Volkswagen Foundation, conduct cross-regional research on contested leadership and power politics in South America, South Asia, and sub-Saharan Africa. In terms of the current rise of regional integration schemes, Latin America is also an area of focus for cross-regional research on the diffusion of institutions and policies of regional integration (with special emphasis on the role of the Union of South American Nations (UNASUR)).

Institute of Middle East Studies (IMES)

The topping of long-standing autocrats in the Arab world – summarised as the “Arab Spring” – did not lead to an end of division, conflict, and unrest in the Middle East. On the contrary, the repercussions of these upheavals were manifold and will prove to be long-lasting. They will therefore also influence the content and scope of Middle East-related research in the coming decades(s). In this context, the IMES has the advantage of in-depth experience in a variety of important fields such as authoritarianism, democratization, and political reform; conflict studies; economic transformations; poverty reduction; the balance of power within the regional system; and – last but not least – political Islam/Islamism. The IMES has adapted quickly and successfully to the new challenges posed by the Arab Spring and has won third-party funding for a number of promising research projects.

Within RP 1 IMES scholars are investigating the conditions under which previously stable (for decades) authoritarian regimes became vulnerable and began to transform. Additionally, they are attempting to determine what explains the remarkable differences in these transformation processes. This question has become especially important given the absence of a domino effect from the Arab Spring. Any hopes that the entire Middle East would become democratic by the end of 2011 proved to be premature. In several countries the status quo has prevailed; in others extremely violent civil wars have broken out – most notably in Syria. The differences in the transition processes in the region – such as those between Arab monarchies and Arab republics – have become increasingly evident. Through systematic interregional comparisons as part of GIGA’s expertise in comparative area studies, the IMES combines the results of its analyses on these issues with findings from other world regions. A good example for this is the prominence of the Middle East, as well as the IMES, in the new network International Diffusion and Cooperation of Authoritarian Regimes (IDCAR). In the context of RP 1, IMES researchers also examine political parties and electoral institutions in the Middle East and North Africa, and participate in the ANTICORP project (with case studies on Egypt and Tunisia).

A major part of the IMES research is done in the context of RP 2. The electoral successes of Islamist organisations in post–Arab Spring Social are just one phenomenon demonstrating the rapidly increasing importance of political Islam in the Middle East. IMES research covers the Muslim Brotherhood in Egypt, as evidenced by an award-winning dissertation project (Deutscher Studienpreis 2013) and will deal from 2014 on with the Salafist movement in Islamism – particularly the emergence of a political strand (funding: DFG). This work is complemented by a research project on power-sharing in multi-ethnic societies of the Middle East (funding: Volkswagen Foundation). The project is also a part of the GIGA’s international network, Institutions for Sustainable Peace (ISP). Also as part of RP 2, IMES scholars are undertaking conflict studies that investigate the Palestinian problem and the stagnant Middle East peace process; these two issues shape not only regional policies but also international relations. In a related cross-regional research project funded by the BMZ and the KfW Development Bank, IMES researchers analyse state–society relations in post-war countries, focusing on determinants of political trust. In a cross-regional project on international sanctions (led by IAA researchers), the IMES is responsible for the case study of Iran. This study examines Iran’s crucial decisions, the sanctions regime’s external measures, and the Iranian regime’s internal arrangements and countermeasures during the presidency of Ahmadinejad from 2005 to 2013.

Within the scope of RP 3, the IMES focuses on the role of education in socio-economic and political developments in the Middle East and North Africa. While the research activities described so far are either carried out from a political science or a historical perspective, IMES research in RP 3 is predominantly economics-driven. Given the predominantly economic roots of the Arab Spring, IMES researchers are interested in determining the extent to which the massive increases in educational attainment in the last decades might have contributed to frustrated expectations and discontent. IMES scholars are also engaged in the NOPOOR project, where they conduct cross-country quantitative empirical analysis using data on social policy and regime types in order to determine how and why autocracies and mixed regimes invest in poverty alleviation programmes, and what the difference is compared to democratic regimes.

As part of RP 4, the IMES is participating in a cross-regional project that comparatively analyses the foreign policy behaviour of selected regional powers. IMES researchers are also examining the policies and potential of certain state actors, including Turkey, Iran, Saudi Arabia, Egypt, Israel, and Qatar, as well as those of non-state actors such as Hamas and Hezbollah. Given the events since the beginning of 2011, the IMES research is exploring whether the ongoing upheaval in the region will facilitate or obstruct the emergence and consolidation of a new leading regional power in the Middle East is now also part of the enquiry.
// GIGA RESEARCH PROJECTS 2014, Overview

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Research Programme 1: Legitimacy and Efficiency of Political Systems

Research Team 1: Persistence and Change in Non-Democratic Regimes
- Middle East Monarchies: A Configurational Comparison of Breakdown and Survival since 1945 (André Bank, Thomas Richter, Anna Sunik)
- Ideological Change and Regime Legitimacy in China (Heike Holbig, Maria Bondes, Sandra Heep)
- Civil Society Organizations as Supporters of Authoritarian Rule? A Cross-Regional Comparison (Vietnam, Algeria, Mozambique) (Patrick Köllner, Jörg Wischermann)
- Concepts of Political Change and Legitimate Modes of Governance in the People’s Republic of China (Nele Noesselt)
- Stability and Change of Authoritarian Regimes: A Systematic Comparison of Institutional and Material Conditions (Thomas Richter, Viola Lucas)
- Debating Protests. On the Possibilities and Limits of Authoritarian Learning in China (Günter Schucher)

Research Team 2: The Politics of Courts and Constitutions
- The Institutional Presidency in Latin America (Mariana Llanos, Delteel Nolte, Anne Marie Hoffmann, Cordula Tibi Weber)
- Judicial (In)dependence in New Democracies. Courts, Presidents and Legislatures in Latin America and Sub-Saharan Africa (Mariana Llanos, Alexander Ströh, Charlotte Heyl, Cordula Tibi Weber)

Research Team 3: Participation and Representation in the Context of Inequality
- Causes of Hybrid Regimes in Sub-Saharan Africa – a Systematic Comparison (Gero Erdmann, Sebastian Elischer, Alexander Ströh)
- Political Regimes, Reduction of Poverty and Inequality (NOPOOR) (Gero Erdmann, Jann Lay, Marina Dodlova)
- The Effects of Ethnic Parties on National Unity: Polarization vs Inclusion (Anaid Flesken)
- Politics beyond Borders. The New Dynamics of Emissary Politics and Policies in Latin America (Bert Hoffmann, Lucy Pedroza, Pau Palop)
- desiguAlidades.net – Migration and Unequal Citizenship (Bert Hoffmann, Lucy Pedroza, NN)
- The Effects of Electoral Reform on Party and Party System Development: A Context-sensitive Comparison of Japan and New Zealand (Patrick Köllner)
Research Programme 2: Violence and Security

Research Team 1: Natural Resources and Security
- A Dangerous Liaison? Ethnicity, Natural Resources and Civil Conflict Onset (Matthias Basedau, Carlo Koos, Annegret Mähler, Jan Pierskalla)
- Prior Consultation and Conflict Transformation in Resource Governance: Bolivia and Peru (Almut Schilling-Vaccaflor, Ricardo Flemmer)

Research Team 2: Religion, Conflict and Politics
- Religion and Conflict: On the Ambivalence of Religious Factors in Africa, Asia, Latin America and the Middle East (Matthias Basedau, Georg Strüver, Johannes Vüllers)
- From Quietism to Politics: The Egyptian Salafist Movement from 1970 to 2012 (Henner Fürtig, Annette Ranko, Nikola Röhl)
- Power-sharing in Multi-ethnic Societies of the Middle East (Henner Fürtig, Stephan Rosiny)
- The Development of the Egyptian Muslim Brotherhood (Annette Ranko)

Research Team 3: War and Peace Processes
- Institutions for Sustainable Peace. Comparing Institutional Options for Divided Societies and Post-Conflict Countries (Matthias Basedau, Sabine Kurtenbach, Andreas Mehler, Nadine Ansgorg, Felix Hadl, Julia Strasheim)
- From Civil War to Social Contract – State Services, Political Trust, and Political Violence (Alexander de Juan)
- Alternatives to State-sponsored Security in Areas of Extremely Limited Statehood (Central African Republic and South Sudan) (Andreas Mehler)
- Power-Sharing in Post-Conflict Situations: On the Institutional Prerequisites for Lasting Peace (Andreas Mehler, Martin Otmann, Johannes Vüllers)
- The Local Arenas of Power-Sharing. Patterns of Adaptation or Continued Disorder? (Andreas Mehler, Franziska Zanker)

Research Team 4: Causes and Effects of Sanctions

Research Programme 3: Socio-Economic Challenges in the Context of Globalisation

Research Team 1: Local Actors of Globalisation: Agency and Responsiveness
- Employment, Empowerment and Living Standard (Lena Giesbert, Jann Lay, Sarah Linde, William Monteith, Daniel Neff, Sebastian Prediger)
- Micro- and Small Enterprises in Developing Countries: Opportunities and Constraints (Lena Giesbert, Jann Lay, Sarah Linde, Martin Ostermeier, Sebastian Prediger)
- Poverty and Inequality Dynamics and the Role of Social Policies (Lena Giesbert, Jann Lay, Daniel Neff, Miguel Pellicer)
- West African Traders as Translators between Chinese and African Urban Modernities (Karsten Giese, Kelly Si Miaol Liang, Laurence Marfaing, Alena Thiel)
- The Productivity Effects of Foreign Direct Investment (FDI) of North-South and South-South Firms: The Case of Sub-Saharan Africa (Birte Pfeiffer)
- Globalisation of Chinese Companies (Margot Schüller, Yun Schüler-Zhou)

Research Team 2: The Socio-Economics of Sustainable Development
- Transparency, Dynamics and Impacts of Large-Scale Land Acquisitions (LSLA): Global and Local Evidence (Christof Althoff, Jann Lay, Kerstin Nolte, Martin Ostermeier)
- Climate Change Mitigation and Poverty Reduction (CLIMP) – Trade-Offs or Win-Win-Situations? (Tara Castano, Jann Lay, Miriam Prys, Sebastian Renner)
- The Land Matrix (Jann Lay, Kerstin Nolte, Christof Althoff, Martin Ostermeier)
- Landscape-Level Assessment of Ecological and Socio-Economic Functions of Rainforest Transformation Systems in Sumatra (Indonesia) (part of CRC 990) (Jann Lay, Elisabeth Hettig)
- Long-Term Land Use, Poverty Dynamics and Emission Trade-Offs (part of CRC 990) (Jann Lay, Katharina Trapp)

Claussen-Simon-Professorship in Economics
- Socio-Economic Transitions (Enich Gundlach)
Research Programme 4: Power, Norms and Governance in International Relations

Research Team 1: Foreign Policy Strategies in a Multipolar System
- Regional Powers Network (Detlef Nolte et al)
- Regional Security Governance for Afghanistan (Sandra Destradi)
- Contested Leadership in International Relations: Power Politics in South America, South Asia and sub-Saharan Africa (Daniel Flemes, Georg Strüver, Hannes Ebelt)

Research Team 2: Global Governance and Norm-Building
- Contested World Orders (Kristina Hahn, Wolfgang Hein, Detlef Nolte, Miriam Prys)
- Climate Change Mitigation and Poverty Reduction (CliMiP) – Trade-Offs or Win-Win-Situations? (Work Package 3: International Relations) (Miriam Prys)
- Crossing the Lines: Complexity at the Nexus of Regional and Global Governance (Miriam Prys)
- Status Passage and Roles in Regional and Global Orders: The Rise and Interaction of the IBSA States with the EU and US (Leslie Wehner)

Research Team 3: Comparative Regionalism
- Is Regionalism Contagious? Regional Integration and the Diffusion of Institutions and Policies (Anja Jetschke)
- The Constitutional Quality of Regional Governance. The Case of South America and UNASUR (Detlef Nolte, Leslie Wehner)
IDCAR – International Diffusion and Cooperation of Authoritarian Regimes

>> André Bank, Gero Erdmann, Bert Hoffmann, Nele Noesselt, Thomas Richter, Christian von Soest

Project Description

Research Questions
- How do international diffusion and cooperation impact on different authoritarian regimes?
- How do authoritarian diffusion and cooperation among authoritarian regimes operate as power maintaining mechanisms?

Contribution to International Research
In politics and political science alike, the increasing international influence of authoritarian regimes has become a central concern. The controversy about a ‘reverse wave’ of democratisation, the expansion of non-democratic rule (Merkel 2010; Puddington 2008, 2009), and the ‘backlash against democracy promotion’ (Carothers 2004, 2009) reflects this trend. The strand of research that does approach the issue from an authoritarian durability perspective still needs to develop a comprehensive conceptual approach (Ambrosio 2010; Erdmann et al. 2013). By bringing together some of the most renowned experts in the field, the IDCAR network seeks to contribute substantially to the systematic study of international diffusion and cooperation of authoritarian regimes, connecting this research agenda to the overarching theoretical debates of the discipline.

Research Design and Methods
Using a CAS approach, the network brings together researchers who study authoritarian diffusion and cooperation from divergent explanatory perspectives using a broad range of comparative methods. The IDCAR network is defined by the research topic and a shared interest in the dynamics of authoritarian politics beyond an exclusively domestic perspective. The project brings international experts from this field of research together in one collaborative project. Individual findings are exchanged among the network researchers, thematic agendas are discussed and developed at conferences and workshops and then carried out in concrete research and publication projects. The networking process is institutionalised by an academic exchange programme and a substantive “research unit” at the GIGA.

Publications

Duration 2014–2017
Middle East Monarchies: A Configurational Comparison of Breakdown and Survival since 1945

>> André Bank, Thomas Richter, Anna Sunik

Research Questions

While monarchical rule was for a long time considered a political anachronism (Huntington's king's dilemma), the survival of authoritarian monarchies in the Middle East into the twenty-first century now has to be recognized as a political reality. The research project thus addresses the following questions:

- Under which conditions do authoritarian monarchies in the post-colonial Middle East, contrary to Huntington's dictum, reproduce themselves?
- Which general and case-specific explanations concerning the successful survival and/or breakdown of monarchies in the region can be identified?
- Which general and theoretical conclusions can be made regarding the dynamics and trajectories of other authoritarian regimes?

Contribution to International Research

Although recent quantitative authoritarianism research has identified monarchies as the most durable subtype of authoritarian regime (Hadenius/Teorell), the historical conditions for the reproduction of such regimes since 1945 have not been investigated systematically. The existing literature focuses only on single cases and has produced mainly particularistic and to some extent contradictory explanations for the breakdown and survival of authoritarian monarchies. Thus, the project breaks new ground in this field of comparative politics and Middle Eastern studies by attempting to systematically explain both the breakdown and survival of monarchy, including a number of key explanatory conditions (external support, rents, family participation, legitimation, repression) and looking into account their interplay, and finally, by comparing across all these aspects over the long durée of over six decades.

Research Design and Methods

Based on the systematic collection of existing, international secondary literature, the project undertakes a configurational, CCA-based comparison of all Middle Eastern states between 1945 and 2011. This systematic procedure offers the possibility of identifying explaining factors that go beyond the previous research and simultaneously constitutes a precondition for developing an explanatory theoretical model regarding the survival and breakdown of authoritarian monarchies.

Preliminary Results

The systematic, configurational comparison of all 13 monarchies in the Middle East after 1945 indicates that there are three - and not just two, as is commonly held - crucial pathways to regime survival: A first trajectory covers five Gulf monarchies (Bahrain, Kuwait, Qatar, Saudi Arabia, and UAE) which are characterised by high rent income and the participation of the royal family in decision-making. The second trajectory, consisting of the Jordanian and Moroccan monarchies, stresses the interplay of religious legitimacy claims domestically. The third trajectory is of a hybrid nature in that it displays features of the first (high rent income) and second trajectory (legitimacy claims); it covers the Sultanate of Oman as well as North Yemen before monarchical breakdown in 1962.

RP 1

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**RP 1: LEGITIMACY AND EFFICIENCY OF POLITICAL SYSTEMS**

**Project Description**

**RP 1 Ideological Change and Regime Legitimacy in China**

Heike Holbig, Maria Bondes, Sandra Heep

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**Project**
- To contribute to the understanding of the role of official Chinese Communist Party (CCP) ideology in the reproduction of regime legitimacy.

**Theoretical Approaches**
- Theories of institutional change
- Theories of ideology and political legitimacy
- Discourse and framing theories

**Research Design**
- Comparative Design: No Comparative Design
- Time Dimension: Retrospective Study
- Spatial Dimension: National
- Level of Analysis: Countries
- Number of Cases: Single Case Study

**Methods**
- Data Collection: Interviews, Narratives, Visual Data, Documents (official party and government documents, media documents)
- Data Processing: MAXQDA
- Data Analysis: Content Analysis, Discourse and Frame Analysis, Grounded Theory

**Cooperation Partners**
- Prof. Dr. Björn Alpermann, University of Würzburg
- Prof. Dr. Thomas Hebane, University of Duisburg-Essen
- Prof. Dr. Sebastian Hellmann, University of Trier
- Prof. Dr. Gunter Schubert, University of Tübingen
- Prof. Dr. Josef Gregory Mahoney, East China Normal University, Shanghai
- Prof. Dr. Hongshuan Yang, Renmin University, Beijing (visiting scholar, Oct.-Nov. 2011)
- Dr. Hongyu Zhou, China Center for Comparative Politics and Economics, Beijing

**Teaching**
- "Debating Democracy in China", University of Frankfurt, Summer Semester 2012 (H. Holbig)
- "The 'China Model' – Western and Chinese Interpretations", University of Frankfurt, Summer Semester 2011 (H. Holbig)
- "Ideological Change in the People’s Republic of China", University of Frankfurt, Summer Semester 2011 (H. Holbig)

**Workshops/Conferences**
- "Conceptualizing Ideological Change and Regime Legitimacy", Seminar on Government Innovations, China Center for Comparative Politics & Economics, Beijing, 30 October 2012 (M. Bondes)
- "China’s Unwritten Constitution – Ideological Implications of a ‘Nonideological’ Approach", Social Change and the Constitution conference, Free University of Berlin, 14–16 June 2012 (H. Holbig)
- "Frames We Can Believe In: Official Frames and Ideology in China’s Quest for Legitimacy", Joint International Conference of the Governance in China Research Network and the Association for Social Science Research on China (ASSR), Hamburg, 10 December 2011 (M. Bondes, S. Heep)

**Publications**

**Funding**
- Bundesministerium für Bildung und Forschung (BMBF) (Federal Ministry of Education and Research)
- (Part of the Governance in China Research Network) approved

**Duration**
- 2010–2014

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**Research Questions**
- Against the backdrop of the increasing emphasis that the CCP has put on ideological adaptation and innovation in recent years, this project analyses the changes in official party ideology and their implications for regime legitimacy. Based on discourse analytical methods and interviews with political and intellectual elites in China, the project explores (a) how ideological change is organised in institutional, personnel and financial terms; (b) which ideological innovations have been made since the 1990s; (c) which positive and negative lessons have been drawn from international experiences; (d) which impacts on regime legitimacy and stability can be detected; and (e) which implications these factors have for future institutional change and political reform in China.

The explanation of the resilience of non-democratic systems in general and authoritarian China in particular has become one of the major challenges confronting political scientists. In recent years, a growing number of scholars have studied the importance of institutional factors such as elections for the stability of authoritarian regimes. However, since these researchers’ work has to a significant degree been shaped by expectations of democratisation, the political adaptability of authoritarian regimes has so far been neglected in scholarly work. This project thus draws attention to the normative dimension of authoritarian regimes’ legitimacy by examining the role that innovations in official party ideology play in the reproduction of regime legitimacy in China.

The project explores the above questions using discourse analytical methods and interviews with political and intellectual elites in China. The analysis of qualitative data is carried out with the software MAXQDA.

Our research has drawn attention to the fact that the leaders of authoritarian regimes propagate official frames in an effort to reproduce the populace’s belief in the elites’ leadership qualities, and in their determination to serve the common interest. It has also clarified the relationship between official frames and official ideologies, arguing that official ideologies are both more abstract and more comprehensive than official frames and thus function as their theoretical underpinnings. In applying this framework to the case of China, we have shown that the CCP has demonstrated its dedication to the public good by drawing on the guiding ideology of socialism with Chinese characteristics. The main shift in the frames propagated in recent years has been a greater focus on the people’s well-being. This can be understood as a direct response to popular grievances. Through recent English-language publications, the changes in Chinese official discourse in the run-up to the 18th Party Congress have been analysed and their significance in the domestic as well as in the international realm has been illustrated. Moreover, research findings have been introduced to a Chinese academic audience through a lively scholarly exchange with colleagues from the China Center for Comparative Politics & Economics (CCCEP) in Beijing.
Civil Society Organisations as Supporters of Authoritarian Rule? A Cross-Regional Comparison (Vietnam, Algeria, Mozambique)

Patrick Köllner, Jörg Wischermann, Bettina Bunk, Jasmin Lorch

Project Description

The project intends to explore which types of CSOs contribute in which ways to the preservation or weakening of the authoritarian state's infrastructural and discursive power. The cross-regional comparison of these very similar cases includes the CSOs in the capitals of Vietnam, Algeria and Mozambique, as well as those in one additional large city per country. The basic assumption is that CSOs and the state form an interdependent whole in which the two sides reciprocally influence each other. Which features CSOs develop, and which effects their various activities might have, become apparent only from a relational perspective and by analysing these relationships of dependence and influence. CSOs are thus "polycrystals" (Küster).

Contribution to International Research

Research on authoritarian regimes and civil society lacks theoretically based and cross-regional comparisons regarding what the power of the authoritarian state is based on and how this power is preserved. The variety of roles that civil society organisations (CSOs) play in this context is also underestimated. The project's main contribution to the international research will thus be the generation of new and complex hypotheses on the interdependence between various types of CSOs and the preservation/weakening of various forms of authoritarian state power. These hypotheses will be tested in further research.

Research Design and Methods

The cross-regional comparison of three most-similar cases includes all the CSOs in the capitals of Vietnam, Algeria and Mozambique, as well as those in one additional large city per country. All three post-socialist and post-colonial countries have authoritarian political regimes. They demonstrate a number of similarities including partly liberalized economies in which state-owned enterprises still play a leading role, the abandonment of socialism as a direct political goal in the early/late 1980s, authoritarian political structures and political systems that are still dominated by a strong ruling party, and the continued application of socialist legacies such as democratic centralism in state and ruling party decision-making processes. Each of the three countries has experienced a phase of civil war in recent decades. These experiences still haunt many citizens and counterbalance too many political changes at a time.

The project's basic assumption is that CSOs and the state are interrelated and interdependent. The features that CSOs develop and the effect of their various activities might therefore become apparent only from a relational perspective and through the analysis of these mutual relations and interdependencies. These interdependencies and the polyvalency of CSOs (Küster) are explored in two steps:

First, we will investigate the context in which various types of CSOs develop: authoritarian and authoritarian-supportive and democratic and democracy-conducive features – or mixtures of both – in their internal structures and activities, and in the worldviews of their representatives. We will also investigate how such features are related to particular understandings of civil society. Here we will apply a tested typology of CSOs and three criteria checklists. Second, we will examine whether and in which ways various types of CSOs that deliver services in the health sector and CSOs that are involved in the formulation and implementation of economic policies help strengthen or weaken the infrastructural power of the state. We will also examine how various types of CSOs help strengthen or weaken the discursive power of gender norms propagated by the state. These two steps are to be followed by a concluding, comparative analysis of results that should generate new, more complex hypotheses.
Concepts of Political Change and Legitimate Modes of Governance in the People’s Republic of China

>> Nele Noesselt

The project focuses on four main research questions:

- What are the main ideas regarding political change and legitimate modes of governance in the PRC as documented in academic (political science) debates?
- Should these ideas be understood as abstract theoretical, philosophical frames or as ideological concepts that legitimate the existing political structures?
- How do Chinese scholars’ analyses of China’s historical development and the crises of other political regimes – Soviet Union, Eastern Europe, Arab states, etc. – impact the (re-)formulation of their ideas of political change and legitimate modes of governance?
- Is there any observable interplay between the concepts and ideas developed by China’s political scientists and the political decision-making processes? How do academic and political debates interact?

Research Questions

Contribution to International Research

Funding

Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): approved

Duration

2014–2017
Stability and Change of Authoritarian Regimes: A Systematic Comparison of Institutional and Material Conditions

>> Thomas Richter, Viola Lucas

Research Questions

The project focuses primarily on the following issues:

- What impact does the interaction between the quantity and quality of material resources on the one hand and different political institutions on the other have on stability and change in authoritarian regimes?
- What parsimonious combination of combinations of resource-specific and institutional factors can be identified to explain stability and/or change in authoritarian regimes?
- Is there more than one combination of explanatory factors that determines stability and change in authoritarian regimes, regardless of region and time?

In particular, the project analyses three different aspects of authoritarian regimes:

- Regime stability: duration of the survival of an authoritarian regime
- Regime breakdown: events in the disintegration of an authoritarian regime
- Authoritarian regime change: quality of a regime after the breakdown of an authoritarian regime

Methodological approaches

The project triangulates documents analysis with regression and QCA techniques. During the first phase, the researchers have compared existing data on authoritarian regime types and have developed a framework for evaluating different measurements of authoritarian regime type. They have also collected data on types and levels of income as well as data on the distributional capacities of authoritarian regimes from sources at the IMF Archives. Additionally, they have created the Global State Revenues and Expenditures (GSRE) Data Set, which includes over 50 indicators. In the project’s second phase, project staff is combining statistical data analyses with methods of qualitative comparison at a macro-level. In addition to descriptive statistics and simple correlation and regression techniques (logistic regression), they are using statistical models taken from survival analysis. Three different QCA techniques are also being deployed during the course of the project.

Preliminary Results

A preliminary version of the Global State Revenues and Expenditures (GSRE) dataset was introduced at several national and international conferences (DWPW, APSA, IPSA). A public available version of the dataset will be released in early 2014. Based on this new data, a number of interesting conclusions can be drawn: First, public wages and salaries as an element of authoritarian mass cooperation are crucial. They constitute a previously neglected mechanism of stabilizing authoritarian regimes, thus supporting the structure of the autocracy type. Second, social welfare distributions are more important for those authoritarian regimes which base their rule on broader social coalitions like party regimes. Third, the increase of indirect per capita taxation due to the implementation of value added taxation reform events destabilizing effects upon all types of authoritarian regimes. .
Debating Protests. On the Possibilities and Limits of Authoritarian Learning in China

>> Günter Schucher

Research Questions

The Chinese authoritarian regime has proved to be rather resilient and adaptable. Faced with an increasingly individualised and pluralised society, China’s authoritarian leadership has developed the concept of “social management”, which involves new forms of inclusive social development as well as improved institutions of social control: strengthened self-management at the lowest administrative level, the development of social organisations to represent the public’s interests, improved communication channels between the party-state and the public, the modernisation of public security work and the like. Based on the programmatic platform of a “harmonious society”, the concept acknowledges public protests (offline as well as online) as (more or less) unavoidable expressions of discontent and clashes of interest.

The official concept of social management, and its promotion, indicates that the party-state is highly aware that it has to listen to public opinion more closely and further engage people in risk management if it really wants to identify social trouble spots and ease social conflicts. By acknowledging protests, the party has broadened the discursive space in China and enabled itself not only to listen to public opinion but also to “learn” from these conflicts – where it is not able to prevent them. The goal of these feedback loops is the fine-tuning of the party’s management methods and the avoidance of further escalation.

In the growing literature on the adaptability of authoritarian regimes, including China, the regimes’ processes of observing, analysing, and learning have only recently attracted scholars’ attention. These processes are, however, hard to conceptualize. This project contributes to the emerging debate through its utilization of the classical method of content analysis.

In a first step, the project will identify major protests inside and outside of China that have attracted widespread attention from Chinese state-led media and Chinese scholars. Based on systemic and organisational learning theories, the study will then analyse the Chinese public discourse on these protests. Finally, it will look for conceptual adaptations that demonstrate both the Chinese party-state’s ability to “learn through conflict” and its limitations.

Preliminary Results

Still afflicted with a mistrust of its own population, and particularly of the more or less autonomous social organisations, the Chinese party-state wishes to “manage” society. It wants to improve and not reduce its capacity to direct. Consequently, its stability preservation and social management concepts follow a top-down approach and are geared to conservative ideas of management and control rather than to modern methods of governance.

Nevertheless, the agreed-upon concepts are by no means fixed and non-modifiable. On the contrary, they are constantly being recalibrated in view of new contentious events, both within and outside of China. This recalibration, however, takes place within the boundaries of the concepts themselves and is affected by disputes within the leadership or between the different levels of administration, particularly between the central and the local levels. Thus, the actual value of the learning that results from social conflicts may be limited.
The Institutional Presidency in Latin America

Mariana Llanos, Detlef Nolte, Anne Marie Hoffmann, Cordula Tibi Weber

Research Questions
- How do Latin American presidents organise the political management and coordination of their relations with other executive departments and the legislative branch?
- How has the core executive or institutional presidency evolved over time? What type of presidential organisation characterises every country of study?
- What is the level of institutionalisation of the core presidential supports?
- What if the impact of informational, administrative, and oversight executive capacities on executive performance (for instance, on the implementation of a determinate policy agenda)?

Contribution to International Research
Research on the Latin American presidential democracies has considerably grown in the last decades. There exist well documented studies on the formal competences of presidents, president-congress relations, processes of coalition building, and the causes and consequences of failed presidents (those who did not manage to finish their term). However, the organisation of the Presidency has received little attention in the Latin American region, despite the presidential studies constituting an established area of research in the United States, and despite Latin American presidents being formally more powerful than their U.S. counterparts. This project seeks to fill this gap in the literature and so contribute to our knowledge on the functioning of Latin American presidential regimes.

Research Design and Methods
This project adopts a cross-regional small-N comparative design. The project seeks to analyse the causes leading to different organisational designs and the impact of these different organisations on the performance of incumbent presidents. Our main hypothesis is that the type of presidential government (single-party or coalition) is the main factor explaining cross-country variation and changes in the presidential organisation, while other factors (such as the nature of the presidential agenda and constitutional limits to create or suppress administrative units) serve as complementary explanations. To test our hypothesis we analyse four countries: two that have mostly featured single-party governments (Argentina and Paraguay) and two with coalition cabinets (Chile and Brazil) from the beginning of the democratic regime until the present, for which we plan to build a map of the agencies and agents that have composed their institutional presidencies. Then, the study of the impact of different executive formats on presidential performance will be analysed in relation to the presidential agendas of foreign affairs, institutional communication, and the articulation with interest groups.

Preliminary Results
Inacio and Llanos (2013) originally developed a framework for the study of the institutional presidency that serves as a guideline for the collection of information for this project. The authors realised the need to include further cases – in addition to those of Argentina and Brazil – to test the proposed hypotheses, as well as to set a team of researchers to improve the availability of cross-country data. To achieve this, a cooperation project (IAAD/CAPES) with the University of Minas Gerais was initiated. Two GIGA doctoral students have been included in the project (Cordula Tibi Weber and Anne Hoffmann).
Legitimacy and Efficiency of Political Systems

RP 1

RT 2: The Politics of Courts and Constitutions

Judicial (In)dependence in New Democracies. Courts, Presidents and Legislatures in Latin America and Sub-Saharan Africa

>> Mariana Llanos, Alexander Stroh, Charlotte Heyl, Cordula Tibi Weber

Research Project

Project - To analyze and explain the different degrees of judicial independence vis-à-vis the political power invested in the elected branches of power, particularly in the chief of government.

Goals - To determine how elected executives (with varying levels of political and institutional power) exercise their influence on three institutional components of the judiciary - structure, appointments and budget - and which factors determine the different degrees of influence or encroachment.

Theoretical Approaches - New institutionalism

Research Design

Time Dimension: Longitudinal Study (from the transitions to democracy to the present)

Spatial Dimension: National

Level of Analysis: Countries (Argentina, Benin, Chile, Madagascar, Paraguay, Senegal).

Governmental Institutions (executive, legislative, judiciary of each of these countries), Individuals (judges of these countries’ upper courts)

Number of Cases: Small-N Analysis

Methods - Data Collection: Questionnaires, Interviews, Documents (constitutional texts, organic laws), Creation of New Databases (judges’ careers, judicial budgets)

Data Processing: Excel, STATA, SPSS

Data Analysis: Content Analysis, Network Analysis, Process Tracing, Regression Analysis

Cooperation

Universidad Torcuato Di Tella, Buenos Aires, Argentina

Faculté de Droit et de Science Politique, Université d’Abomey-Calavi, Benin

Instituto de Ciencia Política, Universidad Católica de Santiago de Chile, Chile

Centro de Estudios Judiciales del Paraguay, Asunción, Paraguay

Université Cheikh Anta Diop, Dakar, Senegal


Funding - Pakt für Forschung und Innovation, Leibniz-Wettbewerbs (Joint Initiative for Research and Innovation, Leibniz Competition) approved

Duration 2011-2014

Research Questions

The project seeks to analyze and explain different degrees of judicial independence and deals especially with the following questions:

- Which structural arrangements are designed to promote the insulation of judges from undue pressure?
- What is the political context in which courts operate?
- What kinds of mechanisms have the elected branches of government employed to increase their influence on the judicial branch? What impact has political influence had on the three institutional components of the judiciary - structure, appointments, and budget?
- What impact have judicial reform processes had on judicial independence?
- What factors (for example, competitiveness of the party system, the rules regulating the adoption of political decisions, political ideology, international pressure, informal practices, and rules) explain the different types (formal vs. informal, direct vs. indirect) and degrees of political constraints on judicial independence?

Preliminary Results

Between 2012 and the beginning of 2013, the project members undertook fieldwork in the six countries included in the study. They conducted a massive number of interviews (including higher judges, politicians, academics, and members of NGOs), which constitute the original data on which the paper Llanos et al (2013) is based. In addition, the research team elaborated a new composed index of de jure judicial independence, which improves in many aspects current measures of autonomy, accountability and power of courts. The GIGA Index of Judicial Independence was applied to Francophone democracies in Africa (Stroh and Heyl 2013).
RP 1

LEGITIMACY AND EFFICIENCY OF POLITICAL SYSTEMS

RT 3: Participation and Representation in the Context of Inequality

Causes of Hybrid Regimes in Sub-Saharan Africa –
A Systematic Comparison

>> Gero Erdmann, Sebastian Elischer, Alexander Stroh

Project Description

Research Questions
- What are the historical-institutional, path-dependent causes of different transition outcomes? We want to understand why some regimes have remained democratic, while others have become hybrid and authoritarian following a process of liberalization and democratic elections.
- What are the causes of the continued existence and institutionalisation – that is, the path-dependent stabilization – of the different regime types?

Contribution to International Research
Hybrid regimes are a topic of international research that has rarely been systematically investigated. Only in recent years have they become a more frequent subject in scholarly publications. By applying historical institutionalism to the differential regime development in Africa, we are breaking new ground. With its comparative research design and its case selection, the project also contributes to the general democratic transition debate.

Research Design and Methods
The project investigates the emergence and endurance of hybrid regimes in a comparative manner. It thus contributes to an explanation of the different regime types – democratic, hybrid, and authoritarian. The systematic comparison includes two democracies (Ghana and Benin), two hybrid regimes (Niger and Zambia) and two authoritarian regimes (Togo and Cameroon). The comparison is based on narrative causal analyses of each case, which are applied to identify path-dependent developments. The key aim is to discover the critical junctures and causal mechanisms that contributed to the specific development path. The methods necessary to do so are process tracing and pattern matching.

Preliminary Results
For the empirical investigation we have created a specific historical-institutional framework that conceptualizes regimes as being composed of partial regimes and their various institutions. This framework has been presented at international conferences and provides the structure for the analysis of the rich empirical material we have collected. One general conclusion is that formal institutions, though often only weakly institutionalized, seem to be more important in African politics than scholars usually expect. The conventional wisdom holds that informal institutions matter much more than formal ones.

Project History
- To identify the historical-institutional explanations for the evolution of different regime types (democratic, hybrid and authoritarian) in Africa.
- Historical institutionalism (critical junctures and path-dependent development)

Methods
- Data Collection: Interviews, Narratives, Documents (constitutions, policy papers)
- Data Analysis: Process Tracing, Pattern Matching

Cooperation
- History and political science departments of universities in Ghana, Benin, Niger, Zambia, Cameroon and Togo

Teachings
- Introduction to Politics and Democratization in Sub-Saharan Africa*, Leuphana University Lüneburg, Summer Semester 2013 (A. Stroh)
- “La pratique comparative des systèmes électoraux”, Université d’Abomey-Calavi, Winter Semester 2012/13 (A. Stroh)
- “Comparing Political Parties and Party Systems in the Global South”, Leuphana University Lüneburg, Winter Semester 2012/13 (A. Stroh)

Workshops/Conferences
- “Dictatorship and Democracy in Historical Perspective”, 53rd ASA Annual Meeting, San Francisco, 18-21 November 2010 (with Nicole v. d. Wall)<br>
- “Africa and Historical Institutionalism”, 53rd ASA Annual Meeting, San Francisco, 18-21 November 2010 (G. Erdmann, S. Elischer, A. Stroh)<br>
- “Democratization in Dangerous and Hopeless Places? The Case of Niger”, 55th ASA Annual Meeting, Philadelphia, 29 November-1 December 2012 (S. Elischer)

Publications
- Erdmann, G. (2011), Decline of Democracy: Loss of Quality, Hybridization and Breakdown of Democracy, in: Comparative Governance and Politics, Special Issue 1, 21–58.<br>

Funding
- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): approved

Duration
2009-2014
Legitimacy and Efficiency of Political Systems

Project: RP 1

GIGA Research Projects 2014

Political Regimes, Reduction of Poverty and Inequality

>> Gero Erdmann, Jann Lay, Marina Dodlova

Research Questions

- Poverty reduction strategies aim to foster growth patterns that favour the poor (millennium development goals and poverty reduction strategy papers). However, in the past rapid economic expansion in developing countries has often been associated with increased inequality. Redistributive policies could counteract such trends. The commitment to reduce poverty is likely to differ according to political regime type. The general assumption is that democracies are more responsive to public demands than authoritarian regimes; hence democracies are more likely to adopt policies to combat poverty and promote redistribution. What kind of policy mix is most effective and efficient remains unclear. The project’s basic questions are thus as follows:
  - Which political regime type provides more effective institutional arrangement for poverty reduction?
  - Which policy or policy mix is most effective for poverty alleviation in specific regimes?
  - Which political conditions are most favourable for the efficient implementation of this policy or policy mix?

The general assumption is that democracies are more responsive to public demands than authoritarian regimes; hence democracies are more likely to adopt policies to combat poverty and promote redistribution. However, what kind of policy mix is most effective and efficient remains unclear. Cross-country research on the relationship between political regimes and poverty/inequality is inconclusive. There are various reasons for this state of affairs: case and period selection, the limitations of the statistical instruments, and conceptual and measurement shortcomings.

Contribution to International Research

Our approach will enhance the differentiation of the regime variable to overcome the democracy/dictatorship dichotomy by introducing hybrid-regime categories as well as disentangle particular political institutions that are crucial for social policy choices and implementation. In addition, we will specify different qualities within the regime categories, such as diminished subtypes and partial regimes. We intend to:
  - assess the relationship between poverty/inequality and regime type;
  - examine which policies are most likely to be adopted by specific regime types; and
  - analyse the differences in the effectiveness and efficiency of specific policies under different regime types.

Such an analysis will provide answers as to why some countries are less effective in policy implementation. The study will comprise a small-N-comparison of selected country cases from Africa, Asia and Latin America according to regime type, policies, and governance efficacy (centralized and decentralized administration and/or governance, as well as ill-devised decentralization). It will identify key variables, which will then be tested in a cross-country large-N study.

Methods

- Data Collection: Documents (government policy papers, government statistics, survey data)
- Data Processing: STATA
- Data Analysis Multi-variate Methods, Regression Analysis

Cooperation and Partners

- NOPOOR Consortium (led by Institut de Recherche pour le Développement (IRD) and Paris Dauphine University; partners include: University of Oxford, UK; Center for Democratic Development, Ghana; Facultés universitaires Notre-Dame de la Paix, Belgium; Instituto Tecnológico y de Estudios Superiores de Monterrey, Mexico; Universidade Federal do Rio de Janeiro, Brazil; University of Cape Town, South Africa; Delhi School of Economics, India; Centre National de Recherche Scientifique (unit in India); Vietnamese Academy of Social Sciences, Vietnam; Université d’Antananarivo, Madagascar)
- Participation in NOPOOR’s workshops

Publications

- EC, 7. Forschungsrahmenprogramm (FP7) (EC, Seventh Framework Programme); coordinated by Institut de Recherche pour le Développement (IRD) and Paris Dauphine University, France: approved

Duration 2012–2015
The Effects of Ethnic Parties on National Unity: Polarization vs Inclusion

>> Anaid Flesken

**Project**
- To investigate how ethnic parties affect national unity within the population.
- To compile a multi-level dataset on ethnic parties and attitudes towards national unity at the individual level for a diverse, large-N set of cases.
- To analyse the data in order to test hypotheses on the link between ethnic parties and national unity.
- To examine causal mechanisms between ethnic parties and national unity in-depth, small-N comparison.

**Theoretical Approaches**
- Modern Constructivism
- Social Identity Theory

**Research Design and Methods**
- Comparative Design: Cross-Regional Comparison
- Time Dimension: Snapshot/Cross-Sectional Study
- Spatial Dimension: Sub-national, National
- Unit of Analysis: Individuals, Groups, Organisations, Countries (Multi-Level Analysis)
- Number of Cases: Small-N Analysis, Large-N Analysis (Nested Analysis)
- Data Collection: Verbal Data/Survey Research, Documents (party manifestos, news reports on campaign appearances), Databases (World Values Survey, Minorities at Risk, Democratic Accountability and Party Linkages)
- Data Processing: MAXQDA, R
- Data Analysis: Content Analysis, Multi-Level Modelling

**Publications**

**Funding**
- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation

**Duration**
2014–2017

**Research Questions**
Ethnic parties are seen by some as furthering, by others as undermining feelings of national unity. Although policy recommendations regarding ethnic parties are based on these views, feelings of national unity have so far not been examined directly at the individual level within the population. The proposed project fills this gap, asking if ethnic parties affect national unity within the population.

Combining insights from psychological research on social identity with comparative attitudes research, the project conducts a nested analysis. It first newly combines and analyses a multi-level dataset on ethnic parties and national unity at the level of the individual for a diverse, large-N set of cases. It then goes further beyond extant approaches, examining the mechanisms of this link in an in-depth, small-N comparison with cases selected based on the large-N findings.

The proposed research will advance our understanding of the effects of ethnic parties on national unity in diverse societies. In particular, it will be the first to analyse the effects of the political mobilisation of ethnicity on national unity at the individual level. As yet, this issue has received surprisingly little attention despite virtually universal agreement that collective identities are constructed and malleable. Towards this aim, the project will compile a multi-level dataset on ethnic parties and national unity at the level of the individual for a diverse, large-N set of cases; analyse the data in order to test hypotheses on the link between ethnic parties and national unity; and examine the causal mechanisms between ethnic parties and national unity in an in-depth, small-N comparison.

The project’s findings can inform policy decisions regarding the treatment of ethnic parties, especially in not consolidated democracies. Both domestic actors as well as international organisations have become increasingly active in the field of political party regulation and engineering in order to support democratisation and democratic consolidation. In particular, the European Network of Political Foundations (2013) has recently emphasised the importance of party assistance in democracy promotion and identified polarisation based on ethnic, regional, and religious cleavages as a key challenge to be addressed. However, party assistance strategies have been shown to be tacitly informed or inextricably intertwined with the intended outcome of party assistance and regulation in ethnically diverse societies is to reduce the likelihood of ethnic tensions, examining the effect of ethnic parties within the population can provide valuable lessons for such policies.

The project examines the link between ethnic parties and national unity through a multi-method, nested analysis. First, a multi-level analysis of 105 electoral democracies covered by the latest wave of the World Values Survey (2010-2012) newly combines data on ethnic parties and survey data on different issues of national unity (ethnic relations, political inclusions, national identification) to examine correlations between the variables.

Second, the findings are complemented with either model-testing or model-building in-depth analyses of the causal mechanisms in two cases, selected on the basis of the large-N findings. For model-testing, the project will select two cases that exhibit a within-case variation in the existence of ethnic parties in time and/or space. This quasi-experimental setup can determine whether ethnic parties are indeed the cause for the observed attitudes or whether, for instance, causality is reversed. For model-building, in contrast, the project will need to consider potential intervening variables. Informative cases would be those where a process can be assumed to exist (i.e. where there are ethnic parties) and which vary on the dependent and potentially intervening variables. The extant literature suggests two main intervening variables: demographic ethnic structure and mobilisation strategies of ethnic parties. The project will analyse two cases which have ethnic parties but varying levels of national unity and which differ with regard to the hypothesised intervening variables.
RP 1

Legitimacy and Efficiency of Political Systems

RT 3: Representation and Participation in the Context of Inequality

Politics beyond Borders. The New Dynamics of Emigrant Politics and Policies in Latin America

>> Bert Hoffmann, Luicy Pedroza, Pau Palop

Research Questions

A current of research in migration studies – transnationalism – has since the mid-1990s demonstrated that emigrants are increasingly maintaining economic, social, and political ties with their country of origin. However, only recently has political science research begun focusing on what we call “emigrant policies” – that is, policies adopted by the sending states that primarily concern their citizens abroad. The findings thus far have been largely confined to either case studies that cannot be generalized to other situations or broader work on specific sub-issues, such as external voting rights. As a result, the reasons why states adopt these policies, as well as their variations and their effects, remain largely unknown.

Focusing on the Latin American and Caribbean countries as global front-runners in the adoption of emigrant policies, this research project thus addresses two central questions: (1) How do homeland states reach out to emigrants, and what drives the adoption of these policies? (2) How do “emigrant politics” – that is, the interaction of homeland political actors with emigrants – play out in the adoption of these policies?

The project will adopt a comprehensive empirical and mixed-methods approach. It will provide new insights on how and why sending states actively adopt policies to engage with their emigrated citizens abroad, and on how this interaction impacts not only the politics but also the policies of the sending societies.

The proposed project seeks to address key gaps in the extant research. First, research on emigrant politics and emigrant policies is still stuck between a large number of migrant-centred studies that document the transnational political practices of emigrants on the one hand, and a more limited number of studies on sending-state policies on the other. Second, research on emigrant politics is usually conducted on a case-study basis. The analysis has generally been conducted at the regional level (e.g. Escobar 2007; Rhodes and Harutyunyan 2010) and has been limited to very specific policies. It therefore has not explained the broader development of emigrant policies in Latin America. This study’s development of an original, solid and quantifiable emigrant policies index for all the countries of the study region and the combination of this index with a small-N analysis in a nested research approach will break new ground. This approach promises to overcome the major limitations of the political science research on transnational migration.

The project is based on a mixed-methods research design that proceeds in three steps: First, we will generate an original data set that identifies and codes the principal emigrant policies of all Latin American and major Caribbean countries at the large-N level. This is something that has been missing in the research so far. Second, we will use this database for a quantitative large-N analysis in order to test hypotheses on the structural reasons for the adoption of emigrant policies. To do this we will correlate a number of structural factors regarding the sending state and its emigration community as the independent variable with the emigrant policies coded above as the dependent variable. Third, we will undertake a qualitative, small-N case study to understand the political dynamics of the sending states and emigrants in the design and adoption of emigrant policies. In accordance with Lieberman’s concept of “nested analysis”, we will select the cases for this latter step as a result of the large-N analysis.

Preliminary Results

Preliminary research has shown the importance of emigrant policies. In Latin America, this is something that has been missing in the research to date. Second, we will use this database for a quantitative large-N analysis in order to test hypotheses on the structural reasons for the adoption of emigrant policies. To do this we will correlate a number of structural factors regarding the sending state and its emigration community as the independent variable with the emigrant policies coded above as the dependent variable. Third, we will undertake a qualitative, small-N case study to understand the political dynamics of the sending states and emigrants in the design and adoption of emigrant policies. In accordance with Lieberman’s concept of “nested analysis”, we will select the cases for this latter step as a result of the large-N analysis.

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Legitimacy and Efficiency of Political Systems

RP 1: Participation and Representation in the Context of Inequality

desiguALdades.net – Migration and Unequal Citizenship

>> Bert Hoffmann, Luicy Pedroza, NN

Project
- To better understand how citizenship status of migrants impacts as a key dimension of not only political but also social inequalities.
- To understand the causes as well as the implications of recent initiatives for denizen entitlement (that is of non-citizen resident migrants) as well as diaspora engagement (that is outreach of sending states to their emigrants).

Theoretical Approaches
- Transnational migration studies
- Comparative migration studies
- Citizenship as "inherited entitlement"

Research Design
- Spatial Dimension: National
- Unit of Analysis: Countries
- Number of Cases: Small-N Analysis

Methods
- Data Collection: Documents (parliamentary debates, political documents), Interviews with key actors
- Data Analysis: Process Tracing

Cooperation
- Prof. Gioconda Herrera, FLACSO Ecuador

Teaching
- "Migration Politics and Policy", Central European University, Budapest, Winter Semester 2013 (L. Pedroza)
- Participation in planned conference of the desiguALdades network in 2014 and 2015

Publications

Funding
- Bundesministerium für Bildung und Forschung (BMBF) (Federal Ministry of Education and Research): approved

Duration
- 2014–2016

Research Questions
The project addresses the dilemma of migration as a form to overcome socio-economic inequalities embedded in the international hierarchy of states while at the same time calling into question the citizenship status of the migrants, creating new inequalities and dependence on the political spaces for negotiation within the framework of the receiving nation-state. It hence asks how two current trends a) to extend citizenship rights to non-citizen immigrants (denizens) in the country of residence, and b) to extend rights to emigrated citizens (diaspora engagement policies) reshape the nature of citizenship and how this impacts on the stratification of multi-dimensional inequalities.

International research on social inequalities has moved beyond uni-dimensional models focused on income or class cleavages to include multiple dimensions and modalities of inequalities such as those based on gender or ethnic identities. However, even these broader approaches, as forwarded in the inter-sectional models literature, has scarcely addressed the impact of transnational relations and the implications of mass migration on societal inequalities. In analysing the unequal citizenship status of the migrants in regard to both the country of origin as that of destiny the research project thus addresses a blind spot of current research on interdependent inequalities. Moreover it fills a gap by explicitly linking this analytical perspective on the changing nature of societies with the empirical study on governmental initiatives to reach out to their diaspora or to promote the entitlement of non-citizen residents, thus changing the forms and norms of citizenship in an increasingly interdependent world.

Three Latin American countries (Ecuador, Bolivia and Colombia) were selected for comparative case studies on the inclusion of migrants as denizens in the state of residence as well as on policies of diaspora engagement adopted or debated in the political arena. A key question is as to how far the countries’ institutional configurations and migration profiles shape the policy approaches regarding the entitlement of denizens and/or migrants to citizenship rights. To this end, the project will systematically analyse political documents, parliamentary debates and other data on these questions, and researchers will conduct interviews with key actors in the process.

Contribution to International Research
This project contributes to international research on interdependent inequalities by filling a gap in the literature and by employing a transnational perspective on citizenship and political representation. It also expands the scope of current research on interdependent inequalities by addressing the entitlement of non-citizen migrants and emigrants to citizenship rights.

Research Design and Methods
These Latin American countries (Ecuador, Bolivia and Colombia) were selected for comparative case studies on the inclusion of migrants as denizens in the state of residence as well as on policies of diaspora engagement adopted or debated in the political arena. A key question is as to how far the countries’ institutional configurations and migration profiles shape the policy approaches regarding the entitlement of denizens and/or migrants to citizenship rights. To this end, the project will systematically analyse political documents, parliamentary debates and other data on these questions, and researchers will conduct interviews with key actors in the process.
Project Description

The Effects of Electoral Reform on Party and Party System Development: A Context-Sensitive Comparison of Japan and New Zealand

Patrick Köllner

Project
- To understand how the use of multi-member electoral systems has, in conjunction with concurrent social change, impacted political parties and party systems in Japan and New Zealand since the early 1990s.

Goals
- Comparative Study of Electoral Systems’ Effects

Theoretical
- Comparative Design: Cross-Regional and Within Case Comparisons

Research Design
- Time Dimension: Longitudinal Study (1993 until today)
- Spatial Dimension: National
- Unit of Analysis: Parties and Party Systems

Methods
- Number of Cases: Small-N Analysis (party level), Medium-N Analysis (party-system level)
- Mixed quantitative-qualitative approach
- Data Collection: Data on effective number of parties (partly available from Michael Gallagher’s election indices database), Election surveys in Japan and New Zealand since 1996, Semi-structured expert interviews
- Data Analysis: Pattern Matching (Congruence Analysis), Process Tracing

Cooperation
- Dr. Bryce Edwards, University of Otago, New Zealand

Partners
- Japan: National Graduate Institute for Policy Studies (GRIPS), German Institute for Japanese Studies

Funding
- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation

Duration
- 2014–2015

Research Questions
In both comparative and national-level terms we want to know how, in the context of concurrent social change, the adoption of mixed electoral systems – a mixed-member proportional (‘German style’) system in New Zealand – has impacted on party-system development in these two countries during the past 20 odd years. More specifically, we ask whether/to what degree the predicted move to a two-party system in Japan has taken place and whether/to what degree the party system in New Zealand has become more diverse. At the intranational level, we seek to understand how electoral system change has affected in conjunction with social change the development of both major parties and minor parties within the two party systems. Here, sub-questions concern how party-system relevant ‘niche parties’ have adapted to the changed electoral system in Japan and how electoral change has affected the party representation of important ethnic minorities in New Zealand.

The research project will talk to and build on extant research concerning a) the effects of electoral system on party systems (in particular Duverger’s laws/assumptions and its criticism), b) the possibilities and limits of electoral engineering (e.g. Norris 2004), c) the particular consequences of mixed-member electoral systems (most prominently Shugart and Wattenberg eds. 2001), and d) recent party-system change in Japan (Schoppa ed. 2011; Scheiner 2012) and in New Zealand (Miller 2010a, 2010b). The project will reassess early studies on the consequences of electoral reform on parties and the party systems in Japan and New Zealand (e.g. Barker et al. 2001; Reed and Thies 2001; Köllner 2006) in the light of more recent evidence. By doing so it will also complement recent comparative research on the effects of electoral change on party and party system change in Italy and Japan (Gianetti and Grofman eds. 2011).

The project features a paired comparison of the only two established democracies that introduced mixed electoral systems in the early 1990s and that have since then continuously applied these systems. Six general elections took place between 1996 and 2012 under the respective versions of mixed-member electoral systems in both Japan and New Zealand, enabling firmer conclusions about the medium to longer-term effects of these systems on party as well as party system development. While extant comparative and single-case study research has much focused on the effects of institutional parameters such as electoral systems on party and party system change, we argue that social parameters (other than existing social cleavages) and their changes over time also need to be considered to understand party and party system change. As Moser and Scheiner (2012) cogently argue the effects of electoral systems are conditioned by contextual factors. This, in turn, calls for context-sensitive cross-regional comparisons of relevant cases (Sil 2009).

We propose to study party and party system change in Japan and New Zealand by combining quantitative assessments of party-system change (as reflected e.g. in the development of the respective effective number of parties since 1993) with qualitative approaches to understanding party development (such as tracing the responses of major and minor parties to institutional as well as social changes since the early 1990s). Funding permitting, we will also investigate how important niche parties have adapted to relevant changes in Japan (case studies on the Japanese Communist Party and the neo-Buddhist New Komeito) and how the party-based representation of ethnic minorities has evolved within changed institutional and social parameters in New Zealand (case studies on representation of Maori and ethnic Asians). In sum, we seek to combine cross-regional and within-case analyses in this project.
Anti-Corruption Policies Revisited. Global Trends and European Responses to the Challenge of Corruption (ANTICORRP)

>> Christian von Soest, Thomas Richter, Detlef Nolte, Sabrina Maass

Research Questions

The main research questions of the ANTICORRP consortium are:

- What are the causes of corruption? What accounts for low levels of corruption?
- How do corruption levels differ between regions? What accounts for these differences?
- How does corruption impact societies? What impact does the behaviour of governmental and non-state actors have on the fight against corruption?
- How do corruption levels in different regions compare?
- What impact does the behaviour of governments and non-state actors have on the fight against corruption?
- How does corruption impact societies? What accounts for the differences in corruption levels between regions?
- What accounts for low levels of corruption?
- What are the causes of corruption?
- How do corruption levels differ between regions?
- What accounts for these differences?
- What impact does the behaviour of governmental and non-state actors have on the fight against corruption?
- How do corruption levels in different regions compare?
- What impact does the behaviour of governments and non-state actors have on the fight against corruption?
- What accounts for the differences in corruption levels between regions?
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- What impact does the behaviour of governments and non-state actors have on the fight against corruption?
- What accounts for the differences in corruption levels between regions?
Intraparty Factionalism and Party System Change: Lessons from Young Democracies in Asia

Andreas Ufen, Paul Chambers, Patrick Köllner
Articles in Refereed Journals


Contributions to Edited Volumes

- Bondes, Maria and Ding Li (2013), Climate Change and Sustainable Development in Western China’s Minqin Oasis: Joining Forces with NGOs (Climate Change, Sustainable Development and Human Security: New York: Lexington, 139–148).

Monographs and Edited Volumes

- Bondes, Maria (2013), Umweltaktivismus in Westchina – Zivilgesellschaftliche Ansätze, Wüstenbildung und Armut in der Casie Minquins (Environmental Activism in Western China – Civil Society Efforts, Desert Formation, and Poverty in the Minqin Oasis), Berlin: Regiospectra.
A Dangerous Liaison? Ethnicity, Natural Resources and Civil Conflict Onset

Matthias Basedau, Carlo Koos, Annegret Mähler, Jan Pierskalla

Project Description

Research Questions
- Do ethnicity and natural resources jointly increase the risk of conflict onset?
- Which ethnicity-related, resource-related, and other conditions have an impact on conflict?

Contribution to International Research
According to the literature on conflict, ethnicity and natural resources can, under certain conditions, increase the risk of intrastate conflict. Theoretically, the combination of ethnic diversity and resources should be particularly dangerous, as both together may generate strong motives for resistance and increase an ethnic group’s capacity for insurgency by providing financial means and recruitment pools. In sum, ethnicity and resource-specific conditions can assist in overcoming the collective-action problems that rebellion (and hence civil war) entails.

However, studies on ethnicity and conflict on the one hand (e.g., Gurr, Cederman, Wimmer, Horowitz) and resources and conflict on the other (e.g., Collier/Hoefler, Le Billon, Ross) have operated independently of each other thus far. Moreover, previous research has investigated causal mechanisms only at a rather aggregate level. This project unifies both strands of the literature and investigates the precise mechanisms that may lead to violence in the presence of both resources and ethnic diversity.

Methodologically, the project engages in georeferencing below the national level and combines macro-, meso- and microperspectives in a three-level analysis. At the micro level, a global database that identifies the overlapping locations of resources, relevant and deprived ethnic groups, and conflict is being created in order to uncover general patterns. For this purpose, existing data on resources (PETRODATA, GEMDATA, DIADEMAT, US Geological Survey) and ethnicity (Ethnic Power Relations Dataset and its georeferenced variant GEO-EPR) is being used. At the meso level, the project is engaging in a within-country comparison of two pertinent country cases (Bolivia and Nigeria) where the presence of resources and relevant ethnic groups, as well as the level of violence, varies across subnational units. While Bolivia has experienced high-intensity violence, Bolivia is well suited for a study of lower levels of violence. At the micro level, extensive fieldwork in two carefully selected local sites per country aims to uncover the exact mechanisms through which the combination of ethnicity and resources leads (or does not lead) to violence.

Preliminary Results
Preliminary results suggest that ethnicity indeed conditions the impact of natural resources. In a spatial analysis of grid cells in Africa from 1990 to 2010, both ethnic exclusion and the presence of oil increases the risk of conflict events. However, when groups with (monopoly) access to power settle in oil-rich areas, the conflict-increasing effect is reversed. Apparently, these groups can use revenues to buy off peace. Subnational studies for the cases of Bolivia and Nigeria, including collection of novel data, seems to confirm these results.
**Project Description**

Prior Consultation and Conflict Transformation in Resource Governance: Bolivia and Peru

**Project**
- To assess the characteristics of consultation processes and their results in Bolivia and Peru.
- To identify enabling and limiting factors for the implementation of comprehensive consultations.
- To explain the connections between prior consultations and conflict transformation.

**Theoretical Approaches**
- Contentious politics
- Deliberative democracy
- Legal pluralism/indigenous rights

**Research Design**
- Time Dimension: Retrospective Study, Ongoing Processes (participatory observation)
- Spatial Dimension: Local, National
- Level of Analysis: Individuals, Groups, Countries
- Number of Cases: Single Case Studies, Small-N Analysis

**Methods**
- Data Collection: Interviews, Participatory Conflict Analyses, Observation/Anthropology, Documents (official ministry reports, statements from NGOs and indigenous organisations, media reports)
- Data Processing: Atlas.ti, SPSS
- Data Analysis: Hermeneutic Analysis, Process Tracing, QCA

**Cooperation**
- Prof. Dr. René Kuppe, University of Vienna

**Partners**
- Dr. John Andrew McNish, UMBI Norwegian University of Life Sciences
- Dr. Barbara Kogentschön, Centre for Latin American Research and Documentation (CEDLA), Amsterdam

**Teaching**
- “Prior Consultation, Citizen Participation in Andean Resource Politics”, University of Hamburg, Summer Semester 2012 (A. Schilling-Vacaflor)
- “Comparative Design: Intra-Regional Comparison of the Political Economy of Extractivism and its Socio-Environmental Impacts in the Andean-Arizonian Countries”, workshop, ICA conference, Vienna, Austria, 20 July 2012 (A. Schilling-Vacaflor)

**Workshops/Conferences**
- “Prior Consultations and Free, Prior and Informed Consent (FPIC) in Andean Resource Politics”, four panels at the Latin American Network of Legal Anthropology conference (RELAJU), Sucre, Bolivia, 24–26 October 2012 (A. Schilling-Vacaflor, R. Flemmer)
- “The Political Economy of Extractivism and its Socio-Environmental Impacts in the Andean-Arizonian Countries”, workshop, ICA conference, Vienna, Austria, 20 July 2012 (A. Schilling-Vacaflor)

**Publications**

**Funding**
- Deutsche Stiftung Friedensforschung (DSF) (German Foundation for Peace Research) approved

**Duration**
- 2012–2015

**Research Questions**
- What are the characteristics of prior consultations and participation processes on planned hydrocarbon activities in Bolivia and Peru since 2007?
- Which factors enable or inhibit the implementation of comprehensive consultations?
- Which conflict constellations and conflict dynamics can be observed within consultation procedures?
- How do consultations respectively participation processes influence socio-ecological conflicts (intensity, process, topics)? In what way and under which conditions do prior consultations contribute to the prevention and resolution of resource conflicts?

**Contribution to International Research**
- A lack of systematic and comparative studies on consultation cases that are based on detailed knowledge of each case
- A lack of in-depth ethnographic case studies that explore formal and informal local processes as well as the perceptions, interests and strategies of the heterogeneous actors involved
- A lack of investigation into the connections between consultation practices and socio-environmental conflicts
- A lack of research that focuses on the substantial dimension of prior consultations/FPIC

The project brings together diverse theoretical strands. The dialogue between these theories and empirical data will contribute to the development of a middle-range theory on prior consultations/FPIC in extractive industries.

**Research Design and Methods**
In the first stage of the project the data collection on prior consultations, respectively participatory processes in the Bolivian and Peruvian hydrocarbon sectors, will be completed. These data stem from interviews with experts and the actors involved, official ministry reports, secondary literature, media articles and participatory conflict analyses. The data will be analysed with the support of ATLAS.ti and SPSS, with the aim of answering the main research questions. Ten consultation cases from each country will be incorporated into a database on prior consultation practices, as well as on the respective legal norms and legal struggles. The researchers will accompany two ongoing consultation procedures (one in each country), using ethnographic methods to explore the emic perspectives of the actors involved and the complex relationships, ideas, and activities that shape consultation practices on the ground. The small-N case studies and the in-depth studies will be compared with each other at two levels: intracountry comparisons and cross-country comparisons.

**Preliminary Results**
- Peru: New legislation does not help to turn prior consultations into a tool for conflict resolution as long as the normative framework itself is contested and the necessary basic conditions are not in place. The most important conditions identified for implementing effective prior consultation are: impartial state institutions capable of justly balancing the diverse interests at stake; measures that reduce power asymmetries within consultations; and, joint decision-making processes with binding agreements.
- Bolivia: Within prior consultations local communities formulated proposals for bringing extractive projects more in line with local development visions. The consultations also brought broader grievances to the light, which could activate conflict transformation. Nevertheless, the procedures’ pitfalls inhibited the tapping of its full potential. Consultations even provoked new grievances and conflicts related to land tenure, project-related information, compensations, and community fragmentation.
Religion and Conflict: On the Ambivalence of Religious Factors in Africa, Asia, Latin America and the Middle East

>> Matthias Basedau, Georg Strüver, Johannes Vüllers

Project Description

Research Questions
- Ambivalence: Under what conditions do religious factors lead to violence or peace?
- Multidimensionality of religion: What particular religious factors (group identities, religious ideas, religious organisations) lead to violence or peace?
- Non-religious context: What non-religious factors impact violence and peace independently from or in conjunction with religion?

Contribution to International Research
The project on religion and conflict seeks to fill a gap in peace and conflict studies. While many theoretical arguments can be made regarding the link between religion and conflict or peace (e.g. Appleby, Toft), comprehensive empirical studies are scarce and quantitative analyses are generally based only on demographic data. Many case studies exist, but these are hardly comparable given the different research questions and theoretical and methodological approaches. Among the few comprehensive studies to date is a research project on religion and conflict in Africa which was conducted at GIGA (and funded by the German Foundation of Peace Research) and upon which this project can build.

Research Design and Methods
The project uses a variety of methodologies and thus entails a pronounced multi-method approach:
- A qualitative small N-comparison of several country cases in Africa, Asia, the Middle East, and Latin America (Nigeria, Niger, South Sudan, El Salvador, Philippines, Indonesia)
- Local studies of so-called “hot spots” within the country cases, that are designed to shed light on the micro-level
- A large-N comparison of almost all countries in the four regions that builds on a comprehensive database of 130 developing countries (an extension of an Africa database)

Preliminary Results
The project has already yielded many results, which can be summarised as follows: Preliminary analyses of the database on developing countries confirms the assumption that religious factors beyond religious demographics impact the risk of armed conflict. These factors include the overlap of religious with ethnic and regional identities as well as horizontal economic inequalities between religious groups. Discourse also plays a role as, for instance, incitement to violence and grievances over perceived discrimination increase the conflict risk in some circumstances. Another important finding is that results differ according to the type of conflict and the role of religion therein. If warring factions have different religious affiliations, the aforementioned overlaps become more important. When an incompatibility over religious ideas is part of the conflict, discourse becomes more important. Interestingly, the research has found little evidence of a proactive impact of religious factors on peace. While the database (as well as the preliminary findings from the country case studies) reveals many instances of peace activism and interreligious dialogue on the part of religious actors, regression results do not indicate that these efforts have substantially reduced conflict risk. Apparently, other forms of religious institutionalisation count.

Project Goals
- To identify the conditions under which several religious factors lead to violence or peace.

Theoretical Approaches
- Rationalist approaches to the study of civil war, concept of collective action
- Social psychology of intergroup dynamics (e.g. social identity theory)

Research Design
- Comparative Design: Cross-Regional Comparison
- Time Dimension: Longitudinal Study
- Spatial Dimension: Subnational, National, Global
- Level of Analysis: Groups, Countries
- Number of Cases: Small-N Analysis, Large-N Analysis

Methods
- Data Collection: Focus Group Discussions, Databases (creation of a new database on religion and conflict in 130 developing countries)
- Data Processing: STATA
- Data Analysis: Regression Analysis

Cooperation
- Conflict and Cooperation Network (Netzwerk Religion und Konflikt)
- Partners: Jonathan Fox, Bar-Ilan University in Ramat Gan, Israel

Teaching
- ‘Bewafte Konflikte und Kriege im subsaharischen Afrika’ (Armed Conflicts and Civil wars in Sub-Saharan Africa), IFS-Hamburg, Two-Day Seminar, January 2010, January 2011 (M. Basedau, J. Vüllers)
- ‘Religion and Konflikt’ (Religion und Konflikt), University of Hamburg, Summer Semester 2011 (M. Basedau, J. Vüllers)

Publications

Funding
- Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) (Federal Ministry for Economic Cooperation and Development) (until February 2013): approved
- Deutsche Stiftung Friedensforschung (DGF) (German Foundation for Peace Research) (until May 2011): approved
- GIGA

Duration
2008–2014
From Quietism to Politics: The Egyptian Salafist Movement from 1970 to 2012

Henner Fürtig, Annette Ranko, Nikolai Röhl

Project Description

Research Questions
- Which developments have Egyptian Salafist groups and thought demonstrated over the period from 1970 to 2012?
- How has the political trend within the Salafist movement emerged and developed? How has it been articulated vis-à-vis the movement’s mainstream, apolitical trend?
- What impact have other Islamist (but non-Salafist) actors (e.g. the Muslim Brotherhood) had on the development of the Salafist movement in Egypt?
- What influence have transnational Salafist debates and thinkers had on the development of the Salafist movement in Egypt?
- In how far does the Egyptian Salafist movement influence debates and developments within transnational Salafism?

Contribution to International Research
Political Salafism is a relatively recent phenomenon. Starting in the 1980s, Bahrain and Kuwait were the first countries to witness the entrance of Salafists into parliament. It was only after the fall of Mubarak in 2011 and the formation and electoral success of Salafist parties in Egypt however, that political Salafism has entered into the limelight. Scholarship on this phenomenon – though growing since 2011 – remains scarce, especially compared to more widely studied groups as the Muslim Brotherhood. This project, thus, aims to shed light on the genesis of this political strand within Egypt and to trace its historical roots beginning in the 1970s. It further seeks to trace the mutual influences, interactions, and transformations of national and transnational manifestations of Salafism, so as to contribute to the study on Salafism as a transnational phenomenon.

Research Design and Methods
The project will use summarising qualitative content analysis as its primary research method. It will analyse the most important programmatic writings, sermons, and fatwas of Salafist leaders thus, aims to shed light on the genesis of this political strand within Egypt and to trace its historical roots beginning in the 1970s. It further seeks to trace the mutual influences, interactions, and transformations of national and transnational manifestations of Salafism, so as to contribute to the study on Salafism as a transnational phenomenon.

The project will utilise social movement theory approaches that integrate process tracing.
Power-Sharing in Multi-Ethnic Societies of the Middle East

>> Henner Fürtig, Stephan Rosiny

Project Description

Research Questions

The research project stems from the observation that some of the “Arab Spring” uprisings, namely, those in Bahrain and Syria, slipped into bloody crackdowns and/or civil wars. In other countries, such as Lebanon and Iraq, there were hardly any protests. In all four countries we find multiple ethnic-sectarian divisions within society. Yet, whereas Lebanon and Iraq have implied power-sharing arrangements, the other two (Bahrain and Syria) are mainly mono-ethnic authoritarian states. The research questions are as follows:

- What impact do ethnic cleavages have on social, political and economic relations in the divided societies of the East Arab countries? How do the four countries under investigation differ in how they deal with this fragmentation, and how do they influence each other?
- Are there any options and chances for power-sharing agreements that take the ethnic divide into consideration and at the same time help the fragmented communities to bridge the gaps between them?

Contribution to International Research

While quite a lot of research has been carried out on the two existing power-sharing arrangements in Lebanon and Iraq, the ongoing debates on their reform or even their abolition in these two countries as well as the possibility of transferring such power-sharing arrangements to Syria and Bahrain have not yet been investigated. The current project is innovative in this respect. Further innovative elements include the project’s comparative design and its aim of investigating future options for such reforms and arrangements for all four countries.

Research Design and Methods

In several steps, the project investigates the history and current situation of these divided societies, as well as their political structures. It also analyses the existing constitutions and laws, as well as the reforms and alternatives under debate, primarily in comparison to the consociational (Lijphart, Lehmbruch) and the centripetalist approach (Hartzel). The research questions are as follows:

- To compare the conflicts in divided Arab societies (Bahrain, Lebanon, Iraq, Syria).
- To investigate the options for power-sharing arrangements in the four countries.
- Peace and conflict research on ethnically and confessionally divided societies.

The research project is innovative in this respect. Further innovative elements include the project’s comparative design and its aim of investigating future options for such reforms and arrangements for all four countries.

Preliminary Results

In a series of workshops, participants identified several similar or comparable experiences between the four countries and how the reforms and alternatives under debate, primarily in comparison to the consociationalist and the centripetalist approach, differ. The participants also focused on the dynamics between the four countries and how the positive and negative experiences of each country influence the power-sharing debate in the subregion. Deeper research has been done in the conflict structure and the sectarian framing of the four societies as well as the ongoing debates about a reform of existing or the introduction of new power-sharing arrangements.

RP 2 VIOLENCE AND SECURITY

RT 2: Religion, Conflict and Politics

Project

- To compare the conflicts in divided Arab societies (Bahrain, Lebanon, Iraq, Syria).
- To investigate the options for power-sharing arrangements in the four countries.
- Peace and conflict research on ethnically and confessionally divided societies

Research Design and Methods

In a series of workshops, participants identified several similar or comparable experiences between the four countries and how the reforms and alternatives under debate, primarily in comparison to the consociationalist and the centripetalist approach (Hartzel). The research questions are as follows:

- What impact do ethnic cleavages have on social, political and economic relations in the divided societies of the East Arab countries? How do the four countries under investigation differ in how they deal with this fragmentation, and how do they influence each other?
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RP 2
The Development of the Egyptian Muslim Brotherhood

Annette Ranko

Project Description

Research Questions
- How has the Muslim Brotherhood's behaviour and ideology evolved under the rule of Mubarak (from 1981 to 2011)?
- How has the portrayal of the Muslim Brotherhood in the state-affiliated media (under Mubarak, from 1981–2011) affected the group?
- How has the Brotherhood's political behaviour and programme evolved under Mubarak and after the fall of the Mubarak regime in 2011?

Contribution to International Research
Most of the literature analysing how and why Islamist groups have developed in a certain way has focused on material aspects in regime-Islamist-relations. Authors have often concentrated on repression and political inclusion or exclusion as aspects that particularly shape an Islamist group since they have impinged on its rational decision-making and forms of mobilisation. This is reflected in two theses that have become prominent in the literature: (i) the repression radicalisation thesis, that argues that repression exerted by the regime on an Islamist group and a group’s exclusion from formal political processes lead to its radicalisation, i.e. the group’s taking up of arms; (ii) the inclusion-moderation thesis, that argues that the absence of repression and a group’s political inclusion lead to its moderation. Here moderation is understood to consist, at first, of a change in behaviour as Islamist groups abandon the use of violence and embrace electoral politics instead. In the second step, it is argued that this change in behaviour may lead to a more moderate ideology, as a group gradually discards uncompromising Islamist views and successively adopts liberal-democratic concepts into its political thought.

While most of the relevant literature has, thus, overtly focused on material aspects of regime-Islamist-relations, several authors have argued that also other factors might be at work impinging on Islamist development. A few authors have drawn attention to the – at least empirical – relevance of ideational forms of repression where a regime disseminates a negative image of an Islamist group throughout the state-run media in order to undermine the group’s efforts to portray itself as a viable and attractive political alter native to the incumbent regime. In many Middle Eastern countries, including Egypt under Mubarak, regimes have levelled considerable propaganda against Islamist groups, which have often been their most potent political rivals. However, although several authors have drawn attention to that fact, they have neither studied this propaganda in depth nor have they looked at how this propaganda has affected regimes’ most potent political rivals. However, although several authors have drawn attention to that fact, they have neither studied this propaganda in depth nor have they looked at how this propaganda has affected regimes’ political behaviour and programme evolved under Mubarak and after the fall of the Mubarak regime in 2011.

This project aims to fill that gap. It analyses the Mubarak regime’s depiction of the Egyptian Muslim Brotherhood – as articulated in the state-run media utilised by the regime as platforms to disseminate a specific image of the Brotherhood – and the Brotherhood’s engagement with it. Further, it traces how these ideational aspects of regime-Brotherhood-relations have combined with the material aspects of state-repression, political exclusion and inclusion in shaping the group’s behaviour and ideology.

The project draws on approaches within social movement theory, especially on framing and the political opportunity structures approach, including the concept of discursive opportunity structures.

The Muslim Brotherhood has seen a moderation of its political thought over the period studied. This moderation has however remained selective. Political inclusion alone has not sufficed to produce this kind of moderation, much more it was in moments in which inclusion was coupled with regime propaganda against the Muslim Brotherhood within the state-media, that moderation took speed. However, it was also the content of regime-propaganda that has shaped the specific moderation the group has seen, i.e. why it has moderated its positions in some issues but not in others.

Project
- To examine how the Egyptian Muslim Brotherhood has evolved under Mubarak (from 1981 to 2011).

Goals
- To analyse how perceptions of the Brotherhood circulated in the state-run media have affected the group and have impinged on its discourse and programmatic stances with regards to domestic and foreign policy issues.

Theoretical Approaches
- Social Movement Theory
- Framing

Research
- Comparative Design: No Comparative Design
- Time Dimension: Longitudinal Study
- Spatial Dimension: National
- Unit of Analytical Organisations
- Number of Cases: Single Case Study

Methods
- Data Collection: Interviews, Narratives
- Data Analysis: Content Analysis, Process Tracing

Cooperation
- Al-Sharq Centre for Regional and Strategic Studies, Cairo, Egypt.

Partners
- Al-Ahram Center for Political and Strategic Studies, Cairo, Egypt.

Teaching
- Peace through Institutions: Can Institutional Engineering Prevent Conflicts between Identity Groups?, University of Hamburg, Winter Semester 2012/2013 (M. Basedau)
- Moderation of the Egyptian Muslim Brotherhood: Implications for Egypt, Middle East Policy, 20, 4, 111–123.

Publications

Funding
- GIGA

Duration
2008–2014
Institutions for Sustainable Peace: Comparing Institutional Options for Divided Societies and Post-Conflict Countries

>> Matthias Basedau, Sabine Kuntenbach, Andreas Mehler, Nadine Ansorg, Felix Haas, Julia Strasheim

Project
- To determine which institutions and which combination of institutions reduce the potential for violent conflicts and other types of violence.
- To identify how institutional engineering can be effective and successful in divided societies and especially in post-conflict situations.
- To assess how institutions interact and how this shapes their impact on peace.
- To study how specific factors such as the character of divisions or the traumatic experience of violence impact the prospects for successful institutional engineering.
- To create an international network on the project topic.

Theoretical Approaches
- Institutional and constitutional engineering approaches
- Peace and conflict studies approaches

Research Design
- Comparative Design: Cross-Regional Comparison
- Time Dimension: n.a. (network project)
- Spatial Dimension: n.a. (network project)
- Level of Analysis: Countries
- Number of Cases: Small-N Analysis, Medium-N Analysis, Large-N Analysis (network project)

Methods
- Data Collection: Databases ("Annotated Database Bibliography" of datasets on conflict, divisions and institutions)
- Data Analysis n.a. (network project)

Cooperation Partners
- Core network partners: Peace Research Institute Oslo (PRIO), School of Oriental and African Studies (London), University of Lusopada (Opt. of Peace and Conflict Studies), The Graduate Institute Geneva (Centre on Conflict, Development and Peace-Building)
- Further international partners: Duke University, University of California at San Diego, University of Birmingham, University of Stavanger, Murdoch University Australia
- German partners: Jacobs University Bremen, IFSH-Hamburg, University of Marburg, University of Duisburg-Essen, University of Konstanz

Teaching
- "Peace through Institutions: Can Institutional Engineering Prevent Conflicts between Identity Groups?", University of Hamburg, Winter Semester 2012/2013 (M. Basedau)
- "The Role of International Actors in Post-War Societies", Helmut-Schmidt University Hamburg, Winter Semester 2013 (N. Ansorg)

Workshops/Conferences
- "Challenges and Opportunities of Institutional Reform", Third ISP Network Conference, 17-28 May 2014, Geneva
- "A Dangerous Liaison? Ethnicity, Natural Resources and Intrastate Conflict", APSA 2013, Chicago, 30 September 2013
- "Harmony or Catastrophe? The "Concert of Institutions" in Divided Societies", Second ISP Network Conference, Oslo, 13–14 June 2013
- "Institutions for Sustainable Peace: Research Gaps and Challenges", ISA 2013, San Francisco, 3–6 April 2013

Publications

Funding
- Pakt für Forschung und Innovation, Leibniz Wettbewerb (Joint Initiative for Research and Innovation, Leibniz Competition) approved

Duration 2012–2015
From Civil War to Social Contract: State Services, Political Trust, and Political Violence

Alexander De Juan

Project Description

Research Questions
- Does the inadequate or inequitable delivery of basic services affect the risk of political violence?
- Does the effective and equitable delivery of basic services affect levels of political trust?
- How should external/international support for service provision be designed in order to contribute to improvements in trust levels?

Contribution to International Research
Debates on post-conflict state-building and conflict recurrence have largely been detached from research on political trust. The role of legitimacy and political trust is emphasised in peace and conflict studies; however, it is not adequately conceptualised and is seldom analysed empirically. Similarly, few studies on political trust explicitly consider how intrastate conflict might affect such trust. The research project aims to bring both areas of research together and to analyse the determinants of political trust in post-war societies by focusing on the role of basic service delivery.

Research on political violence has adopted a specific perspective on the role of state. Much attention has been given to the latter’s coercive and extractive (taxes) capacities. Other facets that may be crucial in the occurrence of violence have been largely neglected. Few analyses have considered elements of state capacity that might shape people’s perceptions of the state and lead to grievances against it. While some studies have tried to capture the state’s ability to deliver basic services such as water, education and health services, no systematic analyses of the impact of service delivery on political violence have been carried out to date. The research project aims to fill this gap.

Research Design and Methods
The project will combine quantitative and qualitative research methods. The first pillar will consist of in-depth comparative analysis and semi-structured interviews to be conducted in at least two post-war countries. Questionnaires will focus on people’s perceptions of various state institutions and of current service provision (with respect to quality, quantity, providers, responsiveness).

Quantitative research at the subnational level will analyse the role of varying degrees of basic service delivery in the occurrence of violence. Using household survey data, the project will measure the availability of basic services in subnational administrative units. The spatial distribution of violence will be measured using geocoded event data. The project will assess the impact of effective service delivery on two kinds of political violence: violent events in civil wars and more decentralised civil violence in post-war situations (riots, demonstrations, protests).

Quantitative comparisons at the subnational level will constitute the project’s third pillar. In addition to the qualitative techniques applied in the aforementioned components, in-depth comparative analysis will take place in selected subnational regions of at least two other countries. Through focus group discussions and semi-structured interviews, the researchers will cross-check the correlations found in the quantitative analyses.
**Alternatives to State-Sponsored Security in Areas of Extremely Limited Statehood (Central African Republic and South Sudan)**

Andreas Mehler, Tim Glawion, Lotje de Vries

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**Project Description**

The project investigates the effectiveness (differentiated in output, outcome and impact) of security provision in areas of limited statehood. It asks the following questions:

- What are the success factors of effective security provision on the local level (in situations of extreme state weakness)?
- What is the role of specific context conditions like ethnic homogeneity (resulting in social capital), spatial distance to the country’s capital, and presence/absence of external actors (particularly peacekeepers)?
- What kind of policy implications can be drawn from strong local variance in countries invariably characterised as extremely weak?

This project aims to close some gaps in the relevant research. Empirically, there are immense gaps in the relevance of local security production (only scattered results by a few researchers, including the project leader), conceptually there is no appropriate differentiation of the “container term” of hybrid/hybrid peace orders (MacGinty 2010; Boege 2009 etc.). The discipline of political science only recently began to focus on local arenas, arguably decisive when it comes to post-conflict peace. Existing case studies fail to link up and produce some level of generalisation. This project aims to contribute in closing those gaps while also trying to combine the strengths of anthropology and political science. Furthermore, there is only limited empirical insight on the two focus countries, with South Sudan as the most recent independent state world-wide only beginning to be explored by social scientists and CAR one of the most “under-researched” countries on earth.

This project combines a case study approach with subnational comparative analysis. Research is based on qualitative methods of empirical enquiry, including techniques used by political anthropologists and political scientists. Six local arenas of (effective and ineffective) security production in two countries (CAR, South Sudan) will be selected in order to test our hypotheses pertaining to institutionalised actor constellations, absence/presence of international actors, social capital/ethnic homogeneity, socio-spatial distance to capital, and national policies. After desk studies (focusing on the last term) intense fieldwork is planned in all six arenas, where focus group discussions and non-participatory observation will be conducted by the research team. Research assistants will maintain ‘event logs’ on security relevant events and developments over the entire project duration, expert interviews will be conducted in the two capitals.

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**Research Questions**

- What are the success factors of effective security provision on the local level (in situations of extreme state weakness)?
- What is the role of specific context conditions like ethnic homogeneity (resulting in social capital), spatial distance to the country’s capital, and presence/absence of external actors (particularly peacekeepers)?
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**Research Design and Methods**

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**Project Leader**

Andreas Mehler, Tim Glawion, Lotje de Vries

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**Publication**


Power-Sharing in Post-Conflict Situations: On the Institutional Prerequisites for Lasting Peace

**Andreas Mehler, Martin Ottmann, Johannes Vüllers**

Project Description

**Research Questions**

- Are specific post-conflict power-sharing institutions associated with lasting peace?
- What are the institutional prerequisites for successful post-conflict power-sharing? Which powers need to be shared and to what extent? And which actors need to be included?
- Which contextual factors are important in explaining the resolution of violent conflict? And how do these contextual factors interact with the effects of power-sharing institutions?

**Contribution to International Research**

Controversy has surrounded the impact of power-sharing on post-conflict peace for almost forty years. Theoretically, consociationalism has been challenged by the so-called “integrative approach” to power-sharing (Horowitz 1985; Sisk 1996; Bogaards 2003; Wimmer 2003). While the former addresses the problem of post-conflict peace by proposing strategies to make democracy work in plural societies, the latter explores how power-sharing institutions might best be designed to stabilise the transition to lasting peace. The present project undertakes a detailed and disaggregated analysis of the different mechanisms and institutions of power-sharing to assess both approaches. The project also addresses a limitation of the existing empirical studies on post-conflict power-sharing. So far, there is surprisingly little systematic empirical evidence on the prospects of post-conflict power-sharing. Most large-N studies have confined themselves to analysing the effects of power-sharing promises on the duration of peace and have disregarded the actual implementation of these promises (Hartzell & Holdrege 2003, 2007; Mukherjee 2006; Pearson et al. 2006; Derouen et al. 2009). The qualitative literature on the other hand primarily focuses on the in-depth study of single cases and fails to systematically compare the successes and failures of post-conflict power-sharing. The present project attempts to address these shortcomings by analysing both the promises of and the implementation of power-sharing agreements using quantitative and qualitative methods.

**Research Design and Methods**

To allow for generalisation and particularisation, the study employs a mixed-method research design that combines econometric techniques with qualitative case studies. It will begin with a statistical study covering all instances of post-conflict power-sharing since the end of the Cold War (1989–2011). Using event history analysis, this statistical study will explore the impact of promises of power-sharing, as well as their eventual implementation, on civil war recurrence. The necessary data for this analysis will be taken from a newly constructed database on power-sharing institutions in post-conflict countries. The project’s researchers will then conduct comparative case studies of post-conflict power-sharing in four selected countries to explore in more detail the causal mechanisms linking power-sharing institutions and peace. The final selection of cases for this qualitative part will be informed by the statistical results.

**Preliminary Results**

At present, the project team has completed two data collections on post-conflict power-sharing. The first one is the Promises of Power-Sharing Dataset (PROMPS) which collects detailed data on the power-sharing arrangements contained in all peace agreements concluded between government and rebel representatives from 1989 to 2006. The second data collection is the Power-Sharing Event Dataset (PSED) which includes information on when particular power-sharing arrangements between government and rebels have been introduced or abolished during a five-year post-conflict period. This dataset has a global coverage and spans from 1989 to 2011. A preliminary analysis of both datasets allowed the project team to identify certain patterns of post-conflict power-sharing. If appears, for example, that political power-sharing is especially frequent in the first six months of a post-conflict period whereas military, economic and territorial power-sharing arrangements take place at later stages. The project team is currently further exploring these patterns and dynamics of post-conflict power-sharing in a series of statistical analyses and fieldwork stays in four selected countries.

**Project Goals**

- To advance the academic debate on post-conflict power-sharing by analysing the impact of power-sharing institutions that concern the “inner core” of political, military, economic and territorial power on the recurrence of armed conflict.
- To provide practical advice to the policy community in Germany and beyond. As power-sharing has “taken a firm place in the current toolbox for peace-making and peace-building”, there is a great practical need to improve our knowledge concerning the substance and prospects of power-sharing tools.

**Theoretical Approaches**

- Consociational power-sharing theory
- Bargaining theory

**Research Design**

- Comparative Design: Cross-Regional Comparison
- Time Dimension: Cross-Sectional Study, Longitudinal Study
- Spatial Dimension: National, Global
- Level of Analysis: Countries
- Number of Cases: Small-N Analysis, Large-N Analysis

**Methods**

- Power-Sharing in Post-Conflict Situations*, Power-Sharing in Post-Conflict Situations, University of Hamburg, Summer Semester 2013 (M. Ottmann and J. Vüllers)
- Power-sharing Event Dataset (PSED): A New Database on the Occurrence of Power-Sharing in Post-Conflict Countries*, ISA 2013, San Francisco, 3-6 April 2013 (M. Ottmann and J. Vüllers)

**Publications**

- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): approved
- Research Foundation: approved
- Duration 2012–2014

**Workshops/Conferences**

- To Engineer or Not to Engineer, That is the Question. When Does Constitutional Engineering in Divided Societies Occur?*, ISA 2012, San Diego, 1 April 2012 (A. Mehler)
- The Power-Sharing Event Dataset (PSED): A New Database on the Occurrence of Power-Sharing in Post-Conflict Countries*, ISA 2013, San Francisco, 3-6 April 2013 (M. Ottmann and J. Vüllers)
The Local Arenas of Power-Sharing, Patterns of Adaptation or Continued Disorder?

Andreas Mehler, Franziska Zanker

The project investigates whether the adaptation of power-sharing to the local level occurs in peace processes. More precisely, the research aims to determine what the repercussions of success and failure at the local level are for the national level. It asks the following questions:
- Which variants of power-sharing are adequately adapted to national and local circumstances to enhance order (peace)?
- How does the local adaptation of national peace agreement provisions affect local peace?
- If local peace has taken hold in the wake of power-sharing, what are the main determinants of this success?

Contribution to International Research

This project aims to close the gap between the theory of power-sharing and its concrete effects on sustainable peace (e.g. Walter 1997; Hartzel & Hoddie 2003; Paris 2004; Roeder 2005). Research on the effects of power-sharing agreements at the local level and the repercussions for the national level is lacking (for a notable exception see Heitz 2009). This is despite the understanding that conflict is often rooted in local dynamics and that the latter are important to national dynamics, and thus play a key role in peace processes. In addition, the project aims to give empirical substance to the concepts of adaptation and political hybridity as they relate to political order (peace). In the second phase, the project builds on the growing body of literature on peace “engineering”, local ownership and “hybrid” peace by closing an important gap in this literature, which has often linked the disappointing results of peace-building to a lack of “capacity” or “local ownership”. The latter are technocratic notions that tend to depoliticise the interests of those involved in reordering war-torn societies.

Research Questions

We apply a mixed-method research design that is based on qualitative methods of empirical enquiry, combining a case study approach with subnational comparative analysis. We have identified peaceful and non-peaceful local arenas in four countries (Burundi, DRC, Kenya, and Liberia) in order to test our hypotheses according to the variance in the levels of peacefulness. In the first phase we conducted fieldwork in all four countries, including focus group discussions and semi-structured interviews with a variety of local and national stakeholders. This data will be analysed using process tracing and will be juxtaposed against the previous content analysis of the relevant power-sharing agreements. In the second phase of the project, which includes desk studies for all four countries, we will conduct further fieldwork, this time in Burundi and Liberia only.

Research Design and Methods

We apply a mixed-method research design that is based on qualitative methods of empirical enquiry, combining a case study approach with subnational comparative analysis. We have identified peaceful and non-peaceful local arenas in four countries (Burundi, DRC, Kenya, and Liberia) in order to test our hypotheses according to the variance in the levels of peacefulness. In the first phase we conducted fieldwork in all four countries, including focus group discussions and semi-structured interviews with a variety of local and national stakeholders. This data will be analysed using process tracing and will be juxtaposed against the previous content analysis of the relevant power-sharing agreements. In the second phase of the project, which includes desk studies for all four countries, we will conduct further fieldwork, this time in Burundi and Liberia only.

Preliminary Results

Findings from the first phase indicate that the production of political order and the reordering of sociopolitical relations in war-torn countries by means of power-sharing has been fairly successful when measured against the very modest concept of “negative peace”. Our findings suggest a weaker degree of autonomy for local arenas and their actors, processes, institutions, and interests than we assumed at the outset of our project. We found that local groups and decision-makers were awaiting anxiously for the implementation of major institutional reforms, but that the expected positive effects on local conviviality between conflicting groups could also be subverted by unintended negative effects. Decentralisation, and police reform (potentially also land reform and others) have – not yet well explored – consequences for power relations on the local level, all probably more salient for sustainable peace than the immediate power-sharing arrangement.
Ineffective Sanctions? External Sanctions and the Persistence of Autocratic Regimes

>> Christian von Soest, Matthias Basedau, Julia Grauvogel

Research Questions
- Which factors account for the long-term stability of authoritarian regimes in the face of international sanctions and specifically those which aim at democratization?
- Which structural power resources (e.g., repression, claims to legitimacy) do regimes fall back on, and how do they use them in reaction to external pressure in its various forms?
- Which counter-strategies do targeted autocratic regimes pursue?

Contribution to International Research
Researchers have provided largely contradictory evidence concerning the effects of international sanctions on the persistence of authoritarian regimes. In response, building on insights from research on authoritarianism, sanctions and transitions, the project identifies the specific features of those regimes that have remained stable and unstable in the face of such external pressure. Of particular interest are authoritarian regimes’ international relations, as well as their characteristics, strategies and actions.

Research Design and Methods
The project combines several research methods. Qualitative comparative analysis (QsQCA) served to establish the characteristics of persistent authoritarian regimes under sanction pressure and to select country case studies for further in-depth analysis. These case studies will be analyzed comparatively. In addition, two data sets were created. One provides information on the different sanctions implemented by the UN, the US and the EU, and the other focuses on the legitimacy of non-democratic regimes. The data sets allow for further quantitative-statistical analyses of the effects of sanctions.

Preliminary Results
The results of the QsQCA study attest (1) the importance of legitimation in almost all configurations; (2) the relevance of the interplay between regime characteristics, sanctions and further international factors; (3) the varying effects of certain conditions, for instance, harsh repression, as a result of their specific interactions with other conditions; and (4) the different causal pathways, which were used to select the case studies Belarus, Ethiopia, Zimbabwe, Colombia, Syria, North Korea, Iran, and Burundi.

Project Description
Challenges of Peace-Building

Sabine Kurtenbach, Soledad Granada

Research Questions

The transition from war to postwar contexts is conceptualised as a path dependent transformation including the political regime, access and distribution of economic resources and norms regarding the legitimization of violence (Jarstad and Olsson 2012). This project analyses the peace-building processes initiated by external actors and their impact on local institutions and public policies in different settings. External strategies for peace-building aim at the stabilisation of postwar societies through the promotion of state-building and the relevant institutions for the delivery of public goods (most of all security or economic development initiatives). This approach fails in many contexts due to the neglect of local ownership and institutional path dependencies. The project wants to investigate different outcomes of the interaction between external influences and local dynamics, e.g. the diffusion of crime, high levels of state repression or armed violence by non-state actors.

Contribution to International Research

The project contributes to the international debate on the limits and possibilities of external peace-building strategies (e.g. Paris 2004; Barnett and Zürcher 2009; Jarstad and Belloni 2012) including the historical dimension to these processes (Newman 2013). This innovative approach will help to identify the conditions under which external peace-building policies generate the reduction of violence (beyond pacification) and interact with key actors for the provision of security at the local level.

Research Design and Methods

The project uses qualitative methods for the small N-study at the country level and quantitative methods (e.g. QCA) for the medium N-cases at the local level to analyse the trajectories in postwar societies. While quantitative data serve to identify similarities and differences at the structural level across cases, a process-tracing design seeks to identify the path-dependent processes shaped by local actors. In cooperation with local partners (e.g. Interpeace in Central America) we will develop a common case study design.

Project Description

- To study the peace-building processes initiated by external actors and their impact on local institutions and public policies in different settings.
- To analyse under which conditions external peace-building supports the reduction of violence (beyond pacification).
- To identify the key actors for the provision of security at the local level and to analyse their interaction with peace-building initiatives.

Theoretical Approaches

- Peace-building debate, international cooperation
- Historical institutionalism
- Comparative Design: Cross-Regional Comparison (in the first phase Central America, Colombia, Western Africa)
- Time Dimension: Longitudinal Study
- Spatial Dimension: Local, National
- Unit of Analysis: Countries
- Number of Cases: Small-N Analysis, Medium-N Analysis

Methods

- Data Collection: Interviews, Documents (historical archives, closed judicial processes)
- Data Analysis: set theoretic approaches, process tracing to identify critical junctures

Cooperation

- Dr. Otto Argueta, Interpeace Guatemala
- Dr. Judith Vorrath, Stiftung Wissenschaft und Politik (SWP), Berlin

Workshops/Conferences

- "State-Building and Violence in Latin America", panel at the LASA Annual Conference, Washington DC, 26 May 2012 (S. Kurtenbach)

Publications


Funding

- GIGA

Duration

2014–2016
Youth in Post-War Societies – Pathways out of Violence

>> Sabine Kurtenbach, Janina Pawelz

**Project Description**

**Research Questions**
- How can we explain variations in youth violence in the high-risk contexts of post-war societies?
- How can young people transition into adulthood without using violence?
- Which actors and processes are relevant for successful youth transitions in post-war contexts?

The project contributes to the research on conflict and transformation, which until now has rarely systematically investigated the role of youth in post-war contexts. Most research on youth in post-war contexts focuses either on deviant behaviour (violence) or on youths’ peace-building potential. Research on youth in situations of political transition seldom investigates developing countries or post-war societies. The specific mechanisms and processes influencing youth transitions to adulthood in these contexts are particularly under-researched, even though the interface between youth and society is highly relevant there. From a quantitative and a qualitative perspective, youth are extremely important actors in the social space of post-war societies. At the same time, patterns of youth integration (or exclusion) mirror the broader developments in the society in question.

Theoretically the project combines two strands of research that have generally been unconnected to date: theories on youth violence and concepts on youth civic engagement. Using the question of how young people can perform the transition into adulthood as a point of departure, the project promises to generate systematic knowledge on the interaction between structures (post-war societies) and actors (youth).

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The second step will consist of a structured comparison of the ways young people manage transitions into adulthood (particularly into economic independence and political citizenship) in these difficult contexts. This comparison will focus on similarities and differences between and inside the regions and cultures, urban and rural contexts, and male and female youths. Methodologically, this theoretically grounded structured comparison will be done on the basis of field research (expert interviews, focus groups, primary data collection in collaboration with local partners). This multilevel comparison promises to generate systematic knowledge on the interaction between structures (post-war societies) and actors (youth).

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Public Security and the Transition to Democracy

>> Sabine Kurtenbach, Hanspeter Mattes, Annegret Mählert

Project Description

Research Questions

Political transformation processes towards democracy impact conceptions of public security as a result of new requirements and demands for accountability, transparency and the rule of law. The project explores this relationship, focusing on the following questions:

- Which transition-related contextual factors cause public security problems (e.g. violent or non-violent events)?
- Which actors are responsible for the production of security or insecurity during transition periods, when old institutions are being dismantled and new ones are not (yet) functioning (e.g. state actors, non-state armed actors, criminal actors)?
- Are there general patterns identifiable in the relationship between public security problems and transformation processes?

Contribution to International Research

Theoretical as well as quantitative empirical studies on political transformation claim that different forms of violence decline after democratisation (see civilization theory, the democratic peace debate, and criminology). At the same time, evidence abounds on the conflictive and possibly violent character of the democratisation process itself (Cederman 2008; Hegre et al. 2001). Transformation theory has primarily focused on the identification of interesting cases in both regions will be done via fuzzy set QCA. In a small-N cross-regional comparison of public security during transformation in two Latin American and two sub-Saharan African countries. In a small-N study of public security in three of the “Arab Spring” countries (Egypt, Libya, Tunisia).

Research Design and Methods

Based on transformation and civilization theories, the project will first identify potential relationships between transformation and different forms of violence. It will then develop a conceptual framework for the comparative analysis of public security problems. This framework will be applied as follows: In a medium-N study of public security problems in Latin America and sub-Saharan Africa. Following the coding of existing data, the identification of interesting cases in both regions will be done via fuzzy set QCA. In a small-N cross-regional comparison of public security during transformation in two Latin American and two sub-Saharan African countries. In a small-N study of public security in three of the “Arab Spring” countries (Egypt, Libya, Tunisia).

Preliminary Results

The discussion of conceptual problems and different regional experiences identified a first set of similar areas. In a small-N study of public security problems in Latin America and sub-Saharan Africa. Following the coding of existing data, the identification of interesting cases in both regions will be done via fuzzy set QCA. In a small-N cross-regional comparison of public security during transformation in two Latin American and two sub-Saharan African countries. In a small-N study of public security in three of the “Arab Spring” countries (Egypt, Libya, Tunisia).

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Research Programme 2: Selected Publications 2013

Articles in Refereed Journals

- Destradi, Sandra and Johannes Vüllers (2013), Speech is Silver, Silence is Golden? The Consequences of Failed Mediation in Civil Wars, in: Civil Wars, 15, 4, 486–506.

Contributions to Edited Volumes

- Ranko, Annette and Elizabeth Iskander (2013), The Fall of the Muslim Brotherhood: Implications for Egypt, in: Middle East Policy, 20, 4, 111–123.
Research Programme 2:  
Selected Publications 2013


Monographs and Edited Volumes


Employment, Empowerment and Living Standard

>> Lena Giesbert, Jann Lay, Sarah Linde, William Monteith, Daniel Neff, Sebastian Prediger

**Project**
- To conduct a multidimensional investigation into the capabilities and constraints of informal entrepreneurs in Burkina Faso, Uganda and Sri Lanka.

**Goals**
- Burkina Faso, Uganda and Sri Lanka.

**Theoretical Approaches**
- The capability approach
- Theories on firm growth
- Theories on decision-making under uncertainty
- Multidimensional analysis of well-being

**Research Design**
- Comparative Design: Inter- and Intraregional Comparison
- Time Dimension: Cross-Sectional Study, Longitudinal Study
- Spatial Dimension: Local, Subnational
- Level of Analysis: Individuals, Groups, Organisations
- Number of Cases: Small-N Analysis, Large-N Analysis

**Methods**
- Data Collection: Questionnaires, Interviews, Narratives, Focus Group Discussions, Economic Experiments, Databases (World Bank Enterprise Survey, national household surveys in Uganda, Sri Lanka)
- Data Processing: Atlas.ti, Stata
- Data Analysis: Regression Analysis, Network Analysis, Content Analysis

**Cooperation Partners**
- KfW Entwicklungsbank (KfW Development Bank)
- Expertise pour le Développement du Sénégal (EDS), Burkina Faso
- Centre for Basic Research (CSR), Uganda
- Institute of Policy Studies (IPS), Sri Lanka
- International Institute of Social Studies (ISS), Netherlands

**Workshops/Conferences**
- "Employment, Empowerment and Living Standard Stakeholder Workshop: Focus on the MDGs and Indicators of Decent Work" (planned for mid 2014)

**Publications**

**Funding**
- KfW Entwicklungsbank (KfW Development Bank): approved
- Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) (Federal Ministry for Economic Cooperation and Development): approved

**Duration**
2012–2014

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**Research Questions**
Regarding the multidimensional relationship between employment, empowerment, and living standard of poor individuals and households:
- To what extent is access to certain types of employment determined by certain capabilities?
- What functions and capabilities are created or restricted through employment and vice versa?
- What employment-related agency options do people have and to what extent do people make autonomous decisions?
- What can we learn about the definition of “good” or “decent” work?

Regarding the social and cultural context that affects the transfer of employment features into capabilities:
- How do specific social and cultural circumstances affect the relationship between employment features and the capabilities of informal workers?
- What are the main points of difference in the capabilities of local and non-local informal workers? What role do minority networks play?

Regarding policies to enhance access to “good” or “decent” employment: social and cultural context that affects the transfer of employment features into capabilities:
- What are the policy implications regarding the usefulness of the existing Millennium Development Goal (MDG) indicators?
- How can informal workers be specifically targeted and sustainably supported to enhance their chances of accessing “good” or “decent” employment?

**Contribution to International Research**
The project makes a significant contribution to the contemporary academic and policy (MDG) debate on internationally comparable indicators of “decent work”. It also tackles considerable gaps in research on the constraints and capabilities of informal actors in the informal sector of the three target countries. Finally, the project will provide valuable insights into the process of advancement of micro-enterprises into small and medium enterprises.

**Research Design and Methods**
The project employs a mixed methodology designed to capture participants’ experiences both qualitatively and quantitatively in the context of informal employment. Multidimensional surveys have been designed to capture information on demographics, socio-economic networks, economic performance and employment characteristics of entrepreneurs and their households across multiple sectors in each country. Time and risk experiments (N= 140 to 160) provide information on participants’ willingness to take financial risks and make intertemporal choices. Focus group discussions (8 per country) are used to explore participants’ perceptions of “decent work” in the context of informal employment and similarities with and differences to the ILO definition. Finally, national and household surveys (40 per country) are employed to provide a deeper understanding of participants’ experiences relating to employment, empowerment and well-being over the course of their lives.

**Initial survey and focus group results from Burkina Faso support literary claims on the diversity and heterogeneity of perceptions of ‘good work’ and ‘decent work’ across institutional contexts. The existing literature and policy analysis tends to complement universal indicators of ‘decent work’ with local, context-specific considerations that reflect the reality of work as it is performed.**

**Preliminary Results**
- Initial survey and focus group results from Burkina Faso support literary claims on the diversity and heterogeneity of perceptions of ‘good work’ and ‘decent work’ across institutional contexts.
- Critical analysis of the current employment-related MDG targets and indicators show that most indicators have serious weaknesses and are partly inadequate to evaluate progress towards achieving decent work. We propose a new set of indicators and targets with a stronger emphasis on decent pay, labour income inequality and social security.
- Analysis of focus group discussions across all three countries show heterogeneity of perceptions of ‘good work’ across groups, varying with country, gender and profession. Results suggest the need to complement universal indicators of ‘decent work’ with local, context-specific considerations that reflect the reality of work as it is performed. Preliminary survey results from Uganda suggest that entrepreneurs of Indian descent are much more successful in terms of employment creation, profits and capital accumulation than local Ugandan entrepreneurs and migrant entrepreneurs from other African countries. Preliminary experimental results reveal a large heterogeneity in risk preferences and time preferences. Preferences measured in experiments are only weakly correlated with survey-based measures of preferences. An in depth analysis on the relationship between preferences and economic performance is currently underway.
Micro- and Small Enterprises in Developing Countries: Opportunities and Constraints

Lena Giesbert, Jann Lay, Sarah Linde, Martin Ostermeier, Sebastian Prediger

Project Description

Research Questions
It is a well-documented fact that MSEs account for a large share of production, income and employment in urban areas of low-income countries (LICs). Against this background the project investigates the following questions:

- What is the role of behavioral factors, specifically risk aversion, time preferences, and overconfidence in determining MSE growth?
- Can savings devices mitigate the effects of high discount rates and/or self-control problems on savings and investment decisions in MSEs? Can savings accounts serve as commitment devices?
- How do MSEs innovate and adopt technologies and which are the implications for total factor productivity and investment decisions?

Contribution to International Research
An active recent empirical literature has considerably improved the understanding of the microeconomics of urban small-scale activities, which constitute the main source of livelihood of most the world’s urban poor. Yet, the empirical puzzle of high marginal returns to capital at low capital stocks in MSEs remains largely unresolved. In particular the role of own savings, or rather the lack of it, is not well understood. It is, for example, still unclear which features of specific savings devices are most effective in addressing different constraints to save. In addition, neither the determinants of productivity in MSEs nor the role of perceived firm productivity for investment decisions has been thoroughly analysed. Saving and investment decisions strongly depend on behavioral factors such as attitudes towards risks, overconfidence, and locus of control. We investigate the relative relevance of these behavioural constraints for firm performance. Finally, it is particular uncomforting that most of the above findings rely on the empirical analysis of short-term relationships due to the lack of long-term panel data of MSEs.

Research Design and Methods
We study MSE behaviour using state-of-the-art microeconometric methods. This includes in particular differences-in-differences and instrumental variable specifications, as common in the impact evaluation literature. The quantitative analyses will be informed by own survey data from Sri Lanka and Uganda. In both countries, a first survey was conducted in 2012 and a second wave was fielded in 2013. Funding for a third wave in both countries is being sought. While panel data on MSEs is very scarce, our data has another unique feature, as it combines firm surveys with lab experiments on risk and time preferences and, for a third wave in both countries is being sought.

Preliminary Results
Three main insights have emerged from our research to date: (1) The typical informal MSE should not be considered a subsistence enterprise. This is evident from the very high marginal returns to capital that can be earned in these enterprises. The fact that relatively rich economies, for example, Peru, still exhibit high shares of informal employment places a big question mark behind those entrepreneurial activities that are perceived as comprising the subsistence sector. It can hardly be argued that 70% of Peru’s labour force pursue subsistence activities. Rather, an important share of MSEs, even in poor economies, are perceived as comprising the subsistence sector. It can hardly be argued that 70% of Peru’s labour force pursue subsistence activities. Rather, an important share of MSEs, even in poor economies, for example in the Sahel zone, can be considered “constrained gazelles”. (2) High returns in micro-enterprises remain unexploited due to a number of economic, institutional, and social constraints. While credit constraints are found to be a key constraint for MSEs, specific sectors are heavily constrained by access to public utilities. In addition, forced solidarity, i.e. social constraints, can also partly explain the lack of investment in MSEs. (3) Those altered perspectives on the informal sector have important policy implications. From a policy perspective, these findings may accordingly be taken as an argument for providing households with credit, savings devices, and insurance. Savings devices and insurance would also enable households to insure themselves against business and non-business risks, thus channeling savings into productive investment instead of withholding liquidity for insurance purposes.

Theoretical Approaches
- Micro-economic theories of the firm

Research Design
- Comparative Design: Interrregional and Cross-Regional Comparison
- Time Dimension: Cross-Sectional Study, Longitudinal Study
- Spatial Dimension: Local, National
- Level of Analysis: Households, Firms, Countries
- Number of Cases: Large N Analysis

Methods
- Data Collection: Questionnaires, Databases (our own micro- and small-firm surveys, World Bank Enterprise Surveys)
- Data Processing: STATA
- Data Analysis: Regression Analysis, Experiments, Impact Analysis

Cooperation Partners
- Prof. Dr. Michael Grimm, University of Passau

Workshops/Conferences

Funding
- Courant Centre “Poverty, Equity and Growth in Developing Countries” at the University of Göttingen: approved research project
- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation

Duration
2013–2014
Poverty and Inequality Dynamics and the Role of Social Policies

Lena Giesbert, Jann Lay, Daniel Neff, Miquel Pellicer

Project Description

Research Questions
- How and to what extent do determinants of poverty dynamics differ between countries and regions, and under what circumstances can general mechanisms be identified?
- What is the relationship between education, employment, and poverty dynamics?
- How is (chronic) poverty publicly perceived and how do poor people themselves experience poverty?
- How do risk and strategies applied to deal with these risks relate back to observed poverty dynamics?

Contribution to International Research
Research on diverging welfare trajectories on a micro-level stems from the macroeconomic literature on poverty dynamics. However, regional differences, the consequences of risks, and asset-based poverty traps on the micro-level have not been sufficiently captured empirically. In addition, development research has mainly been concerned with the direct effects of income on poverty. There is a lack of research on how the living standard of people sustainably improves, for instance through employment and education, both of which can be paths to upward mobility as well as factors solidifying existing inequality. The research on public opinion and subjective experience of poverty and its determinants contributes to the international research on the subjective perception of well-being.

Our research is based on both quantitative and qualitative methods. Quantitatively, we use micro-level surveys (household surveys, school surveys, etc.). In this area, particular attention is paid to proper identification of causal effects by means of the use of natural experiments. Qualitative methods include life and employment histories, focus group discussions, open-ended interviews, etc.

Preliminary Results
Research on the public perception of poverty confirms a consistent global belief that poverty is persistent. We show that interests, position, knowledge, and shared values relating to social justice are important factors that shape public attitudes to chronic poverty.

Results for rural Mozambique, for example, show no evidence for a poverty trap based on multiple equilibria in the medium term. However, rural households converging to a very low equilibrium and are rather collectively trapped in generalized underdevelopment. Results from our research are, however, households have less access to formal insurance, savings, and credit options. Evidence also suggests that the use of microinsurance and other formal financial services is more restricted. At the same time, more universal strategies, such as risk sharing within social networks, do not lose their significance in poor households’ efforts to manage the multitude of risks they are exposed to.

Preliminary results from education research in South Africa suggest that the country is caught in an inequality trap partly caused by the combination of skill scarcity and large skill premiums. These features, in turn, can be traced to skill distributions diverging over primary and secondary school, due to large differentials in school quality.

Results on the role of education in Tunisia show strong returns in terms of occupational status. The estimates we obtain are purged from potential ability and other biases and thus reflect the causal effect of education. Education in Tunisia thus appears to foster mobility. However, we also find some evidence suggesting that these returns might be driven more by “credentialism” than by genuine human capital accumulation.

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Results for rural Mozambique, for example, show no evidence for a poverty trap based on multiple equilibria in the medium term. However, rural households converging to a very low equilibrium and are rather collectively trapped in generalized underdevelopment. Results from our research are, however, households have less access to formal insurance, savings, and credit options. Evidence also suggests that the use of microinsurance and other formal financial services is more restricted. At the same time, more universal strategies, such as risk sharing within social networks, do not lose their significance in poor households’ efforts to manage the multitude of risks they are exposed to.

Preliminary results from education research in South Africa suggest that the country is caught in an inequality trap partly caused by the combination of skill scarcity and large skill premiums. These features, in turn, can be traced to skill distributions diverging over primary and secondary school, due to large differentials in school quality.

Results on the role of education in Tunisia show strong returns in terms of occupational status. The estimates we obtain are purged from potential ability and other biases and thus reflect the causal effect of education. Education in Tunisia thus appears to foster mobility. However, we also find some evidence suggesting that these returns might be driven more by “credentialism” than by genuine human capital accumulation.
West African Traders as Translators between Chinese and African Urban Modernities

Karin Giese, Cindy Si Miao Liang, Laurence Marfaing, Alena Thiel

Project Description

The project investigates, with the case studies of Senegalese and Ghanaian transnational entrepreneurs in China, the kind of transnational practices that shape the encounters with and the experiences of urban Chinese modernity for various groups of West African traders. It addresses the marks of the personal experience of China left on African traders through their economic sojourns to the Chinese supply centres of global capitalism (material objects and/or abstract concepts alike) and analyses the ways in which the African traders’ experiences and interpretations of China are formed by various social actors and influenced by social formations (networks) and belief systems (religion) relevant to them. The project seeks to understand how the traders individually select, interpret, translate, and redefine “things Chinese” (ranging from material objects to abstract concepts, lifestyles, ideologies) within the context of their home societies by enacting their social capital as members of a virtual community and in what way the discursive processes of translation and creative appropriation might impact negotiating social change and re-ordering (institutions, practices, social formations, policies) in urban West Africa in an era of accelerated and increasingly accessible economic globalisation.

Contribution to International Research

In order to study the socio-economic practices of the West African transnational traders with regard to their specific experiences of urban Chinese modernity and to reconstruct the original Chinese significations of the translation products within the framework of multiple modernities that can be identified in Ghana and Senegal, intensive fieldwork is conducted in Guangzhou, Xiwu, and Hong Kong as the three most important destination cities for West African traders. We widen the originally multi-sited ethnography approach by engaging in mobile (accompanying) ethnography, which we achieve by joining our research subjects on their sojourns to China and back. We make use of a specific mix of qualitative methods based on a participatory approach including narrative and open interviewing. Biographical information are included to a large extent. We evaluate the observed processes and significations of the translation products against the backdrop of a range of pre-structuring factors (material, social, economic and political orders and local power relations insofar as they can be regarded relevant. To that end, we conduct additional desk research as well as semi-structured interviews with selected informants in key positions of society, as well as with state authorities and representatives from associations, lobby groups, other relevant institutions.

Overall, the project aims to identify the specific elements of the experience of Chinese urban modernity that individual African traders choose to or refuse to transfer to their home societies. To explore the changing significations of selected material objects and immaterial concepts – in other words, travel ideas – that form part of the baggage that these African travelling traders translate between urban Chinese and urban West African modernities. To analyse in how far these translations endorse social change in West African societies.

- **Research Questions**

  - To identify the specific elements of the experience of Chinese urban modernity that individual African traders choose to – or refuse to – transfer to their home societies.
  - To explore the changing significations of selected material objects and immaterial concepts – in other words, travel ideas – that form part of the baggage that these African travelling traders translate between urban Chinese and urban West African modernities.
  - To analyse in how far these translations endorse social change in West African societies.

- **Theoretical Approaches**

  - **Comparative Design:** Inter- and Intrag regional Comparison
  - **Research Design:** Time Dimension: Cross-Sectional Study
  - **Research Methods:** Data Collection: Questionnaires, Interviews, Narratives, Observation/Ethnography, Visual Data, Databases (UNCOMTRADE)
  - Data Processing: MAXQDA
  - Data Analysis: Grounded Theory

- **Cooperation Partners**

  - **Africa:** University of Dakar and FAN, Dakar; University of Ghana, Legon
  - China: Chinese University of Hong Kong; Jinan University Guangzhou; China: Chinese University of Hong Kong; Jinan University Guangzhou

- **Publications**

Research Questions

Both multinational Corporations (MNCs) from developing countries (South-South firms) and MNCs from industrialised countries (North-South firms) are important investors in developing countries. Generally speaking, FDI can lead to positive effects in the host country. This research project studies the productivity effects of South-South and North-South firms on domestic firms in several sub-Saharan African countries by investigating the following questions:

- What is the importance of North–South and South–South firms in terms of market shares (turnover, employees) in different industry sectors in the 12 sub-Saharan African countries?
- To what extent do size, productivity, sector specialization, and business strategy differ between domestic firms and MNCs from different countries in sub-Saharan Africa?
- What can we learn about the presence and extent of productivity effects of South–South and North–South firms on domestic firms in sub-Saharan African countries?

Contribution to International Research

The project aims to provide new insights into the importance and productivity effects of foreign firms from different home countries in sub-Saharan Africa.

Research Design and Methods

We use firm-level panel data from 12 countries in sub-Saharan Africa from the World Bank Enterprise Surveys (WBES). Using these survey data in a cross-country setting requires a considerable effort in data preparation and cleaning. Moreover, a detailed ownership analysis will be carried out. In order to identify the different characteristics as well as the productivity effects of FDI from North-South and South-South firms, different types of production functions are considered and appropriate panel-data methods are applied.
Globalisation of Chinese Companies

Margot Schüller, Yun Schüler-Zhou

Project Description

Research Questions

- What are the patterns, drivers and implications of Chinese OFDI?
- What role does the Chinese state play in Chinese companies “going global”?
- What are the implications of Chinese OFDI for the business climate in the EU?
- What is the relationship between the Chinese diaspora and Chinese OFDI?
- To what extent are German companies investing in China involved in R&D?
- What are the implications of Chinese R&D investment in Europe, especially in Germany?

Contribution to International Research

International management theories are still focusing on the FDI of Western, industrialized countries. In our analysis of Chinese OFDI in the EU, we complement existing approaches by adding the perspective of the latecomer economies and by applying the new institutional theory approach. In our analysis of the relationship between migration and FDI, we study the role of the Chinese diaspora in Germany and their impact on Chinese OFDI. The international research on diaspora networks has just begun and offers a fresh look at both migration and OFDI.

We follow a mixed-methods approach by collecting data through surveys and expert interviews. For the research paper on Chinese OFDI in the EU (for the European Commission), we conduct an M&A analysis to reveal the patterns of Chinese FDI with regard to the geographical and sectoral distribution, payment preferences, and other important characteristics of M&A transactions. For the German-Chinese Innovation Platform activities, we conduct a survey with the Verband Deutscher Maschinen- und Anlagenbau (VDMA) on approximately 300 German companies from the machinery and equipment industries, focusing on their R&D activities in China. In addition, face-to-face interviews are planned with a selected number of VDMA member companies in China.

To study the relationship between Chinese migration and FDI in Germany, expert interviews will be conducted with Chinese academic and commercial associations and German and Chinese companies.

Chinese investments in Europe, especially in Germany, reveal a strong move toward market and asset-seeking investments. German companies acquired by Chinese investors, especially in the machinery industry, are often not only leaders in their fields, but also strongly focused on R&D. This investment motive seems to be the predominant M&A strategy of Chinese companies in Germany. Interviews and surveys conducted by the authors have confirmed that recent investment activities of Chinese companies in Germany were driven mainly by technology-seeking. In addition, greenfield investments by high-tech Chinese companies, especially from the telecommunications industry (Huawei, ZTE, etc.), have also strongly increased. These investments are focusing on Germany as an important market and on specific companies and R&D centers in order to jointly develop new technologies. Given the significant growth in the size of the Chinese population living in Germany on the one hand and the ‘liability of foreignness’ for Chinese companies in Germany on the other, the diaspora plays a crucial intermediary role in attracting FDI. The involvement of the diaspora in the investment decision-making process helps overcome the “psychic distance” that exists between China and the target location, a distance that results in high information costs related to investment opportunities, government regulations, and/or the trustworthiness of potential business partners.

Methods

- New institutional economics
- International management theories
- Comparative Design: No Comparative Design
- Time Dimension: Retrospective Study, Cross-Sectional Study
- Spatial Dimension: Locally, Subnational, National, Regional, Global
- Level of Analysis: Individuals, Firms, Countries
- Number of Cases: Small-N Analysis

Cooperation Partners

- Prof. Michel Clemett, University of Hamburg
- Prof. Barbara Krug, University of Rotterdam
- Dr. Marco Santillippo, European University Institute, Florence
- Dr. Johannes Meuer, University of Zurich

Workshops/Conferences

- “Chinese Direct Investment in Germany – What Role for the Diaspora?”, 7th China Goes Global Conference, Jacobs University, Bremen, 25–27 September 2013 (M. Schüller)
- “Analysing Chinese OFDI under Information Constraints: Opportunities, Illustrations and Prospects”, Panel at the 5th Conference of the International Association of Chinese Management Research, Hong Kong, 20–24 June 2012 (M. Schüller)
- “China’s OFDI Patterns: Drivers and Implications for Host Countries”, ERM Research Seminar, University of Rotterdam, 9 May 2012 (M. Schüller)
- “China’s OFDI Footprint in Europe: Investment Patterns, Drivers and Implications”, presentation for the EU Commission, DG Enterprise and Industry, 30 March 2012 (M. Schüller)

Acknowledgments

- Workshop of the Sino-German Innovation Platform, Beijing, 22–26 July 2013; Preparation of a joint publication and of the next bilateral conference (M. Schüller).
- “China’s Outward Direct Investment: Strategic Investments and Decision-Making. Autonomy of Chinese Overseas Subsidiaries”, Jacobs University, Lecture Series, 2 April 2013 (M. Schüller)

Publications


Funding

- Bundesministerium für Bildung und Forschung (BMBF) (Federal Ministry of Education and Research) (Sino-German Innovation Platform Expert Group): approved
- European Commission, DG Enterprise and Industry (research report): approved
- European University Institute, Florence (research paper): approved

Duration

2012–2015
Transparency, Dynamics and Impacts of Large-Scale Land Acquisitions (LSLA): Global and Local Evidence

>> Christof Althoff, Jann Lay, Kerstin Nolte, Martin Ostermeier

Project Description

Research Questions
The project deals with the global scale and the impacts of large-scale land acquisitions. It will investigate particularly the impact of:
- involvement of the local population in decision-making processes
- Compensations and evictions
- Productivity effects
- Improved access to public services
- Employment creation

Contribution to International Research
Large-scale land acquisitions (LSLAs) in developing countries have received increasing attention by the media, policy makers in both investor and target countries, development agencies, and academia. Research on the phenomenon suggests that LSLAs are clearly an important trend with far-reaching implications for many developing countries, most notably for the populations living in affected areas. Yet, evidence on the impacts of this recent phenomenon is still scarce and often case-study based.

Research Design and Methods
The project focuses on the impacts of LSLAs, with both a quantitative and qualitative component. First, certain impact dimensions – for example investment-related benefits and compensations – will be examined on a case-study basis using qualitative approaches. The proposed studies will build on earlier work. More specifically, we will re-visit specific cases of land deals in Kenya and Zambia investigated in a previous project and conduct expert interviews. Other impact dimensions – for example employment and productivity – can be better analysed using quantitative techniques. For these analyses, we will conduct studies on Cambodia, Laos, and Zambia. Methodologically, we will rely on standard impact evaluation techniques – in particular, difference-in-differences estimates on a small geographical scale (community, village). The Land Matrix data base, managed by the GIGA, will be used for additional data.

Preliminary Results
The current data from the Land Matrix data base exhibits an ongoing demand for land and ongoing – but slow – implementation. Demand is mainly driven by agricultural production, specifically food crops and agrofuels, as well as forestry projects.

First insights from the case study on Zambia show that differences between such districts that have, and such that do not have, agricultural investments are due to initial differences. Hence, we cannot determine any spillover effects due to large-scale land acquisitions – at least not on such a broad geographical scope as the district level. The next step of the analysis is to refine the analysis and allow for a more localised impact assessment.
Climate Change Mitigation and Poverty Reduction (CliMiP) – Trade-Offs or Win-Win Situations?

Tara Caetano, Jann Lay, Miriam Prys, Sebastian Renner

**Research Questions**
- Does the implementation of climate change mitigation policies in developing countries always involve a trade-off between economic development, poverty reduction, and climate protection, or is there space for “win-win policies”? This question is relevant for today’s growing middle-income economies, which are already or will soon become very significant contributors to global warming.
- The project will analyse these economies from three different angles: a comparative politics perspective on domestic climate governance and mitigation policy options, an economics perspective on the poverty and distributional impact of mitigation policies, and an international relations perspective on the global discourse surrounding mitigation and economic development (see project in RP 4). The project staff will cooperate closely with domestic partner institutions in South Africa, Mexico and Thailand, the three case study countries.

**Contribution to International Research**
Despite the increasing role of today’s developing world in GHG emissions, “climate and development” research to date has largely focused on developing countries’ vulnerability and adaptation to climate change, and on climate-related transfers in these countries, such as those of the Joint Implementation and the Clean Development Mechanism (CDM).

Meanwhile, the critical issue of mitigation in developing countries becomes a hotly debated issue in climate negotiations. This focus on mitigation requires a shift in the analytical perspective. While the technological and natural science perspectives that tend to dominate the climate change discourse (with a focus on adaptation) are clearly important, a social science perspective is warranted as well. This is particularly true because of the latter’s usefulness in analysing the possible trade-offs between mitigation and socio-economic development.

The project adopts a multidisciplinary social science approach with a comparative and global perspective. While they will remain firmly theoretically and methodologically grounded in their respective disciplines, the three study areas – (1) domestic climate governance, (2) poverty and distributional impacts of mitigation policies, (3) global perspective and the mitigation-development discourse – will interact continuously.

**Preliminary Results**
Simulating the welfare effects of fossil energy subsidy reform in Indonesia makes clear that the distributional impact depends on the subsidized energy carrier and the corresponding price schedule. Although the national impact depends on the subsidized energy carrier and the corresponding price schedule, the technological and natural science perspectives that tend to dominate the climate change discourse (with a focus on adaptation) are clearly important, a social science perspective is warranted as well. This is particularly true because of the latter’s usefulness in analysing the possible trade-offs between mitigation and socio-economic development.

The investigation of domestic climate governance will rely mainly on qualitative methods. These will include interviews with policy-makers, experts, and practitioners to investigate their motivations and the driving and constraining forces behind their actions in climate change mitigation policy processes. We then plan to assess the poverty and distributional impacts of mitigation policies, i.e. the possible trade-offs between mitigation and socio-economic development. In the three case study countries using incidence-focused general equilibrium models, simulation models based on micro-data, and a combination of these two modelling approaches. As mitigation policies in the case study countries are rare and recent, the limited availability of data means that the analyses will typically be ex-ante modelling exercises. In a final step, shaped by the lens of international relations, a combination of quantitative and qualitative content analysis will allow us to identify the “frames” or “templates” according to which the problem of developing country mitigation and related themes are presented. This analysis will demonstrate what types of solutions different actors or actor groups offer for these issues.

Simulating the welfare effects of fossil energy subsidy reform in Indonesia makes clear that the distributional impact depends on the subsidized energy carrier and the corresponding price schedule. Although all households suffer negative welfare effects in all policy scenarios without compensation schemes, the effects are progressive in the case of baseline increases in energy prices when keeping the current block-tariff schedules in place. The latter means that the current cross-subsidization with high demand users paying higher prices could be kept in place, combined with a general increase in energy prices leading to a slightly progressive distributional effect. Therefore, the preliminary conclusion of the micro studies is that energy price increases could create win-win situations for mitigation efforts and poverty reduction in the case of properly designed compensation schemes, redistributing from the rich to the poor.

These microeconomic analyses are quite important on their own, as they are able to describe heterogeneous household behavior in considerable detail. However, they miss out on important indirect effects induced by policy reforms such as price effects in production, the labor market and international trade. To reflect these effects, we use Input-Output (IO) and Computable General Equilibrium (CGE) models. Simulating a carbon tax for Thailand with an IO model, we find substantial indirect price effects resulting in a regressive scenario with significant impacts on poor households.
The Land Matrix

Jann Lay, Kerstin Nolte, Christof Althoff, Martin Ostermeier

Project Description

Research Questions
- What is the real extent, nature and impact of large-scale land investments?
- Who is investing and where?
- What is driving the increasing interest in land?

Contribution to International Research
The Land Matrix database is a constantly updated data set that includes land acquisitions made primarily for agricultural production (for food or agrofuel production). Deals included in the database must meet the following criteria:
- They entail a transfer of rights to use, control or own land through sale, lease or concession.
- They were initiated sometime since 2000, when the annualized value of the FAO real food price index was at its lowest level.
- They cover an area of 200 hectares or more.
- They entail the potential conversion of land from local community use or from important ecosystem-service provision to commercial production.
- Are targeted at low- and middle-income countries.

Records are derived from a variety of sources: media reports; reports by international and local organisations, NGOs, and field-based research projects; company websites; and government records. Sources are partly accessed through two active internet portals dealing with land transactions: www.commercialpressuresonland.org and www.farmlandgrab.org. Company websites and government records are also used where these are available. Moreover, the “crowdsourcing” function plays an increasingly important role.

Preliminary Results
An improved version of the online Land Matrix database was re-launched in June 2013. It is currently the largest data set of its kind and generates wide public interest. The Land Matrix data shows that there is indeed a global trend toward land acquisitions, and that a large number of these projects are likely to materialise. However, implementation on the ground is slow and a huge number of projects fail.

According to the Land Matrix information, Africa is the most targeted continent and most target countries are characterised by weak land governance and high incidences of hunger. Furthermore, targeted areas come from comparatively wealthy countries, and countries that are net food importers. All in all, the data suggests that in a large number of cases there are trade-offs environmental and social goals.

Project Design

Research Design and Methods
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Landcape-Level Assessment of the Ecological and Socio-Economic Functions of Rainforest Transformation Systems in Sumatra (Indonesia) (part of CRC 990)

Jann Lay, Elisabeth Hettig

Project Description

Research Questions
In Sumatra, Indonesia, what were previously lowland rainforest landscapes have been transformed into a mosaic landscape with patches of rainforest interspersed with rubber and palm oil plantations. In this context, the project's guiding question is as follows:

What kind of landscape mosaic optimises the ensemble of biodiversity, ecosystem functions, and economic benefit based on the synergies and trade-offs that we have to account for?

We plan to develop an integrated model of different aspects of ecological diversity, ecological functions, and socio-economic functions. We will use a MAS/LUCC modelling approach (multi-agent system models of land-use and land-cover change) because of its high suitability for the integrated modelling of ecological-economic systems. The model will be used to (1) integrate diversity, and functions and (2) scale up from the local level to the landscape level and broader scales.

We expect the project's main result to be an integrated strategic model that links the ecological and economic processes of the transformation system to the landscape. We anticipate that we will identify the trade-offs and synergies within and between ecological and socio-economic functions, and how these trade-offs and synergies change across transformation systems, spatial configurations and scales.

The project will thus contribute to the interdisciplinary research on rainforest transformation systems, which are playing an increasing role across the tropics. It will also illuminate the complex interplay between the environment and human action in a rapidly developing region that is characterised by global cash-crop cultivation.

Research Design and Methods
The purpose of our model is to provide an integrated, exploratory tool for the analysis of spatio-temporal land-use scenarios with respect to the four transition systems. We will develop a coupled multi-agent system model of land-use and land-cover change – that is, a MAS/LUCC model. More specifically, we will adopt an agent-based approach (MAS) to model the behaviour and land-use decisions of individual households within the landscape. Households interact with the landscape with the aim of maximizing their economic growth as a strong catalyst of human induced land-use change. A refined model will test this result as one specific hypothesis.

Preliminary Results
We developed a prototype of an integrated ecological and socioeconomic land-use change model for Jambi, Sumatra, and Indonesia. To model the relevant set of socioeconomic drivers of land-use change, we built a conceptual framework of micro-level drivers. Thereafter we drew on a review of socio-economic determinants of land-use change in tropical regions. In this review we systemized the results of 70 recent empirical and theoretical studies which analyse land-use change at the farm-household level. Our review suggests that household endowments play a major role in driving land-use change. This result stresses the importance of economic growth as a strong catalyst of human induced land-use change. A refined model will test this result as one specific hypothesis.
Long-Term Land Use, Poverty Dynamics and Emission Trade-Offs (part of CRC 990)

>> Jann Lay, Katharina Trapp

Project - To analyse the long-term drivers of poverty and vulnerability in transformed forested landscapes in Indonesia.

Goals - To estimate the greenhouse gas (GHG) implications of households’ production and consumption decisions and to analyse the determinants of these emissions on the production and consumption side.
- To identify possible trade-offs between poverty reduction and the carbon intensity of households’ land-use, production and consumption decisions and to develop solutions to minimize these trade-offs.

Theoretical Approaches - Models of land-use change
- Household models
- Welfare analysis
- Carbon footprint analysis

Research - Comparative Design: Interregional Comparison
Design - Time Dimension: Longitudinal Study
- Spatial Dimension: Local, National, Regional
- Level of Analysis: Households, Farms
- Number of Cases: Medium-N Analysis, Large-N Analysis

Methods - Data Collection: Questionnaires
- Data Processing: STATA
- Data Analysis: Impact Analysis, Multivariate Methods, Regression Analysis, Spatial Analysis

Cooperation Partners - Prof. Stephan Klassen, Ph.D., and Rivayani Darmawan, M.Sc., Department of Economics, University of Göttingen
- Prof. Mathawati Mappatoba, Department of Economics, Tadulaku University
- Nunung Nurartono, Faculty of Economics and Management, Bogor Agricultural University

Workshops/Conferences - Kick-off Workshop for the Collaborative Research Centre 990, 19-20 June 2012 in Bogor and 22-24 June 2012 in Jambi (Indonesia)


Funding - Deutsche Forschungsgemeinschaft, SFB 990 (DFG) (German Research Foundation, Collaborative Research Center 990): approved

Duration 2012-2015

Project Description

Research Questions - What are the long-term drivers of the poverty and vulnerability of rural households in transformed forested landscapes in Sulawesi and Jambi?
- To what extent are particular income packages able to substantially reduce the poverty and vulnerability of households?
- What impact do production decisions (forest conversion and use intensification, crop and production choices, income portfolios, and technologies) as well as consumption decisions have on households’ GHG emissions?
- How can we best understand the drivers of GHG emissions and the heterogeneity among households to identify trade-offs and win-win situations between poverty reduction and emission reductions?

Contribution to International Research - The transformation of forested landscapes, poverty reduction, and GHG emissions are closely intertwined. Understanding the drivers of land-use change is key to understanding these interrelationships. However, due to shortcomings in data availability and methodological approaches, many questions remain open. Few studies have been able to analyse the dynamics of resource use in the medium to long term as this requires panel data and associated econometric techniques that control for household-specific effects, endogeneity, and initial conditions. In addition, the link between the dynamics of land and forest use and vulnerability has not been sufficiently examined. This vulnerability is also likely to differ by region and according to the crop type and the associated technologies. Therefore, this study’s comparative perspective, which assesses these issues using data from smallholder cocoa farmers in Sulawesi and rubber and palm oil producers in Jambi, will be particularly useful, as will further comparisons with national cross-sectional and panel data that will assess the relevance of the findings from the study areas at a higher level of aggregation.

Research Design and Methods - To analyse the drivers of long-term poverty and vulnerability in transformed forested landscapes, this project will combine long-term panel analyses, comparative surveys from two study regions, and national data. An existing panel survey was already extended by a fourth wave of the income and expenditure panel surveys in Sulawesi beginning of 2013. Using this panel survey, we will assess these long-term drivers applying advanced panel econometric methods. In a second group of analyses, the researchers will assess the drivers of (static) income poverty using an explicitly comparative framework. This step will draw on the data from Sulawesi, the household surveys generated by subprojects of CRC 990 in Jambi, and national cross-sectional (SUSENAS) and panel (RAND) household surveys.

Preliminary Results - In an empirical study on land-use change at rainforest frontiers in Sulawesi Indonesia, we analysed the drivers of land-use change with a specific focus on their impact on economic development. Using a three wave household panel survey from 2001 to 2013 we applied household fixed effects to estimate first the micro level drivers of households’ land use patterns, and second the determinants of households’ income portfolios. Preliminary results suggest that land-use change in the Lore Lindu region is indeed determined by price signals. Households adopting the relevant cash crops within the region are significantly better-off comparing to households cultivating staple crops. Further we found that more land is put to cash crop cultivation in regions with higher immigration.
Socio-Economic Transitions

Erich Gundlach

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Project Description

Research Questions
The research hypothesis is that many socio-economic and political transitions are primarily driven by a common factor, namely a persistent growth rate of per capita income. At the same time, it is obvious that all transitions also, in turn, affect the underlying growth rate of income. The basic challenge of this research agenda is twofold. First, we need to develop a framework that can help clarify how a given long-run growth rate simultaneously affects the transitions under consideration. From a theoretical point of view, such a framework separates causality from correlation. Second, we need to empirically identify the potential two-way causalities between the long-run growth rate and the various transitions.

Contribution to International Research
The research project deals with recent hypotheses that challenge modernization theory, such as the hypothesis of the primacy of institutions advanced by Acemoglu, Johnson, and Robinson (see their survey article in the Handbook of Economic Growth 2005) or the supply-side theory of religiosity advanced by Iannaccone and co-authors. Research results are expected to be published in internationally renowned journals such as Kyklos, European Journal of Political Economy, Public Choice, and World Bank Economic Review.

Research Design and Methods
The project addresses three topics. (1) It will consider the transition of education from a traditional low-level equilibrium to a modern high-level equilibrium, and will focus on the ambivalent role of education as a consequence and a determinant of long-run growth. (2) From a theoretical perspective, it will also consider how previously identified transition variables such as democracy and religiosity interact with each other in the process of long-run development. (3) Finally, it will consider whether the recent empirical model that has been used to claim that there is no democratic transition is likely to produce biased estimates, also when applied to other transitions. The methods the project will use include general equilibrium analysis, regression analysis, and simulation studies.

Preliminary Results
The researchers’ work on the religious transition has been accepted for publication in Public Choice and in Theoretical Economics Letters. These papers show that there is robust empirical evidence for a fall in religiosity as a result of rising levels of income. The estimated transition parameter can be related to a model of the religious transition that emphasises the substitution of scientific knowledge for religious beliefs as the engine of long-run growth.

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Project Goals
- To explain the long-run path of socio-economic transitions from a traditional equilibrium to a modern equilibrium.

Theoretical Approaches
- Growth theory
- Trade theory
- Development theory

Research Design
- Comparative Design: Cross-Regional Comparison
- Time Dimension: Long-run
- Spatial Dimension: National
- Level of Analysis: Countries
- Number of Cases: Large-N Analysis

Methods
- Data Collection: Documents, Databases
- Data Processing: Stata
- Data Analysis: General Equilibrium Models, Regression Analysis, Simulation Methods

Cooperation Partners
- Prof. Dr. Martin Paldam, School of Economics and Management, Aarhus University, Denmark
- Dr. Matthias Opfinger, Department of Economics, Leibniz University Hannover, Germany
- Erich Gundlach

Teaching
- “Data Empirics with Stata (BA), University of Hamburg, Summer Semester 2012, 2013
- Growth Theory (BA), University of Hamburg, Winter Semester 2012/13
- Global Development (BA), University of Hamburg, Winter Semester 2013/14

Workshops/Conferences
- “Dynamics, Economic Growth, and International Trade (DEGIT) XVIT, Milan, Italy, 13–14 September 2012 (co-organised by E. Gundlach)
- Theological Economics Growth, and International Trade (DEGIT) XVII”, Milan, Italy, 13–14 September 2012

Publications

Funding
- Claussen-Simon-Stiftung (Claussen-Simon Foundation): approved
- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation

Duration
2011–2015
Research Programme 3: Selected Publications 2013

Articles in Refereed Journals


Contributions to Edited Volumes

### Project Description

**Regional Powers Network**

- **Joachim Betz, Gero Erdmann, Daniel Flemes, Henner Fürtig, Anja Jetschke, Robert Kappel, Hartmut Mayer, Detlef Nolte, Miriam Prys, Leslie Wehner and the HIGS doctoral students**

#### Research Questions

The Regional Powers Network is guided by one overarching research question: How is the rise of actors such as Brazil, China, India or South Africa influencing regional and global power shifts?

In its ongoing research, the RPN network is seeking to focus its research agenda. Questions regarding the "differentiation of power", from an actor-centred as well as from a structural perspective, will now come to the fore. To date, the RPN’s research has been oriented towards states. The effects of globalisation and crises, however, require the analysis of new or strengthened actor constellations at the international and transnational levels.

The project has successfully established a network of leading European and extra-European research institutions, all of which demonstrate a specific competence in the fields of international relations and area studies with regard to non-European regions (Africa, Asia, Latin America, Middle East). Furthermore, the project is contributing to the development and empirical application of theories in the field of international relations, from the viewpoint of comparative area studies, through numerous publications and conference papers.

The topic “regional powers” can only be meaningfully analysed using divergent explanatory approaches within international relations. The RPN research network is defined by the research topic, a shared research question, and its linkages to specific research traditions (international relations, area studies), but not by a joint theoretical approach to international relations. We assume that within such a large research network, a pluralism of theory and methodology offers the best possibilities for generating knowledge.

**Preliminary Results**

The RPN organisers held six international RPN conferences between 2008 and 2013. As a result of these conferences, the network members’ awareness of demographic, economic, and political shifts in influence between established and emergent powers has increased significantly. The participating researchers have analysed emergent regional powers across policy fields and regions – particularly in Asia, but also in Latin America, Africa, and the Middle East. This interaction and collaboration shall continue through further conferences and joint projects.

#### Project Data

<table>
<thead>
<tr>
<th>Category</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project</strong></td>
<td>To maintain the international RPN research network, to extend the RPN’s research topics “beyond the state”, and to identify new research topics within the framework of comparative area studies.</td>
</tr>
<tr>
<td><strong>Goals</strong></td>
<td>- Theories of regional integration/cooperation, regional orders, regional security complexes, - Development of concepts and questions regarding the constitution of regions and power</td>
</tr>
<tr>
<td><strong>Theoretical Approaches</strong></td>
<td>- Realism, liberal institutionalism, constructivism, poststructuralism</td>
</tr>
<tr>
<td><strong>Research Design</strong></td>
<td>- Comparative Design: Cross-Regional Comparison, - Time Dimension: Longitudinal Study, - Spatial Dimension: Regional, Global</td>
</tr>
<tr>
<td><strong>Number of Cases</strong></td>
<td>Small-N Analysis</td>
</tr>
<tr>
<td><strong>Methods</strong></td>
<td>- Data Collection: Documents, - Data Analysis: Hermeneutic Analysis, Process Tracing</td>
</tr>
<tr>
<td><strong>Cooperation</strong></td>
<td>- Members of the RPN are situated in 60 different institutions in over 20 countries</td>
</tr>
<tr>
<td><strong>Partners</strong></td>
<td>- Additional partners, among others: Centres for Rising Powers (University of Cambridge), - “China as a New Rising Power: Partner and Rival of Germany”, Workshop, GIGA, Hamburg, 18 July 2012</td>
</tr>
<tr>
<td><strong>Funding</strong></td>
<td>- Pakt für Forschung und Innovation, Leibniz Wettbewerb (Joint Initiative for Research and Innovation, Leibniz Competition), 2008-2010: approved, - GIGA, - Fritz Thyssen Stiftung (Fritz Thyssen Foundation), workshop funding: approved</td>
</tr>
<tr>
<td><strong>Duration</strong></td>
<td>2008-2014</td>
</tr>
</tbody>
</table>
Regional Security Governance for Afghanistan

Sandra Destradi

Research Questions
- What impact do the policies pursued by an external actor have on the policies of the regional actors India, Pakistan, China and Iran?
- Why does the overlap of different regional security governance mechanisms hamper regional cooperation?
- What impact do the policies pursued by an external actor have on the policies of the regional actors India, Pakistan, China and Iran?
- Why does the overlap of different regional security governance mechanisms hamper regional cooperation?

Project Description
- To assess the foreign and security policy of regional actors towards Afghanistan.
- To generate broader hypotheses on the interplay between regional powers and extraregional actors in the field of regional security governance.
- To assess the impact of overlapping security governance mechanisms on conflict management activities and outcomes.
- Theories on security governance, regional orders, regional security complexes
- Comparative Design: inter-regional and cross-regional comparison
- Spatial Dimension: National, Regional, Cross-regional
- Level of Analysis: Countries, Regions
- Number of Cases: Small-N Analysis
- Data Collection: Documents (for the part on South Asia: official government documents: speeches, statements, etc.; publications by major think tanks; reports from the main national newspapers, interviews during fieldwork in New Delhi in October-November 2013, Databases (Lexis Nexis)
- Data Processing: Atlas.ti
- Data Analysis: Content Analysis, Process Tracing
- Institute of Defence Studies and Analyses (IDSA), New Delhi, India
- University of Hamburg, Summer Semester 2013
- University of Göttingen, Summer Semester 2012
- University of Hamburg, Summer Semester 2012 (with J. Vüllers)
- Indian Foreign and Security Policy in South Asia: Regional Power Strategies, London: IFSH, University of Hamburg, 26-27 May 2014
- Regional Security for Afghanistan? The Implications of Overlapping Regions, Lecture at Jamal Malik India, New Delhi, India, 25 November 2013
- Overlapping Regional Security Governance Mechanisms: An Alternative Interpretation of the Difficulties of Regional Cooperation for Afghanistan, IDSA, New Delhi, India, 11 November 2013
- Making Sense of Afghanis’ Neighbourhood: A Research Agenda, IDSA, New Delhi, India, 13 March 2013
- Regional Powers’ Strategies: India’s Afghanistan Policy, Chinese Foreign Affairs University (CFAU), Beijing, China, 17 March 2013
- Regional Powers and Regional Security, European University Institute (EUI), Fiesole, 31 May 2013
- Indian Foreign and Security Policy in South Asia: Regional Power Strategies, London: Routledge
- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation), grant to support the initiation of international collaboration: approved.
- 2013-2015
Contested Leadership in International Relations: Power Politics in South America, South Asia and Sub-Saharan Africa

>> Daniel Flemes, Georg Strüver, Hannes Ebert

Project Description

Research Questions

- Does regional acceptance or contestation influence regional powers' chances of success in global affairs?
- In short, does regional support matter?
- How do regional orders shape the global strategies of regional powers?
- How do the relations between regional and external players (the US, China, Russia, the EU and Germany) impact regional power distribution?
- Which factors motivate secondary powers to accept or contest regional powers' leadership claims?
- In short, why do followers (not) follow?

First, the interregional comparison of the relations between regional and secondary powers shall explain why potential followers tend to contest regional leadership. The proposed study will focus on both the leaders and the followers (or contesters of leadership) and will contribute to the theoretical IR debate on the sources of leadership. Second, the research project will add to the existing knowledge on the nexus of regional and global orders. It will analyse the global impact of secondary powers' regional strategies (acceptance or contestation) using a comparative perspective. A direct or indirect impact of secondary powers' foreign policies at the global-system level would support the thesis of a multiregional world order. This view would be compatible with predictions of a systemic transformation into a "non-polar world" (Haass 2008) or a system of "multi-multipolarity" (Friedberg 1994). Third, the interregional comparison will disclose if and how different regional environments shape regional powers' global strategies. In addition to cultural and historical factors, economic interconnectedness and regional security settings will be the focus of the analysis.

Contribution to International Research

We will compare three dyads in regional relations: India vs. Pakistan, Brazil vs. Venezuela, and South Africa vs. Nigeria. Additionally, we will analyse the bilateral relations of each of the regional and secondary powers with extraregional powers – namely, the US, China, Russia, the EU, and Germany – in order to capture the external influences on the regional relationship patterns. Conversely, we will explore the impact of bilateral relationships with external powers and regional patterns (cooperation, competition, conflict) on the global order. Those factors are assumed to be determinants of the actors' foreign policies and, hence, of the relationships between regional and secondary powers – which are marked by different types of "contested leadership" – will be the focus of the comparison: resources, interests, strategies and perceptions of foreign policy.

Preliminary Results

The preliminary results identify the following drivers as the decisive variables in the development of secondary powers' foreign policy strategies:

- A secondary power's choice of regional strategy is primarily dependent on structural drivers such as its relative position in the regional hierarchy. Direct, usually military contestation strategies correlate with a relatively symmetric distribution of power and resources between primary and secondary power. In contrast, indirect forms of contestation/opposition are predominantly observed in regions marked high conflict) on the global order. Those factors are assumed to be determinants of the actors' foreign policies and, hence, of the relationships between regional and secondary powers – which are marked by different types of "contested leadership" – will be the focus of the comparison: resources, interests, strategies and perceptions of foreign policy.

In short, does regional support matter?
- How do regional orders shape the global strategies of regional powers?
- How do the relations between regional and external players (the US, China, Russia, the EU and Germany) impact regional power distribution?
- Which factors motivate secondary powers to accept or contest regional powers' leadership claims?
- In short, why do followers (not) follow?
Contested World Orders

Kristina Hahn, Wolfgang Hein, Detlef Nolte, Miriam Prys

Project - To analyze the increasing influence of “rising powers” and transnational non-governmental organizations and their contestation of international institutions across several fields of global governance (climate change, finance, health etc.).

Goals - To develop a database on international institutions’ forms of authority and the corresponding legitimacy claims addressed to these institutions by “rising powers” and non-governmental organisations.

Theoretical Approaches - Analytical eclecticism - Neoclassical and constructivist approaches - Power transition theory

Research Design and Methods - Comparative Design: Intergovernmental Comparison, Cross-Regional Comparison - Time Dimension: Cross-Sectional Study, Longitudinal Study - Spatial Dimension: Global - Level of Analysis: Organisations, Countries - Number of Cases: Medium-N Analysis - Data Collection: Documents (official documents from governments, international organisations and NGOs), Databases (a common database on international organisations will be created) - Data Analysis: Content Analysis, Process Tracing

Cooperation - Prof. Dr. Michael Zürn, Dr. Martin Binder, Wissenschaftszentrum Berlin (WZB)

Partners - Prof. Dr. Harald Müller, Prof. Dr. Klaus-Dieter Wolf, Peace Research Institute Frankfurt (HSFK)

Teachings - "De-centering Regional Power: The Role of Non-State Actors in Global Power Shifts", 5th RPN Conference, GIGA, Hamburg, 8-10 December 2011 (M. Prys, D. Nolte)

Workshops/Conferences - Workshop on Databases on International Organisations, Wissenschaftszentrum Berlin, 24 February 2012 (K. Hahn)


Research Questions - What are the implications of the increasing influence of “rising powers” and transnational non-governmental organisations and their contestation of international institutions for a “new world order”? - How do “rising powers” and transnational non-governmental organisations contest international institutions? - What differences and similarities do these contestations demonstrate, particularly with regard to underlying norms and concepts of legitimacy? - What are the repercussions of these contestations for the authority of international institutions?

Contribution to International Research

While the increasing influence of transnational non-governmental organisations and the new “rising powers” has been the subject of academic research, there are very few systematic analyses which take both phenomena into account and study their interrelation. Those studies which focus on the role of states in international politics neglect the importance of non-governmental actors. On the other hand, studies on transnational non-governmental organisations do not pay attention to the new “rising powers”. The project aims to unite these two separate discourses and to study the interactions between the two different sets of actors. In particular, the project focuses on the demands and criticism that the “rising powers” and the non-governmental organisations address at international institutions, examining their commonalities and differences. The project thus aims to systematically assess the forms of contestation addressed at international institutions, as well as their implications for these institutions’ authority and legitimacy.

Preliminary Results

Based on a (quantitative or qualitative) statement analysis, the case studies will reveal similarities and differences among and within the two sets of actors under scrutiny. The GIGA contributes two case studies in the policy fields of climate finance, health governance and an additional case study on regional governance. The GIGA researchers currently develop the empirical datasets for these contributions. Preliminary results indicate that in the climate case, rising countries act defensively and often avoid further commitments, while in security they act offensively and claim more authority. In addition, in some policy fields Southern NGOs’ viewpoints may come closer to their government’s positions than to those of their Northern NGO allies.
Climate Change Mitigation and Poverty Reduction (CiMIP)
– Trade-Offs or Win-Win Situations? (Work Package 3: International Relations)

>> Miriam Prys

Research Questions
The global climate regime is often seen as site for redistributive stances between industrialised countries and the developing world. By the latter, the mitigation of greenhouse gas emissions is associated with lack of growth and historical injustices. The former are, above all, concerned about their economic competitiveness. These arguments suggest a rigid zero-sum game mentality on both sides that has so far prevented the emergence of ‘feasible mitigation policies’. Since the Bali Summit, however, this long-standing rift seems to soften and deliberation about developing country mitigation has become more common – a new norm may even have emerged, and we argue that strictly rationalist explanations do not suffice to understand these shifts.

The key question of this project is thus whether – and if so how – the discourse on developing country mitigation and its relation to poverty eradication shifted. We trace the emergence of a potential norm of developing country mitigation as well as the associated erosion of the strict division between Annex I and Non-Annex I countries. While there is much descriptive work on these developments, the project approaches the subject from a ‘realist constructivist’ perspective and puts these potentially far-reaching changes into the context of an assumed redistribution of power in global governance as a whole. Keeping these important structural shifts in mind, we particularly discuss the ‘agency’ behind this potentially highly significant shift in prescribed responsibilities for reducing greenhouse gas emissions.

Climate change is one of the most pressing global challenges. While historically it was industrialised countries that produced the majority of greenhouse gas emissions, the accelerated growth of some emerging countries has increased their absolute and relative shares. Simultaneously, many emerging countries still face major poverty eradication challenges. The project’s main contribution will be to identify the potential emergence of win-win solutions that allow for economic growth and development while also addressing mitigation targets. This is an important subject for policy and research in international relations, as the issue of poverty eradication and mitigation has most frequently been viewed as dividing developing and developed countries according to “historical responsibilities”, the “right to emit”, and “fair global carbon shares”. This project instead argues that we – at least – also need to take into consideration how ideas and norms about solutions to complex problems of global governance emerge in international negotiations and whose discourse becomes dominant by which means.

Various theories emerging from IR offer contradictory outlooks regarding feasible mitigation actions for developing countries as an outcome of global negotiations. We adopt an approach which is best described as ‘realist constructivism to analyse the emergence of the previously unthinkable notion that at least some developing countries have responsibility in climate change mitigation and that this may be constructed in a way that is ‘sustainable’, i.e. that allows for poverty eradication aims to be reached at the same time. Rather, however, than focussing on acts of argumentation and persuasion alone, we also ask who holds the power (for example, to shape the negotiation agenda and to frame key terms and understandings), what strategies are used by the powerful and the powerless across time and thus complement constructivist research with ‘realist’ elements.

We will analyse statements of state representatives at the UNFCCC meetings, but also for domestic audiences, minutes of, for instance, working group meetings and round table discussions during and in preparation of Summit meetings, as well as public relation and other campaigning materials by the most important non-state actors and complement this analysis by interviewing experts and decision-makers as a form of triangulation. This will allow us to track how specific terms, concepts and solutions take on a particular salience at given points in time and how they are spread, for instance, geographically or by actor type. We will identify actor groups with similar arguments and interests, and we will temporally sequence the arguments on developing country mitigation. Furthermore, we will look at the impact of the various “frames” or “discourses” on the actual outcomes of negotiations.
GIGA Research Projects 2014

RT 2: The Social Constitution of Global Politics

Crossing the Lines: Complexity at the Nexus of Regional and Global Governance

>> Miriam Prys

Project Description

Research Questions

Governance complexity implies that regulatory attempts to solve a particular policy problem transcend jurisdictional, spatial, and analytical levels. A complex network with uncertain impacts upon, for instance, policy outcomes, the effectiveness of particular institutional mechanisms and the underlying constellation of power(s) is created. In this context, the research project seeks to answer the following questions:

- Which patterns emerge in cross-scale governance complexity beyond the state in selected issue areas?
- Which variables can we identify that give rise to such specific patterns?
- How can the diverse policy outcomes of governance complexity be categorized and explained?

Even though all significant actors in world politics (ranging from states to a broad set of non-state actors) are entangled in multiple cooperative arrangements, there is very little empirical and theoretical knowledge on the causes and implications of (potentially) growing governance complexity. This complexity implies that these actors, above all states, are members of overlapping, nested, simultaneous, and parallel institutions and need to “navigate” an increasingly densely populated network spanning various levels and dimensions. Uncertainty about how this effects the efficiency of institutions, empowers particular (groups of) actors, and is beneficial or detrimental overall in the attempt to resolve important challenges to humanity adds to the urgency of this research proposal.

The project makes the following key contributions. (1) Challenge the “level-neutral” assumptions of the literature on “regime” (or other forms) of complexity. For instance, in the literature on institutional interplay, any type of interplay beyond the nation-state is considered to be “horizontal” interplay. Previous research on the entanglement of regional powers in both global and regional networks shows, however, that actors and institutions are embedded in multiple structural layers (global, regional, inter-regional); that each of these layers is potentially characterised by different norms, discourses, and practices; and that different modes of interaction among players on the particular fields prevail. (2) Conceptualize how much of the literature has taken either a structural or – more frequently – an agent-focused rationalist approach to the study of complexity. Again, while this has taken scholarship further in terms of assessing particular institutional mechanisms of institutional interplay, the argument here is that we need to understand governance complexity as a result of the co-constitution of structure and agency. We lack knowledge about what actually happens to actors when simultaneous governance of issues across scales occurs and about how, in turn, these actors intentionally or unintentionally impact the particular structure of complexity. (3) Close gaps in this research related to the analysis and explanation of variance across issue areas remain – for instance, in terms of global or regional institutional clustering in the network of governance arrangements. By making the comparative aspect of the project central, the project complements existing research further.

Research Design and Methods

Multi-method designs have only recently received more attention in political science at large; most studies on governance complexity are qualitative single-issue or parallel non-integrated case studies or large-N studies, though the latter are the minority. This project will use two complementary methodological approaches to combine different theoretical perspectives. It will look at institutional relations across issue areas and time with the help of a (mostly) quantitative network analysis and it will conduct in-depth analyses of particular cases with the help of a qualitative approach, in order to approximate the co-constitution of governance complexity through structures and agents. Three issue areas have been chosen for the first phase of descriptive mapping along the regional-global nexus; climate change adaptation and in particular water management, financial governance, and maritime security.

Project Description

Research Questions

Governance complexity implies that regulatory attempts to solve a particular policy problem transcend jurisdictional, spatial, and analytical levels. A complex network with uncertain impacts upon, for instance, policy outcomes, the effectiveness of particular institutional mechanisms and the underlying constellation of power(s) is created. In this context, the research project seeks to answer the following questions:

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Status Passage and Roles in Regional and Global Orders:
The Rise and Interaction of the IBSA States with the EU and US

>> Leslie Wehner

Project Description

Research Questions
- This project investigates the process through which India, Brazil and South Africa reach new statuses in the regional and international order in their interactions with the US and the EU as well-established powers. The focus of the project is on how IBSA countries have experienced processes of “status-passages” since 1990, and on how they have moved from one to another status position in their regions and the international system, that is, to regional and global powerhood respectively. Thus, this research project seeks to answer the following key questions:
- How do IBSA states reach new status positions in the regional and international order?
- What do IBSA states conceive, locate and perform to reach regional and global powerhood?
- How did/do the US and the EU as relevant others react to the processes of emergence of IBSA countries?

Contribution to International Research
The project contributes to the research agenda on emerging powers and to the enhancement of role theory in international relations scholarship. Researching the process of status-passages of IBSA is of central importance as the world is beginning to develop a multipolar structure. In fact, the rise of new regional powers may be detrimental to the exclusive position of the US and its partner the EU in world politics. Moreover, the rise of IBSA is also interesting as they show variance in terms of their regional environments, their level of recognition from and relations with well-established powers, and the roles these new emerging powers perform in their regions and internationally. The project also develops an innovative theoretical framework to understand how new status positions are achieved through the use of both material and social factors. It uses role theory to assess how a master status position such as minor power, regional power, intermediate power and great power is affected by national role conceptions and role expectations of others as parts of the dynamic process of status-passages.

Research Design and Methods
The project uses content analysis and process tracing to detect the critical junctures that indicate the opening of a status passage at both regional and international environments, and to assess how the US and the EU tried to socialize the IBSA states within these passages. The material used to conduct qualitative text analysis are a diverse set of foreign policy statements from the IBSA states, the US, and the EU as well as interviews with top governmental officials and experts of the IBSA states, the US and the EU. The project will specifically use both the analytical and interpretative variants of narratives in order to falsify and/or substantiate the causal process observations posed, which capture processes and causes of status change in the regional and international system.

Project Description

Research Questions
- This project investigates the process through which India, Brazil and South Africa reach new statuses in the regional and international order in their interactions with the US and the EU as well-established powers. The focus of the project is on how IBSA countries have experienced processes of “status-passages” since 1990, and on how they have moved from one to another status position in their regions and the international system, that is, to regional and global powerhood respectively. Thus, this research project seeks to answer the following key questions:
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- How did/do the US and the EU as relevant others react to the processes of emergence of IBSA countries?

Contribution to International Research
The project contributes to the research agenda on emerging powers and to the enhancement of role theory in international relations scholarship. Researching the process of status-passages of IBSA is of central importance as the world is beginning to develop a multipolar structure. In fact, the rise of new regional powers may be detrimental to the exclusive position of the US and its partner the EU in world politics. Moreover, the rise of IBSA is also interesting as they show variance in terms of their regional environments, their level of recognition from and relations with well-established powers, and the roles these new emerging powers perform in their regions and internationally. The project also develops an innovative theoretical framework to understand how new status positions are achieved through the use of both material and social factors. It uses role theory to assess how a master status position such as minor power, regional power, intermediate power and great power is affected by national role conceptions and role expectations of others as parts of the dynamic process of status-passages.

Research Design and Methods
The project uses content analysis and process tracing to detect the critical junctures that indicate the opening of a status passage at both regional and international environments, and to assess how the US and the EU tried to socialize the IBSA states within these passages. The material used to conduct qualitative text analysis are a diverse set of foreign policy statements from the IBSA states, the US, and the EU as well as interviews with top governmental officials and experts of the IBSA states, the US and the EU. The project will specifically use both the analytical and interpretative variants of narratives in order to falsify and/or substantiate the causal process observations posed, which capture processes and causes of status change in the regional and international system.
Is Regionalism Contagious? Regional Integration and the Diffusion of Institutions and Policies

Anja Jetschke, Tobias Lenz

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**Research Questions**
- What determines the institutional design of regional organisations?
- How can we explain similarities in institutional design among regional organisations?

The existing research on regional integration and regional institutions has generally neglected diffusion processes among regional organisations. This has occurred for two reasons:

First, most regional integration studies have focused on explaining the differences in de facto regional integration among regional organisation schemes. Even where they have noticed the similarities in institutional design or referred to attempts by member states to replicate other organisations’ successes, they have gone on to explain different outcomes by arguing that existing formal institutions do not implement the same rules for the regulation of integration. The dependent variable in these studies has often been practices or level of integration and not formal institutional design.

A second reason is methodological. For analytic purposes, the approaches outlined above have conceptualized regional organisations as phenomena that do not influence each other and can therefore be treated independently. Studying diffusion requires us to abandon this view and to conceive of regional organisations as phenomena that are interdependent and in which the decision makers (usually governments) decide upon institutional design based on the decisions about institutional design made in other regional organisations. These decisions are frequently based on decision-makers’ perceptions of other regional organisations or these organisations’ model character. In contrast to the existing research, this research project therefore argues that as a first step, it is necessary to conceptualise regional organisations as potentially interdependent phenomena and to develop a survey instrument that will measure potential similarities and allow for the analysis of diffusion patterns among these organisations. This project will systematically collect data on the formal organisational characteristics of regional organisations in order to (1) determine how similar these organisations actually are, (2) test diffusion hypotheses in order to explore what drives the adoption of similar institutional designs, and (3) assess which aspects of institutional design are most susceptible to international diffusion.

In a first step, a dataset will be developed that allows us to describe and analyse in detail the pattern of emergence and institutional development of regional organisations, as indicated by their agreements. This step requires the set-up of a simple (monadic) regional organisation database. In a second step, our different hypotheses will be tested. This step requires the development of a second (dyadic) dataset, comparing any two agreements of regional organisations over time. Both datasets together then establish an overall database for regional organisations.

We will combine the following quantitative methods for the analysis of regional organisations and their contexts: a quantitative content analysis of formal policy documents – international agreements, founding documents of institutions and their amendments – will be undertaken with a structured questionnaire. We will use statistical methods for the descriptive analysis of CROPDA I. The inferential analysis of our dataset CROPDA II will be done using spatial statistics, which specifically address issues of autocorrelation caused by spatially or otherwise related units (Anselin et al. 2004; Beck et al. 2008; Franzese and Hays 2008a).

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**Project Description**

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The Constitutional Quality of Regional Governance: The Case of South America and UNASUR

Detlef Nolte, Leslie Wehner

Project Description

Research Questions

The project will explore whether deep-rooted norms and practices in South America are the baseline for processes of constitutionalization at the regional level. It will also analyse the diverse challenges that trigger the adoption or adaptation of norms (including the re-interpretation of the meaning of old norms). Likewise, it will identify the actors (drivers) that are pushing for the institutionalization of practices by means of regional governance structures. The project will investigate the following main questions:

- To what degree is regional governance in South America constitutionalized?
- What is the constitutional quality of the norms and policies that UNASUR supports and puts into practice?

Contribution to International Research

This project contributes to the debate and theory-building on global constitutionalism by examining the regional dimension of norm-mimicking, norm-adaptation, norm-creation and norm-rejection processes. It also contributes to global constitutionalism processes by focusing on South America as a regional political space in which supranational institutions do not exist but where normative mutual understandings are still strong enough to regulate the conceptions and practices that govern the region, especially in the area of security. The project thus transcends the Eurocentric approaches that view supranational institutions as critical and as facilitators of the process of global constitutionalism.

Research Design and Methods

This project will use qualitative methods, that is, process tracing and content analysis, to detect and analyse situations of constitutionalisation and contestation. The project will identify historical periods of tectonic strain (moments of contestation) by looking at documents of various kinds from governments and regional groups. The purpose is to identify the moments of contestation (critical junctures) by conducting content analysis from where new practices and norms emerged and interacted with the previously existing ones. The project will also explore the constitutional quality of regional governance structures in South America by combining the dimensions of constitutionalisation and contestation about the content, interpretation and application of norms, both within the regional context and in differentiating the regional realm from the global realm.

Project Goals

- To analyse the evolution of South America’s regional governance architecture as a process in which a plurality of actors establish institutional arrangements, practices, and foundational normative structures in a formerly non-constitutional realm (= constitutionalisation).
- To explore the constitutional quality of regional governance structures in South America by combining the analytical dimension of constitutionalisation with the analytical dimension of contestation regarding the content, interpretation and application of norms, both within the regional context and in differentiating the regional realm from the global realm.

Theoretical Approaches

- Analytical Eclectic Approach
- Social Constructivism (the influence of norms)
- Neorealism
- Global Constitutionalism
- Regime Complexity (neoliberal institutionalism)

Research Design

- Comparative Design: Intregional Comparison
- Time Dimension: Longitudinal Study
- Spatial Dimension: National, Regional, Global
- Level of Analysis: Countries, Regional Organisations
- Number of Cases: Single Case Study, Small-N Analysis

Methods

- Data Collection: Interviews, Documents (green papers from regional organisations, regional organisations’ foundational declarations, summit declarations, official documents from regional organisations and member states, regional organisations’ and states’ press declarations)
- Data Analysis: Content Analysis, Process Tracing

Cooperation Partners

- Prof. Dr. Anja Wiener, University of Hamburg, and the members of the Constitutionalism Unbound research project
- Dr. Brigite Weiffen, University of Konstanz

Publications


Funding

- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation

Duration

2012-2016
Research Programme 4: Selected Publications 2013

Articles in Refereed Journals


Contributions to Edited Volumes

Monographs and Edited Volumes

<table>
<thead>
<tr>
<th>Name</th>
<th>Regional Institute</th>
<th>Research Programme</th>
<th>Regional Focus</th>
<th>Thematic Focus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abb, Pascal</td>
<td>IAS</td>
<td>RP 4</td>
<td>East Asian, China</td>
<td>Chinese foreign policy, East Asian international relations</td>
</tr>
<tr>
<td>Ansong, Nadine, Dr.</td>
<td>IAA</td>
<td>RP 2</td>
<td>Sub-Saharan Africa</td>
<td>Regional dynamics of conflict and violence, causes of war</td>
</tr>
<tr>
<td>Bank, André, Dr.</td>
<td>IMES</td>
<td>RP 1, RP 2</td>
<td>Jordan, Syria, Palestine/Israel, Turkey (Near East Politics)</td>
<td>Authoritarianism, statehood, processes of war and peace, regional conflicts and regional order</td>
</tr>
<tr>
<td>Basedau, Matthias, Prof. Dr.</td>
<td>IAA</td>
<td>RP 2</td>
<td>Sub-Saharan Africa, Mali, Niger, Chad, Botswana</td>
<td>Resources conflicts, religion and violent conflict, civil-military relations, political institutions</td>
</tr>
<tr>
<td>Betz, Joachim, Prof. Dr.</td>
<td>IAS</td>
<td>RP 1, RP 2</td>
<td>South Asia, India, Sri Lanka</td>
<td>Official development aid, social policy, economy, political development</td>
</tr>
<tr>
<td>Bondes, Maria</td>
<td>IAS</td>
<td>RP 1</td>
<td>China</td>
<td>Environmental politics and environmental activism, social movements and civil society, social activism, ideological change and political legitimacy</td>
</tr>
<tr>
<td>Bunselmeyer, Elisabeth</td>
<td>ILAS</td>
<td>RP 2</td>
<td>Peru</td>
<td>Transitional justice, democratization, state-building, peace and conflict research</td>
</tr>
<tr>
<td>De Juan, Alexander, Dr.</td>
<td>IMES</td>
<td>RP 2</td>
<td>Middle East, Sudan</td>
<td>Institutions in intra-state conflicts, Religion and ethnicity in intra-state conflicts, External state-building efforts in fragile states</td>
</tr>
<tr>
<td>Name</td>
<td>Regional Institute</td>
<td>Research Programme</td>
<td>Regional Focus</td>
<td>Thematic Focus</td>
</tr>
<tr>
<td>-------------------------</td>
<td>--------------------</td>
<td>--------------------</td>
<td>-----------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Destradi, Sandra, Dr.</td>
<td>IAS</td>
<td>RP 2, RP 4</td>
<td>India, South Asia</td>
<td>India’s Foreign and Security Policy, International Relations in South Asia</td>
</tr>
<tr>
<td>Diodova, Marina, Dr.</td>
<td>IAA</td>
<td>RP 1, RP 3</td>
<td>Latin America, Africa</td>
<td>Political institutions, pro-poor policy</td>
</tr>
<tr>
<td>Elscher, Sebastian, Jun.-Prof. Dr.</td>
<td>IAA</td>
<td>RP 1</td>
<td>Ghana, Kenya, Cameroon, Niger, Namibia</td>
<td>Systemic Comparisons of Hybrid Regimes in Africa</td>
</tr>
<tr>
<td>Erdmann, Gero, PD Dr.</td>
<td>IAA</td>
<td>RP 1</td>
<td>Ghana, Kenya, Malawi, South Africa, Tanzania, Zambia (foreign policy)</td>
<td>Democracy and democratization, political parties, civil society, co-operative societies, traditional rule, human rights</td>
</tr>
<tr>
<td>Flemes, Daniel, Dr.</td>
<td>ILAS</td>
<td>RP 4</td>
<td>South America, especially Brazil and Colombia</td>
<td>International relations, foreign and security policy, regional cooperation</td>
</tr>
<tr>
<td>Flemmer, Ricardo</td>
<td>ILAS</td>
<td>RP 1, RP 2</td>
<td>Latin America</td>
<td>Human rights, environmental rights, rights of indigenous people, prior consultations, resource conflicts</td>
</tr>
<tr>
<td>Flesken, Anaid, Dr.</td>
<td>ILAS</td>
<td>RP 1, RP 2</td>
<td>Bolivia</td>
<td>Political movements of ethnicity, ethnic identification and relations, indigenous and regional mobilizations in Bolivia</td>
</tr>
<tr>
<td>Fürtig, Henner, Prof. Dr.</td>
<td>IMES</td>
<td>RP 2</td>
<td>Iran, Iraq, Saudi Arabia, Egypt</td>
<td>Domestic and foreign policy, social and political transformation, democratization, programs and structures of political Islam</td>
</tr>
<tr>
<td>Garling, Stephanie</td>
<td>IAS</td>
<td>RP 4</td>
<td>Bangladesh</td>
<td>Foreign Aid, Religion and Politics, Critical Theory, Discourse Analysis</td>
</tr>
<tr>
<td>Gephart, Malte</td>
<td>ILAS</td>
<td>RP 4</td>
<td>Latin America</td>
<td>Corruption and Anti-Corruption Programmes, processes of political participation, discourse theory and analysis, international cooperation for development, North-South-relation</td>
</tr>
<tr>
<td>Giesbert, Lena</td>
<td>IAA</td>
<td>RP 3</td>
<td>East Africa, Ghana, Kenya, Uganda</td>
<td>Poverty and economic development, micro-level poverty traps, social protection, microfinance, microinsurance, employment and well-being, informal sector</td>
</tr>
<tr>
<td>Giese, Karsten, Dr.</td>
<td>IAS</td>
<td>RP 3</td>
<td>PR China, Taiwan</td>
<td>Migration, socio-cultural change, Internet</td>
</tr>
<tr>
<td>Grauvogel, Julia</td>
<td>IAA</td>
<td>RP 2</td>
<td>Ghana, Zimbabwe, Burundi</td>
<td>International sanctions, persistence and change of autocratic regimes, qualitative methods, framing</td>
</tr>
<tr>
<td>Gundlach, Erich, Prof. Dr.</td>
<td>IAS</td>
<td>RP 3</td>
<td>Asia</td>
<td>International productivity differences, global transitions</td>
</tr>
<tr>
<td>Haasenoot, Cornelis W.</td>
<td>IAS</td>
<td>RP 3</td>
<td>Asia</td>
<td>Fiscal Federalism</td>
</tr>
<tr>
<td>Haaß, Felix</td>
<td>IAA</td>
<td>RP 2</td>
<td>Africa</td>
<td>Peacebuilding, coordination and effectiveness of United Nations peace operations, institution building in post-conflict societies</td>
</tr>
<tr>
<td>Hahn, Kristina, Dr.</td>
<td>ILAS</td>
<td>RP 4</td>
<td>Latin America</td>
<td>Contested World Orders, NGOs in Global Governance, Theories of power in international relations</td>
</tr>
<tr>
<td>Hein, Wolfgang, Prof. Dr.</td>
<td>ILAS</td>
<td>RP 3</td>
<td>Latin America</td>
<td>Agriculture and development, technology and industrial promotion, development theories, environmental problems, health</td>
</tr>
<tr>
<td>Name</td>
<td>Regional Institute</td>
<td>Research Programme</td>
<td>Regional Focus</td>
<td>Thematic Focus</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>--------------------</td>
<td>-------------------</td>
<td>------------------------</td>
<td>-------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Hettig, Elisabeth</td>
<td>IAS</td>
<td>RP 3</td>
<td>Indonesia, Sumatra</td>
<td>Modeling the socio-economic driver of land-use change at rainforest margins</td>
</tr>
<tr>
<td>Heyl, Charlotte</td>
<td>IAA</td>
<td>RP 1</td>
<td>West Africa</td>
<td>Judicial independence in West Africa, Accountability institutions in processes of democratization</td>
</tr>
<tr>
<td>Hoffmann, Bert, Dr.</td>
<td>ILAS</td>
<td>RP 1</td>
<td>Latin America, Cuba</td>
<td>Transnational migration and diaspora policies, EU-Latin America relations, Cuba’s Transformation: crisis, continuity and change in socialist Cuba</td>
</tr>
<tr>
<td>Holbig, Heike, Prof. Dr.</td>
<td>IAS</td>
<td>RP1</td>
<td>PR China, SAR Hong Kong</td>
<td>Domestic policy, interest politics in China’s business sector, political legitimacy</td>
</tr>
<tr>
<td>Jetschke, Anja, Prof. Dr.</td>
<td>IAS</td>
<td>RP 4</td>
<td>Asia</td>
<td>Comparative Regionalism, Transitional Justice</td>
</tr>
<tr>
<td>Kappel, Robert, Prof. Dr.</td>
<td>GIGA</td>
<td>RP 3</td>
<td>Africa, South Africa, Nigeria</td>
<td>Economic development in Africa, development of companies, value chains, industry, BRICS, global shift of powers</td>
</tr>
<tr>
<td>Köllner, Patrick, Prof. Dr.</td>
<td>IAS</td>
<td>RP 1</td>
<td>Japan, North and South Korea</td>
<td>Formal and informal institutions, Political parties and organizations</td>
</tr>
<tr>
<td>Koos, Carlo</td>
<td>IAA</td>
<td>RP 2</td>
<td>Sudan</td>
<td>Political economy of resource conflicts, local resource governance, ethnic conflicts</td>
</tr>
<tr>
<td>Kuntenbach, Sabine, Dr.</td>
<td>ILAS</td>
<td>RP 2</td>
<td>Central America, Colombia</td>
<td>Postwar Societies, Violence and Social change, Youth</td>
</tr>
<tr>
<td>Lay, Jann, Jun.-Prof. Dr.</td>
<td>ILAS</td>
<td>RP 3</td>
<td>Latin America</td>
<td>Economy, development</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name</th>
<th>Regional Institute</th>
<th>Research Programme</th>
<th>Regional Focus</th>
<th>Thematic Focus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lenz, Tobias, Jun.-Prof. Dr.</td>
<td>ILAS</td>
<td>RP 4</td>
<td>Latin America</td>
<td>International and regional governmental organizations in comparative perspective, EU in global regionalism, diffusion theories</td>
</tr>
<tr>
<td>Linde, Sarah</td>
<td>IAS</td>
<td>RP 3</td>
<td>Sri Lanka, Uganda</td>
<td>Relationship between employment and well-being, empowerment and Sen’s capability approach, informal employment</td>
</tr>
<tr>
<td>Llanos, Mariana, Dr.</td>
<td>ILAS</td>
<td>RP 1</td>
<td>Latin America, Argentina</td>
<td>Political institutions, Presidentialism, Latin American congresses, congressional oversight, bicameralism, upper chambers, political recruitment</td>
</tr>
<tr>
<td>Llanos, Mariana, Dr.</td>
<td>ILAS</td>
<td>RP 1</td>
<td>Latin America, Argentina</td>
<td>Research project: „Employment, empowerment and living standards“</td>
</tr>
<tr>
<td>Lorch, Jasmin</td>
<td>IAS</td>
<td>RP 1</td>
<td>Burma/Myanmar, Bangladesch, Philippinen</td>
<td>Civil Society in Authoritariansim and Civil Society Development, State Failure and Ethnic Conflicts in Southeast Asia, Political Change in Burma/Myanmar, Islam und Islamism in Bangladesh und Southeast Asia (esp. Philippines)</td>
</tr>
<tr>
<td>Name</td>
<td>Regional Institute</td>
<td>Research Programme</td>
<td>Regional Focus</td>
<td>Thematic Focus</td>
</tr>
<tr>
<td>-----------------------</td>
<td>-------------------</td>
<td>--------------------</td>
<td>----------------</td>
<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Lucas, Viola</td>
<td>IMES</td>
<td>RP 1, RP 2</td>
<td>Middle East</td>
<td>Resilience of authoritarian rule, economic development theory, modernization theory and transformation theory</td>
</tr>
<tr>
<td>Mähler, Anne greif, Dr.</td>
<td>IAA</td>
<td>RP 2</td>
<td>Andean countries, especially Bolivia and Venezuela; Nigeria</td>
<td>Ethnicity, resource abundance and intrastate conflicts</td>
</tr>
<tr>
<td>Marfaing, Laurence, Dr.</td>
<td>IAA</td>
<td>RP 3</td>
<td>West Africa</td>
<td>Migration</td>
</tr>
<tr>
<td>Mattes, Hanspeter, Dr.</td>
<td>IMES</td>
<td>RP 2</td>
<td>Libya, Algeria, Tunisia, Morocco, the Maghreb, the Sahel</td>
<td>Political systems and their transformation, aspects of stability, foreign policy, soft security problems</td>
</tr>
<tr>
<td>Mau, Karsten</td>
<td>IAS</td>
<td>RP 2</td>
<td>PR China</td>
<td>Trade, economic growth</td>
</tr>
<tr>
<td>Mehler, Andreas, PD Dr.</td>
<td>IAA</td>
<td>RP 1, RP 2</td>
<td>Frankophone Central and West Africa</td>
<td>Power-sharing after peace agreements, violent conflicts and conflict prevention, state and statehood, democratization processes, German and French Africa policy</td>
</tr>
<tr>
<td>Neff, Daniel, Dr.</td>
<td>IAS</td>
<td>RP 3</td>
<td>South Asia, India</td>
<td>Economy and Society, socio-economic development, poverty, well-being</td>
</tr>
<tr>
<td>Noesselt, Nele, Dr.</td>
<td>IAS</td>
<td>RP 1, RP 4</td>
<td>China</td>
<td>Chinese Foreign Policy and China’s role in world affairs, EU-China relations, Chinese IR Theory, Governance in China, transformation/transition of socialist systems</td>
</tr>
<tr>
<td>Nieth, Detlef, Prof. Dr.</td>
<td>GIGA (Acting president)</td>
<td>RP 1, RP 2</td>
<td>Latin America, especially Argentina, Chile, Mexico, Paraguay</td>
<td>Forms of government, developmental cooperation, EU-USA-LA relations</td>
</tr>
<tr>
<td>Nieth, Kerstin</td>
<td>IAA</td>
<td>RP 3</td>
<td>Africa</td>
<td>Extent, processes and effects of large-scale agricultural investments, Land Governance, Institutional Change</td>
</tr>
<tr>
<td>Ostermeier, Martin</td>
<td>ILAS</td>
<td>RP 3</td>
<td>Latin America</td>
<td>Employment-related Millennium Development Goals and the potential post-2015 Development Agenda, Large-scale agricultural investments and Sustainable Development</td>
</tr>
<tr>
<td>Ottmann, Martin, Dr.</td>
<td>IAA</td>
<td>RP 2</td>
<td>Africa</td>
<td>One-sided violence in African civil wars, rebel organizations, power-sharing in post-conflict countries</td>
</tr>
<tr>
<td>Pawelzik, Janina</td>
<td>IAS</td>
<td>RP 2</td>
<td>Indonesia, Timor-Leste</td>
<td>Youth, violence, violent groups</td>
</tr>
<tr>
<td>Pedroza, Luicy</td>
<td>ILAS</td>
<td>RP 1</td>
<td>Latin America</td>
<td>Immigration policy and integration of migrants into the polity across Latin America</td>
</tr>
<tr>
<td>Peetz, Peter, Dr.</td>
<td>GIGA/ILAS</td>
<td>RP 2</td>
<td>Peru, Honduras, Central America</td>
<td>Insecurity, violence and discourses of violence; political, economic and social development; democracy issues</td>
</tr>
<tr>
<td>Pellicer, Miguel, Dr.</td>
<td>IMES</td>
<td>RP 3</td>
<td>Middle East</td>
<td>Causes of poverty and inequality in developing countries, economics of education, political economy, political clientelism, Islamist parties</td>
</tr>
<tr>
<td>Pfeiffer, Birte, Dr. (née Pohl)</td>
<td>IAA</td>
<td>RP 3</td>
<td>Africa</td>
<td>Productivity effects of foreign direct investment, renewable energy in developing countries</td>
</tr>
<tr>
<td>Prediger, Sebastian</td>
<td>IAA</td>
<td>RP 3</td>
<td>Africa</td>
<td>Cooperation and social preferences, Management of common-pool resources, informal sector</td>
</tr>
<tr>
<td>Name</td>
<td>Regional Institute</td>
<td>Research Programme</td>
<td>Regional Focus</td>
<td>Thematic Focus</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>--------------------</td>
<td>--------------------</td>
<td>----------------------</td>
<td>-------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Prys, Miriam, Dr.</td>
<td>IAS</td>
<td>RP 4</td>
<td>India, BRICS</td>
<td>Regional and emerging powers, Global and regional environmental politics, global climate regime</td>
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<td>Ranko, Annette (née Büchs)</td>
<td>IMES</td>
<td>RP 2</td>
<td>Egypt, Yemen</td>
<td>Political Islam, the Muslim Brotherhood, transnational Salafism, regional policy and regional order</td>
</tr>
<tr>
<td>Renner, Sebastian</td>
<td>ILAS</td>
<td>RP 3</td>
<td>Brazil, China, India, South Africa</td>
<td>Environmental and development economics, Poverty reduction and low carbon economic development</td>
</tr>
<tr>
<td>Richter, Thomas, Dr.</td>
<td>IMES</td>
<td>RP 1</td>
<td>Small Gulf states, Egypt, Jordan</td>
<td>Rentier state theory, stability and change in authoritarian regimes, foreign trade reforms in developing countries</td>
</tr>
<tr>
<td>Rosiny, Stephan, Dr.</td>
<td>IMES</td>
<td>RP 2</td>
<td>Bahrain, Lebanon, Palestine, Syria, Iraq</td>
<td>Political Islam and Islamic movements, Sunni-Shia relations, contemporary Shia Islam</td>
</tr>
<tr>
<td>Schilling-Vacatlor, Almut, Dr.</td>
<td>ILAS</td>
<td>RP 1</td>
<td>Bolivia, Ecuador, Peru</td>
<td>Extractive industry, indigenous peoples, community participation in resource governance, socio-environmental conflicts, constitutional change</td>
</tr>
<tr>
<td>Schuchter, Günter, Dr.</td>
<td>IAS</td>
<td>RP 1, RP 3</td>
<td>PR China, SAR Hong Kong</td>
<td>Social development, employment, social security, health, education</td>
</tr>
<tr>
<td>Schüller, Margot, Dr.</td>
<td>IAS</td>
<td>RP 3</td>
<td>PR China, SAR Hong Kong</td>
<td>Economical development, financial sector, industrial policy, EU and Asia</td>
</tr>
<tr>
<td>Sipangule, Kacana</td>
<td>IAA</td>
<td>RP 3</td>
<td>Indonesia, Zambia</td>
<td>Land Use Change Modelling, Smallholder Agriculture Production</td>
</tr>
<tr>
<td>Soest, Christian von, Dr.</td>
<td>IAA</td>
<td>RP 1</td>
<td>Southern Africa, South Africa, Zambia, Botswana</td>
<td>Comparative research on international sanctions, authoritarian regimes, foreign policy and development policy, neopatrimonialism, state and public administration</td>
</tr>
<tr>
<td>Strasheim, Julia</td>
<td>IAA</td>
<td>RP 2</td>
<td>Sub-Saharan Africa</td>
<td>Interim governments in post-conflict societies, democratization, conflict resolution</td>
</tr>
<tr>
<td>Richter, Thomas, Dr.</td>
<td>IMES</td>
<td>RP 1</td>
<td>Francophone West Africa, mainly Benin, Burkina Faso and Togo, Rwanda</td>
<td>Political parties and party systems, political institutions in processes of democratization, comparative research on democracy, elections in Africa</td>
</tr>
<tr>
<td>Rosiny, Stephan, Dr.</td>
<td>IMES</td>
<td>RP 2</td>
<td>Gulf monarchies (esp. Qatar and Saudi Arabia), Mashreq (esp. Jordan)</td>
<td>Monarchies in the Middle East, International Relations and Foreign Policy Analysis, Comparative Authoritarianism Studies</td>
</tr>
<tr>
<td>Schilling-Vacatlor, Almut, Dr.</td>
<td>ILAS</td>
<td>RP 1</td>
<td>PR China, SAR Hong Kong</td>
<td>China-Africa relations, socio-economic practices and change, market trader activism, citizenship</td>
</tr>
<tr>
<td>Schuchter, Günter, Dr.</td>
<td>IAS</td>
<td>RP 1</td>
<td>PR China, SAR Hong Kong</td>
<td>Resource management strategies and their impact on collective violence, politics of lootable resource extraction, peacebuilding and democratization in resource-Abundant contexts</td>
</tr>
<tr>
<td>Schüller, Margot, Dr.</td>
<td>IAS</td>
<td>RP 3</td>
<td>PR China, SAR Hong Kong</td>
<td>Judicial independence in Latin America with a special focus on Chile and Paraguay, the role of courts in the political system, development of democracy in Paraguay</td>
</tr>
<tr>
<td>Tibi Weber, Cordula</td>
<td>ILAS</td>
<td>RP 1</td>
<td>Chile, Paraguay</td>
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<tr>
<td>Name</td>
<td>Regional Institute</td>
<td>Research Programme</td>
<td>Regional Focus</td>
<td>Thematic Focus</td>
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<tr>
<td>Trapp, Katharina</td>
<td>IAS</td>
<td>RP 3</td>
<td>Indonesia</td>
<td>Research project “Collaborative Research Centre 990: Ecological and Socioeconomic Functions of Tropical Lowland Rainforest Transformation Systems (Sumatra, Indonesia)”</td>
</tr>
<tr>
<td>Uffen, Andreas, PD Dr.</td>
<td>IAS</td>
<td>RP 1, RP 2</td>
<td>Indonesia, East Timor, Malaysia, Philippines, ASEAN</td>
<td>Democratization, Islamization, political parties, weak states and political violence, regional integration</td>
</tr>
<tr>
<td>Vüllers, Johannes, Dr.</td>
<td>IAA</td>
<td>RP 2</td>
<td>Sub-Saharan Africa (Tanzania, Côte d’Ivoire), Philippines, Sri Lanka</td>
<td>Religion in Violent Conflicts; Mediation in Civil Wars; Power-Sharing in Post-Conflict Countries</td>
</tr>
<tr>
<td>Wegner, Eva, Dr.</td>
<td>IMES</td>
<td>RP 1</td>
<td>Middle East</td>
<td>Political Parties in Developing Countries, Islamist Parties, Demand for Redistribution, Accountability in Dominant Party Systems</td>
</tr>
<tr>
<td>Wehner, Leslie, Dr.</td>
<td>ILAS</td>
<td>RP 4</td>
<td>Argentina, Chile, Venezuela</td>
<td>UNASUR, regional integration, roles of Regional and Secondary Regional Powers in South America, Role Theory and Status, relationships of the US and Regional Powers</td>
</tr>
<tr>
<td>Wischermann, Jörg, Dr.</td>
<td>IAS</td>
<td>RP 1</td>
<td>Viet Nam</td>
<td>Civil societies and governance in Viet Nam, comparison of authoritarian regimes</td>
</tr>
<tr>
<td>Zanker, Franziska</td>
<td>IAA</td>
<td>RP 2</td>
<td>Sub-Saharan Africa</td>
<td>Research project “Local Arenas of Power-Sharing”</td>
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</tbody>
</table>
## Doctoral Students

<table>
<thead>
<tr>
<th>Name</th>
<th>Doctoral Thesis</th>
<th>Funding</th>
<th>Supervisor</th>
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<tbody>
<tr>
<td>Barrera, Anna</td>
<td>Change in indigenous / community law in the Andean Region and the legal protection of women</td>
<td>Cusanuswerk</td>
<td>Prof. Dr. Detlef Nolte (ILAS)</td>
</tr>
<tr>
<td>Borszik, Oliver</td>
<td>Visionary Approach – Conceptual Realization. Change and Continuity in the Islamic Republic of Iran’s Claim to Leadership (1979-2009)</td>
<td>Evangelisches Studienwerk Villigst</td>
<td>Prof. Dr. Henner Fürtig (IMES)</td>
</tr>
<tr>
<td>Bothmann, Astrid</td>
<td>(No) Transitional Justice in Nicaragua. Reasons and consequences for not dealing with the past</td>
<td>Konrad-Adenauer-Foundation</td>
<td>Prof. Dr. Detlef Nolte (ILAS)</td>
</tr>
<tr>
<td>Bunselmeyer, Elisabeth</td>
<td>The Elite and the Local. Transitional Justice and Democratization in Post-Conflict Societies (working title)</td>
<td>GIGA Junior Research Fellow</td>
<td>Prof. Dr. Detlef Nolte (ILAS) and Thorsten Bonacker (University of Marburg)</td>
</tr>
<tr>
<td>Burilkov, Alexandr</td>
<td>High Seas Challenge: Maritime Strategy in China, India and Iran</td>
<td>Hamburg International Graduate School for the Study of Regional Powers</td>
<td>Prof. Dr. Henner Fürtig (IMES)</td>
</tr>
<tr>
<td>Caetano, Tara</td>
<td>Climate Change Mitigation Policies and their Impact on Poverty and Inequality in South Africa</td>
<td>CIMP</td>
<td>Prof. Dr. Jann Lay (ILAS)</td>
</tr>
<tr>
<td>Carpes, Mariana</td>
<td>Bringing the region in: a neoclassical realist approach for the study of rising powers nuclear strategies (working title)</td>
<td>Hamburg International Graduate School for the Study of Regional Powers</td>
<td>Prof. Dr. Detlef Nolte (ILAS)</td>
</tr>
<tr>
<td>Fraundorfer, Markus</td>
<td>Brazil’s emerging influence in global sectoral governance</td>
<td>–</td>
<td>Prof. Dr. Wolfgang Hein (ILAS)</td>
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<tr>
<td>García, Daniela</td>
<td>Solar Energy and the Problem of Path Dependency in Costa Rica’s Energy System</td>
<td>DAAD Ph.D. Scholarship</td>
<td>Prof. Dr. Wolfgang Hein (ILAS)</td>
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<tr>
<td>Garzón, Jorge</td>
<td>Hierarchical Regional Orders: Theory, Politics and Strategies toward the Construction of Benign Regional Unipolarity</td>
<td>Friedrich-Ebert-Foundation</td>
<td>Prof. Dr. Detlef Nolte (ILAS)</td>
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<tr>
<td>Name</td>
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<td>Funding</td>
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<td>Geise, Torsten</td>
<td>Power in Regional Security Governance Formation: Southeast Asia and the case of securing maritime trade (working title)</td>
<td>Hamburg International Graduate School for the Study of Regional Powers</td>
<td>Prof. Dr. Detlef Nolte (University of Kiel)</td>
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<td>Granada, Soledad</td>
<td>The Missing Link Between Peacebuilding and Statebuilding in War and Partial Post-war Contexts (working title)</td>
<td>University of Hamburg</td>
<td>Prof. Dr. Detlef Nolte (ILAS)</td>
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<tr>
<td>Hess, Natalie</td>
<td>The Strategic Partnerships between the European Union and Regional Powers (Brazil, India, South Africa)</td>
<td>Friedrich-Naumann-Foundation</td>
<td>Prof. Dr. Detlef Nolte (ILAS)</td>
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<tr>
<td>Hoffmann, Anne</td>
<td>Institutionelle Bedingungen strategischer Handelns südamerikanischer Regierungszentren im Verbundsystem der UNASUR (working title)</td>
<td>Friedrich-Ebert-Foundation</td>
<td>Prof. Dr. Detlef Nolte (ILAS)</td>
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<tr>
<td>Koll, Maren</td>
<td>Islamist Organizations and normative Change: Analyzing Hezbollah’s and Hamas’ Identity and Behavior</td>
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<td>Prof. Dr. Henner Fürtig (IMES)</td>
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<tr>
<td>Nyman, Nicola</td>
<td>From ‘Japan-Problem’ to ‘China-Threat’? Comparing the Discourses on Japan (1980-1995) and China (1995-2010) in the United States</td>
<td>GIGA Junior Research Fellow</td>
<td>Prof. Dr. Patrick Köllner (IAS)</td>
</tr>
<tr>
<td>Ostermeier, Martin</td>
<td>Employment, Decent Work and Human Development: The application of selected decent work indicators on emerging and developing economies, their compatibility with social policies and potential welfare effects with a particular focus on the youth (working title)</td>
<td>GIGA Junior Research Fellow</td>
<td>Jun.-Prof. Dr. Jann Lay (ILAS)</td>
</tr>
<tr>
<td>Pawelz, Janina</td>
<td>Young, violent, organized: Vanguards of tomorrow’s politics? Political activity of non-state armed groups. A comparative study (working title)</td>
<td>GIGA Junior Research Fellow</td>
<td>Prof. Dr. Kai-Uwe Schnapp (University of Hamburg)</td>
</tr>
<tr>
<td>Peters, Ina</td>
<td>Contentious Politics in the Brazilian Amazon: An analysis of the collective action against the Belo Monte Dam</td>
<td>Hamburg International Graduate School for the Study of Regional Powers</td>
<td>Prof. Dr. Detlef Nolte (ILAS)</td>
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<tr>
<td>Peters, Mascha</td>
<td>Media and Politics in South Korea: Assessing the Impact of Media in the Context of Political and Societal Transformation Processes</td>
<td>–</td>
<td>Prof. Dr. Patrick Köllner (IAS)</td>
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## Concluded Doctoral Studies 2013

<table>
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<tr>
<th>Name</th>
<th>Doctoral Thesis</th>
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<tr>
<td>Abb, Pascal</td>
<td>China’s Foreign Policy and the Emergence of Institutional Multilateralism in East Asia</td>
<td>Hamburg International Graduate School for the Study of Regional Powers</td>
<td>Prof. Dr. Patrick Kühner (IAS)</td>
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<tr>
<td>Albrechts, Nicole</td>
<td>Die Effektivität verschiedener Initiativen und Konzepte zur Korruptionsbekämpfung in Staaten mit Erdölvorkommen. Ein Vergleich von Nigeria, Kamerun, Kasachstan und Ecuador</td>
<td>Procter &amp; Gamble</td>
<td>Prof. Dr. Cord Jakobeit (University of Hamburg)</td>
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<tr>
<td>Giesbert, Lena</td>
<td>Responses to Risk: the role of insurance for the poor in Africa</td>
<td>GIGA Junior Research Fellow</td>
<td>Prof. Dr. Tilman Brück (SIPRI), Prof. Dr. Susan Steiner (DIW Berlin)</td>
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<tr>
<td>Plagemann, Johannes</td>
<td>On the Transformation of Sovereignty in Democratic Regional Powers. Normative Aspects of the Rise of the Rest -Political Science</td>
<td>Hamburg International Graduate School for the Study of Regional Powers</td>
<td>Prof. Dr. Dirk Nabers (IAS)</td>
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<tr>
<td>Prasad, Karolina</td>
<td>Ethnicity as the dependent variable in politics: A comparative study of Malaysian Sarawak and Indonesian West Kalimantan</td>
<td>Cusanuswerk</td>
<td>Prof. Dr. Joachim Betz (IAS), PD Dr. Andreas Uffen (IAS)</td>
</tr>
<tr>
<td>Scholvin, Sören</td>
<td>The Geopolitics of Regional Powers: How Do Geographical Conditions Influence South Africa's Regional Economic and Political Relations?</td>
<td>Hamburg International Graduate School for the Study of Regional Powers</td>
<td>Prof. Dr. Joachim Betz (IAS), Prof. Dr. Jürgen Ossenbrüggen (University of Hamburg)</td>
</tr>
</tbody>
</table>
> Members of the Academic Advisory Board

<table>
<thead>
<tr>
<th>Name</th>
<th>University/Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prof. Dr. Jürgen Rüland</td>
<td>University of Freiburg, Department of Political Science</td>
</tr>
<tr>
<td>(Chairman)</td>
<td></td>
</tr>
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<td>Prof. Dr. Sebastian Lentz</td>
<td>Leibniz Institute for Regional Geography, University of Leipzig, Regional Geography</td>
</tr>
<tr>
<td>(Deputy Chairman)</td>
<td></td>
</tr>
<tr>
<td>Prof. Dr. Michiel Baud</td>
<td>Centre for Latin American Research and Documentation (CEDLA), Amsterdam, Latin American Studies an der University of Amsterdam</td>
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<td>Prof. Dr. Sebastian Heilmann</td>
<td>University of Trier, Political Science Department</td>
</tr>
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<td>Dr. Anke Hoeffler</td>
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<td>Prof. Andrew Hummel, Ph.D.</td>
<td>University of Oxford, Balliol College, Department of Politics and International Relations (DPIR)</td>
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<td>Prof. Dr. Eberhard Kienle</td>
<td>Politiques publiques, Action politique, Territoires (PACTE) – Institut d’Etudes Politiques de Grenoble (IEP)</td>
</tr>
<tr>
<td>Prof. Dr. Stephan Klasen, Ph.D.</td>
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<td>Prof. Anna Leander, Ph.D.</td>
<td>Copenhagen Business School, Department for Management, Politics and Philosophy</td>
</tr>
<tr>
<td>Prof. Dr. Christian Lequesne</td>
<td>CERI – Sciences Po, Paris</td>
</tr>
<tr>
<td>Prof. Antje Wiener, Ph.D.</td>
<td>University of Hamburg, Institute for Political Science, Centre for Globalisation and Governance (CGG)</td>
</tr>
</tbody>
</table>
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- Al-Sharq Center for Regional and Strategic Studies, Cairo
- Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ)
- Centre for Basic Research (CBR), Uganda
- Centre for Development and Environment (CDE), University of Bern
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- Centre for Nepal and Asian Studies (CNAS), Kathmandu
- Center for Rising Powers, Cambridge
- Center for Strategic and International Studies (CSIS), Jakarta
- Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD), Paris
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- Centro de Estudios Judiciales del Paraguay, Asunción
- China Center for Comparative Politics and Economics, Beijing
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- East Asian Institute, National University of Singapore
- European University Institute, Italy
- Expertise pour le Développement du Sahel (EDS), Burkina Faso
- Fondazione Eni Enrico Mattei
- International Development Institute, King’s College
- Institut für Friedensforschung und Sicherheitspolitik (IFSH), Hamburg
- Institut für Weltwirtschaft (IW), Kiel
- Institute of Policy Studies (IPS), Sri Lanka
- International Institute of Social Studies (ISS), Netherlands
- International Land Coalition (ILC), Rome
- InterPeace Guatemala
- Kiel Institute for the World Economy
- Kreditanstalt für Wiederaufbau (KW)
- Land Matrix Partnership
- Monterey Institute of Technology and Higher Education
- National Graduate Institute for Policy Studies (GRIPS), German Institute for Japanese Studies
- National Institute of Development Administration, Thailand
- Peace Research Institute Frankfurt (HSFK)
- Peace Research Institute Oslo (PRIO), Norway
- School of Development Economics, National Institute of Development Administration (NIDA), Bangkok
- Stiftung Wissenschaft und Politik (SWP), Berlin
- Southern Institute for Sustainable Development/Vietnamese Academy of Social Sciences (SISD), Ho Chi Minh City, Vietnam
- The Graduate Institute Geneva, Centre of Conflict, Development and Peace-Building, Genf
- Wissenschaftszentrum Berlin (WZB)

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Midwest Political Science Association (MPSA)
Ostasiatischer Verein e.V. (OAV)
Pazifik-Netzwerk e.V.
Philippine Political Science Association (PPSA)
Political Geography Research Group
Poverty Reduction, Equity and Growth Network (PEGNet)
Prasad Adhikari Centre for Nepal and Asian Studies (CNAS)
Red Euro-Latinoamericana de Gobernabilidad para el Desarrollo (RedGob)
Religion and Conflict Network
Social Science History Association (SSHA)
Société des Africanistes
The Academy of Political Science (APSA)
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Vereinigung für Afrikawissenschaften in Deutschland (VAfD)
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Wissenschaftliche Vereinigung für Entwicklungstheorie und Entwicklungspolitik

>> International Cooperation Agreements

- Al-Ahram Centre for Political and Strategic Studies (ACPSS), Cairo, Egypt
- Al Sharq Center for Regional and Strategic Studies (SCRSS), Beirut, Lebanon
- Centre for International Conflict Analysis and Management (CICAN), Radboud University, Nijmegen, Netherlands
- Centro Brasileiro de Relações Internacionais (CEBRI), Rio de Janeiro, Brazil
- Centro de Investigación y Docencia Económicas (CIDE), Mexico City, Mexico
- China Foreign Affairs University (CFAU), Beijing, China
- Dag Hammarskjöld Foundation, Uppsala, Sweden
- Department of Comparative Politics, University of Bergen, Bergen, Norway
- Fundação Getúlio Vargas (FGV), Rio de Janeiro, Brazil
- Fundación Global Democracia y Desarrollo (FUNDLODE), Santo Domingo, Dominican Republic
- Fundación para las Relaciones Internacionales y el Diálogo Exterior (FRIDE), Madrid, Spain
- Ghana Center for Democratic Development (Gcdd), Accra, Ghana
- Institute for Defence Studies and Analyses (IDSA), New Delhi, India
- Institute of Asia-Pacific Studies (IAPS), Chinese Academy of Social Sciences, Beijing, China
- Institute of International Relations (IRI), National Chengchi University, Taipei, Taiwan
- Instituto de Ciencias Sociales da Universidade de Lisboa (ICS-UL), Lisbon, Portugal
- Instituto de Estudios Internacionales (IEI), Universidad de Chile, Santiago, Chile
- L’Observatoire Tunisien de la Transition Démocratique (OTTD), Tunis, Tunisia
- Pontificia Universidad Católica de Chile (PUC-Chile), Santiago, Chile
- Pontificia Universidade Católica do Rio de Janeiro (PUC-Rio), Rio de Janeiro, Brazil
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