








# RESEARCH PLAN 2013

# 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



## RESEARCH PLAN 2013

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Research Plan 2013

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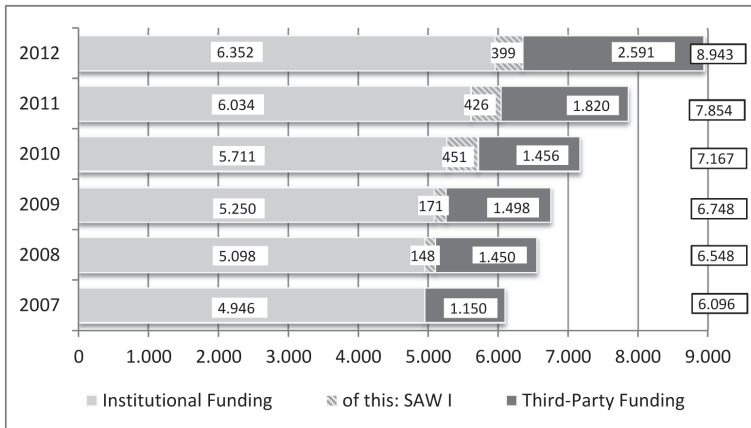
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Fig. 1: GIGA Institutional and Third-Party Funding, 2007–2012



// GIGA RESEARCH PROFILE



Fig. 2: Origin of GIGA Third-Party Funding (in %), 2007–2012

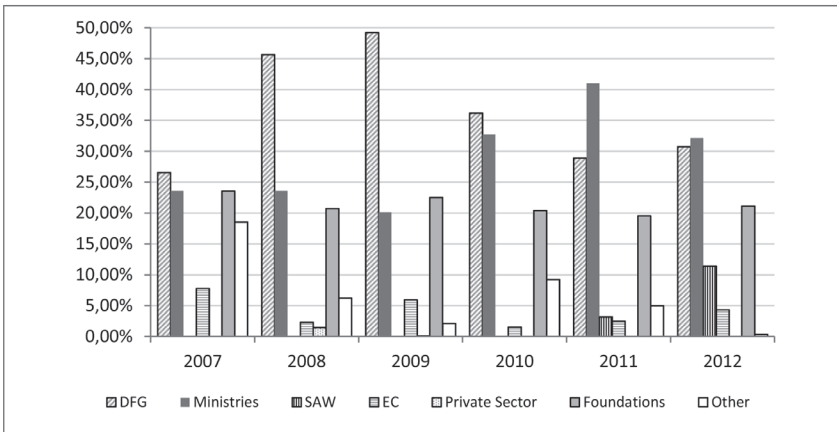
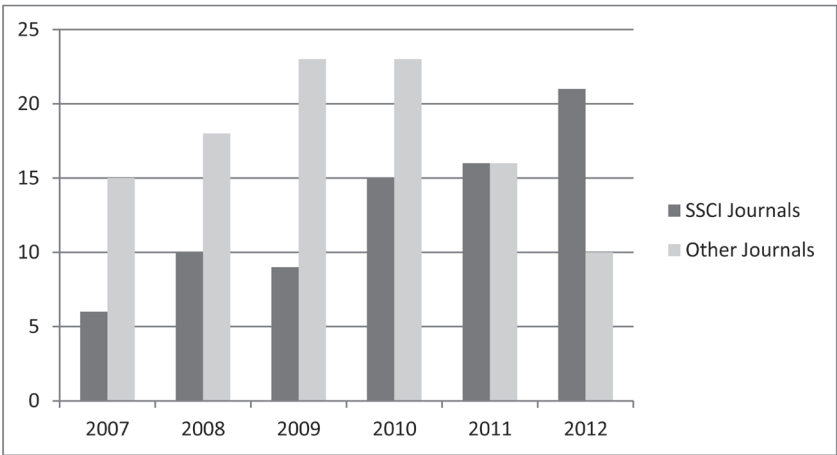


Fig. 3: Articles in Refereed Journals



## 1. Area Studies, Comparative Area Studies and Globalization

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 Challenges in the Context of Globalization, 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. CAS's cognitive interest is hence both generalization and individualization. The comparative approach is not restricted to a particular number of cases and may include various units of analysis and (corresponding) inference techniques (for example, small-N controlled

comparison, variants of QCA, large-N regressions). CAS may use comparative methods to investigate a specific world region (intraregional comparison), but it is particularly suited to overcoming the limitations of traditional single-area studies through interregional and cross-regional comparisons.

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.

In recent decades the increasingly vast differentiation between various forms of rulership – from authoritarian to hybrid to democratic – has become evident. Along with this proliferation of regime types in entirely different sociocultural contexts have come several critical questions: How and under which conditions do different regimes legitimate themselves? What explains the survival and breakdown of authoritarian monarchies in the Middle East? Can we observe mutual learning processes between autocracies in different world 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. Intrastate and transnational armed conflicts, often with asymmetrical conflict structures, have replaced bipolar confrontation. Today observers consider state failure, international terrorism, the proliferation of weapons of mass destruction, tensions between ethnic and religious identity groups, and conflicts regarding scarce strategic raw materials to be 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 globalization 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 globalization 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 Challenges in the Context of Globalization* aims to identify common patterns in the reactions to globalization-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?

Globalization 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 organizations – especially regional organizations – and non-state actors such as transnational companies and non-governmental organizations 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 organizations in different world regions? GIGA's Research Programme 4: *Power, Norms and Governance in International Relations* addresses these and related 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 innovative comparative area studies 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.

## 2. Organizational Structure

The GIGA's research is organized according to a matrix structure that systematically links the four regional institutes and the four research programmes. All researchers are simultaneously 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 GIGA research manager and the GIGA president. The council discusses and coordinates all issues relevant to the GIGA research profile – including this research plan.

	Institute of African Affairs (IAA)	Institute of Asian Studies (IAS)	Institute of Latin American Studies (ILAS)	Institute of Middle East Studies (IMES)	
		Research Programme 1: Legitimacy and Efficiency of Political Systems			
		Research Programme 2: Violence and Security			
		Research Programme 3: Socio-Economic Challenges in the Context of Globalisation			
		Research Programme 4: Power, Norms and Governance in International Relations			



Third-party funding plays an important role in the implementation of the GIGA research agenda. Roughly 25 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 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 EC, the World Bank and the Leibniz Association (SAW-Verfahren, implementation of the Joint Initiative for Research and Innovation). In 2012, for example, the GIGA applied for and received 850,000 EUR in funding from the Europe and Global Challenges programme, a collaborative initiative of the German Volkswagen Foundation, the Italian Compagnia di San Paolo and the Swedish Riksbankens Jubileumsfond. It also acquired 800,000 EUR through the Leibniz Association (SAW-Verfahren) and is currently participating in two FP 7-funded projects where its share of the budget is roughly 500,000 EUR. Altogether, the GIGA's third-party funding amounted to nearly 2.6 million EUR in 2012, more than double the total of only five years ago.

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-Europe Group for Interdisciplinary Studies (AEGIS), the German Association for Asian Studies (DGA), the European Alliance for Asian Studies, the German Association of Latin American Studies (ADLAF), the Consejo Europeo de Investigaciones Sociales de América Latina (CEISAL), 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 (DVPW), the International Studies Association (ISA) and the Verein für Socialpolitik. 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 also with the regions. GIGA also plays a lead role in two cross-

regional research networks: Together with the University of Oxford, the University of Hamburg and Sciences Po/Paris, the GIGA has initiated the Regional Powers Network (RPN), which addresses the rise of regional powers in Africa, Asia, Latin America and the Middle East and brings together researchers from 60 institutions in more than 20 countries. 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. It deals with the role of institutions in divided societies and their contribution to peace processes. A third cross-regional network, International Diffusion and Cooperation of Authoritarian Regimes (IDCAR), is currently being developed.

GIGA is also well positioned in the German academic landscape. It collaborates closely with a number of universities (for example, Hamburg, FU Berlin, Frankfurt, Kiel, Lüneburg) and non-university research institutes (for example, WZB, HSKF) 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 20 courses 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 Association (SAW-Verfahren) and the Excellence Initiative of the Free and Hanseatic City of Hamburg. With this funding (which runs from 2010 to 2013) they jointly run the Hamburg International Graduate School for the Study of Regional Powers, which offers 12 part-time positions for doctoral students. Students with external funding are also welcome to join the GIGA and are supervised by professors from the institute and the University of Hamburg. From 2013 on GIGA will invest considerable funds to continue its high-quality doctoral training and to anchor it in all four GIGA research programmes. Doctoral students participate in many of the research projects detailed in the 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 leader in area studies and comparative area studies work.

### 3. Research Programmes

#### 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. What RP 1 analyses is 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, organizations 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 democratization", 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 illiberal political models has emerged. The ambiguous evolution of the "Arab Spring", which has not yet resulted in a democracy, 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.

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

- Which legitimization 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 rulership 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 organizations and actors in particular generate, and what role do these groups play in the maintenance of undemocratic regimes?
- Which factors favour the development of neopatrimonial rule in non-democratic regimes?

Authoritarian and hybrid regimes can also be effectively analysed through the investigation of selected sub-regimes, policy areas, issues or conflicts. For this purpose, individual case studies that generate theoretical explanations can be of great importance. The research team's preferred approach, however, is a comparative (small- and large-N) research design that aims to produce middle-range theoretical explanations. Finally, the research team aims to determine whether regimes have region-specific characteristics that allow for the development of convincing typologies and whether such typologies are useful.

#### Research Team 2: Law and Politics

Research in the area of law and politics is a long-standing tradition in the field of political science. Such studies have dealt with legal regulations to guide the behaviour of government officials and organizations (constitutional aspects), or with the influence of political actors, institutions and processes on the law (judicial policy aspects). For the most part, this branch of research has focused on Europe and North America, although there has recently been an increase in non-OECD country studies – but

on a very unequal basis. While there has been a great deal of research on Latin America since the beginning of the “third wave of democratization”, which resulted in numerous judicial- and constitutional-reform processes, Africa, Asia and the Middle East are still neglected, even though this topic is of great importance in understanding democratization processes in those regions.

The research team therefore has two main objectives: On the one hand, to contribute to the research on those regions which have been heavily neglected. On the other, to (further) develop appropriate research methods, which are essential for research on law and politics from a cross-regional comparative perspective.

RT 2 analyses the following questions:

- How much power do courts have within a political system? 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?
- 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?
- What are the effects of the privatization of security on human rights, the anchoring of the rule of law, and democracy in general?

#### 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 characterized by strong internal inequity, 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 well-established 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 organizations 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*

The Research Programme 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 characterized 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 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 utilize 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.

#### Research Team 1: Natural Resources and Security

Given the numerous conflicts in resource-exporting countries and the growing concern about the secure supply of strategic resources (particularly energy resources), the realpolitik importance of natural resources and security is obvious. In recent years, peace and conflict studies have increasingly focused on the relationship between prosperity and a dependence on natural resources on the one hand and violence on the other – especially civil war (“economies of violence”, “greed and grievance”, resource-curse approach). The growing global scarcity of strategic resources such as oil and the increasing demand for such resources on the part of China and the USA also raise the spectre of intensified global conflicts over resource distribution in the future. The possible negative consequences of climate change represent an additional security challenge.

The research team's central questions relate to the ambiguous and context-dependent consequences of natural resources on security within and between states:



- Under what conditions does the exploitation of natural resources lead to violence? And when, in contrast, does it serve as a power resource for political stability?
- How does the strategic importance of some resources (“security of supply”) influence security in Africa, Asia, Latin America and the Middle East and the foreign policy of Western as well as Southern governments?
- How can key concepts such as rents, raw materials, and resources be adequately operationalized to generate meaningful research results?

Most of the countries that produce strategic resources and export them to industrialized countries are located 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 mobilized 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 focuses, 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 contemporary interactions between the Islamic and the Bolivarian revolutionary projects and thus contributes to the research on alternative projects shaped by a “Southern” view of the world.

#### 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 globalization, 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 organizations, 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 organized violent conflicts and on the institutional and processual features of conflict conduct and settlement. Moreover, the RT aims to assess which institutional arrangements help promote peace (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 on democracy, an increase in intrasocial tensions, the ethnicization of conflict) 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 levelled 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 imperil 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 Team 5:

## Forms of Violence and Public (In)Security

Insecurity comes into existence not only through organized armed conflict but also where other forms of violence reach a societally relevant level. However, both forms of violence are closely connected. This is particularly true when violent actors are ascribed (either by themselves or by others) a “political” motivation, because this generally legitimizes their violence to a certain extent. How violence is framed is relevant not only for academic analysis but also, to a great extent, for political practice. Strategies for dealing with violence and the reduction of violence differ according to how violence is classified and perceived.

RT 5 comparatively investigates the questions related to this issue in two specific contexts: post-war societies and democratization processes. Its research focuses on the following questions:

- Which types of violence, which spatial contexts and which perpetrator–victim structures do we observe in each of these contexts?
- How does the societal construction of violence take place, and which discourses about violence are dominant?
- What are the dominant strategies for dealing with violence? Which institutions (state and non-state) are the most relevant?
- How does violence impact and interact with the transformation processes of coming out of war or of establishing democratic institutions?

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

Research Programme 3 focuses on selected socio-economic challenges in the context of globalization. Globalization 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 globalization. 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.

## Research Team 1:

## Local Actors of Globalization: Agency and Responsiveness

The transformation of social structures and the societal context in Africa, Asia, Latin America, and the Middle East generates new challenges and opportunities for local actors (individuals, households, firms, social groups, and networks). RT 1 thus examines the following two central questions:

- How do actors react to local and global change –that is, how do they choose to adapt and respond to the challenges related to globalization (responsiveness)?
- How do actors influence local and global change – that is, how do actors use the new possibilities offered by globalization, and how do they contribute to local and possibly global change (agency)?

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 im-

portant 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 globalization 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 Team 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 industrialization 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 microeconomic 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, democratization 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 with 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 polit-

ical 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 globalization, 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: We are already observing the emergence of new governance structures that more prominently feature non-state actors and emerging powers. We are also seeing regions and regionalization processes become increasingly important. Furthermore, we are 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, its researchers describe and explain the new patterns of interaction between states, non-state actors and international organizations. Second, they identify 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 norm-creation processes, and also examines non-state actors' participation in these processes.
- RT 3 deals with the increasing influence of regions and regional organizations 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 organizations. The RTs 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 emergent powers. There are several deductive categories for such powers in international politics (status-quo oriented, revisionist) which assume that these powers exhibit divergent 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 RT analyses these emergent powers' foreign policy strategies across policy fields and regions.

Emergent powers in Africa, Asia and Latin America are characterized 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 IBSA, BRICS or BASIC provide examples in this regard. In turn, these new mechanisms are shaping the decisions not only of emergent 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 extraregional 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:

Global Governance and Norm-Building

In the debate on globalization, researchers have confirmed the increasing relevance of transnational activities in a large number of social domains. On the one hand, this change has restricted the governance potential of nation states. On the other, transnational political communication and cooperation have strengthened the actors participating in these transnational interactions. New types of actors have also emerged (public-private partnerships, foundations as a source of international financing) as a result. With the increasing engagement of non-state actors, transnational political control has

gained creative power. The importance of intergovernmental organizations and agreements has declined in many policy fields, and global networks have increased the relevance of transnational norm-building.

The RT analyses global norm-building processes, which are an important foundation for the development of global governance. Here the research focuses on transnational hybrid norm-building processes, within which states, international governance organizations, transnational enterprises and civil society organizations interact and cooperate on the same level. The research is grounded in the assumption that in a world shaped by globalization, universal norm-building and the diffusion of norms through central authorities such as states are increasingly becoming subject to fundamental criticisms. The researchers thus deal with the following core questions:

- What interests and power resources do the various state and non-state actors introduce, and how do these influence global norm-building processes?
- How do these actors legitimize themselves, and what does this mean for the nexus of voice and entitlement?
- How do the governance processes of transnational networks generate norms, and how is compliance with these norms ensured?

Sectoral global governance processes in the health, education and environment policy fields are a further topic of the RT's research. The example of health policy demonstrates how extremely complex actor structures have evolved in the transnational sphere. The RT is building on existing research through its study of key aspects of this sector (the plurality of actors, the role of foundations, norm-building processes, the role of regional powers in global health governance). The research centres on the following questions:

- How do interactive processes constitute governance, and how do they shape its normative basis?
- What role do the different state and non-state actors play in sectoral global governance processes?
- What differences and similarities among governance structures can be identified between different policy fields?

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 organizations' 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 organizations 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 organizations assume which tasks, or about which organizations are successful and which are not. RT 3 therefore focuses on examining the institutional design of regional organizations, looking specifically at how external factors influence this design. In particular, it explores the innovative argument that it is processes of diffusion between regional organizations that determine their institutional design. The Comparative Regional Organization Project is currently coding 83 regional organizations 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 organizations and the interactions between regional organizations. Many regional organizations compete with each other in a regional context or have overlapping member states. The RT's research questions are as follows:

- How are regional organizations structured?
- How do these structures change over time?
- How does their institutional design influence the effectiveness of regional organizations?
- How do rising powers (in particular China) perceive the EU, and how have these perceptions changed in the course of the European financial crisis? How do financial crises change the role of regional organizations?
- How does competition impact the effectiveness of regional organizations?

## 4. Regional Institutes

### Institute of African Affairs (IAA)

Africa south of the Sahara demonstrates a specific mix of real-world challenges and opportunities that has attracted significant academic interest on various issues. The latter include armed conflicts, their causes, and their resolution; difficulties in consolidating democratic institutions; the widespread poverty; and new investments, be they for large-scale land acquisitions or for the conquest of the growing consumer markets. A limited number of African governments have now become global players, and they are also receiving more international scholarly attention. This pattern of interest in Africa is reflected in the IAA's research programme. The institute makes an effort not only to be part of major Africa-focused research initiatives (for instance, the second round of the DFG's special programme "Adaptation and Creativity in Africa"), but also to engage in the 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 of the IAA's research projects, and IAA scholars also look particularly at the continent's openness to external influences.

Within the GIGA's Research Programme 1: *Legitimacy and Efficiency of Political Institutions*, IAA researchers continue to focus on hybrid regimes and are 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 and Senegal. The RP's well-established research on neopatrimonial regimes now includes a new EC-funded project on corruption (a cross-regional project with many African cases).

As part of RP 2: *Violence and Security*, the IAA's research is examining the institutional prerequisites for lasting peace. IAA scholars are studying local power-sharing arenas (Burundi, DRC, Kenya, Liberia) and investigating

the local impact of post-war institutions. The IAA is also the lead organization in the cross-regional network project "Institutions for Sustainable Peace", which includes several internationally renowned researchers. This network explores how different institutional combinations impact peace; it also looks at the effects of particular forms of conflict resolution on the choice of institutions (specific electoral systems, security sector legislation, territorial autonomy, etc.). An additional three-year research project on the inclusiveness of power-sharing is now in its second year. Here, the IAA is investigating how the sharing of positions within the "inner core" of political, military, economic and territorial power in a post-conflict setting impact the recurrence of armed conflict. The RP has also secured funding for a new project investigating the combined effects of resource abundance and ethnic diversity on peace and war dynamics. In a well-established research project on the ambivalence of religion in armed conflict, the extent to which and the conditions under which religion is an explanatory factor for conflict escalation or de-escalation is the main research question. This project has been extended for another year to allow for the inclusion of analysis on South Sudan, among other countries. Finally, a further project within RP 2 focuses on the effectiveness of sanctions directed at authoritarian regimes.

The growing commercial interest in Africa has reignited academic interest in foreign direct investment (FDI). In RP 3: *Socio-Economic Challenges in the Context of Globalization*, a research project hence investigates the productivity effects in Africa of FDI from North–South and South–South firms. In cooperation with the IAS, the IAA also continues to investigate the local implications and perceptions of the ever-growing Chinese presence in African economies. This project originally focused on interactions between Chinese and local entrepreneurs (Ghana, Senegal) and is now looking at West African traders who travel to China to establish commercial re-



lations. Furthermore, many rural African locations are now the scene of large-scale land investments. While this is common knowledge, the exact scope of the phenomenon, how these operations are implemented, and their social consequences still necessitate empirical research. An RP 3 project that is currently examining the exact transmission channels and negotiation processes utilized in land acquisitions is addressing this gap. The classical 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 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 (undertaken 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, inter alia in Burkina Faso and Uganda. It also explores other poverty dynamics, focusing on education and the role that targeted interventions can play in breaking the cycle of poverty.

Finally, the IAA also continues to analyse the roles of both of the major continental powers, Nigeria and South Africa, in international affairs. Within RP 4: *Power, Norms and Governance in International Relations*, a further project examines regionalism across sub-Saharan Africa. This analysis goes beyond the level of texts and conventions; it studies the extent to which regional cooperation and/or regional integration have occurred by providing an empirically grounded analysis of the scope and the level of regionalism in Africa.

### Institute of Asian Studies (IAS)

Asia – by far the world's largest and most populous continent – exhibits a remarkable diversity in terms of its political, economic, and social settings. As a consequence, Asia-related research has tended to focus on individual subregions and countries. The IAS focuses particularly on China and India, which also happen to be the two countries in the region—of only four such countries worldwide—with which Germany maintains a “special relationship”. This relationship manifests as regular, com-

prehensive, high-level bilateral meetings. Despite this focus, IAS scholars do conduct research on other parts of South Asia, as well as on Southeast Asia, Japan and the two Koreas.

Political regimes in Asia range from (post-)totalitarian North Korea at the one extreme 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 GIGA's research on political regimes in Asia, which also examines these regimes from a comparative perspective, is carried out within Research Programme 1: *Legitimacy and Efficiency of Political Systems*. IAS scholars are currently engaged in RP 1 research on ideological change and regime legitimacy, as well as on social conflict and its management in China. Funding proposals for two new projects, one on Chinese political scientists' discourse on China's political system and another on the role of civil society organizations in Vietnam, Algeria and Mozambique, were submitted in 2012. Political parties and party systems in Asia constitute another long-standing focus of the IAS's RP 1 research. IAS scholars are currently examining the formal and informal institutions at play in the leadership selection processes of various North-east Asian political parties. They are also investigating the causes and manifestations of factionalism – that is, the existence and competition of intra-party groups—as well as its impact on party-system change in six young Southeast Asian and South Asian democracies.

Despite a number of unresolved international conflicts in the region, for example, on the Korean peninsula and across the Taiwan Strait, there have been remarkably few battlefield-related deaths in Asia over the past three decades. Domestic confrontations in a number of Asian nations have, however, led to heavy bloodshed. Against this background, mediation in (post-)civil war contexts is at the centre of the IAS research that falls within GIGA's RP 2: *Violence and Security*. A third party-funded pilot study on the impact of failed mediation on the escalation of conflict, which focused on Sri Lanka, was completed in 2012. IAS staff submitted funding proposals for a related full-scale project in mid-2012. Additional research on domestic conflicts in Asia is planned for 2013 and beyond. A new post-doctoral fellow, who will join the IAS in 2013,

will examine “islands” of non-conflict in Indonesia's conflict-ridden eastern Moluka province. External funding permitting, the IAS will also undertake research on Maoist insurgencies in India. The latter research project is intended to form part of a broader project on three of India's newer states.

Asia's tremendous heterogeneity in terms of socio-economic development is reflected in the projects carried out by IAS scholars within RP 3: *Socio-Economic Challenges in the Context of Globalization*. A multimethod research project is currently examining the interconnections between employment, empowerment and standards of living in three less developed African and Asian nations, including Sri Lanka. This project reflects the IAS's sustained interest in conceptualizing and measuring “well-being” from a cross-national perspective. In recent years, China has been Asia's most robust growth engine. IAS scholars are examining Chinese overseas economic activities, which have increased by leaps and bounds. Chinese foreign direct investment in Europe and its impact on reverse flows of technology are at the centre of one stream of IAS research. Furthermore, as very little is known about the small-scale economic activities of individual Chinese entrepreneurs, such activities are the focus of another IAS project, funded by the German Research Foundation, currently underway. The project investigates the activities of Chinese petty entrepreneurs in West Africa, and their local impact, from an ethnographic perspective. Empirical macro-quantitative research is the mainstay of the Claussen-Simon Professorship on Economics in Asia (held by Prof. Erich Gundlach). Ongoing research here focuses on the connections between a number of global economic, political and social transformations 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 GIGA's RP 4: *Power, Norms and Governance in International Relations*. China's posture within the UN and India's relations with Pakistan – understood as a secondary power in the South Asian subregion – are currently being analysed by junior IAS scholars as part of larger third party-funded research projects. Within RP 4's comparative regionalism research

team, IAS scholars are also examining the role of diffusion effects on regional integration in Southeast Asia.

### Institute of Latin American Studies (ILAS)

Due to a resource-driven boom, Latin America has become a self-assertive actor in global politics and an important player in the global economy. At the same time, serious problems regarding democratic governance, public security and socio-economic inequality persist.

In Latin America, democracy's presence as “the only game in town” is challenged less by coups or military dictatorships and more by competing understandings of the substance of democratic governance. Of particular importance for the quality of democracy is the rule of law and the interplay of the judicial system with the executive and legislative powers. Within GIGA's Research Programme 1: *Legitimacy and Efficiency of Political Systems*, ILAS scholars are analysing the “new constitutionalism” and new and contested practices of democracy in three Andean countries. Another project examines the implementation of and obstacles to independent judiciary systems in Argentina, Paraguay and Chile. In line with GIGA's commitment to comparative area studies, the research project goes beyond the three Latin American cases alone, comparing them with three new democracies in West Africa: Benin, Madagascar, and Senegal. Also as part of RP 1, ILAS researchers are studying Latin American states' increased outreach to their emigrated citizens. A continent-wide study investigates the instruments used as part of these new “emigrant policies”. In light of the strong presidentialist mould of Latin America's political systems, another project undertakes a multicountry study of how the single most powerful institution of each nation, the presidency, is organized and operates.

While Latin America no longer makes headlines because of guerrilla fighting and civil wars, the continent continues to be conflict-ridden. Although organized armed political violence has become rare, Latin America continues to be the most violent region in the world in terms of interpersonal and “criminal” violence. ILAS addresses these issues as part of RP 2: *Violence and Security*. Because violence remains a key problem across the region, ILAS



researchers analyse the relationship between different forms of violence and the consolidation of democratic regimes. The research focuses on two specific aspects of this relationship: The first is the impact of public security problems on the democratic process, particularly as governments turn to “iron fist” approaches – including repressive practices clearly outside of the rule of law – in their efforts to fight crime and violence. The second is the nexus between political actors and organized crime, which is examined with a focus on Central American countries. A related trend is that media and politicians in Latin America are singling out youth – that is, mostly young males – as the key perpetrators of crime and interpersonal violence. Against this background, ILAS scholars are attempting to identify pathways out of violence and alternatives to violent transitions into adulthood, particularly in post-war societies. Other sources of conflict in the region are the large-scale resource-extraction projects that are a pillar of Latin America’s commodities-driven economic boom. ILAS research analyses the consultation processes undertaken with local populations regarding oil extraction in Ecuador, Peru and Bolivia and the potential of these consultations to prevent conflict from escalating into violence, comparing the legal provisions and the actual experiences. Latin American cases also figure prominently in RP 2’s “Institutions for Sustainable Peace” project, which addresses the challenges of institutional reform intended to prevent the recurrence and outbreak of armed conflict

Strong and persistent socio-economic inequalities are both cause and consequence of some of the phenomena described above. This is why most of the projects in RP 3: *Socio-Economic Challenges in the Context of Globalization* that include Latin American countries stress this aspect. Research on informal entrepreneurship and labour markets in Peru, for example, examines the mechanisms that keep microenterprises from growing. These microenterprises provide employment for most of the working poor in Latin America. Future research on this issue will also focus on the quality of employment as a fundamental factor in the persistence of inequality. In the Latin American context, policy choices generally involve a trade-off between equity and other objectives, such as efficiency or environmental goals. This is particularly true of social policies (including the widely used so-called conditional cash-transfer programmes), which

ILAS researchers are examining in the context of the EC-funded NOPOOR project. Similarly, ILAS staff are also scrutinizing climate change mitigation policies in Latin America in terms of their possible poverty and distributional implications.

Latin America’s changing role in the global system is addressed in the context of RP 4: *Power, Norms and Governance in International Relations*, which is continuing its five-year project on contested leadership in international relations. A particular focus 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 examinations 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. ILAS scholars are also analysing China’s increasing influence on Latin America’s international relations. Finally, Latin America figures prominently in a cross-area comparative study of regional governance (especially security governance) and the role of the Union of South American Nations (UNASUR).

#### Institute of Middle East Studies (IMES)

The profound changes in North Africa and the Middle East that have resulted from the upheavals of early 2011, now called the “Arab Spring”, will most definitely influence the content, range and scope of Middle East-related research in the coming decade(s). Here, the IMES has the advantage of in-depth experience in a variety of important fields such as authoritarianism, democratization and political reform, conflict studies, poverty reduction, the power balance within the regional system, and – last but not least – political Islam/Islamism. The IMES has already 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 GIGA’s Research Programme 1: *Legitimacy and Efficiency of Political Systems*, IMES scholars are investigating the conditions under which authoritarian regimes – which had been stable for decades – became vulnerable and began to transform. Additionally, they are attempting to determine what explains the remarkable differences in these transformation processes. This ques-

tion has become especially important given the absence of a “domino effect” as part of the “Arab Spring”. All dreams that the entire Middle East would be democratic by the end of 2011 have proven to be premature. In several countries the status quo has prevailed, and in some countries extremely violent civil wars have broken out. The differences in the regional transition processes – such as those between Arab monarchies and Arab republics – have become increasingly evident. Through systematic interregional comparisons, IMES combines the results of its analyses on these issues with findings from other world regions. The IMES research thus decisively contributes to a better understanding of authoritarian political systems’ governance and struggles for legitimacy. In addition, it generates important findings regarding the transformation and differentiation of such regimes.

The lion’s share of the IMES research is done in the context of RP 2: *Violence and Security*. The electoral success of Islamist organizations in post-“Arab Spring” societies is just one phenomenon – though a convincing one – that demonstrates the rapidly increasing importance of political Islam in the Middle East. Taking previous findings into account, IMES scholars have designed two intraregional research projects on the opportunities and hindrances Islamist organizations face in influencing the political and economic future of Middle Eastern societies. Another research project takes a cross-regional perspective and asks if convergence between the Islamic and other “revolutionary” projects (for example, in Venezuela) might result in specific “Southern” models of a multipolar world. 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 politics but also international relations. Although academic studies have not dealt with any other topic in the region as thoroughly as with Israel, Palestine and the Middle East conflict, many research questions remain the subject of debate. Due to the frequent changes and tumultuous developments in this area, especially since 2011, new scholarly puzzles appear constantly.

As part of an RP 2 project on international sanctions, the IMES is responsible for a case study of Iran. This study examines the impact of sanctions in general and the varying effectiveness of specific sanctions. It also iden-

tifies the power resources the Iranian regime can potentially rely on, and the ways it uses these resources. Finally, IMES researchers are studying terrorism and organized crime in a project on internal security. The problem of Islamist terrorism, especially since 9/11, has led to a significant amount of research on this issue. However, studies on crime in general and organized crime in particular are virtually nonexistent. The same is true of studies on governmental counter-terrorism strategies.

Within the scope of RP 3: *Socio-Economic Challenges in the Context of Globalization*, the IMES analyses socio-economic development in the Middle East and examines the links between poverty and political institutions. Given the predominantly economic roots of the “Arab Spring”, the researchers are interested in determining which policies are more likely to be adopted by specific regime types and in analysing differences in the effectiveness and efficiency of specific policies under different regime types. The results are expected to contribute to assessments of the region’s general and specific economic prospects.

As part of RP 4: *Power, Norms and Governance in International Relations*, the IMES is also participating in a cross-regional project that comparatively analyses the foreign policy behaviour of selected regional powers. IMES researchers are 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 or Hezbollah. Given events since the beginning of 2011, the question of 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 inquiry.

// GIGA RESEARCH PROJECTS 2013, *Overview*



## >> Overview: GIGA Research Projects 2013

### 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)
- Comparing Autocracies in Asia (Patrick Köllner, Johannes Gerschewski)
- 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)
- Learning through Conflict. Managing Society in Authoritarian China (Günter Schucher)

#### *Research Team 2: Law and Politics*

- 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)
- New Constitutionalism and New Practices of Democracy: Venezuela, Ecuador and Bolivia (Detlef Nolte, Almut Schilling-Vacaflor)

#### *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 Stroh)
- Political Regimes, Reduction of Poverty and Inequality (Gero Erdmann, Jann Lay)
- Politics beyond Borders. The New Dynamics of Emigrant Politics and Policies in Latin America (Bert Hoffmann, Jean-Michel Lafleur)
- Anticorruption Policies Revisited. Global Trends and European Responses to the Challenge of Corruption (ANTICORRP) (Christian von Soest, Thomas Richter, Detlef Nolte)
- Intra-Party Factionalism and Party System Change: Lessons from Young Democracies in Asia (Andreas Ufen, Paul Chambers, Patrick Köllner, Siegfried Wolf)

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, Peru and Ecuador (Almut Schilling-Vacaflor)

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)
- The Egyptian Salafist Movement from 1971 to 2012: Ideational Developments and the Genesis of the Salafist Political Trend (Henner Fürtig, Annette Ranko, Nikolai Röhl)
- New Power-Sharing Arrangements in Multi-Ethnic Arab States (Henner Fürtig, Stephan Rosiny)
- Shared Histories and Contemporary Interactions between Iran and Venezuela (Henner Fürtig, Leslie Wehner, Oliver Borszik)

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 Ansorg, Felix Haaß, Julia Strasheim)
- Civil War and the Social Contract – State Services, Political Trust, and Political Violence (Alexander De Juan)
- The Unintended Consequences of Conflict Management (Sandra Destradi, Johannes Vüllers)
- Power-Sharing in Post-Conflict Situations: On the Institutional Prerequisites for Lasting Peace (Andreas Mehler, Martin Ottmann, Johannes Vüllers)
- The Local Arenas of Power-Sharing. Patterns of Adaptation or Continued Disorder? (Andreas Mehler, Franzisca Zanker)

Research Team 4: Causes and Effects of Sanctions

- Ineffective Sanctions? External Sanctions and the Persistence of Autocratic Regimes (Christian von Soest, Julia Grauvogel, Matthias Basedau)

Research Team 5: Forms of Violence and Public (In)Security

- Political-Criminal Nexus in Central America: Organized Crime and Politics in Guatemala, El Salvador and Nicaragua (Otto Argueta)
- Public Security and the Transition to Democracy (Sabine Kurtenbach, Hanspeter Mattes, Annegret Mähler)
- Youth in Post-War Societies – Pathways out of Violence (Sabine Kurtenbach, Janina Pawelz)

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

Research Team 1: Local Actors of Globalization: Agency and Responsiveness

- Entrepreneurial Chinese Migrants and Petty African Entrepreneurs: Local Impacts of Interaction in Urban West Africa (Ghana and Senegal) (Karsten Giese, Laurence Marfaing, Alena Thiel)
- West African Traders as Translators Between Chinese and African Urban Modernities (Karsten Giese, Laurence Marfaing, Alena Thiel)
- Poverty and Inequality Dynamics and the Role of Social Policies (Jann Lay, Lena Giesbert, Daniel Neff, Miquel Pellicer)
- Micro and Small Enterprises in Developing Countries: Opportunities and Constraints (Jann Lay, Jens Krüger, Sebastian Prediger)
- Employment, Empowerment and Living Standard (Jann Lay, Daniel Neff, Lena Giesbert, Sebastian Prediger, Sarah Linde, William Monteith)
- The Productivity Effects of Foreign Direct Investment (FDI) of North-South and South-South Firms: The Case of Sub-Saharan Africa (Birte Pohl)
- Globalization 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: Global and Local Evidence (Jann Lay, Mirjam Harteisen, Kerstin Nolte)
- Integrated Modelling of Land-Use Changes at Rainforest Margins in Indonesia (Jann Lay, Elisabeth Hettig)
- Large-Scale Land Acquisitions and Sustainable Development (Jann Lay, Kerstin Nolte)
- The Land Matrix (Jann Lay, Kerstin Nolte, Mirjam Harteisen, Christof Althoff)
- Climate Change Mitigation and Poverty Reduction (CliMiP) – Trade-Offs or Win-Win Situations? (Jann Lay, Miriam Prys, Sebastian Renner)
- Landscape-Level Assessment of the Ecological and Socio-Economic Functions of Rainforest Transformation Systems in Sumatra (Indonesia) (Jann Lay, Kacana Sipangule, Elisabeth Hettig)
- Long-Term Land Use, Poverty Dynamics and Emission Trade-Offs (Jann Lay, Katharina Trapp)
- Climate Protection, Development and Equity: Decarbonization in Developing Countries and Countries in Transition (Sebastian Renner, Jann Lay)

Claussen-Simon-Professorship in Economics

- Socio-Economic Transitions (Erich 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)
- Contested Leadership in International Relations: Power Politics in South America, South Asia and Sub-Saharan Africa (Daniel Flemes, Georg Strüver, Hannes Ebert, Oliver Müser)
- Responsibility for the Region: Role Expectations and Role Attribution for Regional Powers (Miriam Prys, Leslie Wehner)

*Research Team 2: Global Governance and Norm-Building*

- Private Foundations in Global Governance: The Cases of Health and Education (Wolfgang Hein, Joachim Betz, Sonja Bartsch)
- Contested World Orders (Detlef Nolte, Anja Jetschke, Miriam Prys, Kristina Hahn)
- Climate Change Mitigation and Poverty Reduction (ClimiP) – Trade-Offs or Win-Win Situation; Work Package 3: International Relations (Miriam Prys)

*Research Team 3: Comparative Regionalism*

- Regional Cooperation and Regional Integration in Sub-Saharan Africa Level, Scope and Causes of de Facto Regionalism (Gero Erdmann, Sebastian Elischer)
- Is Regionalism Contagious? Regional Integration and the Diffusion of Institutions and Policies (Anja Jetschke)
- The Impact of the Emerging Asian Powers on Global Constitutionalization: China and India as Regional Challengers (Nele Noesselt)
- The Constitutional Quality of Regional Governance. The Case of South America and UNASUR (Detlef Nolte, Leslie Wehner)

// GIGA RESEARCH PROJECTS 2013, *RP 1–4*



Middle East Monarchies: A Configurational Comparison of Breakdown and Survival since 1945

>> André Bank, Thomas Richter, Anna Sunik

Project Goals	<ul style="list-style-type: none"><li>- To undertake a longitudinal analysis of external and internal factors that explain the survival and breakdown of authoritarian monarchies in the Middle East since 1945.</li><li>- To identify the different historic-configurational pathways and the necessary and sufficient underlying conditions for monarchical survival and breakdown.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Historical institutionalism</li><li>- Theories of political legitimation</li><li>- Rentier state theory</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intraregional Comparison</li><li>- Time Dimension: Longitudinal Cross-Country Study</li><li>- Spatial Dimension: National</li><li>- Level of Analysis: Countries</li><li>- Number of Cases: Medium-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Documents (official documents), Databases (data set on Middle East rulers and authoritarian regimes)</li><li>- Data Processing: STATA, Tosmana</li><li>- Data Analysis: Multivariate Methods, QCA</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Dr. Roy Karadag, Institute for Intercultural and International Studies (InIIS), University of Bremen</li><li>- Dr. Stephan Hensell, Arbeitsgemeinschaft Kriegsursachenforschung (AKUF), University of Hamburg</li><li>- Jun.Prof. Thomas Demmelhuber, University of Hildesheim</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “Authoritarian Monarchies in the Middle East: Conditions for Survival and Breakdown since 1945”, presentation at conference of the DVPW Section “Comparative Politics”, University of Marburg, 30 March 2012</li><li>- „The King’s Dilemma Revisited: Pathways of Authoritarian Monarchies into the 21st Century“, presentation at the MPSA 69th Annual National Conference, Chicago, 2 April 2011</li><li>- “The King’s Dilemma Overcome? Arab Monarchies in the 21st Century”, panel at the 31. Deutscher Orientalistentag (German Congress of Oriental Studies), Marburg, 20–24 September 2010 (organization, direction and presentation; in German)</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- Bertelsmann Transformation Index (BTI): Country Survey Jordan</li><li>- “Middle East Monarchies: Winners of the ‘Arab Spring’?”, GIGA Forum Berlin, 13 September 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Bank, A., and T. Richter (2013), Authoritarian Monarchies in the Middle East: Conditions for Survival and Breakdown since 1945, in: <i>Politische Vierteljahresschrift</i>, Special Issue on “Autocracies in Comparison”, forthcoming (in German).</li><li>- Bank, A. (2012), Jordan and Morocco: Pacification through Constitutional Reform?, in: M. Asseburg (ed), <i>Protest, Revolt and Regime Change in the Arab World. Actors, Challenges, Implications and Policy Options</i>, Berlin: Stiftung Wissenschaft und Politik, 31–33.</li><li>- Richter, T. (2012), The Rentier State – Relevance, Scope and Explanatory Power of a Four-Decades-Old Paradigm, in: A. Heinrich, and H. Pleines (eds), <i>Challenges of the Caspian Resource Boom</i>, London: Palgrave Macmillan, 24–34.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Fritz Thyssen Stiftung (Fritz Thyssen Foundation): approved</li></ul>
Duration	2012–2014

Project Description

Research Questions	<p>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:</p> <ul style="list-style-type: none"><li>- Under which conditions do authoritarian monarchies in the post-colonial Middle East, contrary to Huntington’s dictum, reproduce themselves?</li><li>- Which general and case-specific explanations concerning the (un)successful survival and/or breakdown of monarchies in the region can be identified?</li><li>- Which general and theoretical conclusions can be made regarding the dynamics and trajectories of other authoritarian regimes?</li></ul>
Contribution to International Research	<p>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.</p> <p>Thus, the project breaks new ground in the fields of comparative politics and Middle Eastern studies by attempting to systematically explain both monarchical survival and breakdown, by including a number of key explanatory conditions (external support, rents, family participation, legitimation, repression, co-optation) and taking into account their interplay, and, finally, by comparing all these aspects over the longue durée of over six decades.</p>
Research Design and Methods	<p>Based on the systematic collection of existing, international secondary literature, the project undertakes a configurative, QCA-based comparison of all Middle Eastern states between 1945 and 2011. This systematic procedure offers the possibility of identifying explanatory 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.</p>

Ideological Change and Regime Legitimacy in China

>> Heike Holbig, Maria Bondes, Sandra Heep

Project Goals	- 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, Official and 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 Heberer, University of Duisburg-Essen - Prof. Dr. Sebastian Heilmann, University of Trier - Prof. Dr. Gunter Schubert, University of Tübingen - Prof. Dr. Josef Gregory Mahoney, East China Normal University, Shanghai - Prof. Dr. Hongshan Yang, Renmin University, Beijing (visiting scholar, Oct.– Nov. 2011) - Dr. Hongyun Zhou, China Center for Comparative Politics and Economics, Beijing (visiting scholar, May–August 2012)
Teaching	- “Ideological Change in the People’s Republic of China”, University of Frankfurt, Summer Semester 2011 (H. Holbig) - “Debating Democracy in China”, University of Frankfurt, Summer Semester 2012 (H. Holbig) - “Politics of Culture in Contemporary China”, University of Frankfurt, Winter Semester 2012/13 (H. Holbig)
Workshops/ Conferences	- “Conceptualizing Ideological Change and Regime Legitimacy”, presentation at Seminar on Government Innovations, China Center for Comparative Politics and Economics, Beijing, China, 30 October 2012 (M. Bondes) - “China’s Unwritten Constitution – Ideological Implications of a ‘Nonideological’ Approach”, presentation at 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 (ASC), Hamburg, 10 December 2011 (M. Bondes, S. Heep) - “The International Dimension of Regime Legitimacy. Reflections on Western Theories and the Chinese Experience“, International Conference on “Legitimacy and Governance“, Fudan University Shanghai, 3 July 2010 (H. Holbig)
Publications	- Bondes, M., and S. Heep (2012), <i>Frames We Can Believe In: Official Framing and Ideology in the CCP’s Quest for Legitimacy</i> , GIGA Working Papers, 187, Hamburg: GIGA. - Gilley, B., and H. Holbig (2009), The Debate on Party Legitimacy in China: A Mixed Quantitative/Qualitative Analysis, in: <i>Journal of Contemporary China</i> , 18, 59, 339–358. - Heep, S. (2013), Productive Power and Policy Change in Global Finance. An Analysis of China’s Financial Policy Framing in the Bretton Woods Institutions, <i>GIGA Working Papers</i> , Hamburg: GIGA (forthcoming). - Holbig, H. (2013), Ideology after the end of ideology. China and the quest for autocratic legitimation, in: <i>Democratization</i> , 20, 1: 61–81. - Holbig H. (2012), Reclaiming Legitimacy in Postrevolutionary China: Bringing Ideology and Governance Back In, in: J. Kane, H. Loy, and H. Patapan (eds), <i>Political Legitimacy in Asia. New Leadership Challenges</i> , New York: Palgrave Macmillan, 17–38. - Holbig H. (2011), International Dimensions of Legitimacy: Reflections on Western Theories and the Chinese Experience, in: <i>Journal of Chinese Political Science</i> , 16, 2/3, 161–181, re-published in: D. Zenglai, and G. Sujian (eds), <i>Reviving Legitimacy. Lessons for and from China</i> , Lanham, Boulder, New York: Lexington Books, 37–60. - Holbig, H. (2008), Ideological Reform and Political Legitimacy in China: Challenges in the Post-Jiang Era, in: T. Heberer and G. Schubert (eds), <i>Regime Legitimacy in Contemporary China: Institutional Change and Stability</i> , London: Routledge, 13–34. - Holbig, H., and B. Gilley (2010), Reclaiming Legitimacy in China, in: <i>Politics and Policy</i> , 38, 3, 395–422.
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

Project Description

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 organized 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.
Contribution to International Research	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 democratization, 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.
Research Design and Methods	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.
Preliminary Results	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.

Comparing Autocracies in Asia

>> Patrick Köllner, Johannes Gerschewski

Project Goals	<ul style="list-style-type: none"><li>- To identify the trajectories and configurations of authoritarian rule in Asia.</li><li>- To analyse the mechanisms underlying the (in)stability of authoritarian rule in Asia and beyond.</li><li>- To understand the succession processes in China and North Korea.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Theories and typologies of autocratic regimes</li><li>- Neo-institutionalism (historical institutionalism, interplay between formal and informal institutions)</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intraregional Comparison</li><li>- Time Dimension: Retrospective Study, Cross-Sectional Study</li><li>- Spatial Dimension: National, Regional</li><li>- Level of Analysis: Organizations (Parties), Countries</li><li>- Number of Cases: Single Case Study, Medium-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Documents (primary documents), Interviews</li><li>- Data Analysis: Process Tracing, QCA</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- PD Dr. Steffen Kailitz, Hannah Arendt Institute, Dresden</li><li>- Jun.Prof. Dr. Christian Göbel, University of Heidelberg</li></ul>
Teaching	<ul style="list-style-type: none"><li>- “(Post-)Totalitarian and Authoritarian Regimes in Comparative Perspective”, University of Hamburg, Winter Semester 2011/12 (P. Köllner)</li><li>- “From Repression to Revolution? Authoritarian Regimes Today”, University of Otago, New Zealand, Summer School 2013 (P. Köllner)</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “The (In)Stability of Authoritarian Regimes”, panel at the ECPR General Conference, Potsdam, 11 September 2009</li><li>- “Comparing Autocracies: Theoretical Issues and Empirical Analyses of Input/Output Dimensions”, workshop at the ECPR Joint Sessions, Münster, 22–27 March 2010</li><li>- “Comparing Authoritarian and Hybrid Regimes” Section with six panels at the ECPR/IPSA Conference, Sao Paulo, 16–19 February 2011</li><li>- “Autokratien im Vergleich (Autocracies Compared)”, PVS Workshop, GIGA, Hamburg, 20–22 July 2011</li><li>- “Authoritarian Regimes in Comparative Perspective: Theoretical and Empirical Issues” Section with eight panels at the ECPR General Conference, Reykjavik, 25–27 August 2011</li><li>- „Postautokratie? Zum Stand vergleichender Autokratieforschung (Post-autocracy? On the State of Comparative Autocracy Research)”, Panel, DVPW Section on Comparative Politics, University of Marburg, 29 March 2012</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- “One Year after the ‚Arab Spring‘: Any Lessons for North Korea?” (public lecture), Lund University, Sweden, 9 May 2012 (P. Köllner)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Köllner, P. (2010), <i>Nordkorea nach Kim Jong Il: Ein zweiter dynastischer Machtwechsel? (North Korea after Kim Jong Il: A Second Dynastic Transition of Power?)</i>, GIGA Focus Asien, 1, Hamburg: GIGA.</li><li>- Köllner, P. (2013), Informelle Institutionen in Autokratien: Konzeptionell-analytische Grundlagen und der Fall der Kommunistischen Partei Chinas (Informal Institutions in Autorcracies: Conceptual-Analytical Foundations and the Case of China's Communist Party), in: <i>Politische Vierteljahresschrift</i>, Special Issue on “Autocracies in Comparison”, forthcoming (in German).</li><li>- Köllner, P., and S. Kailitz (2013), Zur Autokratieforschung der Gegenwart: Klassifikatorische Vorschläge, theoretische Ansätze und analytische Dimensionen (On Current Autocracy Research: Suggestions for Categorization, Theoretical Approaches, and Analytical Dimensions), in: <i>Politische Vierteljahresschrift</i>, Special Issue on “Autocracies in Comparison”, forthcoming (in German).</li><li>- Köllner, P., and S. Kailitz (2013) (guest editors), The Emergence, Stability and Fall of (Electoral) Autocracies: Mechanisms and Dynamics, thematic issue of <i>Democratization</i>, forthcoming.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Berlin Graduate School of Social Sciences, doctoral stipend: approved</li><li>- East Asia Institute, fellowship 2012–2013: approved</li><li>- Fritz Thyssen Stiftung (Fritz Thyssen Foundation), European Consortium for Political Research, workshop funding 2010 and 2011: approved</li></ul>
Duration	2009–2013

Project Description

Research Questions	Since the mid-1970s the number of autocracies around the globe has declined. However, in some regions, such as Asia, a comparatively high number of autocracies have proven to be resilient. The project thus asks the following questions: What have the particular trajectories and (institutional) configurations of authoritarian rule been in the region? What instruments have Asia's autocrats used to shore up their rule? And how have Asian autocracies handled the potentially destabilizing and hence rather delicate succession issue?
Contribution to International Research	After years of relative neglect, the study of autocracies has been revived in recent years. As a field of study, the research on autocracies has become more diverse in terms of the analytical lenses, theories and methods involved. For example, a number of large-N studies have investigated the broader causes of authoritarian stability and decline. Numerous case studies have also examined the structure and dynamics of individual authoritarian regimes. However, genuine comparative approaches have remained seldom. Few intraregional, context-sensitive comparisons exist.
	In this project, J. Gerschewski focuses on the different paths of authoritarian rule in contemporary Asia, as well as – from both a theoretical and empirical perspective – on the instruments and mechanisms used by autocrats to shore up their rule (in Asia and beyond). P. Koellner explores the issue of political succession in autocracies in Asia, focusing on the cases of North Korea and China. He is also advancing the comparative study of autocracies by organizing a series of national and international workshops and panels.
Research Design and Methods	While J. Gerschewski employs a mixture of configurative approaches (QCA) and in-depth case studies of crucial cases, P. Koellner relies on qualitative methods such as process tracing (for within-case analyses) and pattern matching (for across-case analyses). The researchers rely on primary sources (party statutes, party communiqués) as well as a host of secondary sources. They also conduct semi-structured interviews with academics in the region.
Preliminary Results	This project, which adopts a network-based approach, has helped put comparative research on autocracies on the political science and Asian studies agendas in Germany and beyond. A number of project-related panels have taken place at both international (ECPR, IPSA) and national (DVPW) conferences. In terms of publications, the project will result in, among others, two special/thematic issues of the high-profile international and national peer-reviewed journals <i>Democratization</i> (2013) and <i>Politische Vierteljahresschrift</i> (2012), as well as in a doctoral dissertation by J. Gerschewski, to be submitted in 2013. Knowledge transfer in the form of briefing papers, public lectures, editorials, and numerous radio and TV interviews has also taken place on a frequent basis.



Civil Society Organizations as Supporters of Authoritarian Rule? A Cross-Regional Comparison (Vietnam, Algeria, Mozambique)

>> Patrick Köllner, Jörg Wischermann

Project Goals	- To explore which types of civil society organizations (CSOs) support or weaken the power of the authoritarian state, and how this happens, within the framework of a cross-regional comparison.
Theoretical Approaches	- State power - Action-centred civil society approach - Authoritarianism
Research Design	- Comparative Design: Cross-Regional Comparison - Time Dimension: Cross-Sectional Study - Spatial Dimension: Subnational, National - Level of Analysis: Individuals, Organizations, Countries - Number of Cases: Small-N Analysis
Methods	- Data Collection: Questionnaires, Interviews, Narratives, Focus Group Discussions, Documents (annual reports; statements of accounts; articles written by CSO members and about CSOs published in local, regional and other journals, newspapers, etc.; brochures; press releases; a broad range of internet-based reports, contributions, blogs written by CSO representatives) - Data Analysis: Content Analysis, Impact Analysis, Pattern Matching, Process Tracing
Cooperation Partners	- Prof. Dr. Bui The Cuong, Southern Institute for Sustainable Development/Vietnamese Academy of Social Sciences (SISD), Ho Chi Minh City, Vietnam - Prof. Dr. Larbi Icheboudene, Faculté des Sciences Humaines et Sociales, Université d'Alger, Alger, Algeria and Prof. Dr. Larbi Mehdi, Faculté des Sciences Sociales, Université d'Oran, Oran, Algeria - Prof. Dr. Samuel Quive, Faculdade de Letras e Ciencias Sociais, Universidade Eduardo Mondlane, Maputo, Mozambique
Workshops/Conferences	- "Following Alternative Paths – Comparing Experiences from 4 Countries (Vietnam, Algeria, Cuba, Mozambique)", international conference organized by the Vietnam National University, Hanoi, 29–30 November 2012
Publications	- Wischermann, J. (2013), <i>Zivilgesellschaften als Stütze autoritärer Regime. Das Beispiel vietnamesischer zivilgesellschaftlicher Organisationen (Civil Society Organizations as Supporters of Authoritarian Regimes: The Example of Vietnamese Civil Society Organizations)</i> , in: <i>Politische Vierteljahresschrift</i> , Special Issue on "Autocracies in Comparison", forthcoming (in German). - Wischermann, J. (2011), Governance and Civil Society Action in Vietnam. Changing the Rules from Within – Potentials and Limits, in: <i>Asian Politics and Policies</i> , 3, 3, 383–411. - Wischermann, J. (2010), Civil Society Action and Governance in Vietnam: Selected Findings from an Empirical Survey, in: <i>Journal of Current Southeast Asian Affairs</i> , 29, 2, 3–40.
Funding	- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): under review
Duration	2013–2015

Project Description

Research Questions	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 three 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 "polyvalent" (Kössler).
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 organizations (CSOs) play in this context is also under-researched. The project's main contribution to the international research will thus be the generation of new and complex hypotheses on the interdependency 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 their various activities might have become apparent only from a relational perspective and through the analysis of these mutual relations and interdependencies. These interdependencies and the polyvalency of CSOs (Kössler) are explored in two steps:
	First, we will investigate the context in which various types of CSOs develop authoritarian and authoritarianism-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

Project Goals	<ul style="list-style-type: none"><li>- To analyse the main concepts of political change and legitimate modes of governance outlined in the studies of political scientists in the People's Republic of China (PRC).</li><li>- To analyse learning processes/authoritarian resilience (how do Chinese scholars' analyses of China's historical development and the crises of other political regimes impact the (re-)formulation of their theoretical frames?).</li><li>- To analyse the causal interrelations between political ideas (formulated by the academic community) and political decisions in closed regimes.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Theories of authoritarianism</li><li>- Systems theory</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Cross-Regional Comparison</li><li>- Time Dimension: Mixed Approach</li><li>- Spatial Dimension: National</li><li>- Level of Analysis: Individuals, Countries</li><li>- Number of Cases: Medium-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Documents (academic publications by Chinese political scientists, Chinese newspaper articles, political documents), Databases (Cross Asia, Renmin Fuyin Baokan Ciliao, Renmin Ribao Database)</li><li>- Data Processing: Atlas.ti</li><li>- Data Analysis: Discourse Analysis, Grounded Theory, Multivariate Methods</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Dr. Weigelin-Schwiedrzik, University of Vienna</li><li>- Prof. Dr. Riemenschnitter, University of Zurich</li><li>- Prof. Dr. Holbig, University of Frankfurt</li></ul>
Teachings	<ul style="list-style-type: none"><li>- "Formelle und informelle Strukturen des politischen Systems der VR China (Formal and Informal Structures of the PRC's Political System)", University of Vienna, Summer Semester 2008</li><li>- "Governance in China", University of Vienna, Winter Semester 2008/09</li><li>- "Chinesische 'Reform'-Diskurse: Pfadabhängigkeit und pragmatische Flexibilität (Reform Discourses in China: Path Dependency and Pragmatic Flexibility)", University of Vienna, Summer Semester 2009</li><li>- "Transformation in Greater China", University of Vienna, Winter Semester 2010/11</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- "Vertical and Horizontal Power Lines: Hierarchic Regulations versus Cyber Dissent in the Realms of the Chinese Internet – E-Governance in China", paper presented at the ISA Annual Convention 2012, San Diego, 4 April 2012</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- "China als neue globale Gestaltungsmacht: Partner und Konkurrent Deutschlands (China as the New Global Shaping Power: Germany's Partner and Competitor), GIGA Forum, 18 July 2012</li><li>- "Führungswechsel in China (Transition of Power in China)", GIGA Forum, 28 November 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Noesselt, N. (2011), Politische Historiographie: State-Building-Strategien der VR China (Political Historiography: The State-Building Strategies of the People's Republic of China), GIGA Focus Asien, 11, Hamburg: GIGA.</li><li>- Noesselt, N (2012), Das Handeln des Staates in der VR China zwischen Politik und Recht (The Actions of the State in the PR China between Politics and Law), in: T. Ehs, S. Gschiegl, K. Ucakar, and M. Welan (eds), <i>Politik und Recht: Spannungsfelder der Gesellschaft</i>, Wien: Facultas, 391–406.</li><li>- Noesselt, N. (2013), Konstruierte Pfadabhängigkeit? Politischer Mythos und symbolische Herrschaftsformen (Constructed Path-Dependency? Political Myth and Symbolic Forms of Rulership), in: L. Henningsen (ed.), <i>Tradition – Variation – Plagiat? Motive und ihre Adaption in China</i>, Wiesbaden: Harrassowitz, forthcoming</li><li>- Noesselt, N. (2012), <i>Governance-Formen in China (Governance Forms in China)</i>, Wiesbaden: VS Verlag.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): under review</li></ul>
Duration	2013–2015

Project Description

Research Questions	<p>The project focuses on four main research questions:</p> <ul style="list-style-type: none"><li>- What are the main ideas regarding political change and legitimate modes of governance in the PRC as documented in academic (political science) debates?</li><li>- Should these ideas be understood as abstract theoretical, philosophical frames or as ideological concepts that legitimate the existing political structures?</li><li>- 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?</li><li>- 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?</li></ul>
Contribution to International Research	<p>Research on Chinese politics often focuses on official political statements and visible political actions without analysing the considerations and strategic reflections that underlie political decision-making. As China is classified as an authoritarian system, most analyses follow a comparative systemic approach and focus on the factors political change and transformation, which have been identified as key variables of post-communist change (Soviet Union, Eastern Europe).</p> <p>This approach neglects the adaptability of the Chinese political system. By measuring and reflecting on development models as well as the success or failure of other political regimes, the government of the PRC tries to stabilize and perpetuate its one-party system. The pragmatic flexibility of the Chinese system is subsumed under the frame of "authoritarian resilience". So far, however, most studies subscribing to this approach have limited themselves to a retrospective analysis of the political elites' efforts to re-legitimate their political rule. The prevailing reflections on China's future development options and ideal(ized) configurations of political rule have not yet been systematically documented. The projects aims to fill this gap and to contribute to the understanding of (hybrid) authoritarian regimes' learning and adaptation processes.</p>
Research Design and Methods	<p>To map the main ideas of political change and the theoretical and philosophical configurations of legitimate political rule in China, the project will undertake a discourse analysis of China's leading political science journals and other key publications (monographs, edited volumes, conference proceedings) since 1978 (the beginning of the post-Maoist reform era), focusing especially on the period 2002–2012 (Hu-Wen administration). The researcher will also conduct expert interviews in China. In order to generate a more diversified picture of the landscape of political theory, the research will be based on three data sets: The project will examine the research approaches and theoretical frameworks of the academic communities in Beijing (the political power centre), Shanghai (the economic centre in China's South, with a historical orientation towards the "West") and Guangzhou (close to the two special administration regions Hong Kong and Macao) (Part I).</p> <p>The second part of the project will undertake multivariate time series analyses of the emergence and development of the central ideas and concepts (of political change and legitimate political rule) identified in Part I. It will use these to identify the interplays and correlations between the academic debates and the official political discourses related to political decision-making.</p>



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

>> Thomas Richter, Viola Lucas

Project Goals	<ul style="list-style-type: none"><li>- To determine the influence of material resources and political institutions upon stability and change in authoritarian regimes.</li><li>- To develop a parsimonious explanation regarding the resource-specific and institutional factors related to stability and change in authoritarian regimes.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Institutional approaches in new authoritarianism research</li><li>- Political-economy approaches (rentier state, resource curse)</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Cross-Regional Comparison</li><li>- Time Dimension: Longitudinal Study, Cross-Sectional Study</li><li>- Spatial Dimension: National</li><li>- Level of Analysis: Countries</li><li>- Number of Cases: Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Documents (coding of historical documents from the International Monetary Fund archives), Databases (creation of the Global State Revenues and Expenditures (GSRE) Data Set)</li><li>- Data Processing: STATA, R, Tosmana</li><li>- Data Analysis: Multivariate Methods, QCA, Regression Analysis, Simulation Methods</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Archives of the International Monetary Fund, Washington, DC</li><li>- Dr. Daniel Lambach, University of Duisburg-Essen</li><li>- Ferdinand Eibl, University of Oxford</li><li>- Prof. Dr. Martin Beck, University of Southern Denmark in Odense</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- "Taxation, Mass Co-optation and Authoritarian Regime Longevity: Evidence from a New Dataset on State Revenues and Expenditures", presentation at the APSA 2012 Annual Meeting, New Orleans, 31 August 2012 (V. Lucas, T. Richter)</li><li>- "Dictators under Stress: An Empirical Analysis of Responses to Elite Crises", presentation at the XXIIInd World Congress of Political Science, IPSA, Madrid, 9 July 2012 (V. Lucas, F. Eibl, T. Richter)</li><li>- "How Does Mass Co-optation Contribute to the Survival of Autocratic Regimes? A Quantitative Analysis of Three Main Mechanisms" presentation at the ECPR General Conference 2011, Reykjavik, 26 August 2011 (V. Lucas, T. Richter)</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- Bertelsmann Transformation Index (BTI): Country Reports Jordan and Mauritania</li><li>- "Middle East Monarchies: Winners of the 'Arab Spring'?" GIGA Forum Berlin, 13 September 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Beck, M. (2009), Rente und Rentierstaat im Nahen Osten (Rents and Rentier States in the Middle East), in: M. Beck, C. Harders, A. Juenemann, and S. Stetter (eds), <i>Der Nahe Osten im Umbruch: Zwischen Transformation und Autoritarismus</i>, Wiesbaden: VS Verlag, 25–49.</li><li>- Richter, T. (2012), The Rentier State – Relevance, Scope and Explanatory Power of a Four-Decades-Old Paradigm, in: A. Heinrich and H. Pleines (eds), <i>Challenges of the Caspian Resource Boom</i>, London: Palgrave Macmillan, 24–34.</li><li>- Richter, T. (2011), <i>Autoritäre Herrschaft, materielle Ressourcen und Außenwirtschaftsreformen: Marokko, Tunesien, Ägypten und Jordanien zwischen 1970 und 2003 (Authoritarian Rulership, Material Resources and Foreign Trade Reforms: Tunisia, Egypt and Jordan from 1970 to 2003)</i>, Wiesbaden: VS-Verlag.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): approved</li></ul>
Duration	2011–2014

Project Description

Research Questions	<p>The project focuses primarily on the following issues:</p> <ul style="list-style-type: none"><li>- 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?</li><li>- What parsimonious combination or combinations of resource-specific and institutional factors can be identified to explain stability and/or change in authoritarian regimes?</li><li>- Is there more than one combination of explanatory factors that determines stability and change in authoritarian regimes, regardless of region and time?</li></ul>
Contribution to International Research	<p>In particular, the project analyses three different aspects of authoritarian regimes:</p> <ul style="list-style-type: none"><li>- Regime stability: duration of the survival of an authoritarian regime</li><li>- Regime breakdown: events in the disintegration of an authoritarian regime</li><li>- Authoritarian regime change: quality of a regime after the breakdown of an authoritarian regime</li></ul> <p>The project aims to fill an existing gap between the fields of political economy and comparative politics in the study of authoritarian regimes. It is closely linked to the research on the structural determinants of authoritarian rule, a literature largely dominated by US researchers. By systematically broadening the perspective adopted in this literature, the project unites the two central branches of this macro-comparative research. It also improves the validity of important measures of state revenues and expenditures, which will be useful for more general analysis of political regimes over time.</p>
Research Design and Methods	<p>To map the main ideas of political change and the theoretical and philosophical configurations of legiThe 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.</p> <p>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 are 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..</p>
Preliminary Results	<p>A beta version of the Global State Revenues and Expenditures (GSRE) Data Set will be released in Spring 2013.</p>

Learning through Conflict. Managing Society in Authoritarian China

>> Günter Schucher

Project Goals	- To better understand the mechanisms of authoritarian learning and adaptability in China.
Theoretical Approaches	- Sociological theories of systemic and organizational learning
Research Design	- Comparative Design: No Comparative Design - Time Dimension: Retrospective Study - Spatial Dimension: National - Level of Analysis: Countries - Number of Cases: Small-N Analysis
Methods	- Data Collection: Expert Interviews, Documents (official documents, newspaper and journal articles), Databases (researcher's own database on conflicts in China) - Data Analysis: Content Analysis
Teaching	- "Modernisierung und Protest: Soziale Bewegungen in der VR China und Taiwan (Modernization and Protest: Social Movements in the PR China and Taiwan)", Free University of Berlin, Winter Semester 2011/12
Cooperation Partners	- H. Christoph Steinhardt, Department of Government and Public Administration, The Chinese University of Hong Kong - Zhou Hongyun, China Center for Comparative Politics & Economics, Beijing, China
Workshops/Conferences	- "Democracy and Governance in the New Transitional Economies: The Case of "BRIC Countries", panel at the 22nd IPSA World Congress, Madrid, 8–12 July 2012 - "Managing Complexity in Times of Uncertainty: Social Governance with Chinese Characteristics", double panel at the ICAS Convention 8, Macao, China, 24–27 June 2013
Knowledge Transfer	- „Warum hat es die Demokratie in Asien so schwer? (Why Does Democracy in Asia Have It so Hard?)“, 4. Nacht des Wissens, GIGA, Hamburg, 29 October 2011
Publications	- Schucher, G., and K. Ceesay (2011), <i>Wird China zum neuen Modell für soziale Stabilität? (Will China become a New Model for Social Stability?)</i> , GIGA Focus Asien, 8, Hamburg: GIGA. - Schucher, G. (2009), Liberalisierung in Zeiten der Instabilität. Spielräume unkonventioneller Partizipation im autoritären Regime der VR China (Liberalization in Times of Instability. Unconventional Participation's Room to Manoeuvre within China's Authoritarian Regime), in: <i>ASIEN</i> , 111, 1, 50–75.
Funding	- GIGA
Duration	2013–2015

Project Description

Research Questions	The Chinese authoritarian regime has proved to be rather resilient and adaptable. Faced with an increasingly individualized and pluralized 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 organizations to represent the public's interests, improved communication channels between the party-state and the public, the modernization 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.
Contribution to International Research	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.
Research Design and Methods	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.
Preliminary Results	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 organizational 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.
	Still afflicted with a mistrust of its own population, and particularly of the more or less autonomous social organizations, 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.

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

Project Goals	<ul style="list-style-type: none"> <li>- To analyse 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.</li> <li>- 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.</li> </ul>
Theoretical Approaches	<ul style="list-style-type: none"> <li>- New institutionalism</li> <li>- Theory of separation of powers</li> </ul>
Research Design	<ul style="list-style-type: none"> <li>- Comparative Design: Interregional Comparison</li> <li>- Time Dimension: Longitudinal Study (from the transitions to democracy to the present)</li> <li>- Spatial Dimension: National</li> <li>- 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)</li> <li>- Number of Cases: Small-N Analysis</li> </ul>
Methods	<ul style="list-style-type: none"> <li>- Data Collection : Questionnaires, Interviews, Documents (constitutional texts, organic laws), Creation of New Databases (judges' careers, judicial budgets)</li> <li>- Data Processing: Excel, STATA, SPSS</li> <li>- Data Analysis: Content Analysis, Network Analysis, Process Tracing, Regression Analysis</li> </ul>
Cooperation Partners	<ul style="list-style-type: none"> <li>- Universidad Torcuato Di Tella, Buenos Aires, Argentina</li> <li>- Faculté de Droit et de Science Politique, Université d'Abomey-Calavi, Benin</li> <li>- Instituto de Ciencia Política, Universidad Católica de Santiago de Chile, Chile</li> <li>- Centro de Estudios Judiciales del Paraguay, Asunción, Paraguay</li> <li>- Université Cheikh Anta Diop, Dakar, Senegal</li> </ul>
Teaching	<ul style="list-style-type: none"> <li>- “Constitutions in Latin America: Institutional Change and Human Rights”, University of Hamburg, Winter Semester 2012/13 (M. Llanos, A. Schilling-Vacaflor)</li> </ul>
Workshops/Conferences	<ul style="list-style-type: none"> <li>- The Judiciary's Autonomy and Power in Flux: Political Interference in New Democracies over Time”, paper presented at the ALACIP VI Latin American Congress of Political Science, Quito, 12–14 June 2012 and the IPSA XXII World Congress, Madrid, 8–12 July 2012 (M. Llanos)</li> <li>- “Judicial Selection and Appointment of Lower Court Judges in Argentina (1983–2009)”, paper presented at the ECPR General Conference, Reykjavik, 27–29 August 2011 (M. Llanos)</li> </ul>
Publications	<ul style="list-style-type: none"> <li>- Llanos, M., and L. Lemos (2013), Presidential Preferences? The Supreme Federal Tribunal Nominations in Democratic Brazil, in: <i>Latin American Politics and Society</i>, forthcoming.</li> <li>- Llanos, M. (2012), Review of Courts in Latin America, in: <i>Justicia. The Newsletter of the ECPR Standing Group on Law and Courts</i>, 3, September 2012.</li> <li>- Stroh, A., and C. von Soest (2011), <i>Den Machterhalt im Blick: Verfassungsreformen in Subsahara-Afrika (Keeping the Maintenance of Power in View: Constitutional Reforms in Sub-Saharan Africa)</i>, GIGA Focus Afrika, 4, Hamburg: GIGA.</li> </ul>
Funding	<ul style="list-style-type: none"> <li>- Pakt für Forschung und Innovation, SAW-Verfahren (Joint Initiative for Research and Innovation): approved</li> </ul>
Duration	2011–2014

Project Description

Research Questions	<p>The project seeks to analyse and explain the different degrees of judicial independence and deals especially with the following questions:</p> <ul style="list-style-type: none"> <li>- Which structural arrangements are designed to promote the insulation of judges from undue pressure?</li> <li>- What is the political context in which courts operate?</li> <li>- 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?</li> <li>- What impact have judicial reform processes had on judicial independence?</li> <li>- 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?</li> </ul>
Contribution to International Research	<p>The study of judicial independence shows the interaction among the three branches of government and, especially, the ways in which the two elected branches – the executive and the legislature – interfere with the judicial branch. This project's analysis stresses the difficult balance between judicial independence and judicial accountability. This topic is an incipient but growing research area in the developing world, and much original comparative empirical evidence is still needed.</p>
Research Design and Methods	<p>This project adopts a cross-regional small-N comparative design. It includes six cases from two different regions. The cases belong to similar intraregional contexts in terms of culture and history, but have differential judicial independence assessments. In short, the sample includes one pair each of best-performers (Chile, Benin), medium-performers (Argentina, Senegal), and low-performers (Paraguay, Madagascar). Benin and Chile are renowned for their powerful constitutional courts and the low level of direct political interference with these courts' actions, whereas Argentina's and Senegal's relatively professional judges are exposed to intermittent political interference. Weak judiciaries that face outright political influence are reported for Madagascar and Paraguay.</p>
Preliminary Results	<p>The project is collecting data on constitutional and statutory norms (and the successive amendments to them) as well as on actual cases of judges' appointments or removals, the approval of budgetary enlargements or reductions, the creation of new courts, etc. These data will help us approximate both a de jure and a de facto assessment of judicial independence.</p> <p>In 2012 the project members undertook fieldwork in the six countries included in the study. The results of this work will be presented in 2013. Meanwhile, the collection and analysis of constitutional texts (Llanos et al. 2012) identified considerable differences in the formal constitutional rules regarding the autonomy, accountability, and power of the courts.</p>

New Constitutionalism and New Practices of Democracy: Venezuela, Ecuador and Bolivia

>> Detlef Nolte, Almut Schilling-Vacaflor

Project Goals	<ul style="list-style-type: none"><li>- To operationalize the different dimensions and types of democracy in legal norms and in practice: liberal-representative, participatory, deliberative and communitarian democracy.</li><li>- To describe the characteristics of each type of democracy in practice and how each type has been shaped by the new constitutions in Venezuela, Ecuador and Bolivia (time frame: since 1990).</li><li>- To explain how the diverse democratic regimes interact with each other.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Theories of democracy</li><li>- Legal pluralism</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intraregional Comparison</li><li>- Time Dimension: Retrospective Study, Cross-Sectional Study</li><li>- Spatial Dimension: Local, National</li><li>- Level of Analysis: Individuals, Countries</li><li>- Number of Cases: Single Case Study, Small-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Observation, Documents (country reports on the quality of democracy)</li><li>- Data Processing: Atlas.ti</li><li>- Data Analysis: Content Analysis, QCA</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Dr. Eduardo Rodriguez Veltzé, Universidad Católica, La Paz, Bolivia</li><li>- Dr. Simón Pachano, Facultad Latinoamericana de Ciencias Sociales (FLACSO), Quito, Ecuador</li><li>- Dr. Marco Navas Alvear, Universidad Andina, Quito, Ecuador</li><li>- Dr. Rickard Lalander, University of Stockholm</li></ul>
Teaching	<ul style="list-style-type: none"><li>- “Politische Systeme und politische Herausforderungen in Lateinamerika (Political Systems and Political Challenges in Latin America)”, University of Hamburg, Winter Semester 2012/13 (D. Nolte)</li><li>- Constitutions in Latin America: Institutional Change and Human Rights, University Hamburg, Winter Semester 2012/13 (A. Schilling-Vacaflor, M. Llanos)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Nolte, D. (2010), Verfassungsreformen und Verfassungskrise in Honduras in vergleichender Perspektive (Constitutional Reforms and Constitutional Crisis in Honduras from a Comparative Perspective), in: <i>Verfassung und Recht in Übersee</i>, 43, 1, 28–45.</li><li>- Nolte, D., and A. Schilling-Vacaflor (eds) (2012), <i>New Constitutionalism in Latin America: Promises and Practices</i>, Aldershot: Ashgate.</li><li>- Schilling-Vacaflor, A., and R. Kuppe (2012), Plurinational Constitutionalism: A New Era of Indigenous-State Relations?, in: D. Nolte and A. Schilling-Vacaflor (eds), <i>New Constitutionalism in Latin America: Promises and Practices</i>, Aldershot: Ashgate, 347-370.</li><li>- Schilling-Vacaflor, A. (2011), Bolivia’s New Constitution: Towards Participatory Democracy and Political Pluralism?, in: <i>European Review of Latin American and Caribbean Studies</i>, 90, 3–22.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation</li><li>- Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) (Federal Ministry for Economic Cooperation and Development) and Fritz Thyssen Stiftung (Fritz Thyssen Foundation), funding for international conference (2010) and edited volume (2012): approved</li></ul>
Duration	2010–2015

Project Description

Research Questions	<p>The project focuses on the following research questions:</p> <ul style="list-style-type: none"><li>- How do the new constitutions and secondary legislation of Venezuela, Ecuador and Bolivia design and regulate the liberal-representative, direct-participatory, deliberative and self-governing dimensions of democracy?</li><li>- What are the characteristics of these types of democracy in practice, and how have they been shaped by the new constitutionalism?</li><li>- How do the diverse types and dimensions of democracy interact with each other?</li></ul>
Contribution to International Research	<p>The impact of new constitutions on the quality of Latin American democracies has been the subject of contentious debate. To a large extent, the diverse and partly contradictory interpretations of the democracies in countries with new constitutions, such as Venezuela, Bolivia and Ecuador, can be explained by different underlying concepts of democracy. Authors who focus on direct-participatory or deliberative forms of democracy generally evaluate the democracies of these countries more positively, while those who apply concepts of liberal-representative democracy are more critical. Self-governing entities and forms of communitarian democracy still remain largely under-researched in the existing research on the democratic regimes of the selected countries. Additionally, the interactions and interrelations between diverse types of democracy have not yet been systematically investigated. The proposed research project aims to address these research gaps and to generate increased academic knowledge and comprehension of post-liberal democracies in the new constitutionalism countries.</p>
Research Design and Methods	<p>After operationalizing the liberal-representative, direct-participatory, deliberative and communitarian types of democracy, we will collect data (secondary literature, databases, expert interviews) on each for Venezuela, Ecuador and Bolivia, focusing on the period 1990–2012. Based on the analysis of these data, we will assess the development of the various types of democracy during this time period; we will also investigate how the adoption of the new constitutions and the respective secondary legislation have shaped these democratic types and their interactions in practice. We will complement the (synchronic and diachronic) comparative-systematic study of these democracies over the past 22 years with in-depth studies on current democratic practices in each country. Therefore, in addition to semi-structured expert and actor interviews, we will also use the method of participatory observation. We plan to observe/participate in diverse arenas and processes of liberal-representative, direct-participatory, deliberative and communitarian democracy.</p>
Preliminary Results	<p>From 2010 to 2012 the project comparatively investigated constitutional changes (causes, processes, results, impacts) in the entire Latin American region. Within this research period we identified important phenomena in the “new constitutionalism” countries Bolivia, Ecuador and Venezuela, which will be at the centre of our future research agenda: these new constitutions have created new institutions (such as a fourth or citizen power in Venezuela, or a branch for citizen participation and social control in Ecuador); have included more elements of direct and deliberative democracy; have expanded the rights of citizens (especially their social and group rights); and have changed the concept of the state (e.g. plurinational states in Bolivia and Ecuador). Though the mechanisms of vertical accountability have been strengthened within the constitutional texts, in practice the rather weak checks and balances between the state powers (which are due to the strong executive powers) limit the democratization processes in these Andean countries.</p>



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

>> Gero Erdmann, Sebastian Elischer, Alexander Stroh

Project Goals	- To identify the historical-institutional explanations for the evolution of different regime types (democratic, hybrid and authoritarian) in Africa.
Theoretical Approaches	- Historical institutionalism (critical junctures and pathdependent development)
Research Design	- Comparative Design Intraregional Comparison - Time Dimension: Longitudinal Study - Spatial Dimension: National - Level of Analysis: Organizations, Countries - Number of Cases: Small-N Analysis
Methods	- Data Collection: Interviews, Narratives, Documents (constitutions, policy papers) - Data Analysis: Process Tracing, Pattern Matching
Cooperation Partners	- History and political science departments of universities in Ghana, Benin, Niger, Zambia, Cameroon and Togo
Workshops/Conferences	- “Dictatorship and Democracy in Historical Perspective”, panel at the 53rd ASA Annual Meeting, San Francisco, 18–21 November 2010 (with Nic v. d. Walle) - “Africa and Historical Institutionalism”, paper presented at the 53rd ASA Annual Meeting, San Francisco, 18–21 Nov. 2010 (G. Erdmann, S. Elischer, A. Stroh) - “Bringing History Back In: Institutional Legacy, Critical Junctures and Political Regime Development in Africa” Conference, Bamako, Mali, 24–27 February 2011. Sponsored by DFG-Point Sud Programme (Organization: A. Stroh, S. Elischer, G. Erdmann) - “If Democracy Were the Goal... Origins and Outcomes of Electoral Institutions in Post-Colonial Africa”, paper presented at the 6th ECPR General Conference, Reykjavik, 25–27 August 2011 (A. Stroh, S. Elischer, G. Erdmann) - “Democratization in Dangerous and Hopeless Places? The Case of Niger”, paper presented at the 55th ASA Annual Meeting, Philadelphia, 29 November–1 December 2012 (S. Elischer)
Publications	- Elischer, S. (2013), <i>Democratization in Dangerous and Hopeless Places? The Case of Niger</i> , GIGA Working Papers (forthcoming). - Elischer, S., A. Stroh, and G. Erdmann (2013), <i>One Path-Dependency or Many? Various Types of Institutional Trajectories with an Illustration from Sub-Saharan Africa</i> , GIGA Working Papers, forthcoming. - Elischer, S. (2011), Democratization in Desperate Places: Niger's Seventh Attempt, in: <i>Africa Policy Forum</i> , Washington, DC: Centre for International and Strategic Studies. - Erdmann, G. (2011), Decline of Democracy: Loss of Quality, Hybridisation and Breakdown of Democracy, in: <i>Comparative Governance and Politics</i> , Special Issue 1, 21–58. - Erdmann, G., S. Elischer, and A. Stroh (2011), <i>Can Historical Institutionalism be Applied to Political Regime Development in Africa?</i> , GIGA Working Papers, 166, Hamburg: GIGA. - Stroh, A., S. Elischer, and G. Erdmann (2012), <i>Origins and Outcomes of Electoral Institutions in African Hybrid Regimes: A Comparative Perspective</i> , GIGA Working Papers, 197, Hamburg: GIGA.
Funding	- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): approved
Duration	2009–2013

Project Description

Research Questions	The project is guided by two basic 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 institutionalization – 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-institutionalist 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.



Political Regimes, Reduction of Poverty and Inequality

>> Gero Erdmann, Jann Lay

Project Goals	<ul style="list-style-type: none"><li>- Economic growth in developing countries generally leads to poverty reduction. In some cases, however, increases in inequality have hampered the poverty reduction potential of growth. The goal of the project is:</li><li>- To analyse the extent to which different political institutional arrangements (political regimes) might be responsible for these results.</li><li>- To analyse different poverty reduction policies in order to identify the most efficient and effective policy approach for combating poverty and reducing inequality.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Theories of democratic and authoritarian regimes</li><li>- Welfare state theory</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intraregional Comparison, Cross-Regional Comparison</li><li>- Time Dimension: up to 30 years</li><li>- Spatial Dimension: National</li><li>- Level of Analysis: Countries, Groups (poverty and distributional analyses at country level, based on household survey data)</li><li>- Number of Cases: Small-N Analysis, Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Documents (government policy papers, government statistics, survey data)</li><li>- Data Processing: STATA</li><li>- Data Analysis Multivariate Methods, Regression Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- NOPOOR Consortium (led by Institut de Recherche pour le Développement (IRD). Partners include: University of Oxford, UK; Center for Democratic Development, Ghana; Facultés universitaires Notre-Dame de la Paix, FUNDP, 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)</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- Participation in NOPOOR's workshops</li></ul>
Publications	<ul style="list-style-type: none"><li>- Erdmann, G. (2011), Decline of Democracy: Loss of Quality, Hybridisation and Breakdown of Democracy, in: <i>Zeitschrift für Vergleichende Politikwissenschaft / Comparative Governance and Politics</i>, Special Issue 1, 21–58.</li><li>- Lay, J., R. Thiele, and W. Wiebelt (2008), Shocks, Policy Reforms, and Pro-Poor Growth in Bolivia: A Simulation Analysis, in: <i>Review of Development Economics</i>, 12, 1, 37–56.</li></ul>
Funding	<ul style="list-style-type: none"><li>- EC, 7. Forschungsrahmenprogramm (FP7) (EC, Seventh Framework Programme); coordinated by Institut de Recherche pour le Développement (IRD), France: approved</li></ul>
Duration	2012–2014

Project Description

Research Questions	<p>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:</p> <ul style="list-style-type: none"><li>- Which political regime type provides the most effective institutional arrangement for poverty reduction?</li><li>- Which policy or policy mix is most effective for poverty alleviation?</li><li>- Which conditions are most favourable for the effective implementation of this policy or policy mix?</li></ul>
Contribution to International Research	<p>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.</p>
Research Design and Methods	<p>Our approach will enhance the differentiation of the regime variable to overcome the democracy/dictatorship dichotomy by introducing a third hybrid-regime category. In addition, we will specify different qualities within these three categories, such as diminished subtypes and partial regimes. We intend to</p> <ul style="list-style-type: none"><li>- assess the relationship between poverty/inequality and regime type;</li><li>- examine which policies are most likely to be adopted by specific regime types; and</li><li>- analyse the differences in the effectiveness and efficiency of specific policies under different regime types.</li></ul> <p>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.</p>

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

>> Bert Hoffmann, Jean-Michel Lafleur

Project Goals	<div><div>- To understand the implications of increased transnational migration for the sending states' policies and politics. The empirical focus is on Latin America and the Caribbean.</div><div>- To assess how homeland states reach out to emigrants, and what drives the adoption of these “emigrant policies”.</div><div>- To identify how “emigrant politics”, that is, the interaction of homeland political actors with emigrants, play out in the adoption of these policies.</div></div>
Theoretical Approaches	<div><div>- Politics of transnational migration</div><div>- Transformation of the state due to globalization and migrant transnationalism</div><div>- “Diasporic policies”, “diaspora engagement policies”</div><div>- Multiple/expanded citizenship beyond single polity</div></div>
Research Design	<div><div>- Comparative Design: Intraregional Comparison</div><div>- Time Dimension: Contemporary</div><div>- Spatial Dimension: National, Transnational</div><div>- Level of Analysis: State, Migrant Organizations</div><div>- Number of Cases: Nested Research combining Large-N and Small-N Analysis</div></div>
Methods	<div><div>- Data Collection: Interview, Documents, Development of New Emigrant Policies Database</div><div>- Data Analysis: Process Tracing</div><div>- Data Analysis Multivariate Methods, Regression Analysis</div></div>
Cooperation Partners	<div><div>- Prof. Dr. Marco Martiniello, Center for Ethnic and Migration Studies (CEDEM), University of Liège</div><div>- Prof. Dr. Günther Maihold, Stiftung Wissenschaft und Politik (SWP), Berlin</div><div>- Prof. Dr. Hans-Jürgen Puhle, University of Frankfurt, Frankfurt am Main</div></div>
Publications	<div><div>- Hoffmann, B. (2010), Bringing Hirschman Back In: “Exit”, “Voice”, and “Loyalty” in the Politics of Transnational Migration, in: <i>The Latin Americanist</i>, 54, 2, 57–73.</div><div>- Lafleur, J-M. (2012), <i>Transnational Politics and the State. The External Voting Rights of Diasporas</i>, Abingdon: Routledge.</div><div>- Lafleur, J-M. (2012), <i>Diáspora y Voto en el Exterior. La Participación Política de los Emigrantes Bolivianos en las Elecciones de su País de Origen (Diaspora and Voting from Abroad: The Political Participation of the Bolivian Emigrants in the Elections of their Home Country)</i>, Barcelona, Centro de Estudios y Documentación nternacionales de Barcelona (CIDOB).</div><div>- Lafleur, J-M. (2011), Why Do States Enfranchise Citizens Abroad? Comparative Insights from Mexico, Italy and Belgium, in: <i>Global Networks</i>, 11, 4, 481–501.</div></div>
Funding	<div><div>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): under review</div></div>
Duration	<div><div>2013–2015</div></div>

Project Description

Research Questions	<div><div>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.</div></div>
	<div><div>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?</div></div>
	<div><div>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 polities of the sending societies.</div></div>
Contribution to International Research	<div><div>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 hand. 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.</div></div>
Research Design and Methods	<div><div>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 codifies 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 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 emigration policies codified 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 Liebermann's concept of “nested analysis”, we will select the cases for this latter step as a result of the large-N analysis.</div></div>
Preliminary Results	<div><div>The research carried out so far has confirmed the hypothesis that the transnational character of today's migration presents not only new challenges but also new opportunities for sending states to reach out to their emigrant communities. These activities, however, call into question fundamental concepts such as the traditional idea of nation-state sovereignty and the linkage of citizenship to the territorial boundaries of the country in question. As a result, the emigrant policies that reach out to migrants living abroad are the subject of political debate and involve conflicting interests. We thus assume that the specific interplay of these social and political forces at the national policy-making level is important in explaining cross-country variations in the design and implementation of emigration policies.</div></div>

Anti-Corruption Policies Revisited. Global Trends and European Responses to the Challenge of Corruption (ANTICORRP)

>> Christian von Soest, Thomas Richter, Detlef Nolte

Project Goals	<ul style="list-style-type: none"><li>- To assess which factors are responsible for corruption and the alleviation of corruption.</li><li>- To analyse actors' impact upon levels of corruption.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Contemporary concepts of corruption</li><li>- Collective action theory</li><li>- Political economy approaches</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Cross-Regional Comparison</li><li>- Time Dimension: Cross-Sectional Study, Longitudinal Study</li><li>- Spatial Dimension: Subnational, National</li><li>- Level of Analysis: Organizations, Countries</li><li>- Number of Cases: Small-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Questionnaires, Interviews, Narratives, Focus Group Discussions, Documents (official and legal documents)</li><li>- Data Processing: Atlas.ti, MAXQDA</li><li>- Data Analysis: Content Analysis, Process Tracing</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- ANTICORRP Consortium (21 partners led by Quality of Government Institute, University of Gothenburg. Partners include, among others, Hertie School of Governance, Germany; European University Institute, Italy; University College London, Transparency International, Germany; Gallup Europe, Belgium.)</li></ul>
Teaching	<ul style="list-style-type: none"><li>- "Stateness in Africa", Free University of Berlin, Summer Semester 2010 (C. von Soest)</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- "Choices by the Elite: Botswana's Governance Record Revisited", paper presented at the 12th IPSA World Congress, Madrid, 10 July 2012 (C. von Soest)</li><li>- "Neopatrimonialism in Various World Regions", international workshop as part of the "Persistence and Change of Neopatrimonialism in Various World Regions" project, GIGA, Hamburg, 23 August 2010</li><li>- "Informal Institutions in the Age of Globalisation – Different World Regions Compared", panel at the 5th ECPR General Conference, Potsdam, 12 September 2009 (G. Erdmann, C. von Soest)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Richter, T., and C. Steiner (2008), Politics, Economics and Tourism Development in Egypt: Insights into Sectoral Transformations of a Neopatrimonial Rentier-State, in: <i>Third World Quarterly</i>, 29, 5, 935–955.</li><li>- Soest, C. von (2013), Persistent Systemic Corruption: Why Democratization and Economic Liberalization have Failed to Undo an Old Evil. A Six-Country Analysis, in: <i>Comparative Governance and Politics / Zeitschrift für Vergleichende Politikwissenschaft</i>, forthcoming.</li><li>- Soest, C. von (2009), <i>The African State and Its Revenues. How Politics Influences Tax Collection in Zambia and Botswana</i>, Baden-Baden: Nomos.</li><li>- Soest, C. von (2007), How Does Neopatrimonialism Affect the African State? The Case of Tax Collection in Zambia, in: <i>Journal of Modern African Studies</i>, 45, 4, 621–645.</li><li>- Soest, C. von, K. Bechle, and N. Korte (2011), How Neopatrimonialism Affects Tax Administration: A Comparative Study of Three World Regions, in: <i>Third World Quarterly</i>, 32, 7, 1307–1329.</li></ul>
Funding	<ul style="list-style-type: none"><li>- EC, 7. Forschungsrahmenprogramm (FP7) (EC, Seventh Framework Programme), coordinated by University of Gothenburg: approved</li></ul>
Duration	2012–2016

Project Description

Research Questions	<p>The main research questions of the ANTICORP consortium are:</p> <ul style="list-style-type: none"><li>- What are the causes of corruption?</li><li>- What accounts for low levels of corruption?</li><li>- How does corruption impact societies?</li><li>- What impact does the behaviour of governmental and non-state actors have on the fight against corruption?</li></ul>
Contribution to International Research	<p>While there is increasing awareness of corruption, as well as an interest in curtailing it, there has been no systematic research on questions relating to the transition of particularistic societies towards those characterized by ethical universalism – that is, public good–oriented governance. There is also a lack of consensus regarding the definition of corruption, as well as its possible causes and effective measures for fighting it.</p> <p>The main aim of ANTICORRP is therefore to align different concepts and insights h interdisciplinary research. The project will address existing research gaps through a comparison of EU countries' trajectories with those of neighbouring states and a global sample of countries. Within this framework, the GIGA project comparatively analyses country cases in Latin America, Africa, Asia and the Middle East.</p>
Research Design and Methods	<p>The project will conduct a diagnosis of governance regimes using indicator-based methods in order to understand local dynamics. Based on a large-N quantitative study, two groups of cases will be selected in different world regions. The two main criteria are (1) that they show a significant reduction in corruption over time and (2) that the degree of corruption has recently improved or at least remained at the same level. Through this comparison, the project will enhance our understanding of why various societies have developed different equilibria of political accountability and corruption control.</p>

Intraparty Factionalism and Party System Change:  
Lessons from Young Democracies in Asia

>> Andreas Ufen, Paul Chambers, Patrick Köllner, Siegfried Wolf

Project Goals	- To illustrate what gives rise to factionalism and how factional evolution causes changes in parties and party systems that are on the path to institutionalization in young democracies.
Theoretical Approaches	- Concepts of factions, parties and party system change - Historical institutionalism
Research Design	- Comparative Design: Intraregional Comparison - Time Dimension: Longitudinal Study - Spatial Dimension: National - Level of Analysis: Organizations - Number of Cases: Small-N Analysis, Medium-N Analysis
Methods	- Data Collection: Questionnaires, Interviews, Narratives, Documents (publications by political parties, newspaper reports) - Data Processing: SPSS - Data Analysis: Multivariate Methods, Process Tracing, Regression Analysis
Cooperation Partners	- Thailand: Dr. Napisa Waitookiat, Southeast Asian Institute of Global Studies (SEAIGS), Payap University, Chiang Mai; Institute of Security and International Studies (ISIS) - Philippines: Dr. Julio Teehankee, Department of International Studies, De La Salle University, Manila; Institute for Popular Democracy; Institute for Strategic and Development Studies - Indonesia: Mr. Sunny Tanuwidjaya, Centre for Strategic and International Studies (CSIS), Jakarta - Timor Leste: Mr. Antero Benedito Da Silva, Universidade Nacional Timor-Lorosae - Nepal: Dr. Manish Thapa, Tribhuvan University, Kathmandu; Prof. Yagya Prasad AdhikariCentre for Nepal and Asian Studies (CNAS), Kathmandu - Bangladesh: Dr. K.M.Mahiuddin, Department of Government and Politics, Jahangirnagar University, Savar, Dhaka
Teaching	- “Politics in East Asia”, University of Erlangen/Nuremberg, Winter Semester 2012/13 (A. Ufen) - “Parties and Party Systems in Asia”, University of Erlangen/Nuremberg, Summer Semester 2012 (A. Ufen) - “Introduction to Party Research”, University of Erlangen/Nuremberg, Winter Semester 2011/12 (A. Ufen)
Workshops/ Conferences	- „Direct Local Elections and the Fragmentation of Party Organization in Indonesia“, presentation at APSA Annual Meeting, Seattle, 1 September 2011 (A. Ufen) - ECPR Research Sessions, Research Group on Party System Change, European University Institute, Florence, 19–22 June 2012 - Diverse lectures on cleavages and clientelism in Southeast Asia at universities in Jakarta (29 February), Kuala Lumpur (26 and 30 March) and Hong Kong (3 April) in 2012 (A. Ufen)
Publications	- Chambers, P. (2008), Parties, Factions, and the Durability of Cabinets, Coalitions, and Parliaments in Thailand: 1979–2001, in: <i>Party Politics</i> , 14, 3, 299–323. - Chambers, P., and A. Croissant (2010), Monopolizing, Mutualizing, or Muddling Through: Factions and Party Management in Contemporary Thailand, in: <i>Journal of Current Southeast Asian Affairs</i> , 29, 3, 3–33. - Chambers, P., and A. Croissant (2010), Intra-Party Democracy in Thailand, in: <i>Asian Journal of Political Science</i> , 18, 2, 195–223. - Ufen, A. (2012a), <i>Ethnizität, Islam, Reformasi: Die Evolution der Konfliktlinien im Parteiensystem Malaysias (Ethnicity, Islam, Reformasi: The Evolution of the Lines of Conflict in Malaysia's Party System)</i> , Opladen: VS Verlag. - Ufen, A. (2012b), Party Systems, Critical Junctures, and Cleavages in Southeast Asia, in: <i>Asian Survey</i> , 52, 3, 441–464. - Ufen, A. (2013), Lipset and Rokkan in Southeast Asia: Indonesia in Comparative Perspective, in: D. Tomsa and A. Ufen (eds), <i>Political Parties in Southeast Asia. Clientelism and Electoral Competition in Indonesia, Thailand and the Philippines</i> , London: Routledge, 40–61..
Funding	- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation
Duration	2013–2015

Project Description

Research Questions	The research in this project centres upon two questions: - In new democracies, what accounts for the rise of factionalism in some parties and party systems relative to others? - How and why might factionalism affect party system change?
Contribution to International Research	In emerging democracies, parties and party systems are often younger and thus more weakly institutionalized than those in mature democracies (Mainwaring and Skully, 1995; Randall and Svasand 2002; Hicken 2009). Studies have argued that this phenomenon is generally due to local elites' early domination of regionalized parties and an inability to clearly translate social cleavages into the party system (Ufen, 2008:343; Kuhonta 2009:4-5). One symptom of such under-institutionalization has been intraparty factionalism. This factionalism is significant because factions can act as building blocks which keep parties together, or alternatively, they can force coalitions and parties to collapse.  Thus, in many party systems throughout the world, factions determine patterns of stability or instability in party systems. However, little has been published on political parties in Asia, and a comparative empirical survey on factionalism in Asia has not yet been published. Additionally, a comparative operationalization of the effective number of factions in different party systems has never been undertaken. Finally, except for the possible exception of works by Krauss and Pekkanen (2011) and Hellmann (2011), historical institutionalism has never been used to account for the rise of factionalism in terms of changes across party organizations and party systems.
Research Design and Methods	The project compares cases of factionalism in selected emerging democracies in Southeast Asia (Thailand, the Philippines, Indonesia, Timor Leste) and South Asia (Bangladesh, Nepal). It combines historical institutionalism with qualitative and quantitative methodology. The entire evolution of each faction under study is traced, and these factions are also measured and correlated against measurements of party system change. Asia has a rich diversity of peoples and cultures (this project examines both Southeast and South Asia), and it is home to many relatively young democracies.  To measure factions in each country case, the project's researchers will interview academics, journalists, and retired or active politicians. In addition, they will measure the different forms of party system change in each country case: effective number of parties, party volatility (vote shares/seat shares over time), party duration, and party cohesion (party switching). This will involve the gathering of legislative data, which will either be available online or will require manual primary data collection in the particular country.



>> Research Programme 1:  
Selected Publications 2012

RP 1

Articles in Refereed Journals

- Basedau, Matthias, and Alexander Stroh (2012), How Ethnic are African Parties Really? Evidence from Francophone Africa, in: *International Political Science Review*, 33, 1, 5–24.
- Elischer, Sebastian (2012), Measuring and Comparing Party Ideology in Nonindustrialized Societies: Taking Party Manifesto Research to Africa, in: *Democratization*, 19, 4, 642–667.
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# A Dangerous Liaison? Ethnicity, Natural Resources and Civil Conflict Onset

>> Matthias Basedau, Carlo Koos, Annegret Mähler, Jan Pierskalla

Project Goals	<div><div>- To assess how ethnicity and natural resources jointly increase the risk of conflict onset.</div><div>- To determine which ethnicity-related, resource-related, and other conditions have an impact on conflict.</div></div>
Theoretical Approaches	<div><div>- Rationalist approaches to the study of civil war</div><div>- Political economy (rentier state, resource curse, collective action problems)</div><div>- Social psychology of intergroup dynamics (e.g. social identity theory)</div></div>
Research Design	<div><div>- Comparative Design: Cross-Regional Comparison</div><div>- Time Dimension: Retrospective Study, Cross-Sectional Study, Longitudinal Study</div><div>- Spatial Dimension: Local, Subnational, National, Global</div><div>- Level of Analysis: Groups, Organizations, Countries</div><div>- Number of Cases: Small-N Analysis, Medium-N Analysis, Large-N Analysis</div></div>
Methods	<div><div>- Data Collection: Interviews, Databases (PETRODATA, DIADATA, GEMDATA (PRIO), Geo-EPR, EPR, MAR, several databases on identity demography and surrounding conditions (e.g. World Bank, IMF)</div><div>- Data Processing: STATA</div><div>- Data Analysis: Multivariate Methods, Regression Analysis, Spatial Analysis</div></div>
Cooperation Partners	<div><div>- Dr. Anke Hoeffler, Oxford University, Department of Economics, United Kingdom</div><div>- Dr. Philippe Le Billon, University of British Columbia, Department of Geography and the Liu Institute for Global Issues, Canada</div><div>- Dr. Hanne Fjelde, University of Uppsala, Department of Peace and Conflict Studies, Sweden</div><div>- Sira Aas Rustad, Peace Research Institute Oslo (PRIO), Norway</div></div>
Workshops/ Conferences	<div><div>- “Ethnicity, Resources and Civil War”, ISA Annual Convention, 1–4 April 2012, San Diego, USA (M. Basedau)</div></div>
Publications	<div><div>- Basedau, M., G. Erdmann, J. Lay and A. Stroh (2011), Ethnicity and Party Preferences in Sub-Saharan Africa, in: <i>Democratization</i>, 18, 2, 462–489.</div><div>- Basedau, M., and A. Moroff (2011), Parties in Chains – Do Ethnic Party Bans in Africa Promote Peace?, in: <i>Party Politics</i>, 17, 2, 205–225.</div><div>- Basedau, M., and A. Stroh (2012), How Ethnic are African Parties Really? Evidence from Four Francophone Countries, in: <i>International Political Science Review</i>, 33, 1, 5-24.</div><div>- Basedau, M., and J. Lay (2009), Resource Curse or Rentier Peace? The Ambiguous Effects of Oil Wealth and Oil Dependence on Violent Conflict, in: <i>Journal of Peace Research</i>, 46, 6, 757–776.</div><div>- Basedau, M., and T. Richter (2011), Why Do Some Oil Exporters Experience Civil War But Others Do Not? A Qualitative Comparative Analysis of Net Oil-Exporting Countries, GIGA Working Papers, 157, Hamburg: GIGA.</div></div>
Funding	<div><div>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): approved</div></div>
Duration	<div><div>2012–2014</div></div>

## Project Description

Research Questions	<div><div>The research project focuses on two core questions:</div><div><div>- Do ethnicity and natural resources jointly increase the risk of conflict onset?</div><div>- Which ethnicity-related, resource-related, and other conditions have an impact on conflict?</div></div></div>
Contribution to International Research	<div><div>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.</div></div>
Research Design and Methods	<div><div>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/Hoeffler, 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.</div><div>Methodologically, the project engages in georeferencing below the national level and combines macro-, meso- and microperspectives in a three-level analysis. At the macro 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, DIADATA, 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 Nigeria 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.</div></div>

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

>> Almut Schilling-Vacaflor

Project Goals	<ul style="list-style-type: none"><li>- To assess the characteristics of consultation processes and their results in Bolivia, Peru and Ecuador.</li><li>- To develop a database on 20 consultation cases in the Bolivian and Peruvian hydrocarbon sectors.</li><li>- To identify enabling and limiting factors for the implementation of comprehensive consultations.</li><li>- To explain the connections between prior consultations and conflict transformation.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Contentious politics</li><li>- Deliberative democracy</li><li>- Legal pluralism/human rights</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intra-Regional Comparison</li><li>- Time Dimension: Retrospective Study, Ongoing Processes (participatory observation)</li><li>- Spatial Dimension: Local, National</li><li>- Level of Analysis: Individuals, Groups, Countries</li><li>- Number of Cases: Single Case Studies, Small-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Participatory Conflict Analyses, Observation/Ethnography, Documents (official ministry reports, statements from NGOs and indigenous organizations, media reports)</li><li>- Data Processing: Atlas.ti, SPSS</li><li>- Data Analysis: Hermeneutic Analysis, Process Tracing, QCA</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Dr. René Kuppe, University of Vienna</li><li>- Dr. John-Andrew McNeish, UMB Norwegian University of Life Sciences</li><li>- Dr. Barbara Hogenboom, Centre for Latin American Research and Documentation (CEDLA), Amsterdam</li></ul>
Teaching	<ul style="list-style-type: none"><li>- “Prior Consultation: Citizen Participation in Andean Resource Politics”, University of Hamburg, Summer Semester 2012</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “Prior Consultations and Free, Prior and Informed Consent (FPIC) in Andean Resource Politics”, four panels as part of the Latin American Network of Legal Anthropology conference (RELAJU), Sucre, Bolivia, 24–26 October 2012</li><li>- “The Political Economy of Extractivism and its Socio-Environmental Impacts in the Andean-Amazonian Countries” Workshop, ICA conference, Vienna, Austria, 20 July 2012</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- Collaboration with the GIZ programme “Stärkung indigener Organisationen in Lateinamerika (Strengthening Indigenous Organizations in Latin America)”: joint publication; event on FPIC, GIZ, Eschborn, 5 July 2012.</li></ul>
Publications	<ul style="list-style-type: none"><li>- Schilling-Vacaflor, A., and D. Vollrath (2012), Contested Development: Comparing Indigenous and Peasant Participation in Resource Governance in Bolivia and Peru, in: B. Cannon and P. Kirby (eds), <i>Democratization, Civil Society and the State in Left-Led Latin America</i>, London: ZED Books, 126–140.</li><li>- Schilling-Vacaflor, A. (2012), <i>Democratizing Resource Governance through Prior Consultations? Lessons from Bolivia’s Hydrocarbon Sector</i>, GIGA Working Papers, 184, Hamburg: GIGA.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) (Federal Ministry for Economic Cooperation and Development); funding for four panels: approved</li><li>- Fritz Thyssen Stiftung (Fritz Thyssen Foundation); research grant (November 2011–February 2012): approved</li><li>- Deutsche Stiftung Friedensforschung (DSF) (German Foundation for Peace Research): approved</li></ul>
Duration	2012–2015

Project Description

Research Questions	<ul style="list-style-type: none"><li>- What characteristics have consultation procedures, and their outcomes, in the Bolivian and Peruvian hydrocarbon sectors demonstrated since 2007?</li><li>- Which conflict constellations and dynamics can be observed within these procedures?</li><li>- Which factors enable or limit the implementation of comprehensive consultations, the guaranteeing of the human rights of those involved, and the just balancing of the interests at stake?</li><li>- How have prior consultations contributed to conflict escalation or transformation?</li></ul>
Contribution to International Research	<p>Despite their great practical relevance, prior consultations remain under-researched. The research project aims to address the following research gaps:</p> <ul style="list-style-type: none"><li>- A lack of systematic and comparative studies on consultation cases that are based on detailed knowledge of each case</li><li>- 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</li><li>- A lack of investigation into the connections between consultation practices and socio-environmental conflicts</li><li>- A lack of research that focuses on the substantial dimension of prior consultations/FPIC</li></ul> <p>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.</p>
Research Design and Methods	<p>In the first stage of the project we will operationalize “comprehensive consultations”, drawing particularly on international human rights instruments. We will also complete data collection on prior consultations/informative events in the Bolivian and Peruvian hydrocarbon sectors. These data stem from existing case studies and secondary literature, interviews with experts and the actors involved, official ministry reports, 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 for each country will be incorporated into a database on prior consultation practices, as well as on the respective legal norms and legal struggles.</p> <p>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.</p>
Preliminary Results	<p>In Bolivia’s hydrocarbon sector the consultation processes and their outcomes have varied greatly depending on the negotiating capacity of the indigenous organizations involved. The relationship between the particular indigenous group affected and the Bolivian government is a decisive factor in explaining the characteristics of each consultation case. In Peru, the absence of national legislation and of competent state institutions as well as unfavourable jurisprudence has meant that until 2012 only informative events, and no prior consultations, were undertaken. In both countries the “national interest” and the biased state institutions limit the possibilities for initiating comprehensive consultation.</p>

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 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 - Approaches to the political implications of religion - 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 115 developing countries) - Data Processing: STATA - Data Analysis: Regression Analysis
Cooperation Partners	- Religion and Conflict Network (Netzwerk Religion und Konflikt) - Dr. Jonathan Fox, Bar-Ilan University in Ramat Gan, Israel
Teaching	- “Bewaffnete Konflikte und Kriege im subsaharischen Afrika (Armed Conflicts and Civil wars in Sub-Saharan Africa)”, IFSH Hamburg, Two-Day Seminar, January 2010, January 2011, (M. Basedau, J. Vüllers) - “Religion and Konflikt (Religion und Conflict)”, University of Hamburg, Summer Semester 2011 (M. Basedau, J. Vüllers)
Knowledge Transfer	- Presentation of results to the Federal Ministry for Economic Cooperation and Development (BMZ), 21 September 2012
Publications	- Basedau, M. (2009), Religion und Gewaltkonflikt im subsaharischen Afrika (Religion and Violent Conflict in Sub-Saharan Africa), in: M. Bussmann, A. Hasenclever, and G. Schneider (eds), <i>Identität, Institutionen und Ökonomie: Ursachen innenpolitischer Gewalt</i> , PVS Sonderheft, 43, 150–176. - Basedau, M., and J. Vüllers (2010), Religion als Konfliktfaktor? (Religion as a Factor in Conflict?), in: <i>Die Friedenswarte</i> , 1-2, 85, 39–62. - Basedau, M., G. Strüvers, and J. Vüllers (2011), <i>Cutting Bread or Cutting Throats? – Findings from a New Database on Religion, Violence and Peace in Sub-Saharan Africa, 1990 to 2008</i> , GIGA Working Papers, 159, Hamburg: GIGA. - Basedau, M., J. Vüllers, and T. Wegenast (2011), Do Religious Factors Impact Armed Conflict? Evidence from Sub-Saharan Africa, in: <i>Terrorism and Political Violence</i> , 23, 5, 752–779.
Funding	- Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) (Federal Ministry for Economic Cooperation and Development) (until February 2013): approved - Deutsche Stiftung Friedensforschung (DSF) (German Foundation for Peace Research) (until May 2011): approved
Duration	2008–2013

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 organizations) 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 (Algeria, Niger, Nigeria, 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 115 developing countries (which is an extension of an Africa database).
Preliminary Results	The project has already yielded many results, which can be summarized as follows: Preliminary analysis 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 horizontal 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.

The Egyptian Salafist Movement from 1971 to 2012:  
Ideational Developments and the Genesis of the  
Salafist Political Trend

>> Henner Fürtig, Annette Ranko, Nikolai Röhl

Project Goals	<ul style="list-style-type: none"><li>- To trace the ideational development of the Egyptian Salafist movement from 1971 to 2012.</li><li>- To focus especially on the genesis of the political trend within the Salafist movement and its articulation in relation to the movement's mainstream, apolitical (quietist) branch.</li><li>- To trace the processes in which these developments have unfolded.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Framing (Social Movement Theory)</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: No Comparative Design</li><li>- Time Dimension: Longitudinal Study</li><li>- Spatial Dimension: National</li><li>- Level of Analysis: Individuals, Groups</li><li>- Number of Cases: Single Case Study</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Documents (programmatic writings, sermons, fatawa of Salafist leaders)</li><li>- Data Processing: Atlas.ti</li><li>- Data Analysis: Hermeneutic Analysis, Process Tracing</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Al-Sharq Center for Regional and Strategic Studies, Cairo</li><li>- Al-Ahram Centre for Political and Strategic Studies, Cairo</li></ul>
Teaching	<ul style="list-style-type: none"><li>- "Historical Roots of the Arab Spring", University of Hamburg, Summer Semester 2012 (H. Fürtig)</li><li>- „Political Islam – Historical Genesis of a Contemporary Phenomenon“, University of Hamburg, Summer Semester 2011 (H. Fürtig)</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- „The ‘Arab Spring’: A Challenge for the Legitimacy of the Iranian Leadership“, Annual DAVO Conference, Free University of Berlin, 7 October 2011 (H. Fürtig)</li><li>- “State Propaganda and the Egyptian Muslim Brotherhood under Mubarak – The Impact of Ideational Factors on the Development of Islamist Movements”, APSA Annual Meeting 2012, New Orleans, 31 August 2012 (A. Ranko)</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- „From the Arab Spring to the Disillusioning Winter“, Middle Eastern Challenges for Security Policy, Gustav-Stresemann Institute, Bonn, 6 March 2012 (H. Fürtig)</li><li>- „A Preliminary Resume of the Arab Spring“, GIGA Gespräch, GIGA, Berlin, 13 October 2011 (H. Fürtig)</li><li>- „The Egyptian Muslim Brotherhood and Its Electoral Success“, GIGA Gespräch, GIGA, Berlin, 19 January 2012 (A. Ranko)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Fürtig, H. (2011), Saudi-Arabien: ein Fels in der Brandung? (Saudi Arabia: Solid as a Rock?), in: F. Nordhausen and T. Schmid (eds), <i>Die arabische Revolution. Demokratischer Aufbruch von Tunesien bis zum Golf</i>, Berlin: Ch. Links, 176–197.</li><li>- Ranko, A. (2012), Wahlsieg der Islamisten in Ägypten: Der Aufstieg der Muslimbrüder und der Salafisten (The Election Victory of the Egyptian Islamists: The Rise of the Muslim Brotherhood and the Salafists), GIGA Focus Nahost, 1, Hamburg: GIGA.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): under review</li></ul>
Duration	2013–2016

Project Description

Research Questions	<ul style="list-style-type: none"><li>- Which ideational developments has the Egyptian Salafist movement demonstrated over the period from 1971 until 2012?</li><li>- Which internal ideational dynamics have shaped its development?</li><li>- How has the political arm within the Salafist movement emerged and developed? How has it been articulated vis-à-vis the movement's mainstream, apolitical arm?</li><li>- How have the Salafist movement's ideational developments unfolded?</li><li>- What impact have other Egyptian Islamist (but non-Salafist) actors had on the development of the Salafist movement in Egypt?</li><li>- What influence have transnational Salafist debates and thinkers had on the development of the Salafist movement in Egypt?</li></ul>
Contribution to International Research	<p>So far research on Islamist movements has focused either on terrorist groups or on those groups – mostly affiliated with the Muslim Brotherhood – that have long participated in formal political processes. The Salafist movement – which is marked by a mainstream apolitical (quietist) approach that rejects participation in formal politics and instead focuses on spreading the “correct” Islamic way of life through missionary work – has long been deemed less relevant politically than terrorist or Muslim Brotherhood groups. Thus, research on the Salafist movement has been scarce. Furthermore, the movement has often been viewed in a simplistic manner and reduced to its apolitical mainstream. Important internal developments such as the development of a political strand that explicitly promotes participation in formal politics have often been overlooked, even though this political strand has now developed into a tangible empirical phenomenon. In Bahrain and Kuwait, for example, Salafist groups entered parliament several years ago.</p>
Research Design and Methods	<p>The research project seeks to fill this research gap and focuses specifically on the Salafist movement in Egypt, where several Salafist parties have been founded since Mubarak's fall in 2011. These parties have quickly risen to become the second-strongest force in the Egyptian parliament. In the parliamentary elections of 2011/12, they won 24 per cent of the seats; they were second only to the Muslim Brotherhood, which won roughly 45 per cent of the seats. The entrance of Egyptian Salafists into electoral politics might mark the beginning of a new era within the transnational Salafist movement. This movement has long been dominated by Saudi influences, but we might now see Egypt emerge as its new intellectual centre.</p> <p>The project will use summarizing qualitative content analysis as its primary research method. It will analyse the most important programmatic writings, sermons and fatawa of Salafist leaders from 1971 to 2012 in order to discern the different ideational trends, their development and their articulation in relation to each other. In order to analyse these developments, the project will utilize social movement theory approaches that integrate process tracing.</p>



New Power-Sharing Arrangements in Multi-Ethnic Arab States

>> Henner Fürtig, Stephan Rosiny

Project Goals	- To compare the conflicts in four divided Arab societies (Bahrain, Lebanon, Iraq and Syria). - To investigate the discussions on and options for power-sharing arrangements in the four countries.
Theoretical Approaches	-Peace and conflict research on ethnically and confessionally divided societies - Power-sharing theories
Research Design	- Comparative Design: Intraregional Comparison - Time Dimension: Cross-Sectional Study - Spatial Dimension: National, Regional - Level of Analysis: Countries - Number of Cases: Small-N Analysis
Methods	- Data Collection: Interviews, Observation, Documents (constitutions, specific laws (e.g. election laws, minority-rights laws), party programmes, official statements) - Data Analysis: Content Analysis, Discourse Analysis, Hermeneutic Analysis
Cooperation Partners	- Common Space Initiative (CSI), Beirut, Lebanon
Teaching	- “Historical Roots of the Arab Spring”, University of Hamburg, Summer Semester 2012 (H. Fürtig)
Workshops/Conferences	- “Realigning Power Geometries in the Arab World” Conference, Leipzig, 24–26 February 2012 (S. Rosiny) - “Power-Sharing in Fragmented Societies. Lessons from Lebanon and Iraq for the ‘Arab Spring’ in Syria and Bahrain”, presentation at the conference „The Arab Uprising one Year Later: Examining the Possibilities and Risks“, Middle East Institute, Singapore, 24–25 May 2012 (S. Rosiny)
Knowledge Transfer	- „Nach der Wahl in Ägypten: Wird aus dem „arabischen“ ein „islamischer“ Frühling?“ (After the Elections in Egypt: Will the “Arab Spring” become the “Islamic Spring?”), GIGA Gespräch, GIGA, Berlin, 19 January 2012 (S. Rosiny, H. Fürtig)
Publications	- Fürtig, H. (2012), Arabische Liga (The Arab League), in: W. Benz (ed.), <i>Handbuch des Antisemitismus</i> , Band 5, München: K.G. Saur, 39–41. - Fürtig, H. (2011), Der Irak als demokratischer „Musterstaat“ in Nahost? (Iraq as a Democratic “Prototype State” in the Middle East?), in: <i>Aus Politik und Zeitgeschichte</i> , 9, 3–10. - Rosiny, S. (2012), Konflikt und Machtteilung in fragmentierten Gesellschaften: Syrien, Bahrain, Libanon und Irak im Vergleich (Conflict and Power-Sharing in Fragmented Societies: A Comparison of Syria, Bahrain, Lebanon and Iraq), in: B. Schoch, C. Hauswedell, J. Kursawe, and M. Johannsen (eds), <i>Friedensgutachten 2012</i> , Münster: LIT, 249–262. - Rosiny, S. (2011), Religionsgemeinschaften als Verfassungssubjekte: Libanon als Modell für Nahost? (Religious Associations as a Constitutional Topic: Can Lebanon be a Model for the Middle East?), GIGA Focus Nahost, 4, Hamburg: GIGA.
Funding	- VolkswagenStiftung (Volkswagen Foundation): approved
Duration	2012–2014

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 autocracies.  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 abolishment 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 consociationalist (Lijphart, Lehmbruch) and the centripetalist approach (Horowitz).
Preliminary Results	In an initial workshop, participants identified several similar or comparable experiences between the cases under investigation. They 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.

Shared Histories and Contemporary Interactions between Iran and Venezuela

>> Henner Fürtig, Leslie Wehner, Oliver Borszik

Project Goals	<ul style="list-style-type: none"><li>- To study the shared histories of Iran and Venezuela as well as the contemporary cross-regional interactions between Venezuela's Bolivarian revolution and Islamic revolutionary projects.</li><li>- To determine the historical factors and actors that are driving these interactions and to assess the consequences and prospects of this process.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Global history – histoire croisée</li><li>- Foreign policy analysis</li><li>- International and diplomatic history</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Cross-Regional Comparison</li><li>- Time Dimension: Longitudinal Study</li><li>- Spatial Dimension: National, Regional, Global</li><li>- Level of Analysis: Individuals, Countries</li><li>- Number of Cases: Single Case Study, Small-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Documents</li><li>- Data Analysis: Content Analysis, Discourse Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Faculty of World Studies, University of Tehran, Iran</li><li>- Middle East Program, University of Durham, UK</li><li>- EU Institute for Security Studies (EUISS), France</li><li>- Department of Social Sciences / International Relations, Universidad Simón Bolívar, Venezuela</li><li>- Institute of International Studies, Universidad Central de Venezuela</li></ul>
Teaching	<ul style="list-style-type: none"><li>- “Competing Models of Nation-Building in Iran, 1905–1979”, University of Hamburg, Winter Semester 2012/13 (H. Fürtig)</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “The ‘Arab Spring’: A Challenge for the Legitimacy of the Iranian Leadership”, DAVO Annual Conference, Free University of Berlin, 7 October 2011 (H. Fürtig)</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- „‘Arab Spring’ in the Gulf Region; Is Iran affected?“ Federal Academy for Security Politics (BAKS), Berlin, 26 April 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Borszik, O. (2011), „Islamisches Erwachen“ statt Selbstbefreiung: Irans Aneignungsversuche der arabischen Revolte (“Islamic Awakening” instead of Self-Liberation: Iran's Attempts to Appropriation the Arab Revolts), GIGA Focus Nahost, 3, Hamburg: GIGA.</li><li>- Fürtig, H. (2012), Das postrevolutionäre Regime im Iran: Theokratie oder Republik? (Iran's Post-Revolutionary Regime: Theocracy or Republic?), in: B. Oberdorfer and P. Waldmann (eds), <i>Machtfaktor Religion. Formen religiöser Einflussnahme auf Politik und Gesellschaft</i>, Wien, Köln, Weimar: Böhlau, 142-166.</li><li>- Fürtig, H. (2011), Religion, Politik, und Charisma: Der „herrschende Rechtsgelehrte“ in Iran (Religion, Politics and Charisma: The “Supreme Leader” in Iran), in: B. Bliesemann de Guevara and T. Reiber (eds), <i>Charisma und Herrschaft: Führung und Verführung in der Politik</i>, Frankfurt (Main): Campus, 177–200.</li><li>- Wehner, L. (2011), Roles and Actions of Leadership: Brazil and the South American Others, in: D. Nabers and N. Godehardt (eds), <i>Regional Powers and Regional Orders</i>, London: Routledge, 137–154.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation</li></ul>
Duration	2013–2014

Project Description

Research Questions	<ul style="list-style-type: none"><li>- To what extent do the revolutionary projects of Iran and Venezuela converge, diverge, and/or coexist as a result of their cross-regional interactions?</li><li>- What historical events have made the rapprochement between Iran and Venezuela possible?</li><li>- How are Iranian–Venezuelan interaction patterns unfolding sequentially, qualitatively, and quantitatively?</li><li>- What prospects arise from the expected convergence, divergence, and/or coexistence of the Bolivarian and the Islamic revolutionary projects?</li></ul>
Contribution to International Research	<p>The project contributes to research in the fields of global history, area studies and foreign policy analysis. By studying both the shared histories as well as the contemporary interactions between the Islamic and the Bolivarian revolutionary projects, which have national, regional and global impacts, this study contributes to the research on alternative projects shaped from a Southern view of the world. Combining vertical and horizontal historiography this research establishes links between historical analysis, the history of foreign policies, and area studies in order to enhance the project's contribution to global history. Particular regions, such as the Middle East and South America, are regarded as constitutive spatial elements of a one-world system. This multidimensional perspective allows for the further historicization of globalization.</p>
Research Design and Methods	<p>The study of the shared histories of Iran and Venezuela covers the period from the beginning of the 1960s to 2001. The commonalities and differences in Iran's and Venezuela's national and regional histories provide the overall context for the study of the countries' contemporary interactions, which began in 2001. These interactions between the Islamic and the Bolivarian revolutionary projects are studied for the period from 2001 to the present, sequentially, qualitatively and quantitatively. The intensity (high/medium/low) and direction of interactions (progress/stagnation/regression), and the development of cooperation (emerging/stagnating/ fading) are evaluated according to this time frame. The study also examines the scope and nature of exemplary material cooperation at particular points in time. The methodological combination of these two dimensions will generate interpretative trends of convergence, divergence, and/or coexistence between the two sides. This interpretative procedure will be used as the basis for assessing the prospects of future interactions between Iran and Venezuela.</p>

Institutions for Sustainable Peace. Comparing Institutional Options for Divided Societies and Post-Conflict Countries

>> Matthias Basedau, Sabine Kurtenbach, Andreas Mehler, Nadine Ansorg, Julia Strasheim, Felix Haaß

Project Goals	<ul style="list-style-type: none"><li>- To determine which institutions and which combination of institutions reduce the potential for violent conflicts and other types of violence.</li><li>- To identify how institutional engineering can be effective and successful in divided societies and especially post-conflict situations.</li><li>- To assess how institutions interact and how this shapes their impact on peace.</li><li>- To study how specific factors such as the character of divisions or the traumatic experience of violence impact the prospects for successful institutional engineering.</li><li>- To create an international network on the project topic.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Institutional and constitutional engineering approaches</li><li>- Peace and conflict studies approaches</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Cross-Regional Comparison</li><li>- Time Dimension: n.a. (network project)</li><li>- Spatial Dimension: n.a. (network project)</li><li>- Level of Analysis: Countries</li><li>- Number of Cases: Small-N Analysis, Medium-N Analysis, Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Databases ("Annotated Database 'Bibliography'" of data sets on conflict, divisions and institutions; creation of researchers' own database planned for 2013)</li><li>- Data Analysis n.a. (network project)</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Core network partners: Peace Research Institute Oslo (PRIO), School of Oriental and African Studies (London), University of Uppsala (Department of Peace and Conflict Studies), The Graduate Institute Geneva (Centre on Conflict, Development and Peace-Building)</li><li>- Further international partners: Duke University, Australian National University (Asia-Pacific School of Economics and Government), University of California at San Diego, University of Birmingham</li><li>- German partners: Jacobs University Bremen, IFSH Hamburg, University of Marburg, University of Duisburg-Essen, University of Konstanz</li></ul>
Teaching	<ul style="list-style-type: none"><li>- "Peace through Institutions: Can Institutional Engineering Prevent Conflicts between Identity Groups?", University of Hamburg, Winter Semester 2012/2013 (M. Basedau)</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- "Harmony or Cacophony? The 'concert of institutions' in divided societies", Second ISP Network Conference, Oslo, 13-14 June 2013</li><li>- "Institutions for Sustainable Peace. Research Gaps and Challenges", ISA Annual Convention, San Francisco, 3-6 April 2013</li><li>- "Institutions for Sustainable Peace: From Research Gaps to New Frontiers", First ISP Network Conference, Berlin, 7-8 September 2012</li><li>- Catalytic Workshop "Institutions for Sustainable Peace: Comparing Institutional Configurations for Divided Societies", ISA Annual Convention, San Diego, 31 March 2012</li><li>- "Peace through Institutions: What Works under which Conditions?", GIGA International Conference, Hamburg, 13-14 April 2011</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- "How Institutions Shape the Chances for Sustainable Peace." One-day workshop with international diplomats from the Foreign Ministry's "International Futures" programme, Hamburg, 17 August 2012</li><li>- "Institutions for Sustainable Peace – Prospects for Divided Societies?" Presentation at the GFA Consulting Group, Hamburg, 4 July 2012 (N. Ansorg)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Basedau, M. (2011), <i>Managing Ethnic Conflict: The Menu of Institutional Engineering</i>, GIGA Working Paper, 163, Hamburg: GIGA.</li><li>- Bogaards, M., M. Basedau, and C. Hartmann (eds) (2012), <i>Ethnic Party Bans in Africa</i>, London: Routledge.</li><li>- Kurtenbach, S. (2010), Why is Liberal Peace-Building so Difficult? Some Lessons from Central America, in: <i>European Review of Latin American and Caribbean Studies</i>, 88, 95-110.</li><li>- Mehler, A. (2009), Peace and Power Sharing in Africa: A not so obvious relationship, in: <i>African Affairs</i>, 108, 432, 453-473.</li><li>- Strasheim, J. and H. Fjelde (2013), Pre-Designing Democracy: Institutional Design of Interim Governments and Democratization in 15 Post-Conflict Societies, in: <i>Democratization</i> (forthcoming).</li></ul>
Funding	<ul style="list-style-type: none"><li>- Pakt für Forschung und Innovation, SAW-Verfahren (Joint Initiative for Research and Innovation): approved</li></ul>
Duration	2012-2015

Project Description

Research Questions	<ul style="list-style-type: none"><li>- How can institutional engineering be effective and successful in post-conflict and, in particular, divided societies?</li><li>- Which institutions and which combination of institutions reduce the potential for violent conflicts and other types of violence?</li><li>- How do specific factors such as the character of divisions or the traumatic experience of violence impact the prospects for successful institutional engineering?</li></ul>
Contribution to International Research	<p>The project connects to the debates on institutional engineering (e.g. Lijphart, Horowitz, Reynolds) and systematically analyses the effects and success of different institutional designs. Research on institutional conditions for and determinants of peace is often geographically and – due to a focus on the field of post-conflict studies – thematically fragmented. The present project aims to overcome this fragmentation by initiating cooperation between several research institutions, with GIGA as the main partner.</p> <p>The project studies the success of particular institutional designs (decentralization or federal systems, particular election systems, regulation of party systems, power-sharing) and undertakes integrative analyses of interactions among the entire set of institutions that influence the potential for violence. The project furthermore identifies how societal divisions and/or post-conflict situations affect the prospects of particular institutional options: specific economic, cultural, political and historical contexts are included in the analysis of institutions. Non-institutional factors such as ethnicity, religion or resources are also considered.</p>
Research Design and Methods	<p>Using a comparative area studies approach, the project carries out a comparative investigation of those societies are studied that display a specific risk of conflict escalation, such as post-conflict societies and "divided societies" (societies divided along ethnic, religious or other social lines). The project brings international experts from this field of research together in one collaborative project. Individual findings are exchanged in order to systematically correlate them within a new research approach. Research agendas are discussed and developed at conferences and workshops, then carried out in concrete research and publication projects. The networking process is institutionalized by an academic exchange programme and a substantive "research unit" at the GIGA. A further element of the project is the "Institutions for Sustainable Peace" database, which systematically links different findings from within the field and fills research gaps by including the complex set of institutional choices available as well as the exact character of divisions and conflict risks.</p>

Civil War and the Social Contract – State Services, Political Trust, and Political Violence

>> Alexander De Juan

Project Goals	<div>- To contribute to understanding the role of basic service delivery in political trust and political violence.</div> <div>- To contribute to policy-oriented research on external assistance for basic service delivery in post-war states.</div>
Theoretical Approaches	<div>- Peace and conflict studies theories</div> <div>- Research on political/institutional trust and legitimacy</div> <div>- Research on state-building and post-war reconstruction</div>
Research Design	<div>- Comparative Design: Cross-Regional Comparison</div> <div>- Time Dimension: Time-invariant</div> <div>- Spatial Dimension: Subnational</div> <div>- Level of Analysis: Individuals, subnational regions</div> <div>- Number of Cases: Small-N Analysis, Large-N Analysis</div>
Methods	<div>- Data Collection: Questionnaires, Interviews, Focus Group Discussions</div> <div>- Data Processing: STATA</div> <div>- Data Analysis: Multivariate Methods, Process Tracing, Regression Analysis, Geospatial Analysis</div>
Cooperation Partners	<div>- Collaborative Research Center 700, Governance in Areas of Limited Statehood, Free University of Berlin</div> <div>- Department of Political Science and Communications, University of Greifswald</div> <div>- German Federal Ministry for Economic Cooperation and Development (BMZ)</div>
Teaching	<div>- “State Building in Post-War Countries”, University of Hamburg, Winter Semester 2012/13</div>
Publications	<div>- De Juan, A. (2013), Intra-Religious Conflicts in Intra-State Wars, in: <i>Terrorism and Political Violence</i>, forthcoming.</div> <div>- De Juan, A. (2012), <i>Institutional Conflict Settlement in Divided Societies: The Role of Subgroup Identities in Self-Government Arrangements</i>, GIGA Working Papers, 195, Hamburg: GIGA.</div>
Funding	<div>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): under review</div> <div>- KfW Entwicklungsbank (KfW Development Bank): in preparation</div>
Duration	<div>2012–2015</div>

Project Description

Research Questions	<div>- Does the inadequate or inequitable delivery of basic services affect the risk of political violence?</div> <div>- Does the effective and equitable delivery of basic services affect levels of political trust?</div> <div>- How should external/international support for service provision be designed in order to contribute to improvements in trust levels?</div>
Contribution to International Research	<div>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 emphasized in peace and conflict studies; however, it is not adequately conceptualized 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.</div>
Research Design and Methods	<div>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.</div> <div>The project will combine quantitative and qualitative research methods. The first pillar will consist of an opinion survey to be conducted in the southern region of South Sudan (case selection contingent on local security situation). Approximately 1,200 people will be interviewed in the Greater Equatoria region. Questionnaires will focus on people’s perceptions of various state institutions and of current service provision (with respect to quality, quantity, providers, responsiveness).</div> <div>Quantitative and semi-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 even data. The project will assess the impact of effective service delivery on two kinds of political violence: violent events in civil wars and more decentralized civil violence in post-war situations (riots, demonstrations, protests).</div> <div>Qualitative comparisons at the subnational level will constitute the project’s third pillar. In addition to the quantitative techniques applied in 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.</div>



The Unintended Consequences of Conflict Management

>> Sandra Destradi, Johannes Vüllers

Project Goals	- To identify the impact of conflict management activities on the internal structures and dynamics of conflict parties in civil wars.
Theoretical Approaches	- Conflict management literature - Micro-foundation of conflict parties
Research Design	- Comparative Design: Cross-Regional Comparison - Time Dimension: Cross-Sectional Study - Spatial Dimension: Subnational - Level of Analysis: Organizations - Number of Cases: Small-N Analysis
Methods	- Data Collection: Interviews, Focus Group Discussions, Databases (Lexis Nexis) - Data Processing: Atlas.ti - Data Analysis: Content Analysis, Process Tracing
Teaching	- “Mediation in Bürgerkriegen (Mediation in Civil Wars)”, University of Hamburg, Summer Semester 2012 (S. Destradi, J. Vüllers) - “Das Ende von Bürgerkriegen: Formen, Mechanismen und Folgen (Civil War Termination: Forms, Mechanisms and Consequences)”, University of Hamburg, Winter Semester 2012/2013 (S. Destradi, J. Vüllers) - “Innerstaatliche Gewaltkonflikte in Südasien (Intrastate Wars in South Asia)”, IFSF, University of Hamburg, Winter Semester 2011/2012, Winter Semester 2012/2013 (S. Destradi) - “Kriegerische Konflikte in Afrika südlich der Sahara (Violent Conflicts in Sub-Saharan Africa)”, IFSH, University of Hamburg, Winter Semester 2011/2012, Winter Semester 2012/2013 (J. Vüllers, M. Basedau)
Workshops/ Conferences	- “Sustainable Peace in Sri Lanka and Beyond: Linking Theory and Practice”, GIGA Workshop, Hamburg 14–15 June 2012.
Publications	- Destradi, S., and J. Vüllers (2010), <i>Mehr Engagierte, weniger Engagement? Die wachsende Komplexität internationaler Mediation (More Engaged Parties, Less Engagement? The Increasing Complexity of International Mediation)</i> , GIGA Focus Global, 9, Hamburg: GIGA. - Vüllers, J., and S. Destradi (2012), <i>The Consequences of Failed Mediation in Civil Wars</i> , paper presented at the International Studies Association (ISA) Annual Convention 2012, San Diego, 3 April 2012.
Funding	- GIGA
Duration	2013–2015

Project Description

Research Questions	- Under what conditions do conflict management activities impact the internal structures and dynamics of conflict parties in civil wars? - How do these changes within the conflict parties affect the peace process?
Contribution to International Research	Most studies on different forms of conflict management focus on the preconditions for success of these third party–promoted initiatives. An aspect that has been surprisingly understudied, however, is the consequences of these conflict management efforts for the conflict parties themselves. While some studies address the problem of the unintended consequences of conflict management efforts in single cases, a normative bias, based on the assumption that trying to promote peace is, per se, something positive, still prevails in the literature. In the field of mediation, for example, the mere establishment of a dialogue between the conflict parties is usually seen as an achievement, while no critical consideration is paid to the potential negative implications this dialogue might have. Only recently have some studies addressed the impact of conflict management on the conflict parties in a systematic way, for example, by highlighting that mediation can contribute to the splintering of rebel groups (Olson Lounsbury/Cook 2011). Our own pilot project, sponsored by the German Foundation for Peace Research, has shown that mediation failure contributed to the escalation of the civil war in Sri Lanka since it led to a strengthening of hardliners within the government and to a shift to less negotiable strategic goals on the part of both conflict parties.  Building upon these findings, in this project we aim to identify the impact of different types of conflict management activities on the internal dynamics and structures of conflict parties in civil wars. Since shifts in the strength of hardliners and moderates as well as changes in the strategic goals of the conflict parties can be expected to have an impact on conflict dynamics, this question is of utmost relevance to the field of peace and conflict studies.
Research Design and Methods	To address the research question, we carry out a small-N comparison of selected cases of conflict management in civil wars. In order to identify the impact the conflict management activities have had on the conflict parties, in-depth qualitative analysis based on interviews and on a frame analysis of selected documents is required. The researchers will employ the process-tracing method in order to reconstruct the causal chain of events through which shifts within the conflict parties impacted conflict dynamics and the level of violence.

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

>> Andreas Mehler, Martin Ottmann, Johannes Vüllers

Project Goals	<ul style="list-style-type: none"><li>- 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.</li><li>- 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.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Consociational power-sharing theory</li><li>- Bargaining theory</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Cross-Regional Comparison</li><li>- Time Dimension: Time Series</li><li>- Spatial Dimension: National</li><li>- Level of Analysis: State and rebel groups, institutions</li><li>- Number of Cases: Small-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Databases (cross-sectional data, event history data)</li><li>- Data Processing: STATA</li><li>- Data Analysis: Event history analysis</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- „To Engineer or Not to Engineer, That is the Question. When Does Constitutional Engineering in Divided Societies Occur?“, presentation at the ISA Annual Convention, San Diego, 1 April 2012 (A. Mehler)</li><li>- “From Promises to Implementation: Theoretical and Methodological Challenges for Research Focusing on Institutional Reform and Power-Sharing”, presentation at first ISP Network Conference: “Institutions for Sustainable Peace”, 6–7 September 2012, Berlin (M. Ottmann, J. Vüllers)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Mehler, A. (2009), Peace and Power Sharing in Africa: A Not so Obvious Relationship, in: <i>African Affairs</i>, 108, 432, 453–473.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): approved</li></ul>
Duration	2012–2014

Project Description

Research Questions	<ul style="list-style-type: none"><li>- While the majority of civil wars during the Cold War culminated in the military victory of one conflict party, the 1990s saw the rise of negotiated solutions to internal strife. Provisions for power-sharing between former adversaries figure prominently in almost all of these settlements, and consequently underlie both the constitutional arrangements in many recent peace agreements and political settlements in countries that have not experienced full-blown civil war. The problem with post-conflict power-sharing is that it has a very mixed track record. While there are some examples of apparent success, there are also many cases of outright failure – as well as some in-between cases where power-sharing remains fragile but nonetheless offers grounds for (cautious) optimism.</li></ul>
	<p>These differences give rise to a number of research questions:</p> <ul style="list-style-type: none"><li>- Are specific post-conflict power-sharing institutions associated with lasting peace?</li><li>- 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?</li><li>- 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?</li></ul>
Contribution to International Research	<p>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 stabilize the transition to lasting peace.</p> <p>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 still 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 disregard the actual implementation of these promises (Hartzell &amp; Hoddie 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.</p>
Research Design and Methods	<p>To allow for generalization and particularization, 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.</p>

The Local Arenas of Power-Sharing. Patterns of Adaptation or Continued Disorder?

>> Andreas Mehler, Franzisca Zanker

Project Goals	- To explore the contested dynamics of power-sharing and peace-building in countries affected by violent conflict. - To deepen our understanding of post-conflict peace-building through power sharing–related institutional reform by considering the conditions under which the effective translation and local adaptation of top-down institutional reforms occurs.
Theoretical Approaches	- Consociationalism - Hybrid peace
Research Design	- Comparative Design: Intra-Regional Comparison - Time Dimension: Retrospective Study, Cross-Sectional Study - Spatial Dimension: Local, Subnational, National - Level of Analysis: Groups, Countries - Number of Cases: Small-N Analysis
Methods	- Data Collection: Interviews, Focus Group Discussions, Documents (policy papers, humanitarian reports, UN documents) - Data Analysis: Content Analysis, Process Tracing
Cooperation Partners	- Dr. Denis Tull, Claudia Simons, Stiftung Wissenschaft und Politik (SWP), Berlin
Workshops/Conferences	- „Contested Peace Processes in Local and National Arenas“ Panel, VAD Conference, Cologne, 30 May–2 June 2012 (A. Mehler, D. Tull)
Publications	- Mehler, A. (2012), Why Security Forces Do Not Deliver Security: Evidence from Liberia and the Central African Republic, in: <i>Armed Forces and Society</i> , 38, 1, 46–69. - Mehler, A. (2009), Peace and Power Sharing in Africa: A Not so Obvious Relationship, in: <i>African Affairs</i> , 108, 432, 453–473. - Mehler, A., and F. Zanker (2011), Intervention in Côte d'Ivoire: A Recipe for Disaster, in: M. Johannsen et al. (eds), <i>Friedensgutachten 2011</i> , Berlin: Lit Verlag, 248–261. - Simons, C., and F. Zanker (2012), <i>Finding the Cases that Fit: Methodological Challenges in Peace Research</i> , GIGA Working Papers, 189, Hamburg: GIGA. - Zanker, F. (2011), <i>Liberia: Gescheiterte Verfassungsänderung – erfolgreiche Wahlen? (Liberia: Failed Constitutional Reform – Successful Elections?)</i> , GIGA Focus Afrika, 5, Hamburg: GIGA.
Funding	- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation) Priority Programme 1448, first phase 2011–2012, second phase 2013–2014: approved
Duration	2011–2014

Project Description

Research Questions	- 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, Hartzell/Hoddie 2005, 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 depoliticize the interests of those involved in reordering war-torn societies.
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. The implementation of power-sharing has proven to have somewhat complex consequences. Formal elements of power-sharing were implemented in all cases, and resulted in the appeasing of major conflict actors, who were included in interim governments. Nonetheless, the translation of these power-sharing agreements to the local level – or the absence of such translation – had some negative repercussions for local peace.

Ineffective Sanctions? External Sanctions and the Persistence of Autocratic Regimes

>> Christian von Soest, Julia Grauvogel, Matthias Basedau

Project Goals	- To comparatively analyse autocratic regimes' reactions to external pressure. - To identify the effects of sanctions on the persistence of autocratic regimes, and the specific features of those autocratic regimes that have remained stable in the face of international sanctions.
Theoretical Approaches	- Concepts from research on sanctions, autocratic regimes and transitions
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, Medium-N Analysis, Large-N Analysis
Methods	- Data Collection: Questionnaires, Interviews, Focus Group Discussions, Databases (establishment of a global data set on all sanctions imposed by the UN, the US and the EU on autocratic regimes, 1990–2010; establishment of a new global data set on the legitimization strategies of all autocratic regimes worldwide) - Data Processing: STATA - Data Analysis: Multivariate Methods, Process Tracing, QCA, Regression Analysis
Cooperation Partners	- Prof. Michael Brzoska, Institute for Peace Research and Security Policy at the University of Hamburg (IFSH) - Michael Wahman, University of Texas at Austin - Prof. T. Clifton Morgan, Rice University, Houston, Texas - Assistant Prof. Clara Portela, Singapore Management University - Local cooperation partners in the case studies to be selected through fsQCA
Workshops/Conferences	- „Autocratic Regimes and the Effects of International Sanctions“, International Workshop, GIGA, Hamburg, 25 June 2012 (C. Portela, C. von Soest)
Knowledge Transfer	- „Thawing in Myanmar: How to Continue with the International Sanctions?“ GIGA Gespräch, GIGA, Berlin, 19 April 2012 (M. Bünte, C. von Soest). - „Sanctions and Conditionality as Instruments of Human Rights Policy“, Heinrich Böll Foundation Expert Discussion, Berlin, 22 February 2012 (Presentation: C. Portela; Participants: J. Grauvogel, C. von Soest).
Publications	- Basedau, M., C. Portela, and C. von Soest (2010), <i>Peitsche statt Zuckerbrot: Sind Sanktionen wirkungslos? (Whip instead of Sugar-Bread: Are Sanctions Ineffective?)</i> , GIGA Focus Global, 11, Hamburg: GIGA. - Basedau, M., and J. Lay (2009), Resource Curse or Rentier Peace? The Ambiguous Effects of Oil Wealth and Oil Dependence on Violent Conflict, in: <i>Journal of Peace Research</i> , 46, 6, 757–776. - Bünte, M. and C. Portela (2012), <i>Myanmar: The Beginning of Reforms and the End of Sanctions</i> , GIGA Focus International Edition, 3, Hamburg: GIGA. - Portela, C. (2010), <i>European Union Sanctions and Foreign Policy: When and Why do they Work?</i> , London: Routledge. - Soest, C. von, and M. Domke (2011), <i>Simbawe: Düstere Aussichten für demokratische Reformen (Simbawe: Bad Chances for Democratic Reforms)</i> , GIGA Focus Afrika, 10, Hamburg: GIGA.
Funding	- Fritz Thyssen Stiftung (Fritz Thyssen Foundation): approved
Duration	2011–2013

Project Description

Research 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 (e.g. 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?
Contribution to International Research	Researchers have provided largely contradictory evidence concerning the effects of sanctions on the stability and repression of autocratic regimes. In response, this research project comparatively analyses the reactions of autocratic regimes to external pressure. Building on insights from research on authoritarianism, sanctions and transitions, the project identifies the potential effects of sanctions and the specific features of those regimes that have remained stable in the face of such external sanctions. Of particular interest are autocratic regimes' international relations, as well as their characteristics, strategies and actions: How do sanctions affect their use of repression, their legitimacy and their ability to safeguard their rule? To what extent does external pressure imperil the maintenance of power?
Research Design and Methods	The project combines several research methods. Qualitative comparative analysis (fsQCA) serves to establish the different combinations of sanctioned autocratic regimes' characteristics and to select country case studies for further in-depth analysis. These case studies are then analysed comparatively. In addition, two data sets will be created. One will provide information on the different sanctions implemented by the UN, the US and the EU, and the other will focus on the legitimacy of autocratic regimes. The data sets will also allow for quantitative-statistical analyses of the effects of sanctions.
Preliminary Results	The first results of the fsQCA study point to (1) the importance of legitimization in almost all configurations; (2) the relevance of the interplay between internal regime characteristics and sanctions; (3) the varying effects of certain conditions, for instance, hard repression, as a result of their specific interactions with other conditions; (4) the principally different factors that account for autocratic persistence and for democratization (“causal asymmetry”); and (5) the different causal pathways, which will be used to select the further in-depth case studies.



RP 2

Political–Criminal Nexus in Central America: Organized Crime and Politics in Guatemala, El Salvador and Nicaragua

>> Otto Argueta

Project Goals	- To study the institutional and political trajectories of the three countries' political systems in order to determine why some countries develop a strong political–criminal nexus and others do not.
Theoretical Approaches	- Historical institutionalism
Research Design	- Comparative Design: Intra-Regional Comparison - Time Dimension: Retrospective Study - Spatial Dimension: Local, National - Level of Analysis: Countries - Number of Cases: Small-N Analysis
Methods	- Data Collection: Interviews, Documents (historical archives, closed judicial processes) - Data Analysis: Process Tracing
Cooperation Partners	- Centre for Development and the Environment (SUM-UoO), Norway - Universidad Nacional de Colombia (IEPRI), Bogotá, Columbia - Centro de Investigaciones y Estudios Superiores en Antropología Social (CIESAS), Tlalpan, Mexico
Workshops/Conferences	- “The Institutional Patterns of Organized Crime in Central America“, presentation at the 54 International Congress of Americanists, Vienna, Austria, 15–20 July 2012
Publications	- Argueta, Otto (2012), Private Security in Guatemala: Pathway to Its Proliferation, in: <i>Bulletin of Latin American Research</i> , 31, 3, 320–335. - Argueta, Otto, Sebastian Huhn, Sabine Kurtenbach, and Peter Peetz (2011), <i>Blocked Democracies in Central America</i> , GIGA Focus International, 5, Hamburg: GIGA.
Funding	- Norwegian Research Council: under review
Duration	2013–2014

RP 2

Project Description

Research Questions	- This project analyses organized crime from the perspective of the state and its institutions. Rather than considering organized crime as something external to the state, the project understands it as part of the state-formation process. The relationship between the state and organized crime is seen as one where the protection of political authority is fundamental to the actions of criminal organizations. Thus, the link between politics and criminal organizations is defined as a system of perdurable sociopolitical relations in which cooperative and clientelistic interactions between public officials and criminals are established for profit and in which violence is used as the ultimate means to ensure the stability of the political–criminal nexus. Organized crime needs and strives for stable relations with public officials and state institutions to sustain criminal activities rather than attempting to bend the state to its needs by using force against it. The project's research focuses on political systems as the field in which this political–criminal nexus is sustained and reinforced. It examines two political dimensions: political parties and local authorities such as municipalities. Which institutional patterns create the conditions for the emergence and continuity of or, conversely, the elimination of a political-criminal nexus?
Contribution to International Research	Organized crime is currently considered to be one of the main threats to governance, at both the national and the transnational level. However, the relationship between politics and criminal organizations remains under-researched. Most of the existing analysis lacks long-term perspectives and empirical data. This research aims to address these shortcomings by bringing a historically and theoretically grounded perspective to the study of organized crime.
Research Design and Methods	The project uses qualitative historical methods to analyse the trajectories of political parties and decentralization processes. A process-tracing design seeks to identify the path-dependent processes that have reinforced institutional patterns in the political systems under investigation. The researcher will undertake a comparative historical analysis of the three selected cases, all of which exhibit similarities in political context and political processes – a long tradition of patrimonial politics, internal conflicts, and peace and democratization processes – yet demonstrate different outcomes in terms of the scope of the political–criminal nexus. This historical comparative analysis will seek to identify differences in the three political systems' trajectories that could explain why some of the countries have developed a strong political–criminal nexus and others have not.

Public Security and the Transition to Democracy

>> Sabine Kurtenbach, Hanspeter Mattes, Annegret Mähler

Project Goals	<ul style="list-style-type: none"><li>- To determine which contextual factors in political transformation processes cause public security problems.</li><li>- To identify the implications of public security problems for political transformation processes.</li><li>- To assess whether the political transitions in Latin America and sub-Saharan Africa (Project 1: Kurtenbach/ Mähler) can provide lessons learned for the North African countries of the “Arab Spring” (Project 2: Mattes).</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Transformation theory</li><li>- Peace and conflict studies, particularly civil–military relations</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Cross-Regional Comparison</li><li>- Time Dimension: Retrospective Study, Cross-Sectional Study</li><li>- Spatial Dimension: National</li><li>- Level of Analysis: Countries</li><li>- Number of Cases: Small-N Analysis, Medium-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Documents (documents on public security: national and international human rights organizations’ publications, official white papers, statements from armed groups, debates in parliament and media), Databases (Polity IV, Freedom House, Bertelsmann Transformation Index, UCDP, PTS, UNODC Homicide Data)</li><li>- Data Analysis: Content Analysis, Process Tracing, QCA</li></ul>
Teachings	<ul style="list-style-type: none"><li>- “Demokratisierung und Gewalt (Democratization and Violence)”, University of Hamburg, Winter Semester 2012/2013 (S. Kurtenbach)</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “Public Security and the Transition to Democracy” Expert Workshop, GIGA, Berlin, January 2013</li></ul>
Publications	<ul style="list-style-type: none"><li>- Kurtenbach, S., and H. Wulf (2012), <i>Violence and Security Concerns in Post-Conflict Situations</i>, Duisburg: Institute for Development and Peace, Project Working Paper No. 3.</li><li>- Kurtenbach, S. (2011), <i>State-Building, War and Violence: Evidence from Latin America</i>, GIGA Working Papers, 181, Hamburg: GIGA.</li><li>- Kurtenbach, S. (2010), Why is Liberal Peace-Building so Difficult? Some Lessons from Central America, in: <i>European Review of Latin American and Caribbean Studies</i>, 88, April, 95–110.</li><li>- Mähler, A. (2012), An Inescapable Curse? Resource Management, Violent Conflict, and Peacebuilding in the Niger Delta, in: P. Lujala and S. Rustad (eds), <i>High-Value Natural Resources and Post-Conflict Peacebuilding</i>, London: Earthscan, 391-412.</li><li>- Mähler, A. (2011), Oil in Venezuela: Triggering Conflicts or Ensuring Stability? A Historical Comparative Analysis, in: <i>Politics &amp; Policy</i>, 39, 4, 583–611.</li><li>- Mähler, A. (2010), <i>Nigeria: A Prime Example of the Resource Curse? Revisiting the Oil–Violence Link in the Niger Delta</i>, GIGA Working Papers, 120, Hamburg: GIGA.</li><li>- Mattes, H. (2012), Domestic Security in the Maghreb: Deficits and Counter-Measures, GIGA Working Papers, 186, Hamburg: GIGA.</li><li>- Mattes, H., and S. Faath (2011), <i>Der Machtwechsel in Tunesien und politische Reformperspektiven in Nahost (The Transfer of Power in Tunisia and Political Reform Prospects in the Middle East)</i>, GIGA Focus Nahost, 1, Hamburg: GIGA.</li></ul>
Funding	<ul style="list-style-type: none"><li>- VolkswagenStiftung (VolkswagenFoundation): in preparation</li></ul>
Duration	2013–2015

Project Description

Research Questions	<ul style="list-style-type: none"><li>- 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:</li><li>- Which transition-related contextual factors cause public security problems (e.g. violent or non-violent events)?</li><li>- 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)?</li><li>- Are there general patterns identifiable in the relationship between public security problems and transformation processes?</li></ul>
Contribution to International Research	<p>Theoretical as well as quantitative empirical studies on political transformation claim that different forms of violence decline after democratization (see civilization theory, the democratic peace debate, and criminology). At the same time, evidence abounds on the conflictive and possibly violent character of the democratization process itself (Cederman 2008, Hegre et al. 2001). Transformation theory has primarily analysed the different patterns and challenges in security sector reform (Cawthra and Luckham 2003, Pion Berlin 2011, Croissant 2011), whereas conflict research has focused on the transformation of armed actors (e.g. Schlichte 2009). Nevertheless a comparative analysis of the mechanisms at work in the relationship between violence and democratization for countries of the third wave of democratization is still lacking.</p>
Research Design and Methods	<p>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:</p> <ul style="list-style-type: none"><li>- 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.</li><li>- In a small-N cross-regional comparison of public security during transformation in two Latin American and two sub-Saharan African countries.</li><li>- In a small-N study of public security in three of the “Arab Spring” countries (Egypt, Libya, Tunisia).</li></ul>

Youth in Post-War Societies – Pathways Out of Violence

>> Sabine Kurtenbach, Janina Pawelz

Project Goals	<div><div>- To analyse how young people can transition into adulthood without using violence in the high-risk contexts of four post-war societies (Nicaragua, Peru, Nepal, Sri Lanka).</div><div>- To generate systematic knowledge on the interaction between structures (post-war societies) and actors (youth), something which is highly relevant for future societal development.</div></div>
Theoretical Approaches	<div><div>- Theories on youth violence</div><div>- Concepts on youth civic engagement</div></div>
Research Design	<div><div>- Comparative Design: Cross-Regional Comparison</div><div>- Time Dimension: Longitudinal Study</div><div>- Spatial Dimension: Local, Subnational, National</div><div>- Level of Analysis: Individuals, Groups, Organizations</div><div>- Number of Cases: Small-N Analysis</div></div>
Methods	<div><div>- Data Collection: Questionnaires, Interviews, Documents (government and civil society documents on youth)</div><div>- Data Analysis: Process Tracing</div></div>
Teachings	<div><div>- “Jugend und Gewalt (Youth and Violence)”, University of Hamburg, Winter Semester 2011/2012 (S. Kurtenbach)</div><div>- “Jugendliche in gewaltsamen Lebenswelten (Youths in Violent Lifeworlds)”, Ringvorlesung Friedensbildung, University of Hamburg, 2011 and 2012</div></div>
Knowledge Transfers	<div><div>- The applicant is a spokesperson for terres des Hommes Germany’s scientific council.</div></div>
Publications	<div><div>- Kurtenbach, S. (2012), <i>Youth and Gender and the Societal Dynamics of Fragility</i>, Discussion Paper, GIZ; Background Paper for the World Bank’s Social Development Flagship Report “Societal Dynamics of Fragility”.</div><div>- Kurtenbach, S. (2012), Jugendproteste: blockierte Statuspassagen als einigendes Band (Youth Protests: Blockaded Rites of Passage as a Unifying Thread), in: <i>Aus Politik und Zeitgeschichte</i>, 62, 25/26, 48–54.</div><div>- Kurtenbach, S. (2012), <i>Postwar Youth Violence – A Mirror of the Relationship between Youth and Adult Society</i>, GIGA Working Papers, 199, Hamburg: GIGA.</div></div>
Funding	<div><div>- Jacobs Foundation: under review</div></div>
Duration	<div><div>2013–2015</div></div>

Project Description

Research Questions	<div><div>- How can we explain variations in youth violence in the high-risk contexts of post-war societies?</div><div>- How can young people transition into adulthood without using violence?</div><div>- Which actors and processes are relevant for successful youth transitions in post-war contexts?</div></div>
Contribution to International Research	<div><div>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.</div></div>
Research Design and Methods	<div><div>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 central status passages into adulthood as a point of departure, the project will identify different patterns of youth integration or exclusion. The research will utilize a nested design. As a first step, it will collect data on the risks of youth participation in violence (e.g. youth bulge, rapid urbanization, lack of economic growth) for a sample of 27 post-war countries. From this group a small-N sample of post-war societies will be identified according to a most similar design regarding risk factors.</div></div>
	<div><div>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).</div></div>

## >> Research Programme 2: Selected Publications 2012

### Articles in Refereed Journals

- Argueta, Otto (2012), Private Security in Guatemala: Pathway to Its Proliferation, in: *Bulletin of Latin American Research*, 31, 3, 320–335.
- Bank, André, and Erik Mohns (2012), The Regional Fallout of the Syrian Revolt: the End of the Resistance Axis?, in: *Middle East Policy*, 19, 3, 25–35.
- Bank, André, and Morten Valbjørn (2012), The New Arab Cold War: Rediscovering the Arab Dimension of Middle East Regional Politics, in: *Review of International Studies*, 38, 3–24.
- Destradi, Sandra (2012), India as a Democracy Promoter? New Delhi's Involvement in Nepal's Return to Democracy, in: *Democratization*, 19, 2, 286–311.
- Destradi, Sandra (2012), India and the Civil War in Sri Lanka: On the Failures of Regional Conflict Management in South Asia, in: *Asian Survey*, 52, 3, 595–616.
- Iskander, Elizabeth: The Mediation of Muslim–Christian Relations in Egypt: The Strategies and Discourses of the Official Egyptian Press during Mubarak's Presidency, in: *Islam and Christian-Muslim Relations*, 23, 1, 31–44.
- Mehler, Andreas (2012), From “Protecting Civilians” to “For the Sake of Democracy” (and Back Again): Justifying Intervention in Côte d'Ivoire, in: *African Security*, 5, 3–4, 199–216.
- Mehler, Andreas (2012), Why Security Forces Do Not Deliver Security: Evidence from Liberia and the Central African Republic, in: *Armed Forces and Society*, 38, 1, 49–69.

### Contributions to Edited Volumes

- Fürtig, Henner (2012), Das postrevolutionäre Regime im Iran: Theokratie oder Republik? (Iran's Post-Revolutionary Regime: Theocracy or Republic?), in: Oberdorfer, Bernd, and Peter Waldmann (eds), *Machtfaktor Religion. Formen religiöser Einflussnahme auf Politik und Gesellschaft*, Wien, Köln, and Weimar: Böhlau, 142–166.
- Fürtig, Henner (2012), Ägypten, Tunesien, Libyen: Alte Wölfe in neuen Schafspelzen oder neue Autoritäten in der arabischen Welt? (Egypt, Tunisia, Libya: Old Wine in New Skins or New Authorities in the Arab World?), in: Löffler, Roland, and Bernadette Schwarz-Boenneke, (eds), *Neue Autoritäten in der arabischen Welt? Politik und Medien nach den neuen Aufbrüchen*, Freiburg, Basel, and Wien: Herder Verlag, 16–32.
- Fürtig, Henner (2012), Saudi-Arabien: Im „Auge des Taifuns“, in: Braml, Josef, Stefan Mair, and Eberhard Sandschneider (eds), *Außenpolitik in der Wirtschafts- und Finanzkrise*, München Oldenbourg Verlag, 213–222.
- Mähler, Annegret (2012), An Inescapable Curse? Resource Management, Violent Conflict, and Peacebuilding in the Niger Delta, in: Lujala, Päivi, and Siri Aas Rustad (eds), *High-Value Natural Resources and Post-Conflict Peacebuilding*, London: Earthscan, 391–412.
- Mehler, Andreas, and Daniel Dücker (2012), Deutsche Außenpolitik und Krisenprävention (German Foreign Policy and Crisis Prevention), in: Jäger, Thomas, Alexander Höse, and Kai Oppermann (eds), *Deutsche Außenpolitik*, Wiesbaden: VS Verlag für Sozialwissenschaften, 247–272.

- Rosiny, Stephan (2012), Konflikt und Machtteilung in fragmentierten Gesellschaften: Syrien, Bahrain, Libanon und Irak im Vergleich (Conflict and Power-Sharing in Fragmented Societies: A Comparison of Syria, Bahrain, Lebanon and Iraq), in: Schoch, Bruno, Corinna Hauswedell, Janet Kursawe, and Margret Johannsen (eds), *Friedensgutachten 2012*, Münster: LIT Verlag, 249–262.
- Rosiny, Stephan (2012), Vom radikalen Milieu in die Mitte der Gesellschaft: Die Dynamik der Hizb Allah im Libanon (From a Radical Environment to the Centre of Society: The Dynamic of the Hezbollah), in: Malthaner, Stefan, and Peter Waldmann (eds), *Radikale Milieus. Das soziale Umfeld terroristischer Gruppen*, Frankfurt/Main and New York: Campus, 167–189.
- Schilling-Vacaflor, Almut, and David Vollrath (2012), Contested Development: Comparing Indigenous and Peasant Participation in Resource Governance in Bolivia and Peru, in: Cannon, Barry and Peadar Kirby (eds), *Democratization, Civil Society and the State in Left-Led Latin America*, London: ZED Books, 126–140.
- Strüver, Georg, Matthias Basedau, and Johannes Vüllers (2012), A Mixed Blessing: Religion, Violence and Peace in Sub-Saharan Africa, in: Czada, Roland, Thomas Held, and Markus Weingardt (eds), *Religions and World Peace. Religious Capacities for Conflict Resolution and Peacebuilding*, Baden-Baden: Nomos, 161–183.

### Monographs and Edited Volumes

- Bogaards, Matthijs, Matthias Basedau, and Christof Hartmann (eds) (2012), *Ethnic Party Bans in Africa*, London: Routledge.
- Iskander, Elisabeth (2012), *Sectarian Conflict in Egypt: Coptic Media, Identity and Representation*, Routledge Studies in Middle Eastern Politics, London and New York: Routledge.
- Mehler, Andreas, Henning Melber, and Klaas van Walraven (eds) (2012), *Africa Yearbook 8. Politics, Economy and Society South of the Sahara 2011*, Leiden and Boston: Brill.
- Peetz, Peter (2012), *Maras, Medien, Militär: Gesellschaftlicher Diskurs und staatliche Politik gegenüber Jugendbanden in Honduras (Maras, Media, Military: Societal Discourse and State Policy on Youth Gangs in Honduras)*, Berlin and Münster: LIT Verlag.



Entrepreneurial Chinese Migrants and Petty African  
Entrepreneurs: Local Impacts of Interaction in Urban West  
Africa (Ghana and Senegal)

>> Karsten Giese, Laurence Marfaing, Alena Thiel

Project Goals	<ul style="list-style-type: none"><li>- To study the interactions between Chinese and local entrepreneurs in urban Ghana and Senegal and their innovative potential for processes of social change.</li><li>- To assess the impact of the Chinese presence on entrepreneurial strategies, especially in West African informal trade.</li><li>- To determine the significance of the adaptation of strategies of both researched groups for development “from below”.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Socio-economic networks, social innovation</li><li>- Social and spatial mobility</li><li>- Interregional migration, sojourning</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Inter- and Intraregional Comparison</li><li>- Time Dimension: Cross-Sectional Study</li><li>- Spatial Dimension: Local, Global</li><li>- Level of Analysis: Individuals, Groups</li><li>- Number of Cases: Medium-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Questionnaires, Interviews, Narratives, Observation, Visual Data (photo surveys, network-mapping), Documents (legal texts, media reports, national import and revenue statistics, national immigration statistics, national foreign investment statistics), Databases (UNCOMTRADE)</li><li>- Data Processing: MAXQDA</li><li>- Data Analysis: Grounded Theory</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Project partners within the Priority Programme 1448: “Adaption and Creativity in Africa”</li><li>- University of Dakar and IFAN (Dakar)</li><li>- University of Ghana, Legon</li></ul>
Teachings	<ul style="list-style-type: none"><li>- “Migration, Mobility and the Urban Factor in West Africa”, University of Hannover, Summer Semester 2011</li><li>- “China und Afrika von unten: Chinesische und afrikanische Händler in Westafrika (China and Africa from Below: Chinese and African Traders in West Africa)”, guest lecture as part of the African regional lectures, University of Erlangen, 5 July 2011 (K. Giese, L. Marfaing)</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “South–South Relations and Globalization: Chinese Migrants in Africa and African Migrants in China”, Point Sud conference, Dakar, 20–24 January 2013 (organizers: K. Giese, L. Marfaing)</li><li>- “Global Flows with Chinese Characteristics: Migration, Mobilities and Identities”, panel at AAS/ICAS7 2011, Honolulu, 31 March–3 April 2011 (chair: K. Giese)</li><li>- “Konkurrenz oder Kooperation? Interaktionen chinesischer Migranten, afrikanischer Unternehmer und lokaler Bevölkerung im urbanen Afrika (Competition or Cooperation? The Interactions of Chinese Migrants, African Entrepreneurs and Local Populations in Urban Africa)”, panel at the VAD conference, Cologne, 30 May–2 June 2012</li><li>- “China in Africa in China: Employment Relations as Border Crossing”, panel at the AAA Annual Meeting, San Francisco, 14–18 November 2012 (organizers: K. Giese, A. Thiel)</li><li>- “New Actors, New Orders? Chinese Migrant Entrepreneurs and Changing Norms of Market Entry in Urban West Africa”, presentation at the conference “CAS@50: Cutting Edges and Retrospectives”, University of Edinburgh, Centre of African Studies, Edinburgh, 6–8 June 2012 (A. Thiel)</li></ul>
Knowledge Transfers	<ul style="list-style-type: none"><li>- “China in Afrika: Der Einfluss chinesischer Händler auf die lokale Entwicklung in Ghana und Senegal (China in Africa: The Influence of Chinese Traders on Local Development in Ghana and Senegal)”, GIGA Forum, Hamburg, 22 February 2012 (K. Giese, L. Marfaing, A. Thiel)</li><li>- “Les migrants entrepreneurs chinois en Afrique : opportunité ou contrainte au développement”, at the Centre de Ressources en Education et Technologie (CRETE), Dakar, 4–6 July 2012 (L. Marfaing)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Giese, K., and A. Thiel (2011), <i>When Voicelessness Meets Speechlessness: Equity within Chinese-Ghanaian Employment Relations</i>, GIGA Working Papers, 194, Hamburg: GIGA.</li><li>- Giese, K., and A. Thiel (2012), The Vulnerable Other: Distorted Equity in Chinese–Ghanaian Employment Relations, in: <i>Ethnic and Racial Studies</i>, pre-published online (DOI: 10.1080/01419870.2012.681676)</li><li>- Marfaing, L., and A. Thiel (2011), <i>Chinese Commodity Imports in Ghana and Senegal: Demystifying Chinese Business Strength in Urban West Africa</i>, GIGA Working Papers, 180, Hamburg: GIGA.</li><li>- Marfaing, L., and A. Thiel (2011), Ressentiments gegen chinesische Händler in Ghana und Senegal (Resentment about Chinese Traders in Ghana and Senegal), GIGA Focus Afrika, 8, Hamburg: GIGA.</li><li>- Marfaing, L., and A. Thiel (2013), Petits commerçants chinois en Afrique et saturation des marchés ouest-africains: déconstruction d’une rumeur (Dakar-Accra), in: <i>Migrations &amp; Sociétés</i> (forthcoming).</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation), Priority Programme 1448 (first phase): approved</li></ul>
Duration	<ul style="list-style-type: none"><li>- 2011–2013</li></ul>

Project Description

Research Questions	<ul style="list-style-type: none"><li>- Where do Chinese migrant entrepreneurs come from and why do they migrate?</li><li>- Where do they settle, and how do they organize their economic and social activities?</li><li>- How are they perceived by local and migrant African entrepreneurs in their host country?</li><li>- Does this perception correspond to the discourse of cooperation propagated by the Chinese and African governments?</li><li>- How does the Chinese presence influence the development of African host societies?</li></ul>
Contribution to International Research	<p>This comparative study on the Chinese migration into two West African countries explores the economic and political processes triggered by the Chinese migration. It analyses the interactions of the local population with the Chinese migrant entrepreneurs as well as the former’s innovative reactions toward the strategies and practices of the latter. The combination of the different regional research capacities at the GIGA within one research team allows us to address this multidimensional research problem with adequate regional and multidisciplinary competences and research strategies.</p>
Research Design and Methods	<p>Our research field is characterized by high degrees of informality, especially regarding migratory paths, residence status, economic activities, social organization and the political action of all actors involved. In view of this, existing quantitative data on the micro- and meso-levels could not be taken as a reliable basis for our analyses. Moreover, the economic interests that characterize our field had the effect of reduced acceptance on the part of our informants of standardized instruments such as questionnaires. For these reasons, our research concentrates on coordinated qualitative comparative case studies within and across Ghana and Senegal in order to produce reliable research findings. In accordance with our research questions, qualitative data collection was conducted on a micro-level, drawing on the method of actor-centred participant observation and its adaptations in narrative interviews. Additional semi-structured interviews were conducted to ensure comparability across cases. In addition, visual ethnographic methods were applied (photo essays, network-mapping) as a basis for joint interpretation in the overarching research context.</p>
Preliminary Results	<p>We had assumed that networks formed the dominant model of social organization for both the African and the Chinese actors and groups we studied, and that networks were the key factors to understanding the interaction between these two groups. In the field, however, we were unable to establish any empirical evidence that the Chinese individual economic sojourners (or small groups forming family-owned businesses), whose business models tend to be highly speculative, are engaging in any form of meaningful social and economic interaction with their African counterparts beyond primarily functional and opportunistic buyer–seller or employer–employee relationships. African traders also did not reveal any stronger motivation to open their networks to their Chinese counterparts. Based on our observations, we conclude that a wide range of African actors engages in innovative practices not through social exchange and mutually beneficial cooperation with the Chinese newcomers but by creatively appropriating the unintended opportunities that Chinese actors provide in the local African settings through their distinct social and economic practices.</p>

However, the significations that are inscribed into the diverse Chinese social and economic practices and the stimuli they represent are contested between diverse African actors, since their social and economic positioning, their interests and interpretations, and their capacities for adaptation differ greatly. The Chinese business strategy of large-scale wholesale trading in combination with the low cost of the commodities they sell has facilitated the engagement of larger social strata with limited financial means in trading activities. These changes in market access, not least, have had a profound impact on Senegalese and Ghanaian market orders. Not surprisingly, many of the new traders whose access to this profession has directly benefited from the Chinese presence also closely observe the latter’s business strategies. All interviewed Chinese traders, for instance, unanimously employed the logic of high turnovers at small profit rates, aspiring to maximize incomes through sheer volume. Once the African traders have realized that trading in Chinese goods provides solid opportunities for capital accumulation and growth, they have turned their gaze toward China as source for their commodities.

West African Traders as Translators between Chinese and African Urban Modernities

>> Karsten Giese, Laurence Marfaing, Alena Thiel

Project Goals	<ul style="list-style-type: none"><li>- 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.</li><li>- To explore the changing significations of selected material objects and immaterial concepts – in other words, travelling ideas – that form part of the baggage that these African travelling traders translate between urban Chinese and urban West African modernities.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Alternative modernities</li><li>- Translation regimes</li><li>- Social and spatial mobility</li><li>- Interregional migration, sojourning</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Inter- and Intraregional Comparison</li><li>- Time Dimension: Cross-Sectional Study</li><li>- Spatial Dimension: Local, Global</li><li>- Level of Analysis: Individuals, Groups</li><li>- Number of Cases: Medium-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Questionnaires, Interviews, Narratives, Observation/Ethnography, Visual Data, Databases (UNCOMTRADE)</li><li>- Data Processing: MAXQDA</li><li>- Data Analysis: Grounded Theory</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Project partners within the Priority Programme 1448: “Adaption and Creativity in Africa”</li><li>- University of Dakar and IFAN, Dakar</li><li>- University of Ghana, Legon</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “South–South Relations and Globalization: Chinese Migrants in Africa and African Migrants in China”, Point Sud conference, Dakar, 20–24 January 2013 (organizers: K. Giese, L. Marfaing)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Marfaing, L., and A. Thiel (2011), <i>Chinese Commodity Imports in Ghana and Senegal: Demystifying Chinese Business Strength in Urban West Africa</i>, GIGA Working Papers, 180, Hamburg: GIGA.</li><li>- Marfaing, L. (2013), Mobility for Resources and Local Development in West Africa, in: R. L. McKenzie and A. Triulzi (eds), <i>Long Journeys: Lives and Voices of African Migrants on the Road</i>, Leiden, Brill, Aegis African Studies, forthcoming.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation), Priority Programme 1448 (second phase): approved</li></ul>
Duration	2013–2014

Project Description

Research Questions	<ul style="list-style-type: none"><li>- What transnational practices shape the encounters with and the experiences of urban Chinese modernity for various groups of West African traders?</li><li>- What are 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)?</li><li>- In what ways are the African traders’ experiences and interpretations of China that are formed by various social actors and influenced by social formations (networks) and belief systems (religion) relevant to them?</li><li>- How do 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 an imagined community?</li><li>- What is the role of the cosmopolitan avant-garde through economic activities (introduction of products), invention of practices (business and private strategies), acts of self-staging (fashion and lifestyle) and authoritative dissemination of “authentic information” in the translation process?</li><li>- In what way might the discursive processes of translation and creative appropriation 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 globalization?</li></ul>
Contribution to International Research	The combination of the different regional research capacities at the GIGA within one research team allows us to address this multidimensional research problem with the adequate regional and multidisciplinary competences and research strategies. In the field we will closely cooperate with a number of individual partners from academic institutions in China, Ghana, Senegal and Europe who have been engaged in research closely related to our proposed study.
Research Design and Methods	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 will be conducted in Guangzhou, Yiwu and Hong Kong as the three most important destination cities for West African traders. We widen the original multi-sited ethnography approach by engaging in mobile (accompanying) ethnography, which we will 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 will be included to a large extent. We will evaluate the observed processes and significations of translational products against the backdrop of a range of pre-structuring factors that lie within the social, economic and political orders and local power relations insofar as they can be regarded relevant. To that end, we will 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 and other relevant institutions.

Poverty and Inequality Dynamics and the Role of Social Policies

>> Lena Giesbert, Jann Lay, Daniel Neff, Miquel Pellicer

Project Goals	<ul style="list-style-type: none"><li>- To identify and explain poverty dynamics and poverty traps with a focus on (1) the role of development during infancy (especially education), (2) the role of employment, (3) the role of risk and risk management (including insurance), (4) subjective perceptions.</li><li>- To analyse policy options to break out of poverty traps in the context of the Millennium Development Goals (MDGs).</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Newer theories on poverty dynamics and poverty traps</li><li>- The capability approach</li><li>- Asset-based approach to poverty</li><li>- Subjective well-being, attitudes to poverty</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: No Comparative Design</li><li>- Time Dimension: Cross-Sectional Study, Longitudinal Study</li><li>- Spatial Dimension: Local, Subnational, National, Regional</li><li>- Level of Analysis: Individuals, Groups, Organizations, Countries</li><li>- Number of Cases: Small-N Analysis, Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Questionnaires, Interviews, Life Histories, Focus Group Discussions, Databases (household survey data, World Values Survey, Young Lives)</li><li>- Data Processing: Atlas.ti, STATA, SPSS</li><li>- Data Analysis: Regression Analysis, Multivariate Methods, Content Analysis, Grounded Theory</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- NOPOOR Consortium (led by Institut de Recherche pour le Développement (IRD). Partners include : University of Oxford, UK; Center for Democratic Development, Ghana; Facultés universitaires Notre-Dame de la Paix, FUNDP, 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)</li><li>- Young Lives, University of Oxford</li><li>- German Institute for Economic Research (DIW), Berlin</li></ul>
Teachings	<ul style="list-style-type: none"><li>- “Development Economics I and II”, University of Göttingen, Summer Semester 2012 (J. Lay)</li><li>- “Methods of Economic Policy Evaluation”, University of Göttingen, Winter Semester 2011/2012 (J. Lay)</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- “Agency, Capabilities and Empowerment: Opportunities and Challenges for Informal Sector Entrepreneurs in Developing Countries”, presentation at the Human Development and Capability Association Conference in Jakarta, 6 September 2012 (D. Clark, D. Neff)</li><li>- “Subjective Risk and the Participation in Life Micro-insurance in Southern Ghana”, presentation at the 2012 Annual International Conference of the Research Committee on Development Economics (AEL) of the Verein für Socialpolitik, Centre for Development Research (ZEF), Bonn, 22–23 June 2012 (L. Giesbert)</li><li>- “Perceptions of (Micro-)insurance in Southern Ghana: The Role of Information and Peer Effects”, presentation at the 2012 Research Conference on Micro-insurance, University of Twente 11 April 2012 (L. Giesbert, S. Steiner)</li><li>- “The Role of Perceptions and Trust in the Adoption of Micro-insurance”, panel at the 2012 Research Conference on Micro-insurance, University of Twente (and others), Twente, Netherlands, 11 April 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Barrientos, A., and D. Neff (2011), Attitudes to Chronic Poverty in the Global Village, in: <i>Social Indicators Research</i>, 100, 1, 101–115.</li><li>- Giesbert, L., and K. Schindler (2012), Assets, Shocks and Poverty Traps in Rural Mozambique, in: <i>World Development</i>, 40, 8, 1594–1609.</li><li>- Giesbert, L., and S. Steiner (2011), <i>Perceptions of (Micro-)insurance in Southern Ghana: The Role of Information and Peer Effects</i>, GIGA Working Papers, 183, Hamburg: GIGA.</li><li>- Giesbert, L., S. Steiner, and M. Bendig (2011), Participation in Micro Life Insurance and the Use of Other Financial Services in Ghana, in: <i>Journal of Risk and Insurance</i>, 78, 1, 7–35.</li><li>- Lay, J. (2012), MDG Achievements and Policies in Education and Health: What Has Been Learnt?, in: <i>Development Policy Review</i>, 30, 1, 67-85.</li><li>- Neff, D. (2012), Adaptation, Subjective Well-being and Poverty: The Case of South India, in: D. Clark (ed.), <i>Adaptation, Poverty and Well-Being</i>, London: Palgrave Macmillan, 137–160.</li><li>- Pellicer, M., V. Ranchhod, M. Sarr, and E. Wegner (2011), <i>Inequality Traps in South Africa: An Overview and Research Agenda</i>, SALDRU Working Paper 57, Cape Town: University of Cape Town.</li></ul>
Funding	<ul style="list-style-type: none"><li>- EC, 7. Forschungsrahmenprogramm (FP7) (EC, Seventh Framework Programme); coordinated by Institut de Recherche pour le Développement (IRD), France: approved</li></ul>
Duration	2012–2015

Project Description

Research Questions	<ul style="list-style-type: none"><li>- How and to what extent do determinants of poverty dynamics differ between countries and regions, and under what circumstances can general mechanisms be identified?</li><li>- What determines differences of educational quality?</li><li>- What is the relationship between education, employment and poverty dynamics?</li><li>- How is (chronic) poverty publicly perceived and how do poor people themselves experience poverty?</li><li>- How do risk and strategies applied to deal with these risks relate back to observed poverty dynamics?</li></ul>
Contribution to International Research	Research on diverging welfare trajectories on a micro-level stems from the macro-economic 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 and why the living standard of people sustainably improves, through employment and education, for instance, both of which can be paths to upward mobility as well as factors solidifying existing inequality. There is a need to understand how both education and employment contribute to or break the cycle of inequality persistence. The research on public opinions on poverty and its determinants as well as the subjective experience of being in poverty contributes to the international research on the determinants of (chronic) poverty and the perception of subjective well-being.
Research Design and Methods	Our research is based on both quantitative and qualitative methods. Quantitatively, we use specific micro-level surveys (household surveys, schooling 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. Specific results for rural Mozambique, for example, show that households converge to one stable equilibrium in the medium term. However, this equilibrium is close to the poverty line, indicating that these households are collectively trapped in generalized underdevelopment. Risks (a drought) and household coping strategies help to explain the observed poverty dynamics. Food-insecure households that have better access to income-generating opportunities and can afford to draw on unproductive assets are able to sustain their productive asset base in the short term. 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.



Micro- and Small Enterprises in Developing Countries:  
Opportunities and Constraints

>> Jann Lay, Jens Krüger, Sebastian Prediger

Project Goals	<ul style="list-style-type: none"><li>- To understand the dynamics of micro- and small enterprises (MSEs).</li><li>- To examine the constraints to the growth of many MSEs in developing countries.</li><li>- To propose policy options to foster firm growth and employment generation.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Micro-economic theories of the firm</li><li>- Models of household behaviour</li><li>- Trade theory</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intraregional and Cross-Regional Comparison</li><li>- Time Dimension: Cross-Sectional Study, Longitudinal Study</li><li>- Spatial Dimension: Local, National</li><li>- Level of Analysis: Groups, Organizations, Countries</li><li>- Number of Cases: Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Questionnaires, Databases (our own micro- and small-firm surveys, World Bank Enterprise Surveys)</li><li>- Data Processing: STATA</li><li>- Data Analysis: Regression Analysis, Experiments, Impact Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Holger Görg (Ph.D.), Kiel Institute for the World Economy</li><li>- Prof. Dr. Michael Grimm, University of Passau</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “Capital Returns, Productivity and Accumulation in Micro- and Small Enterprises: Evidence from Peruvian Panel Data”, presentation at the World Bank/IZA conference „Employment and Development“, 2011 (K. Goebel, M. Grimm, J. Lay)</li><li>- “Kinship Ties and Entrepreneurship in Western Africa”, presentation at the CSAE Conference on Economic Development in Africa, St Catherine’s College, Oxford, 20–22 March 2011 (M. Grimm, F. Gubert, O. Koriko, J. Lay, C.J. Nordman)</li><li>- “Performance and Dynamics of Informal Firms during Growth and Crisis: Evidence from Madagascar, 1995 to 2004”, presentation at the CSAE Conference on Economic Development in Africa, St Catherine’s College, Oxford, 20–22 March 2011 (M. Grimm, J. Lay, F. Roubaud, J. Vaillant)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Grimm, M., P. Knorringa, and J. Lay (2012), Constrained Gazelles: High Potentials in West Africa’s Informal Economy, in: <i>World Development</i>, 40, 1352–1368.</li><li>- Grimm, M., J. Krüger, and J. Lay (2011), Barriers to Entry and Returns to Capital in Informal Activities: Evidence from Sub-Saharan Africa, in: <i>Review of Income and Wealth</i>, 57, S27-S53.</li><li>- Grimm, M., S. Lange, and J. Lay (2011), <i>Credit-Constrained in Risky Activities? The Determinants of Capital Stocks of Micro- and Small Firms in Western Africa</i>, Courant Research Centre: Poverty, Equity and Growth – Discussion Paper 104, Courant Research Centre PEG.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) (Federal Ministry for Economic Cooperation and Development): approved</li></ul>
Duration	2013–2015

Project Description

Research Questions	<ul style="list-style-type: none"><li>- It is a well-documented fact that micro- and small enterprises (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:</li><li>- Can we observe MSE growth in LICs?</li><li>- How does MSE growth contribute to economic growth and employment generation?</li><li>- Can international trade be a driver of MSE growth?</li><li>- Does the presence of foreign firms affect growth of domestic firms?</li><li>- How do credit constraints affect firm growth?</li><li>- What is the role of business risks, risk aversion and time preferences in the graduation process of firms?</li></ul>
Contribution to International Research	<p>The performance of firms in countries that are integrated into the world economy suggests that globalization can be an important force to overcome growth constraints, in particular those on output and input markets. The project aims to address four major knowledge gaps regarding the performance and the graduation processes of MSEs in a globalized business environment. First, there is a lack of adequate data that represent the whole universe of firms. Especially micro-enterprises are only insufficiently covered in publicly available firm surveys. Second, little is known about the relation between firm-level and macro-level development. Third, the potential effects of globalization on MSE growth have been largely neglected. And fourth, there is only inconclusive evidence on the role of risk and time preferences for investment decisions and the graduation process of firms.</p>
Research Design and Methods	<p>We shall primarily apply quantitative methods that are complemented by qualitative data analyses. The quantitative analyses will be informed by four sources of data: (1) World Bank Enterprise Survey (WBES) data, which are still underexploited, especially with respect to firm graduation, (2) our own firm survey data from Sri Lanka and Uganda, (3) our own data from lab experiments on risk and time preferences, and (4) household survey data that provide some representative information on MSEs that other data sources typically do not. As a qualitative research component, we propose conducting in-depth interviews with micro- and small-firm owners.</p>
Preliminary Results	<p>This project builds on former research on MSEs that has resulted in the following three key findings: (1) The typical informal enterprise 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 per cent of Peru’s labour force pursue subsistence activities. (2) High returns in micro-enterprises remain unexploited due to a number of economic, institutional and social constraints. While institutional and credit constraints have been stressed in the literature, risk and social constraints play an equally important role. (3) These 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. Many households would be better off if they were able to invest in those enterprises that are credit-constrained. In other words, well-functioning capital markets would allow for a more efficient allocation of capital across households. Savings and devices and insurance would also enable households to insure themselves against business and non-business risks, thus channelling savings into productive investment instead of withholding liquidity for insurance purposes.</p>



Employment, Empowerment and Living Standard

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

Project Goals	- To conduct a multidimensional investigation into the capabilities and constraints of informal entrepreneurs in 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 (on Burkina Faso) - Spatial Dimension: Local, Subnational - Level of Analysis: Individuals, Groups, Organizations - 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, Multivariate Methods, Content Analysis, Experiments
Cooperation Partners	- KfW Entwicklungsbank (KfW Development Bank) - Expertise pour le Développement du Sahel (EDS), Burkina Faso - Centre for Basic Research (CBR), 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 first half of 2013)
Publications	- Grimm, M., S. Lange, and J. Lay (2012), <i>Credit-Constrained in Risky Activities? The Determinants of the Capital Stocks of Micro- and Small Firms in Western Africa</i> , GIGA Working Papers, 185, Hamburg: GIGA. - Grimm, M., P. Knorringa, and J. Lay (2012), Constrained Gazelles: High Potentials in West Africa's Informal Economy, in: <i>World Development</i> , 40, 7 1–17. - Grimm, M., J. Krüger, and J. Lay (2011), Barriers to Entry and Returns to Capital in Informal Activities: Evidence from Sub-Saharan Africa, in: <i>Review of Income and Wealth</i> , 57, 27–53.
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

Project Description

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: - 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. A 600-N multidimensional survey has been designed to capture information on demographics, socio-economic networks and employment characteristics of entrepreneurs and their households across multiple sectors in each country. Time and risk experiments (160-N) 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, life history interviews (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.
Preliminary Results	The project is in its infancy. Nevertheless, initial survey and focus group results from Burkina Faso support literary claims on the diversity and dynamism of developing urban informal economies and the connection between empowerment and experiences in the context of employment, adding weight to the project's methodology.

The Productivity Effects of Foreign Direct Investment (FDI) of North–South and South–South Firms: The Case of Sub-Saharan Africa

>> Birte Pohl

Project Goals	- To assess the productivity effects of the presence of South–South and North–South firms on domestic firms in sub-Saharan Africa.
Theoretical Approaches	- Theories of foreign direct investment (FDI) and multinational firms
Research Design	- Comparative Design: Intraregional Comparison - Time Dimension: Longitudinal Study - Spatial Dimension: National, Regional - Level of Analysis: Organizations - Number of Cases: Medium-N Analysis
Methods	- Data Collection: Interviews, Databases (World Bank Enterprise Surveys) - Data Processing: STATA - Data Analysis: Regression Analysis
Cooperation Partners	- Prof. Holger Görg, Ph.D., Kiel Institute for the World Economy
Workshops/ Conferences	- „Spillover and Competition Effects: Evidence from the Sub-Saharan African Banking Sector“, presentation at the Annual International Conference of the Research Committee on Development Economics (AEL) of the Verein für Socialpolitik, Berlin, 24–25 June 2011 - „Spillover and Competition Effects: Evidence from the Sub-Saharan African Banking Sector“, presentation at the CSAE Conference on Economic Development in Africa, St Catherine’s College, Oxford, 20–22 March 2011
Publications	- Barrios, S., H. Görg, and E. Strobl (2011), Spillovers through Backward Linkages from Multinationals: Measurement Matters!, in: <i>European Economic Review</i> , 55, 6 862–875. - Görg, H., and D. Greenaway (2004), Much Ado About Nothing? Do Domestic Firms Really Benefit from Foreign Direct Investment?, in: <i>The World Bank Research Observer</i> , 19, 2 171–197. - Pohl, B. (2011), <i>Spillover and Competition Effects: Evidence from the Sub-Saharan African Banking Sector</i> , GIGA Working Papers, 165, Hamburg: GIGA.
Funding	- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): approved
Duration	2012–2014

Project Description

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 spoken, foreign direct investment 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 this 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.

Globalization of Chinese Companies

>> Margot Schüller, Yun Schüler-Zhou

Project Goals	- To understand the patterns, drivers and implications of Chinese outward foreign direct investment (OFDI) in the EU.
Theoretical Approaches	- New institutional economics - International management theories
Research Design	- Comparative Design: No Comparative Design - Time Dimension: Retrospective Study, Cross-Sectional Study - Spatial Dimension: Local, Subnational, National, Regional, Global - Level of Analysis: Individuals, Organizations, Countries - Number of Cases: Small-N Analysis
Methods	- Data Collection: Questionnaires, Interviews, Documents (investment guidelines from the Chinese government for OFDI), Databases (Zephyr M&A database, statistical data from China and the EU) - Data Analysis: Content Analysis, Regression Analysis
Cooperation Partners	- Prof. Michel Clement, University of Hamburg - Prof. Barbara Krug, University of Rotterdam - Dr. Marco Sanfilippo, European University Institute, Florence - Dr. Johannes Meuer, University of Zürich
Workshops/ Conferences	- “Analysing Chinese Outward Foreign Direct Investment under Information Constraints: Opportunities, Illustrations and Prospects”, 5th Conference of the International Association of Chinese Management Research, Hong Kong, 20–24 June 2012 (M. Schüller) - “China’s Outward Foreign Direct Investment: Patterns, Drivers and Implications for Host Countries”, presentation at ERIM Research Seminar, University of Rotterdam, 9 May 2012 (M. Schüller) - “China’s OFDI Footprint in Europe: Investment Patterns, Drivers and Implications”, presentation before the EU Commission, DG Enterprise and Industry, 30 March 2012 (M. Schüller)
Knowledge Transfer	- German–Chinese Innovation Platform Expert Group, BMBF Initiative, focusing on “Direct Investment Links and R&D Activities between Chinese and German Companies” (member: M. Schüller) - German–Chinese Innovation Platform Conference, Berlin, 26–27 November 2012 (participant and panel organizer: M. Schüller)
Publications	- Schüler-Zhou, Y., and M. Schüller (2013), Empirical Study of Chinese Subsidiaries’ Decision-Making Autonomy in German, in: <i>Asian Business and Management</i> (under revision). - Schüler-Zhou, Y., and M. Schüller (2009), The Internationalization of Chinese Companies: What Do Official Statistics Tell Us about Chinese Outward Foreign Direct Investment?, in: <i>Chinese Management Studies</i> , 3, 1, 25–42. - Schüler-Zhou, Y., M. Schüller, and M. Brod (2012), Push and Pull Factors for Chinese Investment in Europe, in: Ilan A., M. Fetscherin, and P. Gugler (eds), <i>Chinese International Investments</i> , London: Palgrave Macmillan, 157–174. - Schüller, M., J. Meuer, and Y. Schüler-Zhou (2012), China’s OFDI Footprint in Europe: Investment Patterns, Drivers and Implications, in: <i>Research Report for the EU Commission</i> , DG Enterprise and Industry.
Funding	- Bundesministerium für Bildung und Forschung (BMBF) (Federal Ministry of Education and Research) (German–Chinese Innovation Platform Expert Group): approved - European Commission, DG Enterprise and Industry (research report): approved - European University Institute, Florence (research paper): approved
Duration	2010–2013

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.
Research Design and Methods	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 will conduct a survey with the Verband Deutscher Maschinen- und Anlagenbau (VDMA) of approximately 300 German companies from the machinery and equipment industry, 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.
Preliminary Results	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 centres in order to jointly develop new technologies.

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

>> Jann Lay, Mirjam Harteisen, Kerstin Nolte

Project Goals	<ul style="list-style-type: none"><li>- To increase the transparency of large-scale land acquisitions (LSLAs).</li><li>- To provide evidence on the impacts of LSLAs on affected countries and households.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- New institutional economics</li><li>- Land governance and land rights</li><li>- Productivity effects of investments in agricultural land</li><li>- Determinants of foreign direct investment (FDI)</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Interregional, Intraregional and Cross-Regional Comparison</li><li>- Time Dimension: Cross-Sectional Study</li><li>- Spatial Dimension: Local, National, Global</li><li>- Level of Analysis: Individuals, Land Deals, Countries</li><li>- Number of Cases: Small-N Analysis, Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Focus Group Discussions, Interviews, Databases (Land Matrix, household surveys)</li><li>- Data Processing: MAXQDA, STATA</li><li>- Data Analysis: Content Analysis, Impact Analysis, Regression Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Land Matrix Partnership</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- Kick-off stakeholder workshop: This workshop will be held three months after the project begins. This early date also ensures that its input can be taken into account when designing the details of the research component.</li><li>- Final dissemination conference: The final dissemination conference will bring together representatives from the private business sector, governments, international organizations, the donor community and NGOs operating in this field, along with local and international academics in order to share and discuss our research findings.</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- GIGA International Workshop on Large-Scale Land Acquisitions, Hamburg, 11 May 2012</li><li>- "Landraub oder Agrarinvestitionen: Großflächige Agrarprojekte in Entwicklungsländern (Land-Grabbing or Agricultural Investment: Large-Scale Agricultural Projects in Developing Countries)", GIGA Forum Hamburg, 23 May 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Anseeuw, W., M. Boche, T. Breu, M. Giger, J. Lay, P. Messerli, and K. Nolte (2012), <i>Transnational Land Deals for Agriculture in the "Global South"</i>, Analytical Report Based on the Land Matrix Database, Bern/Montpellier/Hamburg: CDE/CIRAD/GIGA.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) (Federal Ministry for Economic Cooperation and Development): approved</li></ul>
Duration	2013–2014

Project Description

Research Questions	<p>The project deals with the global scale and the impacts of large-scale land acquisitions. It will investigate particularly the impact of:</p> <ul style="list-style-type: none"><li>- Involvement of the local population in decision-making processes</li><li>- Compensations and evictions</li><li>- Productivity effects</li><li>- Improved access to public services</li><li>- Employment creation</li></ul>
Contribution to International Research	<p>The research conducted within this project will directly feed into the Land Matrix database. It will improve the data quality and availability of this internationally acclaimed database on land acquisitions.</p>
Research Design and Methods	<p>The project will focus on the impacts of LSLAs, with both a qualitative and a quantitative component. 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 fieldwork. More specifically, we will re-visit specific cases of land deals in Mali, Kenya and Zambia and conduct focus group discussions and expert interviews. Other impact dimensions – for example, employment and productivity – can be better analysed using quantitative techniques. For these analyses, we will select case countries. The selection will be informed by the Land Matrix database and will depend on the availability of spatial information on land deals in combination with socio-economic baseline data. In this part of the project, we will seek close collaboration with the Land Observatory Project by ILC and CED. Methodologically, we will rely on standard impact evaluation techniques – in particular, differences-in-differences estimates on a small geographical scale (community, village).</p>



Integrated Modelling of Land-Use Changes at Rainforest Margins in Indonesia

>> Jann Lay, Elisabeth Hettig

Project Goals	<ul style="list-style-type: none"><li>- To understand the trade-offs and prospects of human land use and ecosystem properties at the margins of tropical rainforests, using the example of Indonesia.</li><li>- To complement a grid-based ecological model with a socio-economic, agent-based model component that simulates the dynamics of individual households.</li><li>- To investigate biodiversity, ecosystem function, and household income to determine whether there is a critical level of forest-use intensity beyond which these areas are very negatively affected.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Land change science</li><li>- Agricultural household models</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intraregional Comparison</li><li>- Time Dimension: Longitudinal Study</li><li>- Spatial Dimension: Local, Regional</li><li>- Level of Analysis: Groups</li><li>- Number of Cases: Small-N Analysis, Medium-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Questionnaires, Interviews</li><li>- Data Processing: STATA, GAMS</li><li>- Data Analysis: Microeconometrics, Equilibrium Analysis, Multivariate Methods, Optimization Techniques, Regression Analysis, Simulation Methods, Spatial Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Dr. Kerstin Wiegand and Dr. Katrin Mayer, Institute of Ecosystem Modelling, University of Göttingen</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “Socio-Economic Drivers of Deforestation and Land-Use Change: Microeconomic Evidence from Rainforest Frontiers in the Lore Lindu Region, Indonesia”, poster session at PEGNet Conference 2012, Dakar, Senegal, 6–7 September 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Lay, J. (2010), Sequential Macro-Micro Modelling With Behavioural Microsimulations, in: <i>International Journal of Microsimulation</i>, 3, 1, 24–34.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): approved</li></ul>
Duration	2010–2013

Project Description

Research Questions	<ul style="list-style-type: none"><li>- Is there a critical level of forest-use intensity (e.g. logging, rattan) beyond which specific components of biodiversity and ecosystem function are very negatively affected?</li><li>- Does the assessment of economic and ecological effects depend on land-use intensification on the planning horizon?</li><li>- Is it possible to manage the trade-offs that arise due to population pressure, the desire for higher incomes, and the need to stabilize the rainforest margins?</li><li>- Is there a biosphere reserve zoning category for the Lore Lindu Biosphere Reserve (particularly for the not-yet-specified transition zone) that would potentially reduce poverty vulnerability and enhance biodiversity and ecosystem function?</li><li>- Do proactive household decisions (regarding ENSO droughts) significantly improve household income?</li></ul>
Contribution to International Research	<p>The project will play a central role in integrating the interdisciplinary research on land-use change. It analyses land-use change in tropical rain forests, examining the ecological and economic interdependencies involved in such change. Based on an extensive set of panel data on the Lore Lindu Biosphere Reserve on the Indonesian island of Sulawesi, the project will develop ecological and economic model components. The economic model will mainly capture household decisions on land use. By including decisions the project broadens the analysis of land-use change/cover models, which have to date been largely dominated by components from the natural sciences. An extensive consideration of socio-economic factors, however, is crucial for a broader analysis of land-use changes. By integrating ecological and socio-economic aspects, the project generates new insights into the complex reciprocity of both spheres and explains and analyses their interaction in terms of land-use change.</p>
Research Design and Methods	<p>The project combines empirical data analysis, microeconomic methods, simulations and optimization techniques. An ecological-economic model will be complemented by a socio-economic, agent-based model component that simulates the dynamics of individual households. The ecological model will be grid-based, with a resolution of 30 metres, and will be updated using an annual time step. The grid-based parts of this model describe the environment and its agricultural productivity, while the agent-based parts describe how households interact with the environment via land use. The project will investigate biodiversity, ecosystem function, and household income to determine whether there is a critical level of forest-use intensity beyond which these areas are very negatively affected.</p>
Preliminary Results	<p>Preliminary results suggest that more land is put to agricultural use in regions with higher immigration. Migrant households cultivate more cash crops than local households. In contrast, households with more off-farm employment are less likely to cultivate cash crops and to convert secondary forests. Well-regulated migration programs and incentives for off-farm employment may hence be the key tools required to manage the trade-offs between environmental and economic needs.</p>

Large-Scale Land Acquisitions and Sustainable Development

>> Jann Lay, Kerstin Nolte

Project Goals	- To better understand the phenomenon of large-scale land acquisitions (LSLAs), focusing on processes and transmission channels.
Theoretical Approaches	- New institutional economics - Contractual arrangements in agriculture - Land use patterns and land rights
Research Design	- Comparative Design: Intraregional Comparison - Time Dimension: Cross-Sectional Study - Spatial Dimension: Local, Subnational, National, Regional, Global - Level of Analysis: Individuals, Organizations, Countries - Number of Cases: Small-N Analysis, Large-N Analysis
Methods	- Data Collection: Focus Group Discussions, Interviews - Data Processing: MAXQDA, STATA - Data Analysis: Regression Analysis, Content Analysis
Cooperation Partners	- Kiel Institute of the World Economy - University of Greifswald
Workshops/Conferences	- GIGA International Workshop on Large-Scale Land Acquisitions, Hamburg, 11 May 2012 - "Large-Scale Land Acquisition in Eastern Europe and Sub-Saharan Africa", Special Session at IAMO Forum 2012 (with Kiel Institute of the World Economy and University of Greifswald), Halle, Germany, 21 June 2012 - "Large-Scale Land Acquisitions in Africa: Threat or Development Opportunity?", Special Session at PEGNet Conference 2012, Dakar, 6 September 2012 - "Land under Pressure: The State of Large-Scale Land Acquisitions in the World", presentation at the Planet under Pressure Conference, London, 28 March 2012 (with M. Boche) - "Large-Scale Agricultural Investments under Poor Land Governance: Actors and Institutions in Zambia", presentation at the World Bank Conference on Land and Poverty, Washington DC, 24 April 2012 - "How is the Game Played? Large-Scale Investment in Agricultural Land: Evidence from Ghana and Kenya", presentation at the GIGA International Workshop on Large-Scale Land Acquisitions, Hamburg, 11 May 2012 (with S. Väth) - "Involvement of the Local Population in Large-Scale Land Acquisition Projects: Insights from Mali", presentation at the IGC 2012, Cologne, 27 August 2012
Knowledge Transfer	- "Landraub oder Agrarinvestitionen: Großflächige Agrarprojekte in Entwicklungsländern (Land-Grabbing or Agricultural Investment: Large-Scale Agricultural Projects in Developing Countries)", GIGA Forum Hamburg, 23 May 2012 - "Afrikas Zukunft? Europäische Entwicklungspolitik versus Landgrabbing.? (Africa's Future? European Development Policy vs. Land-grabbing:)", participation in panel discussion organized by Friedrich Naumann Stiftung (Friedrich Naumann Foundation), Hamburg, 8 August 2012
Publications	- Anseeuw, W., M. Boche, T. Breu, M. Giger, J. Lay, P. Messerli, and K. Nolte (2012), <i>Transnational Land Deals for Agriculture in the "Global South"</i> , Analytical Report Based on the Land Matrix Database, Bern/Montpellier/Hamburg: CDE/CIRAD/GIGA. - Lay, J., and K. Nolte (2011), Neuer „Landraub“ in Afrika? (Renewed Land-Grabbing in Africa?), GIGA Focus Afrika, 1, Hamburg: GIGA.
Funding	- Bundesministerium für Bildung und Forschung (BMBF) (Federal Ministry of Education and Research): approved
Duration	2010–2013

Project Description

Research Questions	- How and between which negotiation partners are lease contracts created? What role does the local population play in this, and are local land rights respected? - How does the process of acquiring land work? - Through which transmission channels do these investments affect the economies of target countries and, in particular, local populations?
Contribution to International Research	While LSLAs have attracted a lot of media attention, research on the phenomenon is still nascent. Ours is among the first projects to research the phenomenon. Our particular focus is on the processes on the ground, which are not comprehensively understood at this point. Moreover, the impacts of such investments are hotly debated but little rigorous evidence is available. We aim to provide such evidence.
Research Design and Methods	We apply a mixed-methods approach: First, a comparative small-N study with field research in Kenya, Zambia and Mali focusing on particular investment cases provides insights into processes of land acquisitions. Data is collected through expert interviews and focus group discussions. To study the impact of investments, we apply a micro-economic analysis of household data. In this regard, we will rely on standard impact evaluation techniques – in particular, differences-in-differences estimates on a small geographical scale (community, village).
Preliminary Results	Thanks to in-depth field research, we have gained a better understanding of the processes surrounding LSLAs and the role the land tenure regime plays. In particular, we have scrutinized the way land changes hands and the involvement of the local population in decision-making processes. One key finding is that what we can observe de facto is not in line with what the de jure process stipulates. Reasons for these deviations are myriad: to name just a couple, poor enforcement of existing laws and/or contradictions between statutory or customary land laws could be responsible.

The Land Matrix

>> Jann Lay, Kerstin Nolte, Mirjam Harteisen, Christof Althoff

Project Goals	<ul style="list-style-type: none"><li>- To maintain a web-based data system to systematically collate information on large-scale land acquisitions (the Land Matrix database).</li><li>- To promote transparency and accountability of land-based investments.</li><li>- To establish a living data set reflecting the development of interest in land on a global scale.</li><li>- To include publicly available data from a variety of sources as well as personal information.</li><li>- To provide data for analysis, research, policy-making, and advocacy.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Database management</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Interregional, Intraregional and Cross-Regional Comparison</li><li>- Time Dimension: Longitudinal Study</li><li>- Spatial Dimension: Global</li><li>- Level of Analysis: Land Deals</li><li>- Number of Cases: Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Verbal Data, Documents (media reports, research papers, national inventories)</li><li>- Data Analysis: Provide Data for Quantitative Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- International Land Coalition (ILC), Rome</li><li>- Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD ), Paris</li><li>- Centre for Development and Environment (CDE ), University of Bern</li><li>- Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ ), Germany</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- World Bank Conference on Land and Poverty (launch of the online database “Land Matrix”), Washington, DC, 23–26 April 2012</li><li>- GIGA International Workshop on Large-Scale Land Acquisitions, Hamburg, 11 May 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Anseeuw, W., M. Boche, T. Breu, M. Giger, J. Lay, P. Messerli, and K. Nolte (2012), <i>Transnational Land Deals for Agriculture in the “Global South”</i>, Analytical Report Based on the Land Matrix Database, Bern/Montpellier/ Hamburg: CDE/CIRAD/GIGA.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ): approved</li><li>- Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) (Federal Ministry for Economic Cooperation and Development): approved</li></ul>
Duration	2012–2015

Project Description

Research Questions	<ul style="list-style-type: none"><li>- What is the real extent, nature and impact of large-scale land investments?</li><li>- Who is investing and where?</li><li>- What is driving the increasing interest in land?</li></ul>
Contribution to International Research	<p>The project addresses the serious lack of data on global land investments by providing the currently most comprehensive online database on such deals (the “Land Matrix”). This information is demanded by a variety of actors: researchers, international and development organizations, NGOs, the media and policymakers in host countries of such land deals.</p>
Research Design and Methods	<p>The Land Matrix database is a constantly updated data set that includes deals made for agricultural production (for food or agrofuel production), timber extraction, carbon-trading, mineral extraction, conservation and tourism. Deals included in the database must meet the following criteria:</p> <ul style="list-style-type: none"><li>- They entail a transfer of rights to use, control or own land through sale, lease or concession.</li><li>- They were signed sometime since 2000, when the annualized value of the FAO real food price index was at its lowest level.</li><li>- They cover an area of 200 hectares or more.</li><li>- They entail the conversion of land from local community use or from important ecosystem-service provision to commercial production.</li></ul>
Preliminary Results	<p>Records are derived from a variety of sources that include information contributed through the Land Matrix website; media reports; reports by international and local organizations, NGOs, and field-based research projects; company websites; and government records. Sources are partly accessed through two active Internet portals dealing with land transactions: <a href="http://www.commercialpressureonland.org">www.commercialpressureonland.org</a> and <a href="http://www.farmlandgrab.org">www.farmlandgrab.org</a>. Company websites and government records are also used where these are available. Moreover, it is thought that the “crowdsourcing” function will play an increasingly important role in the future.</p> <p>The online Land Matrix database was launched at the World Bank Conference on Land and Poverty in Washington DC in April 2012 and is generating wide public interest. It is currently the largest data set of its kind. 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 materialize. According to the Land Matrix information, Africa is the most targeted continent and most target countries are characterized by weak land governance and high incidences of hunger. Furthermore, targeted areas are easily accessible, provide high yield gaps, and have considerable population densities. Most investors 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 with environmental and social goals.</p>

Climate Change Mitigation and Poverty Reduction (ClimiP) – Trade-Offs or Win-Win Situations?

>> Jann Lay, Miriam Prys, Sebastian Renner

Project Goals	- To analyse the relationship between climate change mitigation and poverty reduction in developing countries from a multidisciplinary perspective
Theoretical Approaches	- Development and environmental economics - International relations - Multidisciplinary social science approach
Research Design	- Comparative Design: Interregional Comparison - Time Dimension: Cross-Sectional Study - Spatial Dimension: Local, Subnational, National, Regional, Global - Level of Analysis: Groups, Countries - Number of Cases: Single Case Study, Small-N Analysis, Large-N Analysis
Methods	- Data Collection: Interviews, Databases (various micro-survey data sets, e.g. National Sample Survey India; various macro data sets, e.g. World Development Indicators) - Data Processing: STATA, MATLAB, GAMS - Data Analysis: Equilibrium Analysis, Regression Analysis, Simulation Methods
Cooperation Partners	- Energy Research Centre, University of Cape Town, South Africa - National Institute of Development Administration, Thailand - Public Policy Studies Institute, Chiang Mai University, Thailand - Monterrey Institute of Technology and Higher Education, Mexico - Fondazione Eni Enrico Mattei, Italy
Funding	- VolkswagenStiftung (Volkswagen Foundation), Compagnia di San Paolo and Riksbankens Jubileumsfond (Joint Research Programme “Europe and Global Challenges”): approved
Duration	2013–2016

Project Description

Research Questions	<p>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 fast-growing middle-income economies, which are already or will soon become very significant contributors to global warming.</p> <p>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.</p>
Contribution to International Research	<p>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).</p> <p>Meanwhile, the critical issue of mitigation is slowly making its entrance into climate negotiation rooms. 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 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.</p>
Research Design and Methods	<p>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.</p> <p>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 (possibly including most NAMAs) 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 also demonstrate what types of solutions different actors or actor groups offer for these issues.</p>



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

>> Jann Lay, Kacana Sipangule, Elisabeth Hettig

Project Goals	<ul style="list-style-type: none"><li>- To develop an integrated model of different aspects of the ecological diversity, ecological functions, and socio-economic functions of rainforest transformation systems.</li><li>- To model the trade-offs and synergies within and between the ecological and economic functions.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Land change science</li><li>- Agricultural household models</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intraregional Comparison</li><li>- Time Dimension: Longitudinal Study</li><li>- Spatial Dimension: Local, National, Regional</li><li>- Level of Analysis: Groups, Organizations</li><li>- Number of Cases: Small-N Analysis, Medium-N Analysis, Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Questionnaires, Interviews</li><li>- Data Processing: STATA, GAMS</li><li>- Data Analysis: Microeconometrics, Equilibrium Analysis, Impact Analysis, Multivariate Methods, Regression Analysis, Multi-Agent System Models, Spatial Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Dr. Kerstin Wiegand and Dr. Katrin Mayer, Institute of Ecosystem Modelling, University of Göttingen</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- Kick-off Workshop for the Collaborative Research Centre 990 in Jambi, Indonesia, 21–22 June 2012</li><li>- “Socio-Economic Drivers of Deforestation and Land-Use Change: Microeconomic Evidence from Rainforest Frontiers in the Lore Lindu Region, Indonesia”, poster session at PEGNet Conference 2012, Dakar, Senegal 6–7 September 2012</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft, SFB 990 (DFG) (German Research Foundation, Collaborative Research Centre 990): approved</li></ul>
Duration	2012–2015

Project Description

Research Questions	<p>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 optimizes the ensemble of biodiversity, ecosystem functions, and economic benefit based on the synergies and trade-offs that we have to account for?</p> <p>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.</p>
Contribution to International Research	<p>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 characterized by global cash-crop cultivation.</p>
Research Design and Methods	<p>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 returns, but they also affect ecological functions such as the diversity of plants and animals, community stability, pollination, primary production, decomposition, and carbon sequestration.</p> <p>A spatial grid of cells will represent the landscape and its land-use patterns (LUCC). Each grid cell will be characterized by its land-use type and will be the basic entity for modelling a range of ecological and economic functions in space and time. Possible land-use types include tropical lowland forest, jungle rubber, rubber plantation, palm oil plantation, and “other”. With this approach, very different landscapes that differ in composition (proportion of land covered by the different transformation systems) and spatial configuration can be modelled. The combined agent-based and grid-based approach provides the flexibility needed to model diverse ecological and socio-economic functions. Households and landscape will be linked by assigning land to households based on their current land use. Interactions between grid cells – for example, animal movement on the ecological side and intrahousehold dynamics on the economic side – will be explicitly included. With the goal of reaching an integrated understanding of the interaction between the ecological and economic functions of landscapes, we will conduct computer experiments using realistic and artificial landscapes and households.</p>

Long-Term Land Use, Poverty Dynamics and Emission Trade-Offs (part of CRC 990)

>> Jann Lay, Katharina Trapp

Project Goals	<ul style="list-style-type: none"><li>- To analyse the long-term drivers of poverty and vulnerability in transformed forested landscapes in Indonesia.</li><li>- 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.</li><li>- 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.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Models of land-use change</li><li>- Household models</li><li>- Carbon footprint analysis</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intraregional Comparison</li><li>- Time Dimension: Longitudinal Study</li><li>- Spatial Dimension: Local, National, Regional</li><li>- Level of Analysis: Groups</li><li>- Number of Cases: Medium-N Analysis, Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Questionnaires</li><li>- Data Processing: STATA</li><li>- Data Analysis: Impact Analysis, Multivariate Methods, Regression Analysis, Spatial Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Stephan Klasen, Ph.D. and Rivayani Darmawan, M.Sc., Department of Economics, University of Göttingen</li><li>- Prof. Marhawati Mappatoba, Department of Economics, Tadulaku University</li><li>- Nunung Nurartono, Faculty of Economics and Management, Bogor Agricultural University</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- Kick-off Workshop for the Collaborative Research Centre 990, 19–20 June 2012 in Bogor and 22–24 June 2012 in Jambi (Indonesia)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Bussolo, M., O. Godart, J. Lay, and R. Thiele (2007), The Impact of Coffee Price Changes on Rural Households in Uganda, in: <i>Agricultural Economics</i>, 37, 293–303.</li><li>- Klasen, S., H. Faust, M. Grimm, and S. Schwarze (2009), Demography, Development, and Deforestation at the Rainforest Margin in Indonesia, in: T. Tschardt et al. (eds), <i>Tropical Rainforests and Agroforests under Global Change</i>, Berlin: Springer, 213–236.</li><li>- Lay, J., G. Michuki M'Mukaria, and T. Omar Mahmoud (2008), Few Opportunities, Much Desperation: The Dichotomy of Non-Agricultural Activities and Inequality in Western Kenya, in: <i>World Development</i>, 36, 2713–2732.</li><li>- Priebe, J., R. Rudolf, S. Klasen, N. Nuryartono, I. Sugema, and J. Weisbrod (2009), Determinants of Rural Income Generation at the Rainforest Margin, in: T. Tschardt et al. (eds), <i>Tropical Rainforests and Agroforests under Global Change</i>, Berlin: Springer: 161–176.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft, SFB 990 (DFG) (German Research Foundation, Collaborative Research Centre 990): approved</li></ul>
Duration	2012–2015

Project Description

Research Questions	<ul style="list-style-type: none"><li>- What are the long-term drivers of the poverty and vulnerability of rural households in transformed forested landscapes in Sulawesi and Jambi?</li><li>- To what extent are particular income packages able to sustainably reduce the poverty and vulnerability of households?</li><li>- 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?</li><li>- 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?</li></ul>
Contribution to International Research	<p>The transformation of forested landscapes, poverty reduction and GHG emissions are closely interrelated, and 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 and destruction 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.</p>
Research Design and Methods	<p>The literature on carbon footprints has given little attention to the fact that many households in developing countries often act as both consumers and producers. In addition, very few studies have empirically addressed household carbon footprints from a dynamic perspective. Previous studies have shown that there appear to be win-win situations that promote the reduction of poverty and vulnerability and simultaneously control the climate change impacts of current production and consumption. The extent to which such win-win situations are feasible in the Indonesian context is an open question.</p> <p>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. Using the existing panel surveys and a proposed further wave of income and expenditure panel surveys in Sulawesi, the project's staff will assess these long-term drivers using 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-section (SUSENAS) and panel (RAND) household surveys.</p>
Preliminary Results	<p>In order to model the heterogeneity of production and consumption decisions and the resulting GHG emissions in Jambi, the project will examine the Sulawesi data and the newly generated household survey data from Jambi. Here the production modules of the household surveys from the two regions will come into play (national data will not be used for this step as it lacks the requisite details). Initially, the emission implications of the production side will be based on existing literature on the carbon footprint of certain crops and technologies. In a second step, we will then use regression methods to identify the drivers of the carbon footprints. On the consumption side, we will analyse household expenditure modules (from Sulawesi, Jambi, and SUSENAS household surveys) to identify the determinants of particular GHG-intensive choices (particularly energy use, meat consumption, and transport options). Regression models will estimate the determinants of these carbon footprints.</p> <p>Prior research (STORMA) has focused on the long-term drivers of income growth and poverty change at the rainforest margins in Indonesia. The key findings have shown that intensified land use can reduce encroachment on the forests, that migration may increase this encroachment in the medium to long term, and that lower transaction costs may reduce it.</p>

Climate Protection, Development and Equity: Decarbonization in Developing Countries and Countries in Transition

>> Sebastian Renner, Jann Lay

Project Goals	- To identify poverty-reducing and less carbon-intensive development paths for countries in transition, particularly big countries such as Brazil, China, India and South Africa.
Theoretical Approaches	- Development and environmental economics - Microeconometrics - CGE models
Research Design	- Comparative Design: Intraregional Comparison, Cross-Regional Comparison - Time Dimension: Cross-Sectional Study - Spatial Dimension: Local, Subnational, National, Regional, Global - Level of Analysis: Groups, Countries - Number of Cases: Single Case Study, Large-N Analysis
Methods	- Data Collection: Questionnaires, Interviews, Narratives, Focus Group Discussions, Databases (various micro-survey data sets, e.g. National Sample Survey India; various macro data sets, e.g. World Development Indicators) - Data Processing: STATA, MATLAB, GAMS - Data Analysis: Equilibrium Analysis, Regression Analysis, Simulation Methods
Cooperation Partners	- University of Göttingen - Potsdam Institute for Climate Impact Research
Workshops/Conferences	- “The Carbon Footprint of Indian Households”, paper presented at ISEE2012 Conference, Rio de Janeiro, 16–19 June 2012 - “Determinants of Renewable Energy Technology Adoption in Developing Countries”, African Economic Conference, Addis Abeba, Ethiopia, 26–28 October 2011 - “Determinants of Renewable Energy Technology Adoption in Developing Countries”, International Energy Workshop, University of Cape Town, South Africa, 19–21 June 2012
Knowledge Transfer	- “Low Carbon Development”, Stakeholder Workshop, Potsdam Institute for Climate Impact Research, 19 April 2012 - “Low Carbon Development and Poverty Reduction”, international dialogue forum to be held at Indian Statistical Institute, New Delhi, India, February 2013 (organized by GIGA and the Indian Statistical Institute)
Publications	- Lay, J., and S. Renner (2012), <i>Brasilien und Mexiko: Entwicklung auf Kosten des Klimawandels? (Brazil and Mexico: Development at the Cost of Climate Change?)</i> , GIGA Focus Lateinamerika, 6, Hamburg: GIGA. - Lay, J., J. Ondraczek, and J. Stoever (2012), <i>Renewables in the Energy Transition: Evidence on Solar Home Systems and Lighting-Fuel Choice in Kenya</i> , GIGA Working Papers, 198, Hamburg: GIGA.
Funding	- Bundesministerium für Bildung und Forschung (BMBF) (Federal Ministry of Education and Research): approved
Duration	2010–2013

Project Description

Research Questions	The decarbonization of the growing economies in the developing world, or the decoupling of economic growth from greenhouse gas emissions in these countries, is of crucial importance in mitigating climate change. This project hence addresses the question of how sustainable development – understood as development in the direction of a low-carbon economy that simultaneously overcomes poverty and explicitly considers inter- and intragenerational equity – can be achieved. In particular, it identifies various climate policy instruments for achieving a less carbon-intensive development path in developing countries. These instruments are evaluated in terms of their ecological and economic efficiency, as well as their equity and poverty implications.
Contribution to International Research	Given the international climate negotiations and the findings of the Intergovernmental Panel on Climate Change (IPCC), the project’s research question is related to a topic that has become increasingly important. The project will make a significant contribution to addressing global climate justice and its social impact in developing and emerging countries. Integrating knowledge from the natural sciences with social science concepts and methods, the project analyses the economic benefits, equity issues, and opportunities for poverty reduction entailed in the different climate policy instruments designed to promote decarbonized economies in developing and emerging countries. The researchers aim to provide the project results to the next IPCC report.
Research Design and Methods	First, the project has carried out a detailed analysis of the status quo with respect to emissions and energy consumption by examining consumption patterns in developing and emerging countries through country-based cross-sectional studies. On this basis, the researchers will examine the effectiveness and potential barriers of different climate policy instruments (including emissions trading, technology transfer, national regulation or taxes) for the implementation of a decarbonized economy in developing and emerging countries. These instruments will be evaluated according to their economic efficiency, and social justice and distributional aspects. We will also investigate what possibilities exist for connecting the instruments to combine climate change mitigation policies with poverty reduction. Here we will use quantitative modelling and qualitative institutional economic analyses.
Preliminary Results	An analysis of the carbon footprint of Indian households shows that it is income growth, as opposed to changes in consumption patterns, that is driving the increase in GHG emissions in rapidly growing developing economies. A key factor in the decarbonization of economic development will be the decarbonization of the energy systems. However, the cross-country studies on renewables adoption reveal the low uptake of alternative energy sources in most parts of the developing world. This cross-country evidence is in line with our study on the determinants of households’ choices of lighting fuels, including solar home systems, in Kenya. Although this latter study has found clear evidence of a cross-sectional energy ladder, the income threshold for modern fuel use – including solar energy – is very high.

Socio-Economic Transitions

>> Erich Gundlach

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
Teaching	- Growth Empirics (MA), University of Hamburg, Summer Semester 2012 - Growth Theory (BA), University of Hamburg, Winter Semester 2012/13
Workshops/ Conferences	- Dynamics, Economic Growth, and International Trade (DEGIT) XVII, Milan, Italy, 13–14 September 2012 (co-organized by E. Gundlach)
Publications	- Gundlach, E., and A. de Vaal (2012), Technology Differences in Empirical Studies of International Trade, in: <i>Economics Letters</i> , 117, 1, 18–20. - Gundlach, E., and M. Paldam (2012a), The Religious Transition. A Long-Run Perspective, in: <i>Public Choice</i> , online: < <a href="http://dx.doi.org/10.1007/s11127-012-9934-z">http://dx.doi.org/10.1007/s11127-012-9934-z</a> >. - Gundlach, E., and M. Paldam (2012b), A Model of the Religious Transition, in: <i>Theoretical Economics Letters</i> , 2, 5, 419-422. - Gundlach, E., and M. Paldam (2012c), The Democratic Transition. Short Run and Long Run Causality between Income and the Gastil Index, in: <i>European Journal of Development Research</i> , 1, 24, 144–168.
Funding	- Claussen-Simon-Stiftung (Claussen-Simon Foundation): approved - Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation
Duration	2011–2015

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 correlation from causality. 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 <i>Kyklos</i> , <i>European Journal of Political Economy</i> , <i>Public Choice</i> , and <i>World Bank Economic Review</i> .
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 researcher's work on the religious transition has been accepted for publication in <i>Public Choice</i> and in <i>Theoretical Economics Letters</i> . 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 emphasizes the substitution of scientific knowledge for religious beliefs as the engine of long-run growth.



## >> Research Programme 3: Selected Publications 2012

### Articles in Refereed Journals

- Giesbert, Lena, and Kati Schindler (2012), Assets, Shocks, and Poverty Traps in Rural Mozambique, in: *World Development*, 40, 8, 1594–1609.
- Giese, Karsten, and Alena Thiel, The Vulnerable Other – Distorted Equity in Chinese-Ghanaian Employment Relations, in: *Ethnic and Racial Studies*, Early View, 21 May 2012, DOI 10.1080/01419870.2012.681676
- Gundlach, Erich, and Martin Paldam (2012), The Democratic Transition. Short Run and Long Run Causality between Income and the Gastil Index, in: *European Journal of Development Research*, 1, 24, 144–168.
- Gundlach, Erich, and Martin Paldam (2012), A Model of the Religious Transition, in: *Theoretical Economics Letters*, 2, 5, 419–422.
- Gundlach, Erich, and Martin Paldam (2012), The Religious Transition. A Long-run Perspective, in: *Public Choice*, Early View, 26 April 2012, DOI 10.1007/s11127-012-9934-z.
- Gundlach, Erich, and Albert de Vaal (2012), Technology Differences in Empirical Studies of International Trade, in: *Economics Letters* 117, 1, 18–20.
- Lay, Jann (2012), MDG Achievements and Policies in Education and Health: What Has Been Learnt?, in: *Development Policy Review*, 30, 1, 67–85.
- Lay, Jann, Michael, Grimm, and Peter Knorringa (2012), Constrained Gazelles: High Potentials in West Africa's Informal Economy, in: *World Development*, 40, 1352–1368.
- Pellicer, Miguel, and Eva Wegner: Socio-Economic Voter Profile and Motives for Islamist Support in Morocco, in: *Party Politics*, Early View, 15 March 2012, DOI 10.1177/1354068811436043.

### Contributions to Edited Volumes

- Marfaing, Laurence (2012), Living Together and Living Apart in Nouakchott, in: Mc Dougall, James, and Judith Scheele (eds), *Saharan Frontiers. Space and Mobility in Northwest Africa*, Bloomington: Indiana University Press, 185–199.
- Neff, Daniel (2012), Adaptation, Subjective Well-being and Poverty: The Case of South India, in: Clark, David (ed), *Adaptation, Poverty and Well-Being*, London: Palgrave Macmillan, 137–160.
- Schüler-Zhou, Yun, Margot Schüller, and Magnus Brod (2012), Push and Pull Factors for Chinese Investment in Europe, in: Alon, Ilan, Marc Fetscherin, and Philippe Gugler (eds), *Chinese International Investments*, London: Palgrave Macmillan, 157–174.
- Schüller, Margot, Marcus Conlé, and David Shim (2012), Korean Innovation Governance Under Lee Myung-Bak – A Critical Analysis of Governmental Actor's New Division of Labour, in: Mahlich, Jörg, and Pascha, Werner (eds), *Korean Science and Technology in International Perspective*, Berlin and Heidelberg: Physica-Verlag / Springer, 109–128.

### Monographs and Edited Volumes

- Anseeuw, Wand, Mathieu Boche, Thomas Breu, Markus Giger, Jann Lay, Peter Messerli, and Kerstin Nolte (2012), *Transnational Land Deals for Agriculture in the "Global South"*, Analytical Report Based on the Land Matrix Database, Bern, Montpellier, and Hamburg: CDE/CIRAD/GIGA.

Regional Powers Network

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

Project Goals	- 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.
Theoretical Approaches	- (Neo)realism, liberal institutionalism, constructivism, poststructuralism - Theories of regional integration/cooperation, regional orders, regional security complexes - Development of concepts and questions regarding the constitution of regions and power
Research Design	- Comparative Design: Cross-Regional Comparison - Time Dimension: Long run - Spatial Dimension: National - Level of Analysis: Countries - Number of Cases: Small-N Analysis
Methods	- Data Collection: Documents - Data Analysis: Hermeneutic Analysis, Process Tracing
Cooperation Partners	- Members of the RPN are situated in 60 different institutions in over 20 countries - Additional partners, among others: Centres for Rising Powers (University of Cambridge)
Workshops/Conferences	- "China as a New Rising Power: Partner and Rival of Germany", Workshop, GIGA, Hamburg, 18 July 2012 - "Will a Regional Power Re-emerge in the Middle East? New Power Constellations after the Arab Revolts", Workshop, GIGA, Hamburg, 13–14 October 2011 - "Strategic Reactions of Secondary Powers in South America", Workshop, Caracas, Venezuela, 1 December 2011 - Regional Powers Network, five conferences held on 15–16 September 2008, Hamburg; 6–7 April 2009, Rio de Janeiro; 8–9 October 2009, Paris; 6–7 September 2010, Stellenbosch; 8–10 December 2011, Hamburg
Knowledge Transfer	- "Neue Führungsmächte/Ankerländer (New Leading Powers/Anchor Countries)", workshop organized by SWP, DIE, GIGA, Berlin, 12–13 March 2008 (R. Kappel, D. Nolte, M. Prys) - "New Rising Powers", expert workshop organized by the Planungsstab of the Federal Foreign Ministry and GIGA, 1 March 2012 (R. Kappel, D. Nolte)
Publications	- Flesmes, D. (2010) (ed), <i>Regional Leadership in the Global System: Ideas, Interests and Strategies of Regional Powers</i> , Farnham and Burlington: Ashgate. - Prys, M. (2012), <i>Variations in Regional Powers: Domination, Hegemony, Detachment</i> , London: Routledge. - Prys, M. (2010), Hegemony, Domination, Detachment: Differences in Regional Powerhood, in: <i>International Studies Review</i> , 12, 4, 479–504. - Numerous additional publications available at: <a href="http://www.regionalpowers.org/en/publications">www.regionalpowers.org/en/publications</a> - Special Section on „(New) Regional Powers“ (2010), <i>Review of International Studies</i> (with contributions from S. Destradi, D. Nabers and D. Nolte). - Nel, P., D. Nabers and M. Hanif (eds) (2012):: Regional Powers and Global Redistribution, special issue of <i>Global Society</i> , 26,3.
Funding	- Pakt für Forschung und Innovation, SAW-Verfahren (Joint Initiative for Research and Innovation), 2008–2010: approved - GIGA - Fritz Thyssen Stiftung (Fritz Thyssen Foundation), workshop funding: approved
Duration	2008–2013

Project Description

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 globalization and crises, however, require the analysis of new or strengthened actor constellations at the national, international as well as transnational levels.
Contribution to International Research	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.
Research Design and Methods	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 organizers held five international RPN conferences between 2008 and 2011. 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.

Contested Leadership in International Relations:  
Power Politics in South America, South Asia and  
Sub-Saharan Africa

>> Daniel Flesmes, Georg Strüver, Hannes Ebert, Oliver Müser

Project Goals	<ul style="list-style-type: none"><li>- To identify the challenges emerging from regional leadership projects in South America, South Asia and sub-Saharan Africa.</li><li>- To examine the impact of the People's Republic of China and other external powers on these dynamics and thus contribute to a better understanding of potentially conflictive regional relations and their impact on international politics.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Neorealism, neoclassical realism</li><li>- Liberal institutionalist approaches, e.g. cooperative hegemony</li><li>- Constructivism, e.g. leadership theories, discursive and consensual hegemony</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Interregional Comparison</li><li>- Time Dimension: Longitudinal Study</li><li>- Spatial Dimension: National, Regional, Global</li><li>- Level of Analysis: Countries</li><li>- Number of Cases: Small-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Narratives, Documents (foreign policy documents)</li><li>- Data Analysis: Content Analysis, QCA</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Latin America: BRICS Policy Center; Fundacao Getúlio Vargas; Pontifica Universidade Catolica (all: Rio de Janeiro); Pontifica Universidad Javeriana, Bogotá; Universidade de Brasília; Universidad Central de Venezuela, Caracas</li><li>- Africa: South African Institute of International Affairs, Johannesburg; University of Johannesburg</li><li>- Asia: China Foreign Affairs University, Beijing; Institute for Defence Studies and Analyses, New Delhi; Institute of Strategic Studies, Islamabad; School of International Studies, Jawaharlal Nehru University, New Delhi; Tongji University, Shanghai</li></ul>
Teachings	<ul style="list-style-type: none"><li>- "Außenpolitische Strategien im multipolaren System (Foreign Policy Strategies in the Multipolar System)", University of Hamburg, Winter Semester 2011/12 (D. Flesmes)</li><li>- "Südamerikas Mächte: Brasilien, Argentinien, Chile, Kolumbien, Venezuela (Power Politics in South America)", University of Hamburg, Summer Semester 2012 (D. Flesmes)</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- „Strategic Reactions of Secondary Powers in South America“ Workshop, Caracas, Venezuela, 1 December 2011</li><li>- „Power Politics in South America: Brazil and its Contenders“, panel at the Joint IPSA/ECPR Conference, Sao Paulo, 17 February 2011</li><li>- „Multilateral Economic Governance and the Prospects for EU–India Relations within the G20“, India–Europe Dialogue 2010, FES/JNU/SWP, New Delhi, 10 December 2010</li><li>- „Contested Leadership in International Relations – Power Politics in South America, South Asia and Sub-Saharan Africa“, Workshop at the India–Brazil–South Africa Dialogue Forum, Rio de Janeiro, 23 June 2009</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- „Reaktion der Nachbarstaaten auf Brasiliens Aufstieg (The Reactions of Brazil's Neighbour States to Its Rise)“, GIGA Forum, GIGA, Hamburg, 18 April, 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Flesmes, D., D. Nabers, and D. Nolte (eds) (2012), <i>Macht, Führung und Regionale Ordnung, Theorien und Forschungsperspektiven (Power, Leadership and the Regional Order: Theories and Research Perspectives)</i>, Baden-Baden: Nomos.</li><li>- Flesmes, D., and L. Wehner (2012), <i>Strategien südamerikanischer Sekundärmächte (The Strategies of South America's Secondary Powers)</i>, GIGA Focus Lateinamerika, 4, Hamburg: GIGA.</li><li>- Flesmes, D. (2012), Liderazgo Contestado, in: M. Lima de Soares, M. Hirst, and M. Vieira (eds), <i>Vozes do Sul e Agenda Global</i>, Sao Paulo: Hucitec.</li><li>- Flesmes, D., and T. Wojczewski (2011), Contested Leadership in Comparative Perspective: Power Strategies in South Asia and South America, in: <i>Asian Journal of Latin American Studies</i>, 24, 1, 1–27.</li><li>- Flesmes, D., and A. Costa Vaz (2011), <i>Security Policies of India, Brazil and South Africa – Regional Security Contexts as Constraints for a Common Agenda</i>, GIGA Working Papers, 160, Hamburg: GIGA.</li><li>- Flesmes, D., and T. Wojczewski (2010), <i>Contested Leadership in International Relations: Power Politics in South America, South Asia and Sub-Saharan Africa</i>, GIGA Working Papers, 121, Hamburg: GIGA.</li></ul>
Funding	<ul style="list-style-type: none"><li>- VolkswagenStiftung, Schumpeter Fellowship (Volkswagen Foundation): approved</li></ul>
Duration	2010–2015

Project Description

Research Questions	<ul style="list-style-type: none"><li>- Does regional acceptance or contestation influence regional powers' chances of success in global affairs? In short, does regional support matter?</li><li>- How do regional orders shape the global strategies of regional powers?</li><li>- How do the relations between regional and external players (the US, China, Russia, the EU and Germany) impact regional power distribution?</li><li>- Which factors motivate secondary powers to accept or contest regional powers' leadership claims? In short, why do followers (not) follow?</li></ul>
Contribution to International Research	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.
Research Design and Methods	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 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: <ul style="list-style-type: none"><li>- 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 polarity in terms of political and economic resources.</li><li>- In relatively peaceful regional orders (e.g. security communities), domestic actors exert more influence on the regional strategy of a secondary power than in regions characterized by violent conflicts.</li><li>- The central explanatory factors for secondary powers' contestation strategies in the realm of foreign policy are as follows: (a) diverging interests between the primary and secondary powers at the regional and bilateral level, (b) the regional power's unwillingness to provide public goods, and (c) the regional power's non-transparent defence and arms policies.</li></ul>

Responsibility for the Region: Role Expectations and Role Attribution for Regional Powers

>> Miriam Prys, Leslie Wehner

Project Goals	<ul style="list-style-type: none"><li>- To identify whether global actors have specific role expectations that they communicate to regional powers.</li><li>- To assess the effectiveness and the outcome of these expectations.</li><li>- To determine how these expectations impact relations between the global and regional powers.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Role theory (symbolic interactionism)</li><li>- Foreign policy analysis</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Cross-Regional Comparison</li><li>- Temporal Dimension: Not Applicable</li><li>- Spatial Dimension: Regional, Global</li><li>- Level of Analysis: Countries</li><li>- Number of Cases: Small-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Narratives, Documents (governmental documents, press declarations, national and international newspapers)</li><li>- Data Processing: Atlas.ti</li><li>- Data Analysis: Content Analysis, Discourse Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Dr. Cameron Thies, Department of Political Science, University of Iowa</li><li>- Prof. Dr. Dirk Nabers, University of Kiel</li></ul>
Teachings	<ul style="list-style-type: none"><li>- “State Socialization in Regional and International Systems”, University of Kiel, Summer Semester 2013 (L. Wehner)</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- “Status, Roles and Regional Powers in South America”, paper to be presented at the ISA Catalytic Research Workshop: “Extensions and Applications of Role Theory to International Relations“, San Francisco, 2013 (L. Wehner)</li><li>- “Role Attribution in US–Brazil Social Interaction: Status Recognition and Denial”, paper to be presented at the ISA Annual Convention 2013, San Francisco (L. Wehner)</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- „Reaktion der Nachbarstaaten auf Brasiliens Aufstieg (The Reactions of Brazil's Neighbour States to Its Rise)“, GIGA Forum, GIGA, Hamburg, 18 April, 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Prys, M. (2012), <i>Redefining Regional Power in International Relations: Indian and South African Perspectives</i>, Abingdon: Routledge.</li><li>- Prys, M. (2010), Hegemony, Detachment, Domination: Differences in Regional Powerhood, in: <i>International Studies Review</i>, 12, 4, 479–504.</li><li>- Wehner, L. (2011), Roles and Actions of Leadership: Brazil and Its Others; in D. Nabers and N. Godehardt (eds), <i>Regional Power and Regional Orders</i>, London: Routledge, 137–154.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation</li></ul>
Duration	2013–2015

Project Description

Research Questions	<p>The aim of this project is to assess the United States’ “voice” and its impact on emerging powers. What the US communicates has an impact on “others”, since the US is the only superpower or global hegemon in world affairs. The US has shown its willingness to share the regional stage with new regional powers by ascribing to them both formal and informal roles that empower them as leaders of their regions. However, the regional powers face the dilemma of whether or not to accept such role expectations, as well as the question of how to fulfil them. Therefore, the project’s central questions are as follows:</p> <ul style="list-style-type: none"><li>- How does the US evaluate and deal with the emergence of new powers at the global level in order to maintain a stable multiregional order in which it plays a leading role?</li><li>- How has the US reacted to the redistribution of power to these new regional powers?</li><li>- What is the impact of such role expectations on regional powers?</li></ul>
Contribution to International Research	<p>The project contributes to the research agenda on regional powers and to the refining of role theory in international relations. It assumes that the “role definition” of states in general and of regional powers in particular is a social process within which both self-conceptions (ego) and the expectations of the “alter” play an important part. The search for an identity can only occur in interaction with other actors. While “ego-centred” research has prevailed in the realm of role theory (see Holsti 1970, Walker 1987), very little systematic attention has been paid to role expectations and the form they take. The project further develops the dimension of role expectations by innovatively identifying three ways in which roles are ascribed to a state by other states: role prescription, role altercasting and role imposition. The authors assume that the expectations placed upon regional powers can indeed impact their self-conceptions and regional role performances in a significant way, but not necessarily to the benefit of regional powers; “global” or “Western” support for a more active regional power role might cause suspicion and resistance among the so-called secondary powers of the emerging regions. However, the regional powers do aspire to achieve a global status that makes the communication and the reception of US expectations possible.</p>
Research Design and Methods	<p>The project will first develop a theoretical argument about roles as elements and outcomes of a social process of communication between the Self and the Other. An important part of this argument will be the demonstration of how the US transmits its role expectations to regional powers (Brazil, India and South Africa) – that is, through role prescription, role altercasting and role imposition. In a second step, the project will undertake an empirical analysis of a diverse set of US foreign policy statements, as well as interviews with government and experts, in order to identify how the actions expected of a regional power are portrayed, and the way in which these expectations are transmitted to regional powers. The researchers will pay special attention to whether the US demonstrates a discursive pattern that refers to a broader set of regional powers, or whether it assigns different potential regional powers with different characteristics and “tasks”. The project’s final, empirical step will deal with the recipient side of such expectations – that is, whether and how regional powers process the role expectations originating from the US. The researchers will assess the extent to which regional powers take on the responsibility communicated to them by the US, and the means they use to do so. This empirical analysis will follow the symbolic interaction tradition and will thus adopt an interpretative methodological approach.</p>



Private Foundations in Global Governance:  
The Cases of Health and Education

>> Wolfgang Hein, Joachim Betz, Sonja Bartsch

Project Goals	<ul style="list-style-type: none"><li>- To analyse the effectiveness, accountability and impact of transnational philanthropic foundations within the framework of sectoral global governance of health and education.</li><li>- To establish a data base on transnational foundations.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Discourses on sectoral global governance</li><li>- Theories on the accountability of private actors in global governance</li><li>- Measurement of effectiveness</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: No Comparative Design</li><li>- Time Dimension: Cross-Sectional Study, Longitudinal Study</li><li>- Spatial Dimension: Local, Subnational, National, Global</li><li>- Level of Analysis: Organizations</li><li>- Number of Cases: Single Case Study, Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Focus Group Discussions, Documents (internet presence of private foundations), Databases (creation of database on foundations in global health and education governance is one aim of the project)</li><li>- Data Analysis: Grounded Theory, Impact Analysis, Network Analysis, Process Tracing</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Dr. Lant Pritchett, Faculty of Education, Harvard University</li><li>- Prof. Dr. Ilona Kickbusch, Global Health Programme, Geneva</li><li>- India case study: Humanities Department of the Indian Institute of Technology, Chennai; Delhi School of Economics</li></ul>
Teachings	<ul style="list-style-type: none"><li>- "Sectoral Global Governance" and "Education and Health Politics in International Comparison", University of Hamburg, Winter Semester 2010/11 (W. Hein)</li><li>- "'Actors and Coordination' in Global Governance", University of Hamburg, Summer Semester 2013 (W. Hein)</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- "Global Public Goods" Section, IPSA/ECPR Joint Conference, Sao Paolo, 16–19 February 2011 (W. Hein)</li><li>- "Non-State Actors, States and the WHO Providing Global Public Goods", paper presented at the IPSA/ECPR Joint Conference, Sao Paolo, 16–19 February 2011 (W. Hein)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Betz, J. (2003), The Indian Health System: Structure, Deficits and the Role of External Actors, in: W. Hein and L. Kohlmorgen (eds), <i>Globalisation, Global Health Governance and National Health Policies in Developing Countries</i>, Hamburg: DÜI, 291–303.</li><li>- Buse, K., W. Hein, and N. Drager (eds) (2009), <i>Making Sense of Global Health Governance. A Policy Perspective</i>, Basingstoke: Palgrave Macmillan.</li><li>- Hein, W., S. Bartsch, and L. Kohlmorgen (eds) (2007), <i>Global Health Governance and the Fight Against HIV/AIDS</i>, Basingstoke: Palgrave Macmillan.</li><li>- Hein, W., and S. Moon (2013), <i>Informal Norms in Global Governance: Human Rights, Intellectual Property Rules and Access to Medicines</i>, Aldershot: Ashgate, forthcoming.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation</li></ul>
Duration	2013–2015

Project Description

Research Questions	<p>The project deals with the following research questions:</p> <ul style="list-style-type: none"><li>- What role do transnational foundations play in sectoral global governance processes?</li><li>- How are transnational philanthropic networks in health and education structured and what are their main characteristics?</li><li>- What governance and accountability structures do these networks demonstrate?</li><li>- How effective are transnational foundations? Can their resolution of issues/problems that are neglected by other actors be taken as an indicator of "effectiveness"?</li><li>- To what extent are national foundations in India independent from international and national public financial support? Do they operate in regions and on problems which are not (or only marginally) addressed by public programmes?</li></ul>
Contribution to International Research	<p>In recent years, transnational foundations have received growing attention in the global governance discourse, but there is still little systematic research on the role of philanthropy in the respective fields of global politics. Transnational philanthropic foundations provide significant additional financial resources for development purposes and contribute to a reconfiguration of the institutional setting for policy-making. While there is a large body of research on philanthropy on both the local and national levels as well as on charities (with a large number of small donations), still little is known about the scale, scope and role of transnational philanthropists and the impact of private foundations on global governance as well as the interaction of international foundations with national counterparts and NGOs operating in the field.</p>
Research Design and Methods	<p>The project will deal with these issues and systematically investigate structures and activities of transnational foundations in the fields of health and education. A case study on India will complement the research. The project team has contacts with the associations of various foundations (European Foundation Centre, European Venture Philanthropy Association), with the transnationally active networks of foundations and other civil society organizations in South Asia, and with research departments in India and Sri Lanka (IIT Chennai, IIM Ahmedabad, Marga Institute Colombo).</p> <p>Taking into account the current state of the research in this field, what is required is first of all exploratory research. Therefore the project's starting point will be the creation of a database. Using methods of network analysis, the project will identify the role of foundations in global health and education governance. The analysis of these foundations' accountability and effectiveness will be based on the extensive analysis of documents, as well as focus group discussions and expert interviews with representatives of important foundations.</p>

Contested World Orders

>> Detlef Nolte, Anja Jetschke, Miriam Prys, Kristina Hahn

Project Goals	<ul style="list-style-type: none"><li>- To analyse the increasing influence of “rising powers” and non-governmental organizations and their contestation of international institutions.</li><li>- 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 organizations.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Analytical eclecticism</li><li>- Neoclassical and constructivist approaches</li><li>- Power transition theory</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Interregional Comparison, Cross-Regional Comparison</li><li>- Time Dimension: Cross-Sectional Study</li><li>- Spatial Dimension: Global</li><li>- Level of Analysis: Organizations, Countries</li><li>- Number of Cases: Medium-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Documents (official documents from governments, international organizations and NGOs), Databases (a common database on international organizations will be created)</li><li>- Data Analysis: Content Analysis, Process Tracing</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Dr. Michael Zürn, Dr. Martin Binder, Wissenschaftszentrum Berlin (WZB)</li><li>- Prof. Dr. Harald Müller, Prof. Dr. Klaus-Dieter Wolf, Peace Research Institute Frankfurt (HSFK)</li><li>- Prof. Dr. Liesbeth Hooghe and Prof. Dr. Gary Marks, Vrije Universiteit Amsterdam and University of North Carolina at Chapel Hill</li><li>- Prof. Dr. Jonas Tallberg, University of Stockholm</li></ul>
Teachings	<ul style="list-style-type: none"><li>- “Außenpolitische Strategien in der neuen Multipolarität (Foreign Policy Strategies under the New Multipolarity)”, University of Hamburg, Winter Semester 2011/12 (D. Nolte)</li><li>- “Regional Powers and Regional Organizations”, ECPR Summer School on Latin American Politics, Institute of Social Sciences, University of Lisbon (D. Nolte)</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- De-centering Regional Power: The Role of Non-State Actors in Global Power Shifts, 5th RPN Conference, GIGA, Hamburg, 8–10 December 2011</li><li>- Workshop on Databases on International Organizations, Wissenschaftszentrum Berlin, 24 February 2012</li></ul>
Publications	<ul style="list-style-type: none"><li>- Flesmes, D., D. Nabers, and D. Nolte (eds) (2012), <i>Macht, Führung und Regionale Ordnung, Theorien und Forschungsperspektiven (Power, Leadership and the Regional Order: Theories and Research Perspectives)</i>, Baden-Baden: Nomos.</li><li>- Jetschke, A., and P. Murray (2012), Diffusing Regional Integration: The EU and East Asia, in: <i>West European Politics</i>, 35, 1, 174–191.</li><li>- Prys, M. (2012), <i>Redefining Regional Power in International Relations: Indian and South African Perspectives</i>, Global Order Studies Series, London and New York: Routledge</li></ul>
Funding	<ul style="list-style-type: none"><li>- Pakt für Forschung und Innovation, SAW-Verfahren (Joint Initiative for Research and Innovation), led by WZB: approved</li></ul>
Duration	2012–2015

Project Description

Research Questions	<ul style="list-style-type: none"><li>- What are the implications of the increasing influence of “rising powers” and transnational non-governmental organizations and their contestation of international institutions for a “new world order”?</li><li>- How do “rising powers” and transnational non-governmental organizations contest international institutions?</li><li>- What differences and similarities do these contestations demonstrate, particularly with regard to underlying norms and concepts of legitimacy?</li><li>- What are the repercussions of these contestations for the authority of international institutions?</li></ul>
Contribution to International Research	<p>While the increasing influence of transnational non-governmental organizations 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 organizations do not pay attention to the new “rising powers”.</p>
Research Design and Methods	<p>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 organizations address at international institutions, examining their commonalities and differences. While both sets of actors criticize the “pro-Western” bias of international institutions, their demands differ in important respects: the “rising powers” base their calls for a new “world order” on the principle of sovereignty, whereas the transnational NGOs refer to human rights. The project aims to systematically assess the forms of contestation addressed at international institutions, as well as their implications for these institutions’ authority and legitimacy.</p> <p>The project will unite the expertise of the three Leibniz institutes involved, drawing upon their previous work on the authority of international organisations (WZB), the legitimacy claims of NGOs (HSFK), and the “rising powers” (GIGA). As a first step, the project will develop its basic concepts for a joint publication on the “multiple sites of resistance” against international institutions. In addition to the topic of resistance, the publication will also investigate the authority and legitimacy of these institutions. As a second step, the researchers will create a database that systematically assesses forms of authority and corresponding contestations and legitimacy claims over time and in different fields.</p>

Climate Change Mitigation and Poverty Reduction (ClimiP)  
– Trade-Offs or Win-Win Situations? (Work Package 3:  
International Relations)

>> Miriam Prys

Project Goals	- To determine whether and how poverty eradication is and can be dealt with within the existing global climate regime. - To map and explain the development of, shifts within, and the impact of the discourse on the relationship between emerging countries' mitigation commitments and the goal of poverty eradication in these states.
Theoretical Approaches	- Constructivism, pragmatic approaches
Research Design	- Comparative Design: Interregional Comparison, Cross-Regional Comparison - Time Dimension: Cross-Sectional Study - Spatial Dimension: Global - Level of Analysis: Organizations, Countries - Number of Cases: Medium-N Analysis
Methods	- Data Collection: Questionnaires, Interviews, Documents (governmental documents, documentation of climate negotiations) - Data Processing: Atlas.ti - Data Analysis: Content Analysis, Discourse Analysis
Cooperation Partners	- Jun.Prof. Dr. Jann Lay, Research Programme 3, GIGA - Fondazione Eni Enrico Mattei, Italy - Graduate School of Public Administration and Public Policy (EGAP), Monterrey Institute of Technology and Higher Education, Mexico - Energy Research Centre (ERC), University of Cape Town, South Africa - School of Development Economics, National Institute of Development Administration (NIDA), Bangkok, Thailand - Public Policy Studies Institute, Chiang Mai University (CMU), Thailand
Funding	- VolkswagenStiftung (Volkswagen Foundation), Compagnia di San Paolo and Riksbankens Jubileumsfond (Joint Research Programme "Europe and Global Challenges"): approved
Duration	2013–2015

Project Description

Research Questions	The overall research question guiding the project's IR work package analysis is whether and how poverty eradication is and can be dealt with within the existing global climate regime. Given scientific uncertainty and overriding justice and ethics arguments, the project is particularly interested in the effects that arguments, discourse and rhetoric have on the members of this regime. It thus investigates the impacts of the evolving mitigation–development–justice “discourse” on developing countries' mitigation commitments. To what extent has the perception of “poverty eradication as the opposite of mitigation” shifted to a focus on “mitigation as an opportunity for development and poverty reduction”? Which actors have been central in this process? And what types of outcomes, such as inclusive agreements at the global level and innovative practices and activities at the regional and national levels, have been achieved and can be expected, both at the international and the domestic level? These questions are employed to explain a political process that has moved from the Delhi Declaration of COP-8 in 2002, which reinforced the perspective that development and poverty eradication were “overriding principles in developing countries”, to the COP 15 in Copenhagen, where some major developing country emitters made voluntary pledges to reduce emissions. The Bali Action Plan (UNFCCC, 2007) coined the term NAMA as a way to reduce emissions and meet developmental goals in non-Annex 1 countries. The design and financing of NAMAs have become central to the debate on climate change mitigation and development. We ask which actors have shaped the debate and its impact on both future climate negotiations and the potential domestic mitigation trajectories of developing countries.
Contribution to International Research	Climate change is one of the most pressing global challenges. While historically it was industrialized countries that produced the majority of GHG 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 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”. The global climate regime is thus a site of redistributive strife between industrialized countries and the developing world. In this context, the latter associates mitigation with a lack of growth and a threat to poverty eradication. The former are concerned above all with their economic competitiveness. Such a rigid zero-sum game mentality on both sides prevents the emergence of “feasible mitigation policies” in international climate negotiations.
Research Design and Methods	The project's overarching research interest is how the global climate regime and its main actors deal with the dual challenge of climate change mitigation and poverty eradication. The 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 “pragmatic” with a constructivist inclination to analyse the emergence of the issue of developing country mitigation, as well as its key drivers and its repercussions at the domestic level. A combination of material and ideational factors is most likely to capture the complexity of international negotiations involving multiple logics and driven by ethical and moral arguments, structural worldviews and instrumental actions. We 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, and what role arguments and persuasion play in light of power shifts and power differentials. A combination of quantitative and qualitative content analysis will allow us to detect “frames” or “templates” through which the problem of developing country mitigation and related themes are presented, and the types of solutions different actors or actor groups offer. We will analyse the statements of state representatives, the minutes of group meetings, and public relations and press materials. We will complement this analysis by interviewing experts and decision-makers as a form of triangulation. This data will also 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 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.

Regional Cooperation and Regional Integration in Sub-Saharan Africa: Degree, Scope and Causes of De Facto Regionalism

>> Gero Erdmann, Sebastian Elischer

Project Goals	<div>- To examine the different degrees and scopes of regionalism across sub-Saharan Africa. - To explain how the different degrees and scopes of regionalism have occurred by drawing on a set of potentially explanatory variables regarded in the IR literature as essential.</div>
Theoretical Approaches	<div>- Comparative regionalism - Leadership theory</div>
Research Design	<div>- Comparative Design: Intraregional Comparison - Time Dimension: Retrospective Study, Cross-Sectional Study - Spatial Dimension: National, Regional, Global - Level of Analysis: Organizations (regional), Countries - Number of Cases: Small-N Analysis</div>
Methods	<div>- Data Collection: Interviews, Documents (official documents of the African Union and regional organizations),- Databases (data provided by the African Union and regional organizations) - Data Analysis: Content Analysis, Grounded Theory, Multivariate Methods, Process Tracing</div>
Cooperation Partners	<div>- Prof. Dr. Tanja Börzel, Free University of Berlin - University of Göttingen - Prof. Dr. Gyimah Boadi, Center for Democracy and Development Ghana - Prof. Dr. Janis van der Westhuizen, Department of Political Science, University of Stellenbosch</div>
Teachings	<div>- “Comparative Regionalism”, University of Lüneburg, Winter Semester 2012 (S. Elischer)</div>
Workshops/Conferences	<div>- “Regional Powers in Africa”, paper presented at SGIR Stockholm, 9–11 September 2010 (S. Elischer, G. Erdmann)</div>
Publications	<div>- Elischer, S., and G. Erdmann (2012), <i>Regionalorganisation in Afrika – eine Bilanz (Regional Organizations in Africa – Taking Stock)</i>, GIGA Focus Afrika, 3, Hamburg: GIGA. - Erdmann, G., and S. Elischer (2012), <i>Südafrika, DGAP Jahrbuch (South Africa, DGAP Yearbook)</i>, Oldenburg: Oldenburg Verlag, 223-232. - Erdmann, G. (2010), Verantwortung oder Interesse? Die Rolle Südafrikas in der Region (Responsibility or Interest? South Africa’s Role in the Region), in: W. Distler and K. Weissenbach (eds), <i>Konsolidierungsprojekt Südafrika. 15 Jahre Post-Apartheid</i>, Baden-Baden: Nomos, 207–226. - Erdmann, G. (2009), Südafrika: Regionaler Hegemon, Mittel- oder Zivilmacht? (South Africa: Regional Hegemon, Middle Power or Civil Power?), in: J. Husar, G. Maihold, and S. Mair (eds), <i>Neue Führungsmächte: Partner deutsche Außenpolitik?</i>, Baden-Baden: Nomos, 99–121.</div>
Funding	<div>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): under review</div>
Duration	<div>2013–2015</div>

Project Description

Research Questions	<div>- Does the level and the scope of de facto regionalism vary across different regional organizations in Africa? - What explains the different degrees of de facto regionalism in sub-Saharan Africa?</div>
Contribution to International Research	<div>Since the end of the Cold War, research on regionalism – regional cooperation and regional integration between states – outside the EU has surged. Despite a few initial works, the study of regionalism in Africa has been neglected in the growing literature on “new regionalism”. Previous studies on regional cooperation and integration in sub-Saharan Africa were often confined to individual case studies or a particular theoretical approach. They were further limited by their focus on the formal level of regionalism. This project thus provides a systematic comparison of the degree of de facto regionalism among all regional organizations in sub-Saharan Africa. With regard to the scope of regionalism, the project examines regional cooperation and integration in three policy areas: economic, security and political. The degree of regionalism is examined with the help of indicators often used by scholars working on regionalism in other parts of the world. In a second step, the project will explain why different degrees and scopes of regionalism have occurred across the African continent. It will examine a number of potentially explanatory variables drawn from theoretically consistent models in the IR literature.</div>
Research Design and Methods	<div>The project aims to enrich the study of comparative regionalism by providing an empirically grounded analysis of the scope and degree of regionalism in Africa. In doing so, it will also contribute to the discipline of international relations, which has not devoted sufficient attention to the study of interstate relations in Africa.  The project applies research methods generally associated with small-N comparisons. It combines conventional nominal comparisons across cases with within-case comparisons (Gerring 2007; Mahoney 2000). The project treats the level of integration in each policy sphere (economic/security/political) as a unit of analysis.  The nominal comparison enables the elimination of potential explanatory variables and an assessment of the validity of hypotheses (Mahoney 2000). Due to the smaller number of cases and the complexity of social phenomena such as intrastate cooperation, we expect a combination of variables to match with the outcome of interest.  The project subsequently examines the explanatory power of these variables with the help of within-case analysis. It applies two procedures: pattern matching and causal narratives. Pattern matching has been specifically designed to evaluate causal patterns derived from cross-case analyses. It enables the in-depth analysis of individual cases to see if they match the expected pattern of causality (Campbell 1975). In this manner, the project narrows the range of potential explanations or – if we identify new variables at the level of individual cases – at least enhances confidence that the explanatory analysis includes all the potential explanatory variables (Mahoney 1999; 2000). In order to confirm or falsify the causal inferences from our cross-cases comparisons, we conduct cross-case comparisons of within-case chronologies (for examples see Haydu 1998; Mahoney 1999; Yashar 1997).</div>
Preliminary Results	<div>The preliminary research indicates that the degree and the scope of regionalism differ significantly (Elischer and Erdmann 2012).</div>



Is Regionalism Contagious? Regional Integration and the Diffusion of Institutions and Policies

>> Anja Jetschke

Project Goals	<ul style="list-style-type: none"><li>- To develop and continuously update a database on the formal organizational structure of regional organizations across five world regions.</li><li>- To test a series of theoretically derived hypotheses on the diffusion of institutions and policies among regional organizations.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Diffusion</li><li>- Theories of international relations</li><li>- Causal mechanisms of diffusion (learning, mimicry, emulation)</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Cross-Regional Comparison</li><li>- Time Dimension: Longitudinal Study</li><li>- Spatial Dimension: Global</li><li>- Level of Analysis: Organizations</li><li>- Number of Cases: Large-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Databases (Comparative Regional Organizations Project (to be established))</li><li>- Data Processing: STATA</li><li>- Data Analysis: Content Analysis, Network Analysis, Regression Analysis</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Dr. Tanja Börzel and Prof. Dr. Thomas Risse, “The Transformative Power of Europe” Kolleg-Forschergruppe, Free University of Berlin</li><li>- Prof. Dr. Liesbet Hooghe, Free University of Amsterdam</li></ul>
Teachings	<ul style="list-style-type: none"><li>- “Comparative Regionalism Research in International Relations”, Summer Semester 2012, University of Göttingen</li><li>- “International Relations”, Summer Semester 2012, University of Göttingen</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- “How Does Europe Diffuse? – Comparative Regionalism and the Causal Mechanisms of Diffusion”, Workshop for the “The Transformative Power of Europe” Kolleg-Forschergruppe, Berlin, 18 November 2010</li></ul>
Publications	<ul style="list-style-type: none"><li>- Jetschke, A., and P. Murray (2012), Diffusing Regional Integration: The EU and Southeast Asia, in: <i>West European Politics</i>, 35, 1, 174–191.</li><li>- Jetschke, A., and T. Lenz (2011), Vergleichende Regionalismusforschung und Diffusion: Eine neue Forschungsagenda (Comparative Regionalism Research and Diffusion: A New Research Agenda), in: <i>Politische Vierteljahresschrift</i>, 52, 3, 448–474.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation</li></ul>
Duration	2013–2016

Project Description

Research Questions	<p>There is evidence that institutional designs impact on the decisions of institutional designers in other regional organizations. Institutional designs of regional organizations are not only influenced by bargains among contiguous states, but by trends, ideas and models adopted from other regional organizations. Against this background the project investigates the following core questions:</p> <ul style="list-style-type: none"><li>- What determines the institutional design of regional organizations?</li><li>- How can we explain similarities in institutional design among regional organizations?</li></ul>
Contribution to International Research	<p>The existing research on regional integration and regional institutions has generally neglected diffusion processes among regional organizations This has occurred for two reasons:</p> <p>First, most regional integration studies have focused on explaining the differences in de facto regional integration among regional organization schemes. Even where they have noticed the similarities in institutional design or referred to attempts by member states to replicate other organizations' successes (in most cases the EU), 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.</p> <p>A second reason is methodological: For analytical purposes, the approaches outlined above have conceptualized regional organizations 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 organizations 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 organizations. The choices are frequently based on decision-makers' perceptions of other regional organizations or these organizations' model character. In contrast to the existing research, this research project therefore argues that as a first step, it is necessary to conceptualize regional organizations 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 organizations.</p> <p>This project will systematically collect data on the formal organizational characteristics of regional organizations in order to (1) determine how similar these organizations 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.</p>
Research Design and Methods	<p>The project will develop and continuously update a database on the formal structure and content of regional organizations' agreements. The survey will involve two distinct survey steps, which will result in two different data sets. We will establish a data set of coded agreements that allows us to survey the formal structure of any regional organization. For this data set, we will construct a novel survey tool. We will also develop “documentary chronologies” of all regional organizations in our sample. These chronologies will be used to construct a data set of “agreement events”, which denote that a regional organization has been established or changed (change=1, no change=0). This data set will allow us to determine the rates of change for regional organization agreements.</p>

The Impact of the Emerging Asian Powers on Global Constitutionalization: China and India as Regional Challengers

>> Nele Noesselt

Project Goals	<ul style="list-style-type: none"><li>- To evaluate the role and impact of rising (regional) powers on processes of global constitutionalization.</li><li>- To map “non-Western” normative reflections on global constitutionalization.</li><li>- To analyse the interplay between national, regional and global realms in the context of global constitutionalization (China/India/Europe/US).</li><li>- To analyse intraregional and interregional normative convergence and divergence in global governance (China/India/Europe/US).</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Theories of global governance</li><li>- Theories of (global) constitutionalization</li><li>- Theories of international law</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Interregional Comparison, Intraregional Comparison</li><li>- Time Dimension: Cross-Sectional Study</li><li>- Spatial Dimension: National, Regional, Global</li><li>- Level of Analysis: Individuals, Organizations, Countries</li><li>- Number of Cases: Small-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Documents (newspaper articles, political documents (official reports/declarations/statements)), Databases (Cross Asia)</li><li>- Data Processing: Atlas.ti</li><li>- Data Analysis: Discourse Analysis, Grounded Theory</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Dr. Antje Wiener, University of Hamburg</li><li>- Prof. Dr. Zhang Yongjin, Bristol</li><li>- Prof. Dr. Jin Canrong, Renmin University, Peking</li></ul>
Teachings	<ul style="list-style-type: none"><li>- “Regional Integration in East Asia”, University of Vienna, Summer Semester 2011</li><li>- “Chinesische Außenpolitik und IB-Konstellationen in (Ost)Asien (Chinese Foreign Policy and IR Constellations in (East) Asia)”, University of Göttingen, Winter Semester 2010/11</li><li>- “Transition and Transformation in Greater China”, University of Vienna, Winter Semester, 2010/11</li><li>- “Das politische System der VR China: Modernisierung und Professionalisierung seit 1992 (The PR Republic of China’s Political System: Modernization and Professionalization since 1992)”, University of Vienna, Winter Semester 2009/10</li><li>- “Governance in China”, University of Vienna, Winter Semester 2008/09</li><li>- “Chinese Foreign Policy in Transition”, University of Vienna, Summer Semester 2008</li></ul>
Workshops/ Conferences	<ul style="list-style-type: none"><li>- “Beyond Westphalia?”, paper presented at BISA-ISA Joint Conference 2012, Edinburgh, 22 June 2012</li><li>- “Fragmented Hegemony, Limited Anarchy: Alternative Blueprints for a Post-Crisis World Order”, paper presented at WISC Conference 2011, Porto, 19 August 2011</li><li>- “Interregional Visions of Global Governance? ASEM 8 and the Global Financial Crisis”, paper presented at WISC Conference 2011, Porto, 19 August 2011</li></ul>
Knowledge Transfer	<ul style="list-style-type: none"><li>- “China als neue globale Gestaltungsmacht: Partner und Konkurrent Deutschlands (China as a New Global Power: Germany’s Partner and Competitor)”, GIGA Forum, 18 July 2012</li><li>- “Die Beziehungen zwischen der EU und China auf dem Prüfstand (The EU–China Relationship being Put to the Test)”, GIGA Forum, 7 December 2011</li></ul>
Publications	<ul style="list-style-type: none"><li>- Noesselt, N. (2012), <i>Zeitenwende in der internationalen Politik? (The Dawn of a New Age in International Politics?)</i>, GIGA Focus Global, 6, Hamburg: GIGA.</li><li>- Noesselt, N. (2012), Security Spirals and Threat Perceptions: China and (Non-)Collective Security, in: R. Frank et al. (eds), <i>Korea and East Asia, The Stony Road to Collective Security</i>, Leiden: Brill, 59-82.</li><li>- Noesselt, N. (2012), <i>Chinese Perspectives on International Power Shifts and Sino–EU Relations (2008–2011)</i>, GIGA Working Papers, 193, Hamburg: GIGA.</li><li>- Noesselt, N. (2012), <i>Is There a “Chinese School” of IR?</i>, GIGA Working Papers, 188, Hamburg: GIGA.</li><li>- Noesselt, N. (2010), Entre particularité et universalité: A la recherche d’un paradigme chinois, in: Hélène Pellerin (ed.), <i>La Perspective en Relations Internationales</i>, Montréal: Athéna, 49–67.</li><li>- Noesselt, N. (2010), <i>Alternative Weltordnungsmodelle? IB-Diskurse in China (Alternative Models of the World Order? IR Discourses in China)</i>, Wiesbaden: VS Verlag.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation</li></ul>
Duration	2013–2014

Project Description

Research Questions	<ul style="list-style-type: none"><li>- What are China’s and India’s perspectives (at the level of ideas) on global (financial) governance?</li><li>- Do their normative principles and theory frameworks converge? Are there any common “Asian values” that determine their approach to global politics?</li><li>- Or do the differences in their political systems and their cultural-historical backgrounds result in two disparate sets of “Asian norms”?</li><li>- Has the formation and institutionalization of the BRICS countries resulted in the coordination of China’s and India’s (the two Asian BRICS countries) strategic interests and normative approaches to global politics? Or have (unsolved) territorial disputes and geostrategic competition impeded the formulation of a joint position?</li><li>- What have China’s and India’s contributions (in terms of political concepts) to the construction of a “new” global (financial) system been? What are China’s and India’s positions within multilateral frameworks (finance/economy: G 20; World Bank; IMF)? Does multilateral bargaining between the old and the new power centres result in a synthesis of their normative frameworks?</li></ul>
Contribution to International Research	<p>The issues of rule acceptance and compliance with international law dominate the international academic debate on global constitutionalization. In general, the literature assumes a clash of normative principles between Eastern and Western civilizations as well as between the Global North and the Global South. This research project will move beyond the black-and-white “end of history” (Fukuyama) versus “clash of civilizations” (Huntington) typology. Not only will it contrast “Asian” and “European” perspectives on the constitutionalization of (a new) global order, but it will also outline cross-regional normative convergences and intraregional (China vs. India) divergences.</p>
Research Design and Methods	<p>Furthermore, in political philosophy, global rule-making and global governance are discussed in relation to the issue of legitimacy (Habermas, Forst). These rather philosophical studies have so far primarily focused on access to participation and the role of the global civil society. The generally agreed upon model of (legitimate) global governance is based mainly on the founding principles of (“Western”) democratic nation states. Although some studies admit that other political regimes might try to advance a different normative configuration of global politics, these non-Western perspectives and theory frames have not been systematically documented. The project tries to close this gap by examining Chinese and Indian political philosophy in the fields of global governance and global constitutionalization.</p> <p>The project will undertake a discourse analysis of Chinese and Indian academic debates on global constitutionalization (monographs, edited volumes, conference proceedings) and official political discourses (speeches, declarations, statements). In addition to the critical analysis of printed materials, the researchers will conduct expert interviews. The project follows a multilevel approach: It starts from the level of two selected rising powers (China, India), continues to the intra- and cross-regional dimension (BRICS), and finally shifts to the level of global politics (case study: global financial governance).</p> <p>The project is embedded in the Constitutionalism Unbound research project (project leader: Prof. Dr. Antje Wiener, University of Hamburg); the research design follows the theoretical “roof” of constitutional triangulation, which was developed during several joint meetings and workshops in Hamburg and Berlin (2011–2012).</p>

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

>> Detlef Nolte, Leslie Wehner

Project Goals	<ul style="list-style-type: none"><li>- 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 (= constitutionalization).</li><li>- To explore the constitutional quality of regional governance structures in South America by combining the analytical dimension of constitutionalization 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.</li></ul>
Theoretical Approaches	<ul style="list-style-type: none"><li>- Social constructivism (the influence of norms).</li><li>- Neorealism</li><li>- Global constitutionalism</li></ul>
Research Design	<ul style="list-style-type: none"><li>- Comparative Design: Intraregional Comparison</li><li>- Time Dimension: Longitudinal Study</li><li>- Spatial Dimension: National, Regional, Global</li><li>- Level of Analysis: Countries, Regional Organizations</li><li>- Number of Cases: Single Case Study, Small-N Analysis</li></ul>
Methods	<ul style="list-style-type: none"><li>- Data Collection: Interviews, Documents (green papers from regional organizations, regional organizations foundational declarations, summit declarations, official documents from regional organizations and member states, regional organizations' and states' press declarations)</li><li>- Data Analysis: Content Analysis, Process Tracing</li></ul>
Cooperation Partners	<ul style="list-style-type: none"><li>- Prof. Dr. Antje Wiener, University of Hamburg</li><li>- Dr Brigitte Weiffen, University of Konstanz</li></ul>
Workshops/Conferences	<ul style="list-style-type: none"><li>- "Foreign and Security Policies in Regional Organizations", panel at the General ECPR Conference, Bordeaux 2013, (organizers: L. Wehner, B. Weiffen)</li><li>- "Overlapping Security Institutions in South America: The Case of UNASUR and OAS", paper presented at the 2012 LASA Congress, San Francisco, California, 23–26 May 2012 (L. Wehner, D. Nolte, B. Weiffen)</li><li>- "Institutional Overlapping in Regional Security Organizations: The Case of UNASUR and the OAS", paper presented at the IPSA World Congress, Madrid, 8–12 July 2012 (L. Wehner, D. Nolte, B. Weiffen)</li></ul>
Publications	<ul style="list-style-type: none"><li>- Nolte, D. (2011), Regional Powers and Regional Governance, in: N. Godehardt, and D. Nabers (eds), <i>Regional Powers and Regional Orders</i>, London: Routledge, 49–67.</li><li>- Nolte, D., and L. Wehner (2013), UNASUR and Regional Security Governance in the Americas, in: A. Wenger and S. Aris (eds), <i>Regional Organizations and Security: Conceptions and Practices</i>, New York: Routledge, forthcoming.</li><li>- Nolte, D., and A. Schilling-Vacaflor (eds) (2012), <i>New Constitutionalism in Latin America. Promises and Practices</i>, Oxon/New York: Ashgate.</li><li>- Nolte, D., L. Wehner, and D. Flesmes (2011), Una comunidad de seguridad regional en formación: la UNASUR y su Consejo de Defensa, in: <i>Estudios Internacionales</i>, 44, 170, 105–127.</li><li>- Wehner, L. (2011), Roles and Actions of Leadership: Brazil and the South American Others, in: N. Godehardt, and D. Nabers (eds), <i>Regional Powers and Regional Orders</i>, London: Routledge, 137–154.</li></ul>
Funding	<ul style="list-style-type: none"><li>- Deutsche Forschungsgemeinschaft (DFG) (German Research Foundation): in preparation</li></ul>
Duration	2012–2016

Project Description

Research Questions	<p>The project maps and assesses constitutional quality at the regional level, using South America, and specifically UNASUR, as a case study. While there are different subregional organizations in South America, UNASUR is seen as the core of regional governance in the region. It establishes norms/rules for the region and coordinates state activities. Therefore, 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:</p> <ul style="list-style-type: none"><li>- How is constitutionalization unfolding in South America?</li><li>- To what degree is regional governance in South America constitutionalized?</li><li>- What is the constitutional quality of the norms and policies that UNASUR supports and puts into practice?</li></ul>
Contribution to International Research	<p>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.</p>
Research Design and Methods	<p>This project will use qualitative methods, that is, process tracing, to detect and analyse situations of constitutionalization and contestation. First, it will trace the trajectory of regional organizations and regional governance structures in South America, and will explore whether there are elements of a regional international society in South America based on common values, norms and rules. Here the project will identify historical periods of tectonic strain (moments of contestation), when new practices and norms emerged and interacted with the previously existing ones. Second, the authors will develop an analytical scheme to capture the constitutionalization of regional governance institutions. Third, the project will explore the constitutional quality of regional governance structures in South America by combining the analytical dimension of constitutionalization with the analytical dimension of contestation about the content, interpretation and application of norms, both within the regional context and in differentiating the regional realm from the global realm. The researchers will study these situations of contestation regarding the application of norms using the following categories: norm-mimicking, norm-adaptation, norm-rejection and norm-creation. These categories will allow us to account for the degrees and types of contestations. In addition, they will provide a basis for systematization as well as for studying variance in constitutional quality in moments of contestation. Finally, the authors will analyse whether state and non-state actors recognized the authority of the key institutions within the framework of regional governance as legitimate or whether regional governance is being politicized in South America.</p>



## >> Research Programme 4: Selected Publications 2012

### Articles in Refereed Journals

- Betz, Joachim (2012), India and the Redistribution of Power and Resources, in: *Global Society*, Special Issue, 26, 3, 387–405.
- Hanif, Melanie, Dirk Nabers, and Phil Nel (2012), Introduction: Regional Powers and Global Redistribution, in: *Global Society*, Special Issue, 26,3, 279–287.
- Jetschke, Anja, and Philomena Murray (2012), Diffusing Regional Integration: The EU and East Asia, in: *West European Politics*, 35, 174–191.
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- Hein, Wolfgang, and Theo Mutter (2012), Die Kontrolle nicht-beherrschter Räume: Widersprüche neoliberaler Globalisierung und die Rolle der Entwicklungspolitik (The Control of Non-Governed Spaces: The Contradictions of Neoliberal Globalization and the Role of Development Politics), in: *Peripherie. Zeitschrift für Politik und Ökonomie in der Dritten Welt*, 122/123, 318–345.
- Never, Babette (2012), Who Drives Change? Comparing the Evolution of Domestic Climate Governance in India and South Africa, in: *Journal of Environment and Development*, 21, 3, 362–387.
- Shim, David, and Dirk Nabers (2012), Imaging North Korea: Exploring its Visual Representations in International Politics, in: *International Studies Perspectives*, Early View, 7 Sept 2012, DOI 10.1111/j.1528-3585.2012.00493.x.

### Contributions to Edited Volumes

- Betz, Joachim (2012), Neue Regionale Führungsmächte und Dritte Welt (New Regional Powers and the Third World), in: Flesmes, Daniel, Dirk Nabers, and Detlef Nolte (eds), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag, 209–236.
- Bodemer, Klaus (2012), Argentinien's Krisenerfahrung (Argentina's Experience with Crisis), in: Braml, Josef, Stefan Mair, and Eberhard Sandschneider (eds), *Außenpolitik in der Wirtschafts- und Finanzkrise*, München Oldenbourg Verlag, 83–94.
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- Destradi, Sandra (2012), Die Analyse außenpolitischer Strategien von Regionalmächten (Analysing the Foreign Policy Strategies of Regional Powers), in: Flesmes, Daniel, Dirk Nabers, and Detlef Nolte (eds), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag, 137–153.
- Erdmann, Gero, and Sebastian Elischer (2012), Südafrika: historische Lasten (South Africa: Historical Burdens), in: Braml, Josef, Stefan Mair, and Eberhard Sandschneider (eds), *Außenpolitik in der Wirtschafts- und Finanzkrise*, München Oldenbourg Verlag, 223–232.

- Flesmes, Daniel (2012), Liderazgo Contestado (Contested Leadership), in: Vieira, Marco, Maria Lima de Soares, and Monica Hirst (eds), *Vozes do Sul e Agenda Global*, Sao Paulo: Hucitec.
- Flesmes, Daniel, and Thorsten Wojczewski (2012), Sekundärmächte als Gegenspieler regionaler Führungsmächte? Fehlende Gefolgschaft in Südamerika, Südasien und Subsahara-Afrika (Secondary Powers as Rivals of Regional Powers? Contested Leadership in South America, South Asia, and Sub-Saharan Africa), in: Flesmes, Daniel, Dirk Nabers, and Detlef Nolte (eds), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag, 155–184.
- Godehardt, Nadine (2012), Regionen und Regionale Ordnungen in den Internationalen Beziehungen (Regions and Regional Orders in International Relations), in: Flesmes, Daniel, Dirk Nabers, and Detlef Nolte (eds), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag, 53–74.
- Hanif, Melanie (2012), Zum Stand der Debatte um das Machtkonzept im Forschungskontext regionaler Führungsmächte (The Concept of Power in the Study of Regional Powers), in: Flesmes, Daniel, Dirk Nabers, and Detlef Nolte (eds), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag, 99–118.
- Hein, Wolfgang, and Ilona Kickbusch (2012), Global Health Governance and the Intersection of Health and Foreign Policy, in: Schrecker, Ted (ed), *The Ashgate Research Companion to the Globalization of Health*, Farnham: Ashgate, 205–227.
- Jetschke, Anja (2012), Asian Values from a European Perspective, in: Christiansen, Thomas, Emil Kirchner, and Philomena Murray (eds), *Handbook of EU-Asian Relations*, New York: Palgrave McMillan.
- Kappel, Robert (2012), Zur Ökonomie der Regional Powers (The Economies of Regional Powers), in: Flesmes, Daniel, Dirk Nabers, and Detlef Nolte (eds), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag, 237–263.
- Nolte, Detlef (2012), Regionale Führungsmächte: Analysekonzepte und Forschungsfragen (Regional Powers: Analytical Concepts and Research Questions), in: Flesmes, Daniel, Dirk Nabers, and Detlef Nolte (eds), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag, 17–52.
- Nolte, Detlef, and Christina Stolte (2012), Brasilien: Aufstieg vom Schuldenstaat zur Wirtschaftsmacht (Brazil: From Debtor Nation to Economic Power), in: Braml, Josef, Stefan Mair, and Eberhard Sandschneider (eds), *Außenpolitik in der Wirtschafts- und Finanzkrise*, München: Oldenbourg Verlag, 104–113.
- Noesselt, Nele (2012), Security Spirals and Threat Perceptions: China and (Non-)Collective Security, in: Frank, Rüdiger, and John Swenson-Wright (eds), *Korea and East Asia, The Stony Road to Collective Security*, Leiden: Brill, 59–82.
- Prys, Miriam (2012), Die „Einbettung“ von Regionen in das internationale System: Diskussion der Konsequenzen für Regionalmächte am Beispiel Indiens (The Consequences for Regional Powers of Regional “Embedding” in the International System – the Indian Example), in: Flesmes, Daniel, Dirk Nabers, and Detlef Nolte (eds), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag, 185–208.
- Scholvin, Sören (2012), Regionale Führungsmächte und ihre Regionen: Zugänge der Geopolitik (Regional Powers and their Regions: Geopolitical Approaches), in: Flesmes, Daniel, Dirk Nabers, and Detlef Nolte (eds), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag, 75–97.



>> Research Programme 4:  
Selected Publications 2012

Monographs and Edited Volumes

- Destradi, Sandra (2012), *Indian Foreign and Security Policy in South Asia: Regional Power Strategies*, London and New York: Routledge.
- Flandes, Daniel, Dirk Nabers, and Detlef Nolte (eds) (2012), *Regionale Führungsmächte – Theorien und Forschungsperspektiven*, Baden-Baden: Nomos Verlag.
- Nel, Phil, Dirk Nabers, and Melanie Hanif (eds) (2012), *Regional Powers and Global Redistribution*, special issue of *Global Society*, 26,3.
- Prys, Miriam (2012), *Redefining Regional Power in International Relations: Indian and South African Perspectives*, London and New York: Routledge.
- Prys, Miriam (2012), *Variations in Regional Powers: Domination, Hegemony, Detachment*, London and New York: Routledge.

// ACADEMIC STAFF



>> Academic Staff

Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
Ansorg, Nadine	IAA	RP 2	Sub-Saharan Africa	Post conflict transformation and peace consolidation, regional dynamics of conflict and violence, war studies
Bank, André	IMES	RP 2	Jordan, Syria, Palestine/ Israel, Turkey (Near East Politics)	Authoritarianism, statehood, processes of war and peace, regional conflicts and regional order
Basedau, Matthias, Dr.	IAA	RP 1 RP 2	Sub-Saharan Africa, Mali, Niger, Chad, Botswana	Resources conflicts, religion and violent conflict, civil-military relations, political institutions
Betz, Joachim, Prof. Dr.	IAS	RP 1 RP 2	South Asia, India, Sri Lanka	Official development aid, social policy, economy, political development
Bondes, Maria	IAS	RP 1	China	Internet and social movements, social activism, environmental politics, ideology and legitimacy
Brod, Magnus C. M.	IAS	RP 3 RP 4	China	Development, economic sociology and economic history
Buitrago Bascopé, Miguel A., Dr.	ILAS	RP 1	Bolivia, Andean Region (sp. Peru, Ecuador), South America	Decentralization, democratic consolidation, democratic institutions, Bolivian society, social movements, weak or fragile states

Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
De Juan, Alexander, Dr.	IMES	RP 2	Middle East, Sudan	Institutions in intra-state conflicts, religion and ethnicity in intra-state conflicts, external state-building efforts in fragile states
Destradi, Sandra , Dr.	IAS	RP 2 RP 4	India, South Asia	India's foreign and security policy, International Relations in South Asia, war and peace processes, Regions and regional Powers
Elischer, Sebastian, Jun.-Prof. Dr.	IAA	RP 1	Ghana, Kenya, Cameroon, Niger, Namibia	Systemic comparisons of hybrid regimes in Africa
Erdmann, Gero, PD Dr.	IAA	RP 1	Ghana, Kenya, Malawi, Namibia, South Africa, Tanzania, Zambia	Democracy and democratization, political parties, civil society, co-operative societies, traditional rule, human rights
Flemes, Daniel, Dr.	ILAS	RP 4	South America, especially Brazil, IBSA and BRIC states	Foreign and security policies, regional powers, regional cooperation, defence and armaments policies
Fürtig, Henner, Prof. Dr.	IMES	RP 2	Iran, Iraq, Saudi Arabia, Egypt	Domestic and foreign policy, social and political transformation, democratisation, programs and structures of political Islam
Garling, Stephanie	IAS	RP 4	Bangladesh	Foreign aid, religion and politics, critical theory, discourse analysis
Gephart, Malte	ILAS	RP 4	Latin America	Corruption and Anti-Corruption Programmes, processes of political participation, discourse theory and analysis, international cooperation for development

Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
Giesbert, Lena	IAA	RP 3	East Africa, Ghana, Kenya, Uganda	Poverty and economic development, micro-level poverty traps, social protection, microfinance, microinsurance, employment and well-being, informal sector
Giese, Karsten, Dr.	IAS	RP 3	PR China, Taiwan	Migration, socio-cultural change, Internet
Grauvogel, Julia	IAA	RP 2	West Africa	International sanctions, persistence and change of autocratic regimes, qualitative methods, framing
Gundlach, Erich, Prof. Dr.	IAS	RP 3	Asia	International productivity differences, global transitions
Haasnoot, Cornelis W.	IAS	RP 3	Asia	Fiscal federalism
Haaß, Felix	IAA	RP 2	Africa	Peacebuilding, coordination and effectiveness of UN peace operations, institution building in post-conflict societies
Hahn, Kristina, Dr.	ILAS	RP 4	Latin America	Contested World Orders, NGOs in Global Governance, Theories of power in international relations
Harteisen, Mirjam	ILAS	RP 3	Latin America	Environmental and developmental economics, international climate policy, landgrab
Hein, Wolfgang, Prof. Dr.	ILAS	RP 3	Latin America	Agriculture and development, technology and industrial promotion, development theories, environmental problems, health

Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
Hettig, Elisabeth	IAS	RP 3	Indonesia, Sumatra	Modelling the socio-economic driver of land-use change at rainforest margins
Heyl, Charlotte	IAA	RP 1	West Africa	Judicial independence in West Africa, accountability institutions in processes of democratization
Hoffmann, Bert, Dr.	ILAS	RP 1	Latin America, Cuba	State and civil society, political implications of digital media use, transnational migration and diaspora policies, EU-Latin America relations
Holbig, Heike, Prof. Dr. (on leave)	IAS	RP 1	PR China, SAR Hong Kong	Domestic policy, interest politics in China's business sector, political legitimacy
Iskander, Elizabeth, Dr.	IMES	RP 4	Egypt, Iran, Turkey	Arabic media, politics of identity and power in the Middle East, Egyptian politics and society, Arab-Iranian relations, sectarianism, the politics of religion, conflict prevention
Jetschke, Anja, Prof. Dr.	IAS	RP 4	Asia	International Relations, comparative regionalism, transitional justice
Kappel, Robert, Prof. Dr.	GIGA	RP 3	Africa	Globalization, developing countries in the global economy, corporate strategy
Köllner, Patrick, Prof. Dr.	IAS	RP 1	Japan, North and South Korea	Formal and informal institutions, political parties and organizations

Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
Körner, Peter, Dr.	IAA	RP 2	Nigeria	Research project „Religion and Civil War: On the Ambivalence of Religious Factors in sub-Saharan Africa“
Koos, Carlo	IAA	RP 2	Sudan	South Sudan risk assessment, role of Uran in intrastate conflicts, geo-referential sub-national comparisons
Korte, Nina	IAS	RP 1	Indonesia, Philippines	State and public administration in Southeast Asia, formal and informal institutions, public finances
Krause, Jana	IAS	RP 2	Indonesia, Nigeria	Ethno-religious conflicts, peacebuilding, conflict transformation and security sector reform, gender dimensions of armed violence
Kurtenbach, Sabine, Dr.	ILAS	RP 2	Central America, Colombia	Postwar societies, violence and social change, Youth
Lay, Jann, Jun.-Prof. Dr.	ILAS	RP 3	Latin America	Economy, development, poverty, climate change, land grabbing, informal entrepreneurship
Linde, Sarah	IAS	RP 3	Sri Lanka, Uganda	Research project: „Employment, empowerment and living standards“
Llanos, Mariana, Dr.	ILAS	RP 1	Latin America, Argentina	Political institutions, presidentialism, Latin American congresses, political recruitment, President-Congress relations
Lucas, Viola	IMES	RP 1 RP 2	Middle East	Resilience of authoritarian rule, economic development theory, modernization theory and transformation theory



Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
Mähler, Annegret, Dr.	IAA	RP 2	Nigeria, Andean countries	Ethnicity, resource abundance and intrastate conflicts
Marfaing, Laurence, Dr.	IAA	RP 3	West Africa	Migration informale sector translocality
Mattes, Hanspeter, Dr.	IMES	RP 2	Libya, Algeria, Tunisia, Morocco, the Maghreb, the Sahel	Political systems and their transformation, aspects of stability, foreign policy, soft security problems
Mau, Karsten	IAS	RP 2	PR China	Trade, economic growth
Mehler, Andreas, PD Dr.	IAA	RP 1 RP 2	Frankophone Central and West Africa	Violent conflicts and their prevention, democratization processes, German and French Africa policy
Monteith, Will	IAA	RP 3	Burkina Faso, Uganda	Relationship between employment and well-being, empowerment and the capability approach, informal employment and migration
Neff, Daniel, Dr.	IAS	RP 3	South Asia, India	Economy and Society, socio-economic development, poverty, well-being
Noesselt, Nele, Dr.	IAS	RP 1 RP 4	China	Chinese foreign policy and China's role in world affairs, EU-China relations, Chinese IR theory, governance in China, transformation / transition of socialist systems
Nolte, Detlef, Prof. Dr.	GIGA	RP 1 RP 2	Latin America, especially Argentina, Chile, Mexico, Paraguay	Forms of government, developmental cooperation, EU-USA-LA relations
Nolte, Kerstin	IAA	RP 3	Africa	Research project „Land Grabbing and Sustainable Development“

Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
Ottmann, Martin, Dr.	IAA	RP 2	Africa	Research project „‘Power-Sharing’ in Post-Conflict Situations: On the Institutional Prerequisites for Lasting Peace“
Peetz, Peter, Dr.	GIGA/ ILAS	RP 2	Peru, Honduras	Insecurity, violence and discourses of violence, political, economic and social development, democracy issues
Pellicer, Miquel, Dr.	IMES	RP 3	Middle East	Causes of poverty and inequality in developing countries, economics of education, political economy, political clientelism, Islamist parties
Pierskalla, Jan	IAA	RP 2	Africa	Ethnicity, resources and conflict, urban and rural bias in the developing world, political economy and geography of development
Pohl, Birte, Dr.	IAA	RP 3	Africa	Research project: „The productivity effects of foreign direct investment (FDI) of North-South and South-South firms: The case of Sub-Saharan Africa“
Prediger, Sebastian	IAA	RP 3	Africa	Cooperation and social preferences, management of common-pool resources, informal sector
Prys, Miriam, Dr.	IAS	RP 4	Asia	Regional and emerging powers, global and regional environmental politics
Ranko, Annette (née Büchs)	IMES	RP 2	Egypt, Jemen	Political Islam, the Muslim Brotherhood, transnational Salafism, social movements

Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
Renner, Sebastian	ILAS	RP 3	Brazil, China, India, South Africa	Environmental and development economics, Poverty reduction and low carbon economic development
Richter, Thomas, Dr.	IMES	RP 1 RP 2	Mauretania, the small Gulf states, Egypt, Jordan	Rentier state theory, stability and change in authoritarian regimes, foreign trade reforms in developing countries, tourism sector and late-development
Rosiny, Stephan, Dr.	IMES	RP 2	Lebanon, Palestine, Egypt, Iraq	Political Islam and Islamic movements, Sunni-Shia relations, contemporary Shia Islam
Schilling-Vacaflor, Almut, Dr.	ILAS	RP 1	Bolivia, Ecuador, Peru	Constitutional changes in Latin America, human rights, rights of indigenous peoples, social inequality, research on conflict and peace
Schucher, Günter, Dr.	IAS	RP 1 RP 3	PR China, SAR Hong Kong	Social development, employment, social security, health, education
Schüller, Margot, Dr.	IAS	RP 3	PR China, SAR Hong Kong	Economic development, financial sector, industrial policy, EU and Asia
Schulz, Martin	IAS	RP 1	South Korea	Democratization process in South Korea, constitutional law, international law, human rights law, economic law
Shim, David, Dr.	IAS	RP 4	North East Asia	Visuality and international politics, security in Northeast Asia, innovation system and policy of South Korea
Sipangule, Kacana	IAA	RP 3	Indonesia, Zambia	Land use change modelling, smallholder agriculture production

Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
Soest, Christian von, Dr.	IAA	RP 1	Southern Africa, South Africa, Zambia, Botswana	Development policy, state and administration in sub-Saharan Africa, HIV/AIDS, Neopatrimonialism
Strasheim, Julia	IAA	RP 2	Sub-Saharan Africa	Interim governments in post-conflict societies, democratization, conflict resolution
Stroh, Alexander, Dr. des	IAA	RP 1	Francophone West Africa, mainly Benin, Burkina Faso and Togo; Rwanda	Political parties and party systems, political institutions in processes of democratization, comparative research on democracy
Sunik, Anna	IMES	RP 1	Middle East	Monarchies in the Middle East, International Relations and foreign policy analysis, comparative authoritarianism studies
Thiel, Alena	IAA	RP 3	Sub-Saharan Africa	Research project „Entrepreneurial Chinese Migrants and Petty African Entrepreneurs: Local Impacts of Interaction in Urban West Africa“
Tibi Weber, Cordula	IALS	RP 1	Chile, Paraguay	Judicial independence in Latin America
Trapp, Katharina	IAS	RP 3	Indonesia	Research project „Collaborative Research Centre 990: Ecological and Socioeconomic Functions of Tropical Lowland Rainforest Transformation Systems“
Ufen, Andreas, PD Dr. (on leave)	IAS	RP 1 RP 2	Indonesia, East Timor, Malaysia, Philippines, ASEAN	Democratization, islamization, political parties, weak states and political violence, regional integration

Name	Regional Institute	Research Programme	Regional Focus	Thematic Focus
Vüllers, Johannes, Dr.	IAA	RP 2	Sub-Saharan Africa (Tanzania, Côte d'Ivoire), Philippines, Sri Lanka	Religion in violent conflicts; mediation in civil wars; power-sharing in post-conflict countries
Wegenast, Tim, Dr.	ILAS	RP 2	Latin America, Brazil	Political economy, Inequality, natural resources and internal violence, institutional design
Wegner, Eva, Dr.	IMES	RP 1	Middle East	Political parties in developing countries, islamist parties, demand for redistribution, accountability in dominant party systems
Wehner, Leslie, Dr.	ILAS	RP 4	Argentina, Chile, Venezuela	UNASUR, regional integration, role theory and status, relationships of the US and regional powers
Zanker, Franzisca	IAA	RP 2	Sub-Saharan Africa	Research project „local arenas of power-sharing“

// GIGA DOCTORAL STUDENTS



Doctoral Students

## >> Doctoral Students

Name	Doctoral Thesis	Funding	Supervisor
Abb, Pascal	China's Foreign Policy and the Emergence of Institutional Multilateralism in East Asia	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Patrick Köllner (IAS)
Barrera, Anna	Change in indigenous / community law in the Andean Region and the legal protection of women	Cusanuswerk	Prof. Dr. Detlef Nolte (ILAS)
Borszik, Oliver	Visionary Approach – Conceptual Realization. Change and Continuity in the Islamic Republic of Iran's Claim to Leadership (1979-2009)	Evangelisches Studienwerk Villigst	Prof. Dr. Henner Fürtig (IMES)
Bothmann, Astrid	(No) Transitional Justice in Nicaragua. Reasons and consequences for not dealing with the past	Konrad-Adenauer-Foundation	Prof. Dr. Detlef Nolte (ILAS)
Burilkov, Alexandr	High Seas Challenge: Maritime Strategy in China, India and Iran	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Henner Fürtig (IMES)
Carpes, Mariana	Bringing the region in: a neoclassical realist approach for the study of rising powers nuclear strategies (working title)	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Detlef Nolte (ILAS)
Fraundorfer, Markus	Brazil's emerging influence in global sectoral governance	–	Prof. Dr. Wolfgang Hein (ILAS)
García, Daniela	Solar Energy and the Problem of Path Dependency in	DAAD Ph.D. Scholarship	Prof. Dr. Wolfgang Hein (ILAS)
Garzón, Jorge	Hierarchical Regional Orders: Theory, Politics and Strategies toward the Construction of Benign Regional Unipolarity	Friedrich-Ebert-Foundation	Prof. Dr. Detlef Nolte (ILAS)
Geise, Torsten	Power in Regional Security Governance Formation: Southeast Asia and the case of securing maritime trade (working title)	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Dirk Nabers (University of Kiel)
Hess, Natalie	The Strategic Partnerships between the European Union and Regional Powers (Brazil, India, South Africa)	Friedrich-Naumann-Foundation	Prof. Dr. Detlef Nolte (ILAS)



Name	Doctoral Thesis	Funding	Supervisor
Hoepfner, Maren	Emergence in world politics – the case of East Asia (working title)	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Dirk Nabers (University of Kiel)
Koß, Maren	Islamist Organizations and normative Change: Analyzing Hizbullah's and Hamas' Identity and Behavior	–	Prof. Dr. Henner Fürtig (IMES)
Nymalm, Nicola	From ‘Japan-Problem’ to ‘China-Threat’? Comparing the Discourses on Japan (1980-1995) and China (1995-2010) in the United States	GIGA Junior Research Fellow	Prof. Dr. Patrick Köllner (IAS)
Peters, Ina	Contentious Politics in the Brazilian Amazon: An analysis of the collective action against the Belo Monte Dam	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Detlef Nolte (ILAS)
Peters, Mascha	Media and Politics in South Korea. Assessing the Impact of Media in the Context of Political and Societal Transformation Processes	–	Prof. Dr. Patrick Köllner (IAS)
Plagemann, Johannes	On the Cosmopolitan Potential of Democratic Regional Powers - Normative Aspects of the Rise of the Rest	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Dirk Nabers (University of Kiel)
Prasad, Karolina	Identity and Institutions: ethnicity as the dependent variable in Malaysian and Indonesian Borneo (working title)	Cusanuswerk	PD Dr. Andreas Ufen
Rauland, Julia	The role of regional powers in regional integration processes – Brazil and South Africa in comparison	–	Prof. Dr. Detlef Nolte (ILAS)

Name	Doctoral Thesis	Funding	Supervisor
Rosales, María Isabel	Emigration Policies in Central America	DAAD Ph.D. Scholarship	Prof. Dr. Detlef Nolte (ILAS)
Scholvin, Sören	Regional Powers and their Regions – How to Define the Geographical Scope of Regional Powers?	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Joachim Betz (IAS)
Seemann, Miriam	Conflict Transformation in Bolivia - Irrigation conflicts in Cochabamba and Santa Cruz	Friedrich-Ebert-Foundation	Prof. Dr. Detlef Nolte (ILAS)
Soliz Landivar, Ana	The bilateral strategic partnerships of Argentina, Brazil and Venezuela with China (working title)	DAAD Ph.D. Scholarship	Prof. Dr. Detlef Nolte (ILAS)
Stolte, Christina	Brazil in Africa - Extraregional Engagement as Stepping Stone to Great Power Status?	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Detlef Nolte (ILAS)
Strüver, Georg	The Chinese Road to Power: (Cross-) Regional Networks and Influence in Global Politics" (working title)	VolkswagenFoundation	Prof. Dr. Detlef Nolte (ILAS)
Wodrig, Stefanie	Logics of regional interventions. Burundi and Zimbabwe as arenas of regional politics	GIGA Junior Research Fellow	Prof. Dr. Cord Jakobeit

Concluded Doctoral Studies 2012

Name	Doctoral Thesis	Funding	Supervisor
Buitrago Bascopé, Miguel A.	The effects of the decentralization process on the consolidation process of the Bolivian democracy	Fellow in the program for international students from Hamburg University and DAAD	Prof. Dr. Detlef Nolte (ILAS)
Eucker, Dennis	Development and Climate Change in the Mekong River Delta. A case study on poverty, vulnerability, and how adaptive capacity can be enhanced	–	Prof. Dr. Wolfgang Hein (ILAS)
Godehardt, Nadine	Regional Orders and Intertwined Actors. China's engagement in Central Asia, 2001-2010	GIGA Junior Research Fellow	Prof. Dr. Dirk Nabers (University of Kiel)
Haas, Nadine	Violence in Central American literature and other media	–	Prof. Dr. Markus Klaus Schöffauer (University of Hamburg)
Hanif, Melanie	The rise of regional powers and the changing legitimacy of regions in international relations. With a reconstruction of the Indian case	GIGA Junior Research Fellow, Friedrich-Ebert-Foundation	Prof. Dr. Joachim Betz (IAS)
Mähler, Annegret	Cursed by resource wealth? The political economy of oil in Latin America	GIGA Junior Research Fellow	Prof. Dr. Detlef Nolte (ILAS)
Meissner, Hannes	The Resource Curse and the Effect of Inter- and Transnational Initiatives to Enhance Accountability and Transparency over Revenues in Azerbaijan and Turkmenistan	Konrad-Adenauer-Foundation	Prof. Dr. Cord Jakobeit (University of Hamburg)
Never, Babette	Knowledge Systems and Change in Climate Governance: Comparing India and South Africa 2007-2010	Hamburg International Graduate School for the Study of Regional Powers	Prof. Dr. Cord Jakobeit (University of Hamburg)

Name	Doctoral Thesis	Funding	Supervisor
Ranko, Annette	The Egyptian Muslim Brotherhood under Mubarak (1981-2011): Transformation in the Process of Ideational Interaction with the State	Konrad-Adenauer-Foundation	Prof. Dr. Henner Fürtig (IMES)
Shim, David	Seeing is Believing: Imaging North Korean in International Politics	GIGA Junior Research Fellow	Prof. Dr. Dirk Nabers (University of Kiel)
Stroh, Alexander	Erfolgsbedingungen politischer Parteien in Afrika. Benin und Burkina Faso seit der Rückkehr zum Mehrparteiensystem (Factors of Success for Political Parties in Africa. Benin and Burkina Faso since the Return to a Multi-Party System)	GIGA Junior Research Fellow	Prof. Dr. Cord Jakobeit (University of Hamburg)
Vüllers, Johannes	Es sind noch keine Friedensengel vom Himmel gefallen... Friedensengagement von Religionsgemeinschaften in innerstaatlichen Gewaltkonflikten, 1990 bis 2009 (Peace Engagement of Religious Groups in Domestic Violent Conflicts 1990 – 2009)	GIGA Junior Research Fellow	Prof. Dr. Andreas Hasenclever (University of Tübingen)
Zeino-Mahmalat, Ellinor	Saudi Arabia's and Iran's Iraq Policies in the Post-Gulf War Era – Rethinking Foreign Policy Analysis in the Gulf at the Intersection of Power, Interests, and Ideas	Konrad-Adenauer-Foundation	Prof. Dr. Cord Jakobeit (University of Hamburg)

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Prof. Antje Wiener, Ph.D.	University of Hamburg, Institute for Political Science, Centre for Globalisation and Governance (CGG)



// ANNEX

>>

>> Cooperation Partners in Research Projects

1. Universities

- Aarhus University
- Australian National University
- Bar-Ilan University in Ramat Gan, Israel
- Bogor Agricultural University
- Chiang Mai University, Thailand
- China Foreign Affairs University, Beijing
- De La Salle University, Manila
- Delhi School of Economics
- Duke University
- East China Normal University, Shanghai
- European University Institute, Florence
- Facultad Latinoamericana de Ciencias Sociales (FLACSO), Quito, Santiago de Chile und San Jose
- Free University of Amsterdam
- Freie Universität Berlin / Collaborative Research Center 700
- Graduate School of Public Administration and Public Policy (EGAP)
- Harvard University
- Indiana University, Bloomington
- Jacobs University Bremen
- Jahangirnagar University, Savar, Dhaka
- Jawaharlal Nehru University, New Delhi
- Leibniz University Hannover
- Payap University, Chiang Mai
- Pontifica Universidade Catolica, Rio de Janeiro
- Pontifica Universidad Javeriana, Bogotá
- Renmin University, Beijing
- Rice University, Houston
- School of Oriental and African Studies (London)
- Singapore Management University
- Tadulaku University
- The Chinese University of Hong Kong
- Tongji University, Shanghai
- Tribhuvan University, Kathmandu
- UMB Norwegian University of Life Sciences
- Universidad Andina, Quito, Ecuador
- Universidad Central de Venezuela
- Universidad de Chile, Santiago de Chile
- Universidad Católica, La Paz, Bolivia
- Universidad Simón Bolívar, Caracas
- Universidad Torcuato di Tella, Buenos Aires
- Universidade de Brasilia

- Universidade Eduardo Mondlane, Maputo
- Universidade National Timor-Lorosae
- Universität Duisburg-Essen
- Universität Frankfurt
- Universität Göttingen
- Universität Greifswald
- Universität Hamburg
- Universität Heidelberg
- Universität Kiel
- Universität Konstanz
- Universität Marburg
- Univeristät Passau
- Universität Trier
- Universität Tübingen
- Universität Wien
- Universität Würzburg
- Universität Zürich
- Université Cheikh Anta Diop, Dakar
- Université d’Alger
- Université d’Abomey-Calavi, Benin
- Université de Bamako
- Université d’Oran
- University of Birmingham
- University of British Columbia
- University of California at San Diego
- University of Cape Town
- University of Durham
- University of Ghana
- University of Hildesheim
- University of Iowa
- University of Johannesburg, Institute for International Affairs
- University of Liège
- University of North Carolina at Chapel Hill
- University of Oxford
- University of Rotterdam
- University of Southern Denmark in Odense
- University of Stellenbosch, Südafrika
- University of Stockholm
- University of Tehran
- University of Texas at Austin
- Uppsala Universitatet

2. Research Institutes

- Al-Ahram Centre for Political and Strategic Studies, Cairo
- Al-Sharq Center for Regional and Strategic Studies, Cairo
- Archive the International Monetary Fund, Washington D.C.
- BRICS Policy Center
- Centre for Basic Research (CBR), Uganda
- Centre for Development and Environment (CDE ), University of Bern
- Centre for Latin American Research and Documentation (CEDLA), Amsterdam
- 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
- Centro de Estudios Judiciales del Paraguay, Asunción
- China Center for Comparative Politics and Economics, Beijing
- EU Institute for Security Studies (EUISS), France
- Fondazione Eni Enrico Mattei
- Fundacao Getulio Vargas, Rio de Janeiro, São Paulo
- German Institute for Economic Research (DIW), Berlin
- Hannah-Arendt-Institute, Dresden
- Institute for Peace Research and Security Policy (IFSH), Hamburg
- Institute for Intercultural and International Studies (InIIS), Bremen
- Institute for Defence and Security Analyses, New Delhi
- Institute of Asia-Pacific Studies, CASS, Beijing
- Institute of Policy Studies (IPS), Sri Lanka
- Institute of Strategic Studies, Islamabad
- International Institute of Social Studies (ISS), Netherlands
- Kiel Institute for the World Economy (ifw)
- Liu Institute for Global Issues, Canada
- Monterrey Institute of Technology and Higher Education
- National Institute of Development Administration, Thailand
- Peace Research Institute Frankfurt (HSFK)
- Peace Research Institute Oslo (PRIO), Norway
- Potsdam Institute for Climate Impact Research (PIK)
- School of Development Economics, National Institute of Development Administration (NIDA), Bangkok
- Stiftung Wissenschaft und Politik (SWP), Berlin
- South African Institute of International Affairs (SAIIA)
- Southern Institute for Sustainable Development/Vietnamese Academy of Social Sciences, Ho Chi Minh City, Vietnam
- The Graduate Institute Geneva, Centre of Conflict, Development and Peace-Building, Genf
- Wissenschaftszentrum Berlin (WZB)

>> Associations

Associations

- Africa-Europe Group for Interdisciplinary Studies (AEGIS)
- African Studies Association (ASA)
- American Political Science Association (APSA)
- Arbeitsgemeinschaft Deutsche Lateinamerika-Forschung (ADLAF)
- Arbeitsgemeinschaft für Pazifische Studien Aachen (APSA)
- Arbeitsgemeinschaft Kriegsursachenforschung (AKUF)
- Arbeitskreis sozialwissenschaftliche Chinaforschung (ASC)
- Arbeitskreis Politische Geographie
- Asia Europe Foundation (ASEF)
- Asociación Española de Ciencia Política y de la Administración (AECPA)
- Asociación Latinoamericana de Ciencia Política (ALACIP)
- Association for Korean Studies in Europe (AKSE)
- Association of Asian Studies
- British Association for Korean Studies (BAKS)
- British Association for Japan Studies
- British International Studies Association
- Chinesisch-Deutsche Gesellschaft
- Consejo Europeo de Investigaciones Sociales de América Latina /  
Europäischer Rat der sozialwissenschaftlichen Lateinamerika-Forschung (CEISAL)
- Deutsche Arbeitsgemeinschaft Vorderer Orient für gegenwartsbezogene Forschung und Dokumentation (DAVO)
- Deutsche Gesellschaft für Asienkunde (DGA)
- Deutsche Gesellschaft für Soziologie (DGS)
- Deutsche Vereinigung für Chinastudien
- Deutsche Vereinigung für Politische Wissenschaft (DVPW)
- Deutsch-Koreanisches Forum
- East Asian Economic Association
- Euro-Mediterranean Study Commission (EuroMeSCo)
- Europäische Arbeitsgemeinschaft für Lateinamerika-Information und -Dokumentation  
(REDIAL)
- European Alliance for Asian Studies (Asia Alliance)
- European Association for Chinese Studies (EACS)
- European Association for Japanese Studies (EAJS)
- European Association for Southeast Asian Studies (EASAS)
- European Association of Development Research and Training Institutions (EADI)
- European Consortium for Political Research (ECPR)
- European Economic Association (EEA)
- European Sociological Association

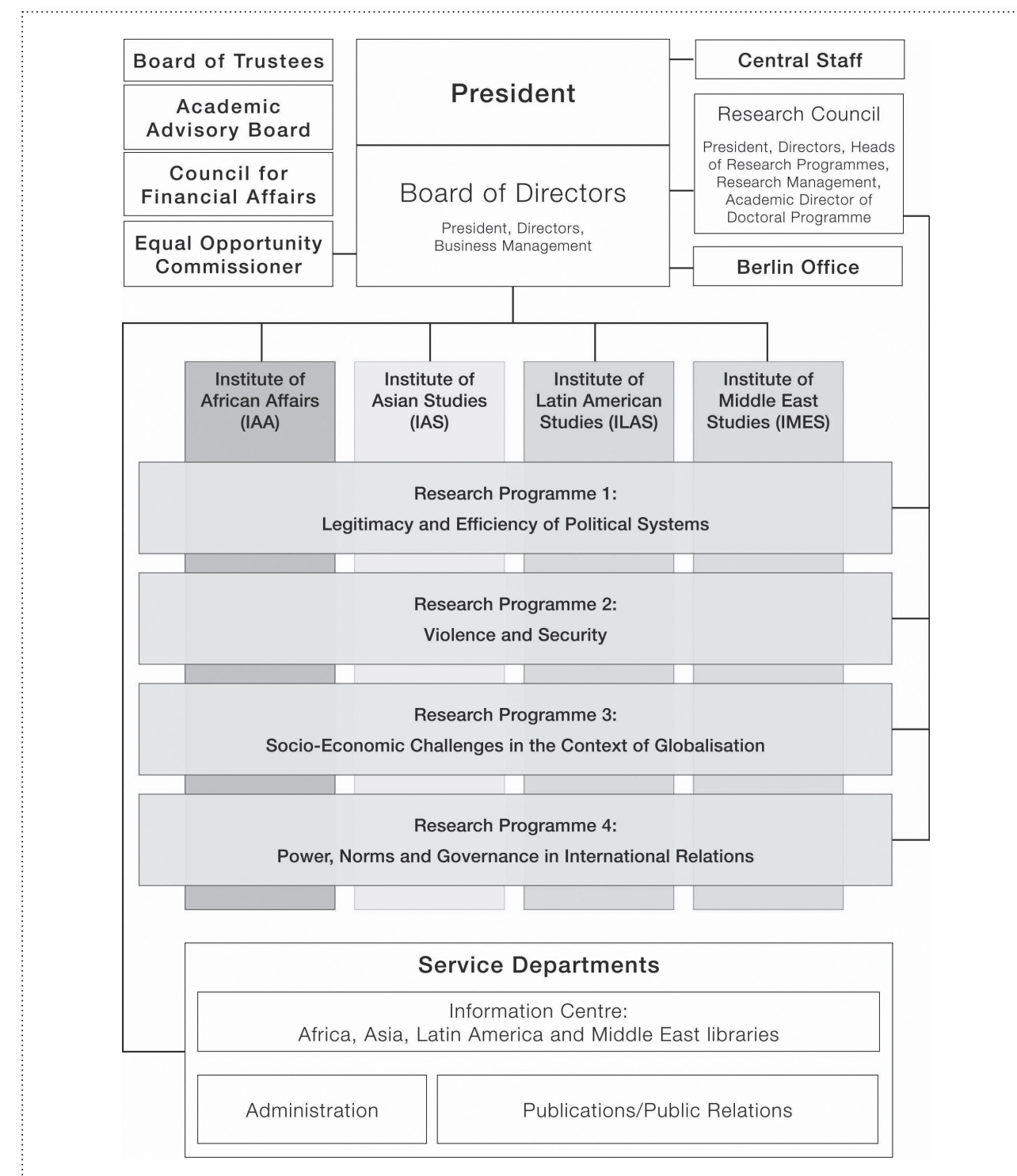
>> International Cooperation Agreements

- Forum Euroméditerranéen des Instituts de Sciences Economiques (Femise)
- German Academic Publishers e.V. (GAP)
- German Economists Association
- Human Development and Capabilities Association
- Inter-American Dialogue
- Interdisziplinärer Arbeitskreis für Entwicklungsländerforschung (IAfEF)
- International Institute of Sociology
- International Network of Economic Research (INFER)
- International Society for Cultural History
- International Studies Association (ISA)
- Latin American and Caribbean Economic Association
- Latin American Studies Association (LASA)
- Latin American Studies Association / Europe and Latin America Section (ELAS)
- Leibniz-Gemeinschaft (WGL)
- Middle East Economic Association (MEEA)
- Middle East Studies Association (MESA)
- 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 Netwok (PEGNet)
- Red Euro-Latinoamericana de Gobernabilidad para el Desarrollo (RedGob)
- Red de Seguridad y Defensa de América Latina
- Regional Powers Network (RPN)
- Social Science History Association (SSHA)
- Société des Africanistes
- Society of International Economic Law
- The Academy of Political Science (APA)
- Verein für Socialpolitik
- Vereinigung für Afrikawissenschaften in Deutschland (VAD)
- Vereinigung für sozialwissenschaftliche Japanforschung (VSJF)
- Wissenschaftliche Vereinigung für Entwicklungstheorie und Entwicklungspolitik

- Al-Ahram Center for Political and Strategic Studies (ACPSS), Cairo, Egypt
- Centro de Investigación y Docencia Económicas (CIDE), Mexico City, Mexico
- China Foreign Affairs University (CFAU), Beijing, China
- Department of Comparative Politics, University of Bergen, Norway
- Facultad Latinoamericana de Ciencias Sociales (FLACSO-Chile), Santiago de Chile, Chile
- Fundacao Getulio Vargas (FGV), Rio de Janeiro, Brazil
- Fundación Global Democracia y Desarrollo (FUNGLODE), Santo Domingo, Dominican Republic
- Fundación para las Relaciones Internacionales y el Diálogo Exterior (FRIDE), Madrid, Spain
- Ghana Center for Democratic Development (CDD), Accra, Ghana
- Institute for Defence Studies and Analysis (IDSA), New Delhi, India
- Instituto de Ciências Sociais da Universidade de Lisboa (ICS-UL), Lisbon, Portugal
- Instituto de Estudios Internacionales (IEI), Universidad de Chile, Santiago de Chile, Chile
- Pontificia Universidad Católica de Chile (PUC-Chile), Santiago de Chile, Chile
- Pontificia Universidade Católica do Rio de Janeiro (PUC-Rio), Rio de Janeiro, Brazil
- School of International Relations and Public Affairs, Fudan University, Shanghai, China
- Tongji University, Shanghai, China
- Universidad Autónoma del Estado de México (UAEM), Toluca, Mexico
- Universidad del Rosario, Bogotá, Colombia
- Universidad del Salvador (USAL), Buenos Aires, Argentina
- Universidad Santiago de Cali (USC), Cali, Colombia
- Universidad Torcuato Di Tella (UTDT), Buenos Aires, Argentina
- Universidade do Estado do Rio de Janeiro (UERJ), Rio de Janeiro, Brazil
- Universidade Federal de Minas Gerais (UFMG), Belo Horizonte, Brazil
- University of Brasília Foundation (FUB), Brasilia, Brazil
- University of Leeds, Great Britain
- University of Salamanca (USAL), Salamanca, Spain
- University of Sheffield, Great Britain
- University of Virginia, Charlottesville, USA



## >> GIGA Organizational Chart



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- Innovative comparative approaches along cross-cutting themes
- Active knowledge transfer to decision-makers in the political, economic and societal spheres and to the general public
- Extensive provision of information through the GIGA information centre, the largest non-university information centre for area studies and comparative area studies in Germany

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