

**Stellungnahme zum
German Institute of Global and Area Studies -
Leibniz-Institut für Globale und Regionale Studien, Hamburg (GIGA)**

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Vorbemerkung

Die Einrichtungen der Forschung und der wissenschaftlichen Infrastruktur, die sich in der Leibniz-Gemeinschaft zusammengeschlossen haben, werden von Bund und Ländern wegen ihrer überregionalen Bedeutung und eines gesamtstaatlichen wissenschaftspolitischen Interesses gemeinsam gefördert. Turnusmäßig, spätestens alle sieben Jahre, überprüfen Bund und Länder, ob die Voraussetzungen für die gemeinsame Förderung einer Leibniz-Einrichtung noch erfüllt sind.¹

Die wesentliche Grundlage für die Überprüfung in der Gemeinsamen Wissenschaftskonferenz ist regelmäßig eine unabhängige Evaluierung durch den Senat der Leibniz-Gemeinschaft. Die Stellungnahmen des Senats bereitet der Senatsausschuss Evaluierung vor. Für die Bewertung einer Einrichtung setzt der Ausschuss Bewertungsgruppen mit unabhängigen, fachlich einschlägigen Sachverständigen ein.

Vor diesem Hintergrund besuchte eine Bewertungsgruppe am 30. September und 1. Oktober 2014 das German Institute of Global and Area Studies – Leibniz-Institut für Globale und Regionale Studien (GIGA) in Hamburg. Ihr stand eine vom GIGA erstellte Evaluierungsunterlage zur Verfügung. Die wesentlichen Aussagen dieser Unterlage sind in der Darstellung (Anlage A dieser Stellungnahme) zusammengefasst. Die Bewertungsgruppe erstellte im Anschluss an den Besuch den Bewertungsbericht (Anlage B). Das GIGA nahm dazu Stellung (Anlage C). Der Senat der Leibniz-Gemeinschaft verabschiedete am 9. Juli 2015 auf dieser Grundlage die vorliegende Stellungnahme. Der Senat dankt den Mitgliedern der Bewertungsgruppe und des Senatsausschusses Evaluierung für ihre Arbeit.

1. Beurteilung und Empfehlungen

Der Senat schließt sich den Beurteilungen und Empfehlungen der Bewertungsgruppe an. Seinem satzungsgemäßen **Auftrag** entsprechend erforscht das GIGA die politischen, ökonomischen und sozialen Entwicklungen in den Weltregionen Afrika, Asien, Lateinamerika und Nahost. Dabei liegt das Alleinstellungsmerkmal im Bereich der *Comparative Area Studies*: Auf Grundlage der in den vier Regionalinstituten des GIGA über Jahrzehnte aufgebauten Fachkompetenz im Bereich der Area Studies wird vergleichend und regionenübergreifend geforscht. Dazu bearbeiten die vier dauerhaft eingerichteten Regionalinstitute gemeinsam in vier mittelfristig angelegten thematischen Forschungsprogrammen Fragen zur Struktur politischer Systeme, zu Gewalt und Sicherheit, zur Entwicklung und Globalisierung sowie zu weltweiten Machtverschiebungen.

Die Leistungen der vier Regionalinstitute werden in drei Fällen als „sehr gut“ und ein Mal als „exzellent“ bewertet. Die überzeugenden **Forschungsarbeiten** des GIGA spiegeln sich in einer sehr guten Publikationsleistung. Sie konnte seit der letzten Evaluierung qualitativ und quantitativ deutlich gesteigert werden. Darüber hinaus bringt das GIGA vier anerkannte Zeitschriften heraus, die jeweils ein internationales Begutachtungsgremium besitzen und alle im *Open-Access* frei zugänglich sind.

¹ Ausführungsvereinbarung zum GWK-Abkommen über die gemeinsame Förderung der Mitgliedseinrichtungen der Wissenschaftsgemeinschaft Gottfried Wilhelm Leibniz e. V.

Aufbauend auf seinen Forschungsergebnissen erbringt das Institut ausgezeichnete und stark nachgefragte **Beratungsleistungen** für politische Entscheidungsträger und weitere gesellschaftliche Akteure. Über das 2009 eingerichtete Berlin Büro werden die entsprechenden Zielgruppen insbesondere auf Bundesebene nun noch effektiver erreicht. Das GIGA berät Ministerien, Parlamente und nichtstaatliche Organisationen zu Fragen der Außenpolitik, wirtschaftlichen und sozialen Entwicklungen in den vier Weltregionen sowie zu globalen Themen. Über die deutschsprachige GIGA-Focus-Reihe werden Forschungsergebnisse zudem auch für die Medien und die interessierte Öffentlichkeit aufbereitet. Der Senat begrüßt, dass das GIGA auf der Grundlage der eigenen Forschungen seine Beratungsaktivitäten ausbauen möchte und auch bei der Beratung von Institutionen auf internationaler Ebene wie den Vereinten Nationen oder der Europäischen Union eine wichtige Rolle anstrebt.

Mit dem von der DFG als „herausragende Forschungsbibliothek“ geförderten Informationszentrum (IZ) erfüllt das GIGA eine wichtige **wissenschaftliche Infrastrukturaufgabe**. Das IZ sammelt Literatur zu wirtschaftlichen, politischen und gesellschaftlichen Entwicklungen in den vier Weltregionen und ist das größte außeruniversitäre Informationszentrum für vergleichende Regionalstudien in Deutschland.

Die institutionelle Förderung von Bund und Ländern ist auskömmlich. Die **Drittmittelquote** des GIGA ist angemessen und das Drittmittelportfolio ist ausgewogen. Lediglich auf Ebene der EU sollte das GIGA anstreben, mehr Projekte einzuwerben.

Der Senat begrüßt, dass das GIGA ein solides Netzwerk an **Hochschulpartnern** in Norddeutschland aufgebaut hat und dieses weiter ausbauen möchte. Mit der Universität Hamburg sind nunmehr vier Wissenschaftlerinnen und Wissenschaftler des GIGA gemeinsam berufen; zudem ist eine gemeinsame Juniorprofessur geplant. Ebenfalls in Planung befindet sich eine gemeinsame Professur mit der Helmut Schmidt-Universität Hamburg. Darüber hinaus gibt es enge Kooperationen mit den Universitäten Göttingen und Lüneburg, mit denen das GIGA insgesamt drei Juniorprofessoren berufen hat.

Auf der Basis seiner traditionell sehr guten **internationalen Vernetzung** ist es dem GIGA in den vergangenen Jahren gelungen, seine Verbindungen zu Partnern insbesondere in den Untersuchungsregionen deutlich auszuweiten. Das GIGA sollte nun eine Konsolidierung der zahlreichen Kooperationsbeziehungen im Ausland erreichen und sich darauf konzentrieren, die Zusammenarbeit mit besonders wichtigen Partnern gezielt weiterzuentwickeln. Dabei wird die Umsetzung der Pläne zur Einrichtung von vier Forschungsstrukturen zur vertieften Kooperation in jeweils einem ausgewählten Land der untersuchten Weltregionen hilfreich sein. Hierfür erhält das GIGA zusätzliche Mittel von Bund und Ländern.

Es ist sehr erfreulich, dass 2014 eine Präsidentin berufen wurde, dennoch muss das GIGA den **Frauenanteil** auf der Leitungsebene weiter erhöhen. Da 2018 ruhestandsbedingt zwei leitende Positionen frei werden, sollte das GIGA sich aktiv darum bemühen, geeignete hochqualifizierte Kandidatinnen für diese Stellen zu gewinnen.

Die Ausbildung und Betreuung des **wissenschaftlichen Nachwuchses** ist sehr gut. Auf der Basis der *Hamburg International Graduate School for the Study of Regional Powers*,

die mit Hilfe von Mitteln aus dem Wettbewerbsverfahren der Leibniz-Gemeinschaft von 2010 bis 2013 eingerichtet werden konnte, wurde ein strukturiertes Programm für alle Promovierenden am GIGA eingeführt. Es ist sehr erfreulich, dass hierfür zusätzliche Mittel im Rahmen eines von der EU geförderten Marie Curie Initial Training Network eingeworben werden konnten.

Im Jahr 2004 war das GIGA, das damals noch den Namen „Deutsches Übersee Institut“ trug, sehr kritisch vom Senat der Leibniz-Gemeinschaft evaluiert worden. Daraufhin war es unter einem neuen Präsidenten grundlegend reformiert worden und wurde bei der folgenden Evaluierung 2008 sehr positiv bewertet. Diese erfreuliche Entwicklung konnte das Institut in den folgenden Jahren kontinuierlich fortsetzen, auch nachdem im Jahr 2011 der damalige Präsident in den Ruhestand eingetreten war. Es ist zwar bedauerlich, dass seine Position bis 2014 vakant blieb, jedoch gelang es dem kommissarischen Leiter mit Unterstützung des gesamten Kollegiums die Zeit der Vakanz hervorragend zu überbrücken, wie auch die Ergebnisse der Evaluierung belegen. Es ist sehr erfreulich, dass ab Oktober 2014 eine international ausgewiesene Wissenschaftlerin als **neue Präsidentin** gewonnen werden konnte. Sie war zuvor in England an den Universitäten in Cambridge und Oxford tätig und ihre Aufgabe wird es nun sein, die sehr guten Arbeiten des GIGA weiterzuentwickeln. Um das wissenschaftliche Profil des GIGA noch stärker zu schärfen, sollte die theoretische Fundierung der vergleichenden Studien des GIGA weiter ausgebaut werden. Vor diesem Hintergrund sollten Überlegungen zur regionalen Ausdehnung der Arbeiten auf das Gebiet des Kaukasus und Zentralasiens zunächst zurückgestellt werden.

Auf der Grundlage der langfristig vorgehaltenen Expertise in den vier Regionalinstituten betreibt das GIGA interdisziplinäre vergleichende Studien zu global relevanten Fragestellungen. Darauf aufbauend erbringt das GIGA unverzichtbare Beratungsleistungen für politische Entscheidungsträger sowie einen bedeutenden Wissenstransfer für die Öffentlichkeit. Zudem stellt das Institut mit dem GIGA Informationszentrum eine wichtige wissenschaftliche Infrastruktur bereit. Damit erfüllt das GIGA Aufgaben, die in dieser Form nicht an einer Hochschule wahrgenommen werden können. Eine Eingliederung des GIGA in eine Hochschule wird daher nicht empfohlen. Das GIGA erfüllt die Anforderungen, die an eine Einrichtung von überregionaler Bedeutung und gesamtstaatlichem wissenschaftspolitischen Interesse zu stellen sind.

2. Zur Stellungnahme des GIGA

Der Senat begrüßt, dass das GIGA beabsichtigt, die Empfehlungen und Hinweise aus dem Bewertungsbericht bei seiner weiteren Arbeit zu berücksichtigen.

3. Förderempfehlung

Der Senat der Leibniz-Gemeinschaft empfiehlt Bund und Ländern, das GIGA als Einrichtung der Forschung und der wissenschaftlichen Infrastruktur auf der Grundlage der Ausführungsvereinbarung WGL weiter zu fördern.

Annex A: Status Report

GIGA German Institute of Global and Area Studies - Leibniz-Institut für Globale und Regionale Studien, Hamburg (GIGA)

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1. Structure, Tasks and Institutional Environment

Development and funding

The GIGA German Institute of Global and Area Studies, *Leibniz-Institut für Globale und Regionale Studien (GIGA)*, has been founded in 1964 under the name of German Overseas Institute (*Deutsches Übersee-Institut*). In 1977 it was integrated in the “Blue List” (*Blaue Liste*) of institutions receiving joint funding from the German federal and *Länder* governments. GIGA has been evaluated by the German Council of Science and Humanities (*Wissenschaftsrat*) in 1997 and by the Senate of the Leibniz Association in 2003/2004 and 2007/2008. GIGA adopted its present name after an institutional restructuring process in 2007.

Responsible department at *Länder* level: Ministry of Science and Research, Hamburg

Responsible department at federal level: Federal Foreign Office

Legal form and organisation

GIGA has the legal form of a foundation under the civic law of the Free and Hanseatic City of Hamburg. Its relevant committees are the Executive Board, the Research Council, the Board of Trustees, the Academic Advisory Board and the Council for Financial Affairs.

The Executive Board is constituted by the president, the directors of the regional institutes and the head of finances and administration. It guides the institute, manages the allocation of human and financial resources, oversees the programme budget and the annual report, and implements resolutions passed by the Board of Trustees.

The Research Council is constituted by the president, the directors of the regional institutes, the heads of the research programmes, the research manager, and the academic director of the GIGA Doctoral Programme. The Research Council develops the research agenda, elaborates the annual research plan and discusses strategic and material options affecting GIGA’s research capacities.

The Board of Trustees consists of representatives from each of the founding institutions (business organisations related to Africa, Asia, Latin America, and the Middle East), one representative of the federal government, one representative of the Hamburg government, and one representative of the Leibniz Association, as well as other selected members (altogether 9 to 18 members). The Board of Trustees supervises the management of the foundation’s affairs.

The Academic Advisory Board consists of external scientists, who have a professional career in GIGA’s areas of research (altogether 6 to 12 members). It advises the Board of Trustees and the Executive Board on the academic work programme. It also evaluates the quality of GIGA’s academic work on a regular basis, in accordance with the Leibniz Association quality assurance system (see chapter 6).

The Council for Financial Affairs consists of no less than three and no more than five members. The Free and Hanseatic City of Hamburg and the federal government each provide a

minimum of one member. The Council for Financial Affairs advises the Board of Trustees and the Executive Board on financial, organisational and personnel matters and also approves the investment and administration of GIGA's assets.

Mission and tasks

As defined in its charter, GIGA's mission is to conduct research on political, economic, and social developments in Africa, Asia, Latin America, and the Middle East; to conduct comparative research on issues of global relevance; to pursue active knowledge transfer to decision-makers and to the general public; and to operate an information centre for specialised literature (GIGA Information Centre).

Research structure

At the core of GIGA's **organisational structure** is a matrix that combines four regional institutes with four research programmes (a detailed description is provided in chapter 4, see appendix 1 for GIGA's organisational chart). All scientists are affiliated with one regional institute and participate in at least one research programme.

The four regional institutes – Institute of African Affairs (IAA), Institute of Asian Studies (IAS), Institute of Latin American Studies (ILAS), and Institute of Middle East Studies (IMES) – are the permanent units of the matrix. They provide the necessary area competence, maintain ties to their respective regions, act as hubs for the area studies communities, and conduct knowledge transfer on developments in the four world regions.

The four research programmes (RP) are the more flexible units of the matrix. They address issues of particular importance: Political Systems (RP 1); Violence and Security (RP 2), Development and Globalisation (RP 3), and International Relations (RP 4). The RP bring in the disciplinary perspectives from the fields of political science, economics, and related disciplines. Furthermore, they promote comparative approaches on inter-, intra- and cross-regional issues and conduct knowledge transfer on overarching topics.

Finally, four service departments – the GIGA Information Centre, the publications department, the communications department, and the central administration – support the academic staff in their work.

National and international scientific environment

Institutes working on similar topics like GIGA are the Berlin Social Science Center (*Wissenschaftszentrum Berlin, WZB*) and the Peace Research Institute Frankfurt (*Hessische Stiftung Friedens- und Konfliktforschung, HSFK*) – which both are also members of the Leibniz Association – as well as the German Institute for International and Security Affairs (*Stiftung Wissenschaft und Politik, SWP*), and the German Development Institute (*Deutsches Institut für Entwicklungspolitik, DIE*). GIGA views itself distinct from these **non-university institutes in Germany**, due to its focus on four world regions and its comparative approach.

Because of its organisational structure and its long-term coherent research agenda, GIGA also views itself distinct from **university-based centres in Germany**. Such Centres are the Center for Area Studies at Freie Universität Berlin, the Centre for Area Studies at the

University of Leipzig, the Global South Studies Center Cologne, the Käte Hamburger Kolleg / Centre for Global Cooperation Research at the University of Duisburg-Essen.

In the **international research community** there are think tanks, university-based centres, and research institutes that work on similar topics like GIGA:

Examples of international think tanks are the *Institut Français des Relations Internationales*, Paris; the South African Institute of International Affairs, Johannesburg; the *Fundación para las Relaciones Internacionales y el Diálogo Exterior*, Madrid; the Overseas Development Institute, London; the European Centre for Development Policy Management, Maastricht; or the Chatham House, London. The output of such think tanks is directed at an immediate consumer interest. They can only rarely engage in basic research.

Examples of international university-based centres for area studies are the International and Comparative Area Studies Division, Stanford; the MacMillan Centre for International and Area Studies, Yale; the Munk School of Global Affairs, Toronto; the School of Interdisciplinary Area Studies, Oxford; the Centre for the Study of Globalisation and Regionalisation, Warwick; or the Princeton Institute for International and Regional Studies. Those centres also explicitly engage in global studies. With its broad teaching and research programme on Asia, Africa and the Middle East, the School of Oriental and African Studies associated to the University of London is more similar to GIGA.

Most international research institutes covering similar topics have a more restricted thematic or disciplinary focus, as exemplified by the Peace Research Institute Oslo (PRIO), or the Institute of Development Studies at Sussex. Finally there is a category of research institutes that have more similarities with GIGA, e. g. the *Centre d'Etudes et de Recherches Internationales*, Paris or the *Centro de Investigación y Docencia Económicas* in Mexico City.

National interest and justification for funding as a non-university institution

In the view of GIGA, understanding political, social and economic developments in different world regions is of utmost importance in a globalised and interconnected world with a changing global order. With its specific approach to area and comparative area studies, GIGA sees itself at the heart of this agenda. The institute bridges the gap between traditional area studies and the different disciplines in social sciences. Outreach and research-based knowledge transfer to policy-makers in Germany are key concerns.

To be able to pursue its specific mission in a long-lasting and high-quality manner, GIGA requires the reliable and flexible institutional framework of an independent non-university institute. Fast decision-making processes, lean bureaucratic structures, a participative and cooperative governance structure, recruitment based on a strategic research agenda, and the integration of all researchers in this agenda provide GIGA with the efficiency to conduct coherent research and with the flexibility to react in time to new political developments and research trends.

2. General concept and profile

Development of the institution since the last evaluation

In 2011 the president of GIGA retired. Since several candidates declined, the process of finding a successor was ongoing until recently (see chapter 5 for more information); the acting president and the Executive Board have been steering and developing the institute. The new GIGA president takes office at 1 October 2014.

GIGA's current profile is the result of a transformation that was initiated by a critical evaluation in 2003/2004. During a phase of restructuring from 2004 to 2006, the four formerly independent regional institutes were brought together into a common foundation and the administration and service departments were centralised. The research agenda underwent a reshaping with the introduction of the matrix structure in 2006.

GIGA's successful execution of the restructuring was confirmed by the last evaluation in 2007 and followed by a phase of consolidation from 2007 to 2010 and a phase of profile-raising from 2011 to 2014 in the areas of research, knowledge transfer and services.

Development of the research profile

During the first period after the evaluation in 2007, competence in the field of comparative area studies (CAS) was systematically developed through various measures regarding the recruitment and development of personnel, the structured training of junior researchers (see chapter 5), the introduction of strategic quality assurance instruments (see chapter 6) and the intensification of national and international networking (see chapter 4). According to GIGA, these measures led to a significant increase in third-party funding and peer-reviewed articles in international journals.

From 2010 on up to now, GIGA views itself in a phase of profile-raising with the objective to further reinforce GIGA's position and to focus mainly on qualitative developments. A special focus has been placed on cross-regional themes. An integral part of GIGA's strategy to further develop its position in the field of CAS was the creation of currently three international networks that are coordinated by GIGA (see chapter 4).

Development of the knowledge transfer activities

As part of the restructuring described above, research-based knowledge transfer moved to the fore. During the consolidation phase, the German language GIGA Focus series was supplemented by an English-language international edition (since 2009) and later a Chinese-language international edition (since 2012). In 2007, the monthly GIGA Forum public lecture series was introduced as a format for the interested public. In 2009, GIGA institutionalised its presence in the federal capital through the GIGA Berlin Office. The office is staffed with five academic employees and has space for events of up to 45 persons. Further measures of strengthening the knowledge transfer were, among others, the introduction of the "GIGA Talks", the establishment of a communications management, and the intensification of media relations.

Development of the service activities

GIGA's key academic services are the editorship of publications and the operation of the GIGA Information Centre (IZ). Before the restructuring, GIGA had four independent libraries and a variety of publication formats. The four regional libraries were brought together in the GIGA Information Centre that offers literature and informational services on Africa, Asia, Latin America and the Middle East as well as on overarching and theoretical issues.

The publication formats were replaced by the GIGA Working Papers series and the GIGA Journal Family (see below). The four journals were transformed into open access journals with funding from the German Research Foundation (DFG). The editorial boards of the journals were internationalised and all published research articles are peer-reviewed.

Results

Publications

In 2013 GIGA published 73 articles in peer-reviewed journals. See appendix 2 for all publications between 2011 and 2013. In order to guide the publishing activities of its researchers, GIGA adopted an approved reference list of journals in 2010. This list distinguishes between the following categories of journals: A (first third of the respective category in the SSCI), B (the bottom two-thirds of the respective category in the SSCI), C (peer-reviewed academic journals outside the SSCI), D and E (non-peer-reviewed academic journals and non-academic journals) and finally X (new admissions in SSCI and journals of great strategic importance to the institution, acceptance only according to clearly defined criteria). In the view of GIGA, the success of the reference list is evidenced by the increase in the percentage of publications in journals of the categories A, B and X (from 29 % in 2007 to 81% in 2013).

The GIGA Journal Family consists of the Africa Spectrum, the Journal of Current Chinese Affairs, the Journal of Current Southeast Asian Affairs and the Journal of Politics in Latin America. Africa Spectrum is listed in the SSCI (rank 9 in the category "Area Studies" in 2013), for the other journals, a listing is being prepared or applied for. The Journals are edited by GIGA researchers. They organise the peer-review process and are counselled by internationally staffed advisory boards. GIGA follows an open access policy. Downloads have risen from about 28.000 in 2009 to almost 180.000 in 2013.

The GIGA Working Papers series serves as a precursor to the publication of peer-reviewed articles and comprises about 30 working papers published each year.

The dissemination of findings to political decision-makers, the media and the wider public primarily occurs through the GIGA Focus series, which provides concise analyses of current developments. The four regional Focus titles (*Afrika, Asien, Lateinamerika, and Nahost*) and the *GIGA Focus Global*, which concentrates on comparative and global issues, are published in German. They each appear ten times a year. The GIGA Focus International Edition is published in both English and Chinese.

The communications department distributes the GIGA Focus (to approximately 8.100 recipients), and the GIGA Working Papers (to approximately 4.200 recipients).

Knowledge transfer and policy advice

On the basis of its research results, GIGA provides policy advice to different target groups. First, there is the executive branch at the federal level – notably the Federal Foreign Office (FFO), the Federal Ministry for Economic Cooperation and Development (BMZ), and the Federal Ministry of Education and Research (BMBF).

The second target group of GIGA's policy advice is the legislative branch at the federal level, in particular the members of the Foreign Affairs Committee, the Committee on Economic Cooperation and Development, the Committee for Human Rights and Humanitarian Affairs and the Defence Committee. GIGA has also provided advice to non-state actors. In order to intensify the direct attention of the target groups at the federal level, GIGA opened its Berlin Office in 2009.

At Länder level, GIGA prepares information for political actors as well. For example, GIGA is member of the Hamburg Senate's working group on Latin America, and regularly carries out joint events on China and India with the Chamber of Commerce. GIGA's Institute of Asian Studies (IAS) is partner of the Hamburg Summit: China Meets Europe.

Other addressees of policy advice are the EU and international organisations. GIGA researchers compiled briefing papers for the European Commission and participated in the EU–Korea Public Diplomacy Network. GIGA cooperates with the Hamburg-based European Union/Latin America and Caribbean (EU-LAC) Foundation, which is funded by the EU as well as European and Latin American governments.

Scientific services and infrastructure tasks

GIGA's key academic services are the editorship of publications (see above) and the operation of the GIGA Information Centre (IZ). IZ is subdivided into four regional libraries, an area for cross-regional themes and another one for journals and licences. About 7.300 books were purchased in the period from 2011 to 2013. At the end of 2013, the total collection comprised 183.000 volumes and 7.300 journals. IZ serves both internal and external audiences. Users can search IZ libraries via an online catalogue (OPAC). Along with 11 other German research institutes, IZ is part of the German Information Network International Relations and Area Studies. This network operates the World Affairs Online database, which offers about 85,000 full-texts on international relations and area studies. Additionally to the library services, IZ is systematically developing its open access activities.

Academic events

At GIGA, both regional institutes and research programmes are responsible for organising workshops or conferences on their research topics. In most cases, funding from the Fritz Thyssen Foundation or other institutions is acquired for these events.

Furthermore, GIGA organises various associations' and networks' events in Hamburg. Examples include the 2011 PEGNet Conference ("Poor Countries, Poor People and the New Global Players"), the 2011 REPLA Conference ("Latin America between Interactions

and Transformations: Rights, Politics and Development”) or the conference for the Governance in China Competence Network.

Public relations

GIGA’s external communication strategy aims to provide incentives for societal debates and to raise awareness of the topics researched by the institute. The communications department informs via mailings about upcoming events and new publications. It also distributes the GIGA Focus Series and the GIGA Working Papers. Moreover, it organises the GIGA Forum and provides documentation that can be downloaded from the GIGA website. The GIGA Annual Report has been published in English since 2010. GIGA’s website was relaunched in October 2013.

Appropriateness of facilities, equipment and staffing

Core funding and third party funding

In 2013 the institutional funding by federal and *Länder* governments totalled 6.8 M€ (see appendix 3 for a detailed list).

The third-party funds acquired by GIGA increased from 1.8 M€ in 2011 (23.4 % of GIGA’s revenue) to 2.74 M€ in 2013 (28.5 %). GIGA aims at consolidating third-party funding at this level. Funding by the German Research Foundation (DFG) amounts to 28.5 % of GIGA’s third-party budget (average between 2011 and 2013). Funding in the frame of the Leibniz Competition corresponds to over 10 % of GIGA’s third-party budget (average 2011-2013). An important additional source of third-party funding stems from national foundations – above all, the Fritz Thyssen Foundation, the Volkswagen Foundation, the German Foundation for Peace Research and the Claussen-Simon Foundation (taken together, about 23 % averaged between 2011 and 2013). Federal and *Länder* funding accounts for about 32 % (average 2011-2013). The majority of this is acquired competitively from the Federal Ministry of Education and Research (BMBF) and the Federal Ministry for Economic Cooperation and Development (BMZ). EU-funding accounts for 3.4 % (2011-2013). GIGA is taking part in three projects in the 7th Framework Programme.

Facilities

In Hamburg, GIGA is located at two sites: the main location and the location of the IAS (including the IZ’s Asia library). The location of GIGA’s main facilities in the city centre of Hamburg, at the shore of the Binnenalster lake, is an asset for the institute, in terms of visibility in the city’s public space and accessibility to GIGA’s public events.

After a long-term renovation backlog, funding acquired from the federal government’s second economic stimulus package in 2010 and 2011 covered the refurbishment of the IAS building. Using its own funds, GIGA began gradually modernising the office spaces at both sites in 2010, has been hiring and equipping the GIGA Berlin Office since 2009, and renovated and equipped a newly allocated 150-square-metre area at its main location in 2012/2013. GIGA plans to further improve its facilities.

Equipment

In terms of basic IT resources, GIGA views itself as sufficiently equipped. A further expansion of IT equipment will be implemented gradually, as far as financially possible.

According to GIGA, access to electronic journals and databases needs to be improved. A full access via the Hamburg State and University Library has been discussed, but is not possible due to licensing reasons. The resources available to the GIGA Information Centre allow only for a moderate acquisition of literature.

Staffing

GIGA views the balance between academic and non-academic staff as adequate for the realisation of the strategic work programme in the coming years. The current relationship between institutionally and third party-funded academic staff is adequate as well.

Strategic work planning for the next few years

For the next years the GIGA identified three areas of strategic action: (1) Research on and with world regions, (2) Promotion of comparative area studies, and (3) Innovative exchange with politics and society.

1. GIGA aims at establishing liaison offices in selected countries of the four regions: South Africa, China, Brazil, and the Middle East. In a test phase, GIGA will create different models of such offices deriving from an analysis of the current political circumstances and capacity of the academic environment. GIGA's plans are supported by both main funding institutions, the Federal Foreign Office (FFO) and the Hamburg Ministry of Science and Research. GIGA applied for additional funding (extraordinary item of expenditure, decision in October 2014), to be complemented through funds from the institutional budget of GIGA. The offices will be staffed either through GIGA personnel or through personnel on secondment from partner institutions.

2. GIGA plans to provide leadership on selected research topics, to influence theory development and to promote the transfer of comparative area studies (CAS) approaches to other disciplines. The institute will draw lessons from the numerous cross-regional comparisons conducted over the last period. Currently, an edited volume containing both home-grown empirical and conceptual pieces as well as contributions of some of the leading scholars in this field is in preparation. GIGA aims at establishing CAS as a key feature of the science location Hamburg.

3. GIGA will further deepen its cooperation with the Federal Foreign Office (FFO). In August 2014 a diplomat of the FFO has come to GIGA for two years as a visiting scholar. The GIGA also plans to internationalise its knowledge transfer activities.

In the long term, a broadening of the regional expertise of GIGA towards the Caucasus and the Central Asian republics will be considered, as these adjoin to two regions researched by GIGA (Asia and the Middle East) and have direct repercussions for the political, economic and social developments in both of them.

3. Subdivisions of GIGA

As explained in chapter 1, work at GIGA is organised in a matrix, combining four regional institutes and four research programmes.¹

Regional institutes

Institute of African Affairs (IAA)

(10.0 FTE in research and scientific services, 6 FTE doctoral candidates)

The IAA continuously monitors political, economic and social developments in the entire sub-Saharan region. The thematic core of IAA's research consists of institutional structures (democratic institutions and persistence of authoritarian or hybrid rule), violent conflicts (their causes, prevention, consequences), foreign investment plus their intended and unintended consequences (land rights, poverty alleviation, poverty), and African emerging powers. The disciplinary focus is political science and economics. IAA publishes the journal *Africa Spectrum* and co-edits the *Africa Yearbook*. It hosts the secretariat of the African Studies Association in Germany (VAD) and its director serves as the VAD's vice-chairman. He is also vice-chairman of the association CrossArea and board member of the Africa-Europe Group for Interdisciplinary Studies (AEGIS).

In 2013, IAA scholars published 22 articles in peer-reviewed journals (compared to 1 in 2006), while the share of articles in A-, B-, and X-category journals (mainly SSCI-ranked journals) was constantly around 80 %.

Third-party funding increased from 351 K€ in 2006 to nearly 1.1 M€ in 2013. IAA obtains over 50 % of its third-party funding from the DFG and 50 % from the Leibniz Competition Programme, federal ministries, and foundations (each supplies around 15 %).

Between 2011 and 2013 six doctoral students at IAA obtained their degrees. Two researchers received their habilitation.

Institute of Asian Studies (IAS)

(11.4 FTE in research and scientific services, 6.35 FTE doctoral candidates)

The IAS is devoted to studying political, economic and social developments in all three Asian subregions: Northeast Asia, Southeast Asia, and, since 2009, South Asia. Thematically, IAS focuses on the study of authoritarian regimes and political parties, conflicts and their management, social policy and development, cross-national entrepreneurial activities and direct investment, as well as regional powers in Asia. IAS hosts the secretariat of the German Association for Asian Studies (DGA) and is a founding partner of the European Alliance for Asian Studies, where its director serves as board member. IAS participates in the BMBF competence network Governance in China and publishes two peer-reviewed open access journals: *Journal of Current Chinese Affairs* and *Journal of Current Southeast Asian Affairs*.

¹ Consequently, in the following, the GIGA staff (FTE) are assigned first to the Regional Institutes and second, once again, to the Research Programmes as each staff member is affiliated in both dimensions. The same refers to output in terms of third-party funding and publications.

The number of articles published by IAS in peer-reviewed journals increased from 5 in 2006 to 27 in 2013. Of these, 89 % were published in A-, B-, or X-category journals. Revenues from third-party funding increased from 358 K€ in 2006 to nearly 600 K€ in 2013. Around 40 % of this external funding stems from foundations, 26 % from ministries, and 16 % from the DFG (the DFG share will rise from 2014 on through two newly acquired projects).

Between 2011 and 2013 seven dissertations were completed.

Institute of Latin American (ILAS)

(14.35 FTE in research and scientific services, 9.5 FTE doctoral candidates)

The ILAS continuously investigates political, economic and social developments in Latin America and the Caribbean. ILAS core topics of study are the quality of democratic institutions, new approaches to political participation and representation, the challenges posed by conflict and crime, the economic and social impacts of globalisation, the strategies of emerging powers, and processes of regional integration. ILAS researchers have lead functions in the German Latin American Studies Association (ADLAF), the European Latin American Studies Association (CEISAL), and the Latin American Political Science Association (ALACIP). Moreover, ILAS participates in the BMBF competence network designALdades.net and publishes the Journal of Politics in Latin America.

ILAS has increased the number of publications in international peer-reviewed journals from 6 in 2006 to 17 in 2013. Of the articles in 2013, 72 % appeared in A-, B-, or X-category journals.

The third-party funding went up from 285 K€ in 2006 to 801 K€ in 2013. Approximately one-third of this stems from the Leibniz Competition Programme, one-third from federal ministries, and one-third from foundations.

Seven doctoral students at the ILAS obtained their degrees between 2011 and 2013.

Institute of Middle East Studies (IMES)

(8.8 FTE in research and scientific services, 1.25 FTE doctoral candidates)

The IMES deals exclusively with political, economic and social developments in the Middle East. IMES research focuses on transformation processes of political regimes, the role of political Islam, causes and effects of violent conflicts, socio-economic developments, and regional power configurations. In recent years the research agenda has been strongly influenced by the Arab Spring and its repercussions in both the political and academic sense. Topics on the research agenda have included the ousting of the Egyptian presidents Mubarak and Mursi, the civil war in Syria, and the astonishing survival of all eight Arab monarchies. IMES' director serves as board member of the World Congress of Middle East Studies (WOCMES) and as member of the council of the European Association for Middle East Studies (EURAMES).

The number of articles in peer-reviewed journals increased from 0 in 2006 to 12 in 2013. The share of articles published in A-, B-, or X-category journals was 92 % in 2013.

Third-party funding peaked in 2012 with 360 K€ compared to 202 K€ in 2006. In 2013 the revenues from third party funding totalled 250 K€, of which 44 K€ have been raised from the DFG and 176 K€ from foundations.

Between 2011 and 2013 two doctoral students obtained their degrees.

Research programmes (RP)

RP1: Legitimacy and Efficiency of Political Systems

(14.35 FTE in research and scientific services, 3.3 FTE doctoral candidates)

RP 1 examines the proliferation of different forms of government (authoritarian, hybrid, and democratic regimes) in the Global South and deals with the tensions between the efficiency and legitimacy of political systems in Africa, Asia, Latin America, and the Middle East. The work is organised in three Research Teams (RT): Persistence and Change in Non-Democratic Regimes (RT 1), The Politics of Courts and Constitutions (RT 2) and Participation and Representation in the Context of Inequality (RT 3).

The number of published peer-reviewed articles increased from 10 in 2009 to 18 in 2013. The share of articles published in category-A, -B, and -X journals increased from 33 % to 83 % during the same time period.

Third-party funding increased from 454 K€ in 2009 to 616 K€ in 2012. In 2013 the revenues from third-party funding totalled 460 K€. Funding from the Leibniz Competition Programme and federal ministries each accounts for about a quarter of these revenues, followed by funding from foundations, the DFG, and the EU.

Between 2011 and 2013 four doctoral students obtained their degrees. One researcher received his habilitation.

RP2: Violence and Security

(13.65 FTE in research and scientific services, 8.23 FTE doctoral candidates)

RP 2 deals with violence and security issues that affect Africa, Asia, Latin America, and the Middle East and also have repercussions for Germany, Europe, and the West. The work is organised in five Research Teams (RT): Natural Resources and Security (RT 1), Religion, Conflict and Politics (RT 2), War and Peace Processes (RT 3), Causes and Effects of Sanctions (RT 4) and Forms of Violence and Public (In)Security (RT 5).

The number of published peer-reviewed articles increased from 12 in 2009 to 23 in 2013. The share of articles published in category-A, -B, and -X journals increased from 25 % to 78 % during the same time period.

Third-party funding increased from 450 K€ in 2009 to 959 K€ in 2013. Around 40 % of the funding is acquired from the DFG, while over 30 % stems from the Leibniz Competition Programme and around 25 % from foundations.

Between 2011 and 2013 eight doctoral students obtained their degrees. One researcher received his habilitation.

RP3: Socio-Economic Development in the Context of Globalisation

(7.55 FTE in research and scientific services, 7.33 FTE doctoral candidates)

RP 3 deals with selected socio-economic challenges and opportunities in the context of globalisation. It focuses on themes such as jobs and employment, spatial and social mobility, climate change and economic development, and large-scale land investments and land-use change. Two Research Teams – Local Actors of Globalisation (RT 1) and The Socio-Economics of Sustainable Development (RT 2) – as well as the Claussen-Simon Professor in Economics are investigating socio-economic transformations in Africa, Asia, Latin America, and the Middle East from different perspectives.

The number of published peer-reviewed articles increased from 5 in 2009 to 16 in 2013. The share of articles published in category-A, -B, and -X journals increased from 60 % to 75 % during the same period.

Third-party funding increased from 506 K€ in 2009 to 937 K€ in 2013. Foundations and federal ministries each account for a good third of these funds, followed by the DFG and the EU.

Between 2011 and 2013 two doctoral students obtained their degrees.

RP4: Power, Norms and Governance in International Relations

(8.5 FTE in research and scientific services, 4.75 FTE doctoral candidates)

RP 4 deals with major trends and changes in international relations, with a specific focus on how these trends affect and are being affected by regional politics in Africa, Asia, Latin America, and the Middle East. RP 4 was established only in the course of the restructuring phase in 2009. Research on international and global issues previously conducted within the scope of RP 2 (regional powers) and RP 3 (global governance) was brought together. The work of RP 4 is organised in three Research Teams (RT): Foreign Policy Strategies in a Multipolar System (RT 1), The Social Constitution of Global Politics (RT 2) and Comparative Regionalism (RT 3).

The number of published peer-reviewed articles increased from 12 in 2010 to 16 in 2013, 88 % of which in A, B, or X category journals.

During its first full year in operation (2010), RP 4 secured 163 K€ in third-party funding and increased this to about 388 K€ in 2013. Approximately half it comes from foundations, followed by funds from the Leibniz Competition Programme.

In addition, scientists working now in RP 4 raised 1.7 M€ for the Regional Powers Network (funding period 2008-2010) and the Hamburg International Graduate School for the Study of Regional Powers (HIGS, 2010-2013) from the Leibniz Competition Programme.

Between 2011 and 2013 eight doctoral students obtained their degrees.

4. Collaboration and networking

Collaboration with universities

The University of Hamburg (UHH) is GIGA's main local partner. Three scientists are jointly appointed professors (W3) with UHH: the acting president and (for the time being replaced) director of ILAS, the acting vice president and director of IMES, as well as the director of IAS. Furthermore, the head of RP 2 holds an honorary professorship (*§17 Professor*) and the head of RP 1, who passed away in July 2014, served as lecturer (*Privatdozent*) at UHH. Additionally, a scientist of IAS holds the Claussen-Simon Professorship on Economics, which is a joint appointment with UHH and for which funding was acquired from the Claussen Simon Foundation. The presidency of GIGA (starting 1 October 2014) is also a joint appointment with UHH (see chapter 5). Furthermore, a joint junior professorship is planned in RP 2.

In the area of teaching, GIGA scientists with a joint appointment at the UHH are responsible for courses and modules in the Latin America programme, the Master of Peace and Security Studies at the Institute for Peace Research and Security Policy (IFSH), and the Master in Political Science (currently being restructured) at UHH. GIGA and UHH work together in the GIGA Doctoral Programme (see chapter 5). In order to further strengthen their cooperation, GIGA and UHH currently elaborate a new cooperation agreement that will replace the original agreement dating from the year 2000.

GIGA also collaborates with other universities in Germany. In Hamburg there is the Helmut-Schmidt University (University of the Federal Armed Forces Hamburg), with which GIGA is in the process of establishing a joint full (W3) professorship with the denomination International Relations and Regional Governance.

GIGA also maintains relationships with the University of Göttingen, with which it has two joint junior professorships in development economics and in comparative regionalism (both at ILAS, one being head of RP 3). Furthermore, there is an agreement that sees one professor (W2) teach at the University of Göttingen but serve as head of RP 4. Both institutions also cooperate in terms of doctoral training and teaching in political sciences and development economics. GIGA staff is involved in Göttingen's Collaborative Research Centre 990, funded by the German Research Foundation (DFG).

GIGA also cooperates with the Free University of Berlin (FUB). The head of IAA as well as the acting head of ILAS hold honorary professorships at FUB. GIGA researchers are involved in FUB's Collaborative Research Centre 700. GIGA is part of the DesiguALdades network (funded by the BMBF's area studies initiative) at FUB and provides teaching.

The Leuphana University Lüneburg has become an important partner in recent years. In 2012 a joint junior professorship in comparative politics was created which is held by a scientist at IAA. Furthermore, GIGA is involved in the university's master programme Public Economics, Law and Politics and provides teaching at the Center for the Study of Democracy.

A co-operation also exists with the University of Frankfurt, where GIGA is part of the competence network Governance in China (funded by the BMBF's area studies initia-

tive). One GIGA scientist holds a part-time professorship (W3, 50 %) at the University of Frankfurt and works part-time (50 %) as senior research fellow at IAS.

Collaboration with universities outside of Germany

In the context of its four regional institutes, GIGA collaborates with several international universities. In Africa these include the University of Stellenbosch, South Africa; the *Université Gaston Berger*, Senegal; and the Center for Democratic Development, Ghana. In Asia GIGA collaborates with the China Foreign Affairs University, the Fudan University, and the Tongji University in China as well as with the Institute of International Relations in Taiwan. In Latin America, GIGA has agreements with the *Pontificia Universidade Católica*, Brazil; the *Universidad de Chile*; the *Universidad Torcuato Di Tella*, Argentina; and the *Universidad Javeriana*, Colombia. In the Middle East, GIGA collaborates with the Al Ahram Center for Political and Strategic Studies, Egypt; the Al Sharq Centre for Regional and Strategic Studies, Lebanon; and the *Institut Royal des Etudes Strategiques*, Morocco.

In the context of its four research programmes (RP), GIGA created thematic networks in three RP. The first was the Regional Powers Network (RPN) in RP 4, which was established in 2008 together with UHH and two international partners (University of Oxford and Sciences Po, Paris). It was followed in 2012 by the network Institutions for Sustainable Peace (ISP) in RP 2 which incorporates from outside Germany, inter alia, the Peace Research Institute Oslo (PRIO), University of Oslo; Duke University; Uppsala University; School of African and Oriental Studies (SOAS), University of London; the Geneva Graduate Center; and the University of California at San Diego. The network International Diffusion and Cooperation of Authoritarian Regimes (IDCAR) of RP 1 started in July 2014. It includes as international partners, inter alia, Cornell University, King's College London, the University of Amsterdam, the University of Oxford, and the University of Texas.

Collaboration with Non-University Partners

In 1964 several Hamburg-based business associations founded the German Overseas Institute, which later became GIGA. These groups are still represented on the Board of Trustees and continue to collaborate with GIGA.

Within the Leibniz Association, GIGA collaborates with the Berlin Social Science Center (WZB) and the Peace Research Institute Frankfurt (HSFK) on the Contested World Orders project and the Leibniz Research Alliance Crises in a Globalized World. GIGA also conducts joint research on land acquisitions with the Kiel Institute for the World Economy (IfW). Together with researchers from the Leibniz Institute for Regional Geography (IfL) and other institutes, one GIGA director is a founding member of the recently established CrossArea association, which promotes the further development of transregional, comparative area, and global studies. In Hamburg, GIGA shares its Neuer Jungfernstieg building with the Leibniz Information Centre for Economics (ZBW) and cooperates with ZBW in the Science 2.0 Leibniz Research Alliance.

GIGA also collaborates with organisations active in development cooperation, especially with the *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ), which operates on behalf of the Federal Ministry for Economic Cooperation and Development (BMZ). For BMZ, GIGA regularly produces politico-economic short analyses (PÖK) and the Crisis Indicator Catalogue (KIK). The institute also occasionally cooperates with the German Development Institute (DIE).

GIGA maintains collaborative relationships with foundations and think tanks. One of which is the Bertelsmann Foundation, where GIGA staff act as board members and regional coordinator of the Bertelsmann Transformation Index (BTI) for West and Central Africa. In Africa, GIGA works with the *Laboratoire d'Etudes et de Recherches sur les Dynamiques Sociales et le Développement Local* (LASDEL) in Niger, and the *Institut de Recherche Empirique en Économie Politique* (IREEP) in Benin. Among Latin American-related foundations are the Hamburg-based 'European Union – Latin America and Caribbean (EU-LAC) Foundation', the Brazilian foundation *Fundacao Getulio Vargas* (FGV), and the Spanish think tank *Fundación para las Relaciones Internacionales y el Diálogo Exterior* (FRIDE). In the Middle East, GIGA has established relationships with a number of non-university institutions, such as the Common Space Initiative (CSI) in Lebanon, *L'Institut de recherche sur le Maghreb contemporain* (IRMC) in Tunisia, and the *Institut Royal des Etudes Strategiques* (IRES) in Morocco. In Asia, GIGA collaborates with the Institute for Defence Studies and Analyses (IDSA) in India, the Academy of Korean Studies (AKS), and the Korea Foundation (KF).

Other collaborations and networks

In the EU 7th Framework Programme, GIGA is participating in the project Enhancing Knowledge for Renewed Policies against Poverty (2012–2015) and in the project Anti-corruption Policies Revisited: Global Trends and European Responses to the Challenge of Corruption (2012–2017). Furthermore, from 2008 to 2011 GIGA participated in the EU-project Facilitating the Bi-Regional EU–ASEAN Science and Technology Dialogue. Finally, GIGA acquired funding for the Marie Curie initial training network Power and Region in a Multipolar Order together with the University of Hamburg (2013–2016, see chapter 5). The network involves universities in Brazil, China, Germany, India, Portugal, Russia, South Africa, Turkey, and the UK, as well as non-academic institutions.

Between 2011 and 2013, 71 guests stayed at GIGA (3 from Germany, 20 from other European countries and 48 from outside of Europe), 21 of which for longer than 3 months. In the same period, 36 GIGA employees stayed at other host institutions (6 in other European countries, 30 in non-European countries), 8 of which for longer than 3 months.

5. Staff development and promotion of junior researchers

Staff development and personnel structure

As of 31 December 2013, GIGA employed 131 persons in total (excluding 27 student assistants, 1 trainee and 15 scholarship recipients), equivalent to 100.63 full time

equivalents (FTE). 57.9 FTE belonged to the academic staff, 31.97 FTE held service positions (mainly in the GIGA Information Centre), and 10.76 FTE were in administration. Of the academic positions, 48 % were paid for with third-party funding (see appendix 4).

Of the current leadership team, only three held their current positions during GIGA's last evaluation (the director of IAA, the acting president of GIGA and the head of RP 2). Within all other leading positions transitions have occurred (directors of IAS and IMES, heads of RP 1 and RP 3, head of finances and administration) or new positions have been created (head of RP 4, academic director of the doctoral programme). Three of these seven positions were being recruited externally (head of RP 3, head of RP 4 and academic director of the doctoral programme).

In order to find a successor for the former GIGA president in time for his retirement in September 2011, a joint call for the position as president in combination with a professorship at the University of Hamburg (UHH) was published internationally in August 2010. The formal selection process (conducted according to a cooperation agreement between GIGA and UHH, and following UHH's rules and regulations) placed two candidates on the list of potential appointees. By January 2012, both candidates had declined. In June 2013 a new international call was published. The candidate who was positioned at place 1a by the selection commission received the letter of appointment from the UHH in February 2014 but declined. Because additional high-profile applications were submitted, two more hearings took place in June 2014, and the selection committee unanimously agreed on an updated list. The first candidate on that list is from the University of Cambridge and received a letter of appointment in August 2014. She accepted the offer and will take office on 1 October 2014.

Promotion of gender equality

As of 31 December 2013, out of 78 employees in research and scientific services 37 are women (47 %). At the doctoral level 16 of the 24 employees are women (67 %). Of the 31 research fellows at the next pay-scale level, 16 are women (51 %). In the group of senior and lead research fellows, the share of women is 27 % and 25 %, respectively (see appendix 4). Currently, all directors of the regional institutes (two vacancies as of 2017/18) are male. At the presidential level, change occurs with the transition from the acting (male) to the new president (female).

GIGA management is committed to the application of the GWK's Implementation Agreement on Equality and the DFG's Research-Oriented Standards on Gender Equality. In 2013, GIGA introduced the Leibniz Association's cascade model which seeks to increase the number of women at all academic pay-scale levels and especially in leadership positions until they are equally represented. GIGA's equal opportunity plan guarantees the equal opportunities commissioner to be involved in all relevant processes and to receive all necessary information.

In 2013, GIGA successfully applied for the Hamburg Family Seal, a certificate for Hamburg-based enterprises, supported by the Senate of the Free and Hanseatic City of Hamburg. The institute will apply for the Total E-Quality certificate in order to complement the Hamburg Family Seal obtained in 2013.

Promotion of junior researchers

Between 2011 and 2013, 22 doctoral students obtained their degrees. The average time-to-degree is 4 years. As of 31 December 2013, 55 doctoral students worked at GIGA (among them 24 employed by GIGA and 12 on scholarships). All doctoral students are trained within the GIGA's Doctoral Programme that has been initially set up in 2006 to offer supervision and a common colloquium to doctoral students. The programme was strengthened in 2010 by a successful acquisition of funding via the Leibniz Competition Programme and the State Excellence Initiative of Hamburg (application together with the University of Hamburg, the University of Oxford, and Sciences Po, Paris), which allowed for the creation of the Hamburg International Graduate School for the Study of Regional Powers (HIGS, 2010 - 2013). The 12 doctoral students financed through HIGS were an integral part of GIGA's RP 4. In 2013, the experiences from HIGS were used to institutionalise the new structured Doctoral Programme, which now accommodates all doctoral students at GIGA. A cooperation agreement has been concluded with the School of Economics and Social Sciences at the University of Hamburg, which allows for a direct admission of GIGA students to the Graduate School of that faculty. For the upcoming years, the GIGA has, with the University of Hamburg and international academic and industry partners, won third-party institutional funding for its doctoral programme as part of the Marie Curie Initial Training Network PRIMO (Power and Region in a Multipolar Order).

At the post-doctoral level, research fellows at GIGA usually have temporary three-year contracts with the possibility of a three-year extension. As an incentive for independent career development, researchers are not obliged to take on major managerial duties throughout the first three years at GIGA. Instead, they have the opportunity to develop an innovative, personal academic profile. In recent years, two GIGA researchers received their habilitations and eight professorships have been offered to GIGA research fellows.

In 2009 the first junior professorship was realised as a joint appointment with the University of Göttingen (RP 3). It was followed by appointments in 2012 (RP 1, with Leuphana University Lüneburg) and 2013 (RP 4, with the University of Göttingen). The fourth junior professorship (RP 2) is planned for with the University of Hamburg.

Vocational training for non-academic staff

The training programme for the academic staff also offers courses for the non-academic staff, especially in the modules communication, language and culture, and work-life balance. Staff members are also taking advantage of the opportunities for external training and educational leave.

GIGA offered its first trainee position (office communication professional) in 2009. The training process was successfully concluded in 2011. Another trainee started in 2012 and will conclude his vocational training in 2014. In the future, vocational training for library-related occupations in the GIGA Information Centre may also be possible.

6. Quality assurance

Internal quality management

Through its internal quality management, GIGA aims to constantly improve the quality of the results in its research, knowledge-transfer, and service activities. In all three areas, GIGA defines quality goals, establishes processes to reach these goals, and provides resources to support these processes. Indicators exist and are applied to measure goal-attainment. According to GIGA, the introduction of strategic instruments such as the programme budget (along the four research programmes), target agreements (for the four regional institutes) and performance agreements (for the employees) has created a governance practice that meets the requirements of the matrix structure.

In order to support its quality management in research, GIGA has developed guidelines for good scientific practice (in 2010) based on the recommendations of the German Rectors' Conference, the German Research Foundation, and best practice examples from other academic institutions. GIGA has an ombudsperson.

With regard to knowledge transfer the staff of the Berlin office has created an electronic database for internal use, containing quantitative and qualitative indicators. The communications department collects quantitative data – for example, on the number of visitors to GIGA events, the number of subscriptions to the GIGA's mailing lists, etc. With regard to the GIGA Forum, a pilot survey of visitors was conducted in 2013.

In terms of GIGA's services, quality management refers to the Information Centre (IZ) on the one hand and the GIGA Journal Family on the other. The GIGA Journal Family has clearly defined processes that regulate the submission, review, editing, proofreading, layout, and publication of manuscripts. The quantitative indicators are download numbers. For the IZ, GIGA commissioned an external assessment in 2013. Within IZ processes exist for information searches, retrieval, management and dissemination.

Quality management by the Academic Advisory Board and Supervisory Board

The Board of Trustees supervises the management of the foundation's affairs. The Council for Financial Affairs advises the Board of Trustees on financial, organisational and personnel matters and also approves the investment and administration of GIGA's assets.

GIGA's Academic Advisory Board meets once a year. It advises the institute on the academic work programme, as formulated in the research plan and the programme budget. The Academic Advisory Board evaluates GIGA's academic work on a regular basis, in accordance with the quality assurance system of the Leibniz Association and the requirements of the Joint Science Conference (GWK). In 2012, it conducted an evaluation of GIGA in order to assess developments since the 2007 evaluation and prepare the institute for the 2014 evaluation.

Implementation of recommendations from the last external evaluation

GIGA responded to the nine recommendations made by the Senate of the Leibniz Association in the last evaluation (highlighted here in italics, see also Statement of the Senate of the Leibniz Association from 9 July 2008 page 3 and 4) as follows:

1. *To boost the institute's scholarly level, the **research programmes** should be enhanced in terms of content, theory and method, with comparative supraregional and transregional research in particular being further developed. The donors should fully support this process.*
 - Thematic focus through four (previously three) research programmes and (currently 13) cross-regional research teams as working units;
 - Consolidation of research programmes 1 and 2; further development of research programmes 3 and 4;
 - Contributions to topics of academic and societal relevance (authoritarian regimes, resources and conflicts, institutions for peace, climate change, large-scale land acquisitions, regional powers);
 - Comparative research in the corridors of the four research programmes;
 - Methodological and theoretical plurality, combining approaches from political science, economics, history, and/or ethnology; new modular training system as of 2013;
 - Success with regard to third party-funding and peer-reviewed publications.
2. ***Thematic development** should in the future be guided **more strategically** by the GIGA leadership and from a whole-institution perspective.*
 - Management of the research agenda through the Research Council and the Executive Board;
 - Development of new research topics through a mixture of bottom-up and top-down processes;
 - Targeted development of the trademark 'comparative area studies' (CAS Lecture Series, CAS events, CAS Award);
 - Strategic use of the Leibniz Competition Programme to establish international networks on cross-regional issues;
 - Management tools: Research plan, programme budget, personnel concept, performance agreements, performance-related payment, innovation funds for leading scientists.
3. *In addition to its core competency in political science, GIGA should develop expertise in related disciplines to meet the demands of **interdisciplinary research**.*
 - Strengthening of economics expertise through Claussen-Simon Foundation Professor of Economics and through junior professor of economics;
 - Enhanced commitment in interdisciplinary research contexts and recruitment of researchers from related disciplines;
 - Involvement in interdisciplinary Leibniz Research Alliances and participation in interdisciplinary European collaborative research projects.
4. *GIGA should consistently pursue the goal of becoming an **internationally visible and leading centre of area studies**. It should assume leadership functions in international networks and intensify national and international cooperation relations. GIGA should*

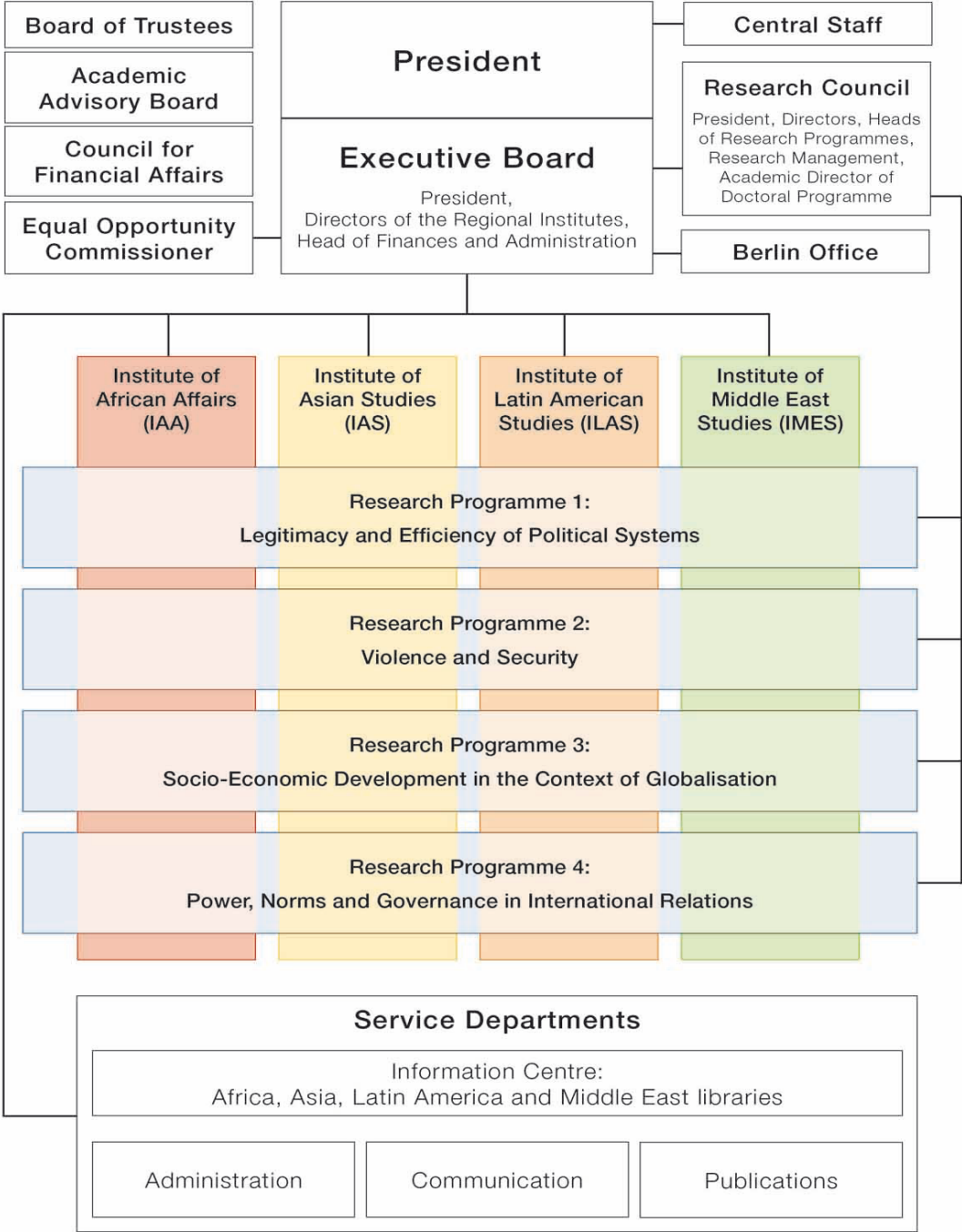
look to invite more scholars from the study regions as well as from European and US research institutions. At the same time, GIGA employees should take greater advantage of guest stay opportunities at foreign institutes and universities.

- Establishment of 40 international cooperation agreements with leading research institutes and universities in all four world regions;
 - Continued growth in the number of visiting researchers at GIGA and promotion of stays abroad by GIGA researchers;
 - Internationalisation of the academic personnel and the Academic Advisory Board as well as internationally occupied boards for the GIGA Journal Family;
 - Plans for liaison offices in selected countries to intensify co-operations;
 - Leadership functions in national and international scholarly associations.
5. *The **number of publications** in international refereed journals is to increase.*
- increase in the quantity and quality of publications in international refereed journals; introduction of a journal reference list;
 - GIGA Working Papers were established as a precursor to publication; internal quality assurance improved.
6. *The **promotion of junior researchers** should be enhanced by the establishment of a structured doctoral programme and an application to the German Research Foundation (DFG) for an international research training group (together with the University of Hamburg).*
- Introduction of doctoral training (since 2006)
 - Acquisition of third-party funding for the Hamburg International Graduate School for the Study of Regional Powers (HIGS; 2010-2013)
 - 2013 start of the structured Doctoral Programme based on HIGS; Doctoral training according to the Leibniz Association's guidelines and integrated in GIGA's personnel concept.
 - Successful joint acquisition of EU funding with the University of Hamburg for the operation of the PRIMO doctoral network;
7. *The **co-operation with the University of Hamburg** should be expanded. The University, the state of Hamburg, and GIGA should ensure that they refer in recruiting to standard models of joint appointments.*
- Preparation of a new cooperation agreement with the University of Hamburg;
 - Joint appointments with the University of Hamburg (IAS director, IMES director, ILAS director, Claussen Simon Foundation professor, currently: GIGA president);
 - Regular teaching at the University of Hamburg; teaching agreement with the Faculty of Economics and Social Sciences for the MA and BA in Political Science;
 - Joint acquisition of third-party funding with the University of Hamburg (e.g. HIGS, PRIMO, DAAD);

- Cooperation in postgraduate education (joint operation of HIGS; collaboration on the GIGA Doctoral Programme)
 - University of Hamburg is member in the GIGA Academic Advisory Board and in the Board of Trustees;
 - Increased co-operations in the Hamburg Metropolitan Region, with other selected German universities and within the Leibniz Association.
8. *The donors should reverse the reduction in **core funding** that was effected following the last evaluation and also provide additional resources. In particular, staffing should be increased. Furthermore, for work on the Middle East (IMES), donors should ensure that there is an adequate replacement for the no longer accessible library of the German Orient Institute (DOI).*
- With the support of its donors, in 2011, GIGA applied for an extraordinary item of expenditure to have its core budget increased, which was approved in 2012 and has led to an increase of the institute's core budget by about 400 K€ per year from 2013;
 - The additional funds from the Pact for Research and Innovation II and the extraordinary item of expenditure have been primarily used to invest in personnel including doctoral candidates. Additional academic staff could be recruited due to the acquisition of third-party funding;
 - From 2007 to 2012, the GIGA IZ libraries financed the replacement of the Middle East Library with 5,000 € annually from their regular acquisitions budget. IZ also secured third-party funding totalling almost 130 K€ from the DFG; a part of these funds was used to further develop the Middle East Library.
9. *A **review of responsibilities** would be welcomed.*
- Regarding the Free and Hanseatic City of Hamburg, jurisdiction was transferred from the Ministry of Economics and Labour (BWA) to the Ministry of Science and Research (BWF) on 1 April 2010;
 - Regarding the federal government, the transfer of jurisdiction from the Federal Foreign Office (FFO) to the Federal Ministry of Education and Research (BMBF) was reviewed by both sides. They decided in 2013 that GIGA should remain with the FFO. GIGA and the FFO are currently developing a new framework for future cooperation.

Appendix 1

Organisational Chart



Appendix 2

Publications

Type of publication	2011	2012	2013
Monographs	5	7	11
Individual contributions to edited volumes	55	66	56
Articles in peer-reviewed journals	34	31	73
Articles in other journals	14	25	30
Working papers	28	28	31
Editorship of edited volumes	7	9	8
<i>Publications total</i>	143	166	209
Number of publications per full-time equivalent (FTE) in “research and scientific services” (excluding doctoral candidates); use Appendix 4 to calculate the number of FTEs for 2013: 57.9 FTEs – 13.85 FTEs = 44.05 FTEs.	3.25	3.77	4.74

Appendix 3

Revenue and Expenditure

Revenue		2011			2012			2013		
		in K€	%	%	in K€	% ²	% ³	in K€	% ²	% ³
Total revenue (sum of I, II and III; excluding DFG fees)		9,115.3			9,878.3			10,600.5		
I	Revenue (sum of I.1, I.2 and I.3)	7,785.5	100%		9,041.1	100%		9,628.8	100%	
1	<u>Institutional funding (excluding construction projects and acquisition of property)</u>	5,895.9	75.73%		6,352	70.26%		6,827	70.90%	
1.1	Institutional funding (excluding construction projects and acquisition of property) by federal and <i>Länder</i> governments according to AV-WGL	5,895.9			6,352.0			6,827.0		
1.1.1	<i>Proportion of these funds received through the Leibniz competitive procedure (SAW procedure)</i> ¹	426.0			399.0			103		
1.2	Institutional funding (excluding construction projects and acquisition of property) not received in accordance with AV-WGL	0			0			0		
2	<u>Revenue from project grants</u>	1,820.3	23.38%	100%	2,591.1	28.66%	100%	2,744.3	28.50%	100%
2.1	DFG	525.8		28.9%	796.2		30.7%	711.1		25.9%
2.2	Leibniz Association (competitive procedure) ²	57.4		3.1%	295.2		11.5%	443.2		16.2%
2.3	Federal and <i>Länder</i> governments	746.2		41.0%	831.9		32.1%	609.3		22.2%
2.4	EU	44.8		2.5%	111.3		4.3%	93.8		3.4%
2.5	Industry	0.0		0	0		0	54.1		2.0%
2.6	Foundations	355.5		19.5%	547.9		21.1%	799.4		29.1%
2.7	Other sponsors	90.5		5.0%	8.7		0.3%	33.5		1.2%
3	<u>Revenue from services</u>	69.3	0.89%		98.1	1.08%		57.5	0.60%	
3.1	Revenue from commissioned work									
3.2	Revenue from publications	53.2			48.70			37.8		
3.5	Revenue from other services	16.1			49.40			19.7		
II	Miscellaneous revenue (e.g. membership fees, donations, rental income, funds drawn from reserves)	604.1			837.10			971.7		
III	Revenue for construction projects (institutional funding by federal and <i>Länder</i> governments, EU structural funds, etc.)	725.7			0			0		

Expenditures		in K€	in K€	in K€
Expenditures (excluding DFG fees)				
1	Personnel	5,802.0	6,436.2	6,899.2
2	Material resources	172.8	133.9	2,569.1
3	Equipment investments and acquisitions	167.5	0	90.9
4	Construction projects, acquisition of property	565.2	0	175.4
5	"Reserves" (e.g. cash assets, unused funds)	778.9	862.4	703.7
6	Miscellaneous items	1,629.0	2,300.9	0

DFG fees (if paid for the institution – 2.5% of revenue from institutional funding)	138.0	145.0	162.3
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¹ Funds from the first 'pact for research and innovation' (old Leibniz Competition Procedure; designated as institutional funding).

² Funds from the second 'pact for research and innovation' (new Leibniz Competition Programme; designated as project grants).

Appendix 4

Staff

(Basic financing and third-party funding / proportion of women (as of: 31 December 2013))

	Full-time equivalents		Employees		Female employees	
	Total number	On third-party funding	Total number	On temporary contracts	Total number	On temporary contracts
Research and scientific services	57.90	48%	78	76%	37	89%
President (C4, W3 or equivalent)	0	-	0	0%	0	0%
Directors (W3, A16 or equivalent)	3.75	-	4	0%	0	0%
Lead Research Fellows (W3, W2, W1, A15, A16, E15 or equivalent)	6.75	15%	8	25%	2	50%
Senior Research Fellows (C1, W1, A14, E14 or equivalent)	8.75	11%	11	18%	3	0%
Research Fellows (A13, A14, E13, E14 or equivalent)	24.80	60%	31	100%	16	100%
Research Fellows (doctoral students) (A13, E13, E13/2 or equivalent)	13.85	78%	24	100%	16	100%
Service positions	31.97	-	40			
Public relations (E9 to E14, upper-mid-level service)	0.63	-	1			
Public relations (E5 to E9, mid-level service)	1.62	-	2			
Publications (E9 to E14 upper-mid-level service)	1.00	-	1			
Publications (E5 to E9, mid-level service)	6.15	-	8			
Transfer services (E9 to E14, upper-mid-level service)	0.75	-	1			
Library (E13, senior service)	1.50	-	2			
Library (E9 to E12, upper-mid-level service)	9.87	2%	10			
Library (E5 to E8, mid-level service)	1.67	1%	4			
Information technology – IT (E9 to E12, upper-mid-level service)	3.25	-	4			
Service (E5 to E9, mid-level service)	5.53	-	7			
Administration	10.76	-	13			
Head of administration (E15)	1.00	-	1			
Staff positions (E13 to E14, senior service)	3.50	-	4			
GIGA Doctoral Programme (E13, E15)	1.30	-	2			
Internal administration (financial administration, personnel, etc.) (E13, senior service)	0	-	0			
Internal administration (financial administration, personnel, etc.) (E9 to E12, upper-mid-level service)	4.96	-	6			
Building services (E1 to E4)	0	-	0			
Student assistants	6.46	4%	27			
Trainees	1.00	-	1			
Scholarship recipients at the institution	12	100 %	15		9	
Doctoral candidates	9	100%	12		8	
Post-doctoral researchers	3	100%	3		1	

Annex B: Evaluation Report

German Institute of Global and Area Studies - Leibniz-Institut für Globale und Regionale Studien, Hamburg (GIGA)

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Appendix:

Members of review board and guests; representatives of collaborative partners

1. Summary and main recommendations

The GIGA German Institute of Global and Area Studies, *Leibniz-Institut für Globale und Regionale Studien (GIGA)*, studies the political, economic and social developments in four regions of the world: Africa, Asia, Latin America and the Middle East. GIGA's unique feature is its expertise in Comparative Area Studies (CAS). Based on decades of experience accrued in Area Studies by GIGA's four regional institutes, theoretical approaches deriving from political science, economics, sociology and related disciplines are used to conduct comparative studies on inter-, intra- and cross-regional issues.

The results are very good and, in part, excellent (three of the four regional institutes are rated as "very good", one as "excellent", see Chapter 4). The volume of third-party funding revenues is high and the overall publication record is very good. The number of publications in peer-reviewed journals has increased since the last evaluation, both in terms of quality and quantity. On the basis of its research outcomes, GIGA furnishes political decision-makers – particularly the Federal Foreign Office – and the general public with important, valuable and much sought-after knowledge transfer.

In 2004, the Leibniz Association Senate produced a highly critical evaluation of GIGA. Under a new president and with the introduction of fundamental changes in the content, themes and organisation, GIGA has since developed outstandingly. The recommendations made by the Leibniz Association Senate were implemented successfully and by 2008, the outcome of a further evaluation was very positive.

In the following years the institute was able to continue this pleasing development, even after the then president retired in 2011. It is regrettable that this position remained vacant until 2014 because, during this period, far-reaching strategic decisions had to be postponed in order to leave enough scope for the new president. Nevertheless it should be recognised that the head of the Institute of Latin American Studies, who then became the temporary head of GIGA, managed to bridge the gap excellently and, with the support of the entire staff, to maintain the upward trend. As a result, it was possible to continue improving performance indicators such as third-party funding revenues and publication record. In addition, the international network of collaborative partners was expanded significantly and the number of foreign staff at the institute increased. It is very pleasing that GIGA's appointments bodies managed to recruit a female researcher with an international reputation to succeed to the presidency in October 2014.

Special consideration should be given to the following main recommendations in the evaluation report (highlighted in **bold face** in the text):

General concept and profile (Chapter 2)

1. It will be the task of the new president to continue developing the very good work being done at GIGA as well as sharpening its **scientific profile**. GIGA is already one of the world leading institutes in Area Studies and has a recognisable unique feature with its expertise in Comparative Area Studies. The theoretical basis and functionality of this approach and the concomitant additional knowledge gain should be developed and elucidated to an even greater extent.

2. For the time being, GIGA's proposals to expand its regional compass to embrace the **Caucasus and Central Asia** should be put on ice. Whilst this region is of interest to GIGA, because it borders on two regions already addressed by the institute (Asia and the Middle East) and thus has an immediate impact on the political, economic and social developments there, GIGA should initially focus on consolidating its work and sharpening its profile in the four regions already under consideration. At a later stage, and in consultation with the Academic Advisory Board, it can be considered whether it would be meaningful to expand regional research to embrace the Caucasus and Central Asia.
3. It is welcomed that GIGA is planning to extend its consultancy activities and to adopt an important role in **advising international organisations**, such as the UN and the EU. It is important, however, that GIGA's policy advice continues to be always based on research results. Therefore, GIGA has to consider, how to combine a welcomed expansion of its consulting activities with the maintaining and further sharpening of its research profile.

Collaboration and networking

4. Together with the president of the **University of Hamburg**, the new GIGA president should elaborate a strategy to solidify and intensify collaboration. It is welcomed that GIGA has now built up a robust network of additional university partners in northern Germany which it intends to extend.
5. In the context of continuing to sharpen its profile, GIGA should now consolidate its many **collaborative relationships with partners abroad**, set priorities and concentrate on developing relations with particularly important partners.

Staff development and promotion of junior researchers

6. GIGA must increase the **proportion of women** at leadership level and amongst those with tenure. The two positions that will become vacant due to retirement in 2018, in particular, offer scope for appointing highly qualified female researchers.

2. General concept and profile

GIGA studies the political, economic and social developments in four regions of the world: Africa, Asia, Latin America and the Middle East. GIGA's unique feature is its expertise in Comparative Area Studies (CAS). Based on decades of experience accrued in Area Studies by GIGA's four regional institutes – Institute of African Affairs, Institute of Asian Studies, Institute of Latin American Studies and Institute of Middle East Studies – theoretical approaches deriving from political science, economics, sociology and related disciplines are used to conduct comparative studies on inter-, intra- and cross-regional issues. On the basis of its research outcomes, GIGA furnishes political decision-makers – particularly the Federal Foreign Office – and the general public with important, valuable and much sought-after knowledge transfer.

Development of the institution since the last evaluation

With the introduction of fundamental changes in content, themes and organisation, GIGA has developed outstandingly in recent years. In 2003/2004, the Leibniz Association Senate produced a highly critical evaluation of GIGA, which was then still called the German Overseas Institute. The main issues were the focus on service at the expense of theoretical and conceptual research, poor international visibility and the structure of the institute, which was composed of five legally independent foundations. As a consequence, the next evaluation was already scheduled for 2008.

Under the leadership of a new president, GIGA successfully began implementing the recommendations made by the Leibniz Association Senate in 2004. The regional institutes were amalgamated to create one foundation and GIGA successfully shifted its focus from an exclusive concentration on applications and policy to a more theory-oriented approach to research. The success of this new direction was reflected in an improvement in the publication record, increased revenues from third-party funding and greater national and international networking and visibility. GIGA was consequently rated as very good at the 2008 evaluation. Since then, this positive trend has continued unabated.

In 2011, the president retired. It is regrettable that this position remained vacant until 2014 because, during this period, far-reaching strategic decisions had to be postponed in order to leave enough scope for the new president. It should be recognised, however, that the head of the Institute of Latin American Studies, who then became the temporary head of GIGA, managed to bridge the gap excellently and, with the support of the entire staff, to maintain the upward trend. As a result, it was possible to continue improving performance indicators such as third-party funding revenues and publication record. In addition, the international network of collaborative partners was expanded significantly and the number of foreign staff at the institute increased.

Strategic work planning for the next few years

GIGA managed to recruit a woman researcher with an international reputation to succeed to the presidency in October 2014. She was the founding director of the renowned Centre for Rising Powers and a Reader in International Political Economy at the University of Cambridge. She also worked at the University of Oxford as a Senior Research Associate. **It will be the task of the new president to continue developing the very good work being done at GIGA as well as sharpening its scientific profile. GIGA is already one of the world leading institutes in Area Studies and has a recognisable unique feature with its expertise in Comparative Area Studies. The theoretical basis and functionality of this approach and the concomitant additional knowledge gain should be developed and elucidated to an even greater extent.** The plans outlined by the new president during the evaluation visit to extend the methodological and empirical approaches in this way are promising. Interdisciplinarity is also supposed to be increased.

For the time being, GIGA's proposals to expand its regional compass to embrace the Caucasus and Central Asia should be put on ice. Whilst this region is of interest to GIGA, because it borders on two regions already addressed by the institute

(Asia and the Middle East) and thus has an immediate impact on the political, economic and social developments there, GIGA should initially focus on consolidating its work and sharpening its profile in the four regions already under consideration. At a later stage, and in consultation with the Academic Advisory Board, it can be considered whether it would be meaningful to expand regional research to embrace the Caucasus and Central Asia.

GIGA plans to run a test phase during which so-called “liaison offices” will be opened in selected countries within the four regions studied. Thanks to their presence on the spot, embedded researchers (either GIGA personnel or personnel on secondment from partner institutions) should be better able to participate in and analyse local debates. Ensuing from this, conferences should be organised and the exchange of doctoral students and visiting researchers should be intensified. It is welcomed that GIGA will receive additional funding from the Federal Government (Federal Foreign Office) to establish the liaison offices and conduct a test phase from 2015 to 2017. The precise implementation and success of this strategy will depend to a large extent on the political circumstances and the academic environment in the locations chosen. It is welcomed that GIGA is aware of the political signals that will be sent by choosing certain locations and is conducting the selection process with the appropriate sensitivity.

Results

GIGA’s results are very good and, in part, excellent (three of the four regional institutes are rated as “very good”, one as “excellent”, see Chapter 4).

Publications

GIGA’s publication record is very convincing. The number of publications in peer-reviewed journals has increased since the last evaluation, both in terms of quality and quantity.

On top of this, GIGA publishes four peer-reviewed open access journals, one of which, *Africa Spectrum*, is included in the Social Sciences Citation Index (SSCI). In 2013, it was amongst the top 10 journals in the category “Area Studies”. It is welcomed that GIGA has established international advisory boards for each of its journals.

The introduction of the GIGA Working Papers series as a precursor to the publication of peer-reviewed articles has proved its worth. GIGA follows an open access policy with its publications.

Knowledge transfer and policy advice

In the field of knowledge transfer and political consultancy GIGA’s work is convincing. It was a good move to establish a Berlin Office in 2009 in order to have better access to the target groups at federal level. GIGA provides important research-based consultancy, in particular for the Federal Foreign Office (FFO), the Federal Ministry for Economic Cooperation and Development (BMZ) and the Federal Ministry of Education and Research (BMBF). GIGA researchers advise ministries and parliamentarians on foreign policy, economic and social developments in the four regions of the world as well as on global issues. This takes the form of workshops, analyses on behalf of public players, events

such as the monthly GIGA Forum and the German-language GIGA Focus series, at which research outcomes are prepared for political decision-makers, the media and the general public. The institute is also involved in the FFO's training of international diplomats. It is welcomed that GIGA intends to intensify its cooperation with the FFO. In August 2014, an FFO diplomat came to GIGA as a visiting scholar for two years.

It is welcomed that GIGA is planning to extend its consultancy activities and to adopt an important role in advising international organisations, such as the UN and the EU. It is important, however, that GIGA's policy advice continues to be always based on research results. Therefore, GIGA has to consider, how to combine a welcomed expansion of its consulting activities with the maintaining and further sharpening of its research profile.

Scientific services and infrastructure tasks

The GIGA Information Centre (IZ) fulfils an important infrastructure task for the scientific community. IZ is the largest non-university information centre for Area Studies and Comparative Area Studies in Germany. It is co-financed by the DFG under the funding line "Funding for Outstanding Research Libraries". The four regional specialist libraries collect literature on economic, political and social developments in Africa, Asia, Latin American and the Middle East. It is pleasing that IZ is systematically developing its open access activities.

Public relations

GIGA's communications department functions very convincingly in many areas. The most important instruments for knowledge transfer to the public are the institute's website and its mailing activities, by which, according to publication types, between 4,000 and 8,000 recipients are reached. The website was completely reworked in 2012/2013 and relaunched in September 2013. It is welcomed that GIGA is planning to reinforce its social media presence (Facebook, Twitter, RSS feeds). Additionally, the communications department regularly updates subscribers on forthcoming events and new publications. It also organises the GIGA Forum, a series of public lectures and discussions in Hamburg.

Appropriateness of facilities, equipment and staffing

At 6.8 million EUR, the institutional funding provided by the Federation and the *Länder* in 2013 was adequate. It equates to 71% of total revenues.

The proportion of third-party funding is appropriate (28.5% in 2013). In the long run, it should not exceed 30% of the overall budget. The third-party portfolio is well-balanced. The largest share is provided by foundations (29%), followed by the DFG (26%), the Federation and the *Länder* (22%) and the Leibniz Association (16%). While keeping an eye on a reasonable proportion of third-party funding, GIGA should seek to acquire more EU projects (currently just 3% of the portfolio).

GIGA's facilities are appropriate. The location of the main facilities in Hamburg city centre on the shores of the Inner Alster Lake is an asset to the institute. Technical equip-

ment is also appropriate. Existing IT technology fulfils the demands of the disciplines represented at the institute.

3. Subdivisions of GIGA

Regional institutes

The four regional institutes are the permanent units in GIGA's organisational structure (see Attachment 1 to the Status Report). All researchers are affiliated with one regional institute. In the following, the performance of the four regional institutes is evaluated.

Institute of African Affairs (IAA)

(10 FTE in research and scientific services, 6 FTE doctoral candidates)

The work of the Institute of African Affairs (IAA) concentrates on political and economic developments in Sub-Saharan Africa. The focus is research on institutional structures like parties, election systems and constitutional courts, conflicts over resources and religious dominance, foreign investment and its impact as well as African emerging powers. This work is based on very intensive field research.

Overall, IAA can lay claim to an extremely impressive level of performance. The excellent research results are regularly published in the best peer-reviewed journals. On top of this, IAA itself also publishes a highly respected journal (*Africa Spectrum*) that is included in the Social Science Citation Index. The journal was amongst the top 10 journals in the category "Area Studies" in 2013. IAA's outstanding performance is reflected in the very high level of third-party revenues, whereby a large proportion stems from DFG funding. Third-party funding should not be increased to prevent IAA researchers from being burdened with too many projects to coordinate. Further indications of the status achieved by IAA are the fact that it hosts the secretariat of the African Studies Association in Germany (VAD) and its director is a member of the board of the Africa-Europe Group for Interdisciplinary Studies. It is also pleasing that two researchers were able to complete their *Habilitation* between 2011 and 2013. The Institute of African Affairs is rated as "excellent".

Institute of Asian Studies (IAS)

(11.4 FTE in research and scientific services, 6.35 FTE doctoral candidates)

The regional emphasis of the Institute of Asian Studies (IAS) is East Asia (e.g. PR China, Japan, Rep. of Korea), South Asia (e.g. India), and Southeast Asia. IAS focusses on investigating political regimes, regional powers and party systems, conflicts and their management, migration and social policy, economic developments, innovation and direct investment. In addition to some important, but comparatively conventional, work on the rise of regional powers, many creative and innovative projects are conducted, such as the project on International Diffusion and Cooperation of Authoritarian Regimes (ID-CAR-Network). Both the volume of third-party funding and IAS's publication record are very good. It is welcomed that IAS cooperates internationally in publishing two reviewed journals as well: *Journal of Current Chinese Affairs* and *Journal of Current South-*

east Asian Affairs. IAS is an important partner in national and international alliances. It hosts the secretariat of the German Association for Asian Studies (DGA) and the director is a board member of the European Alliance for Asian Studies. Although Asia is an extremely heterogeneous region of the world, in which many sub-regions bear little resemblance to others, IAS should strive to continue expanding the intra-regional, comparative perspective of its work in order to strengthen its unique feature, Comparative Area Studies, and further the relevant theory construction. The Institute of Asian Studies is rated as “very good”.

Institute of Latin American Studies (ILAS)

(14.35 FTE in research and scientific services, 9.5 FTE doctoral candidates)

The Institute of Latin American Studies (ILAS) investigates the political and economic development of the countries in Central and South America as well as the Caribbean. Its core themes include the quality of political institutions and new approaches to political participation, the challenges posed by conflicts and criminality, the economic and social impact of climate policy as well as the strategies of emerging powers and the development of new regional organisations like the Union of South American Nations.

The overall level of academic work is very high and largely generates internationally-competitive results. In addition to a few solidly conducted projects, there is a wealth of innovative work employing original approaches. ILAS’s publication record is very good and third-party funding is high. It also publishes the reviewed journal, *Journal of Politics in Latin America*, and is involved in publishing the interdisciplinary journal, *Iberoamericana*. ILAS is very visible in the international research community and cooperates with recognised research institutes in Central and South America. ILAS is particularly successful not only at channelling knowledge from the region into its own work, but also transferring its own research outcomes in the other direction to the institutions in Latin America. This has produced an outstanding network of partners involving the leading academic institutions in the region. Researchers at ILAS are members of many national and international research associations. They hold, amongst others, leading positions in the German Latin American Studies Association and the board of the European Council for Social Research on Latin America. The Institute of Latin American Studies is rated as “very good”.

Institute of Middle East Studies (IMES)

(8.8 FTE in research and scientific services, 1.25 FTE doctoral candidates)

The Institute of Middle East Studies (IMES) is the smallest of GIGA’s four regional institutes. When the four legally independent regional institutes amalgamated during the organisational reform following the critical evaluation of 2004, it proved impossible to come to an agreement with the German Orient Institute (DOI) or to integrate the latter’s library into the GIGA Information Centre. Thus GIGA had to create a new regional institute for the Near and Middle East area from scratch. These initial difficulties have left their mark to this day, although the best has been made of the situation.

IMES studies the social themes currently relevant in North Africa as well as the Near and Middle East, focussing on political regimes and the restructuring of regional systems, energy security, the Middle East conflict, political Islam and economic transformation processes.

IMES conducts very interesting projects which it cleverly combines. Its publication record has improved continuously since the institute was founded and has now reached a very good scientific level. It was a wise decision to initially focus on peer-reviewed articles. In the medium-term, however, monographs should be published, too. IMES is well connected in international specialist associations and is a member, for example, of the council of the European Association of Middle Eastern Studies. Publication figures and third-party income are rather lower than those of the other regional institutes. In relation to the number of staff, however, and against the backdrop of the difficult beginning, the Institute of Middle East Studies is rated as “very good” overall. In the future, IMES is expected to become scientifically more visible in the international research community and to coin discourses.

Research programmes (RP)

In the context of a very plausible matrix structure, the four permanent regional institutes work jointly on research programmes (RP), which are the more flexible units of GIGA’s organisational structure (see Attachment 1 in the Status Report). All researchers are affiliated with at least one research programme. It is quite evident that the programmes, which cross cut regions and institutes, generate added value. In the following, the four current research focus areas are commented on.

RP1: Legitimacy and Efficiency of Political Systems

The research programme, Legitimacy and Efficiency of Political Systems, addresses important current themes. Three research teams work on the proliferation of authoritarian, democratic and hybrid regimes (those inhabiting the grey area in-between), which have developed in the four regions of Africa, Asia, Latin America and the Middle East. They focus on issues relating to the legitimation and efficiency of the different forms of government. The research programme established the IDCAR Network (International Diffusion and Cooperation of Authoritarian Regimes), in which it cooperates with eminent international research groups. Some impressive outcomes have been produced and the innovative projects hold the promise of excellent results in the coming years. Particularly in comparative research on authoritarianism, RP researchers have earned themselves a place on the international research landscape. Special mention should also be made of the outstanding theoretical work conducted in the RP which is not restricted to applying theoretical models but also develops them further.

RP2: Violence and Security

In the research programme, Violence and Security, five research teams investigate various forms of violence and security and their origins. Attention focuses on the dissolution of statehood, transnationally active terrorist and criminal networks, tensions between ethnic and religious groups as well as the spread of weapons of mass destruction and

the scarcity of strategic raw materials. The RP's manifold work, which is based on an outstanding combination of methods, whereby the quantitative approaches are particularly remarkable, is one of GIGA's flagships. Current projects are skilfully linked with completed work, thus ensuring a continuous, coherent programme of activity over an extended period. Research frequently produces excellent results. Researchers in this RP have made their mark as a source of inspiration in the field of peace and conflict research and make important contributions to international debates. It is welcomed that consolidation of the RP's work is now planned, which will also involve examining the number of research teams and which aims at integrating the results of past and on-going individual projects into a broader analytical framework of peace and conflict studies.

RP3: Socio-Economic Development in the Context of Globalisation

In the research programme, Socio-Economic Development in the Context of Globalisation, two research teams, together with the Claussen-Simon Professor in Economics¹, analyse the socio-economic transformations in the four regions from different perspectives of development economics. Very interesting research niches have been identified in the context of the RP, and work is being conducted on relevant cross-country and cross-regional themes like land grabbing (land matrix project) or the mitigation of and adaptation to climate change. Researchers in the RP are very well integrated in international research collaborations and maintain close, productive relations with partners in developing countries. The interdisciplinary nature of the work is one of the RP's hallmarks and should continue to be developed. In particular, the Claussen-Simon Professor in Economics should be more closely integrated in the work, than has been the case to date. The sociological approaches should also be expanded.

RP4: Power, Norms and Governance in International Relations

In the research programme, Power, Norms and Governance in International Relations, three research teams analyse general trends and changes in global politics with special reference to rising regional powers, regionalism and global governance. The emphasis is placed on the similarities and differences in the regional and global development of power and governance structures. Although RP4 was only established in 2009, very good results have already been produced. The staff involved in the RP managed, for example, to establish the Hamburg International Graduate School for the Study of Regional Powers (HIGS) with joint funding through the Leibniz Competition and the Hamburg State Excellence Initiative. The work conducted by this RP is of particular relevance to GIGA as whole given that the comparison of different aspects, both empirical and theoretical, is its core focus. This underpins GIGA's unique feature of Comparative Area Studies. Furthermore, the impact of global trends on regional developments as well as, vice versa, the influence of regional developments on global trends is investigated systematically with very interesting outcomes. This approach should be continued and the existing emphasis on interdisciplinarity should be expanded. The RP's activities have the po-

¹ Endowed professorship, funded by the Claussen-Simon Foundation for a period of six years (2010-2015) until GIGA will take on the financing itself.

tential to play an important role in GIGA's continued development under the new president.

4. Collaboration and networking

Collaboration with universities in Germany

When the new president of GIGA assumed office, four members of GIGA's staff were appointed to professorships in cooperation with the University of Hamburg. Another member of staff has an honorary professorship there and another one holds the Claussen-Simon Professorship in Economics, which is being financed by the Claussen-Simon Foundation from 2010 to 2015 and will subsequently be taken on by GIGA. A joint junior professorship is also planned. GIGA is actively engaged in teaching at the university. **Together with the president of the University of Hamburg, the new GIGA president should elaborate a strategy to solidify and intensify collaboration.**

It is welcomed that GIGA has now built up a robust network of additional university partners in northern Germany which it intends to extend. It is currently planning to establish a joint full professorship (W3), for example, with Helmut Schmidt University Hamburg (University of the Federal Armed Forces Hamburg). Close cooperation also exists with the University of Göttingen with which GIGA has appointed two junior professors; furthermore, it has been agreed to appoint a professor from Göttingen to head RP4. A further junior professorship was established jointly with Leuphana University Lüneburg in 2012. Other German university partners include FU Berlin, at which two GIGA researchers hold honorary professorships, and Goethe University Frankfurt am Main, where one researcher has a part-time professorship (W3, 50 %). She spends the other half of her working time on research at GIGA.

Collaboration with universities outside of Germany

GIGA works together closely with various universities abroad. These collaborations are largely embedded in three newly-established international networks. It is a remarkable achievement that the institute managed to acquire funding under the Leibniz Competition to establish these networks in three of its four research programmes:

- In RP 4, GIGA collaborates with the University of Oxford and Sciences Po, Paris, in the Regional Powers Network, which was set up in 2008.
- In RP2, GIGA collaborates with the Peace Research Institute Oslo at the University of Oslo, Duke University, Uppsala University, the School of African and Oriental Studies at the University of London, the Geneva Graduate Center and the University of California in San Diego in the Institutions for Sustainable Peace Network, which was established in 2012.
- RP1 is involved in the International Diffusion and Cooperation of Authoritarian Regimes Network, which was established in 2014, together, amongst others, with Cornell University, King's College London, the University of Amsterdam, the University of Oxford, and the University of Texas.

In the context of its four regional institutes, GIGA also cooperates closely with various university partners in the respective regions including universities in South Africa, Ghana, China, Taiwan, Brazil, Chile, Argentina, Colombia, Egypt, Lebanon and Morocco.

Collaboration with non-university partners

GIGA's non-university linkages are also welcomed: apart from the university, in Hamburg GIGA also works together with the Institute for Peace Research and Security Policy foundation at the University of Hamburg (IFSH), which is an independent research institution. GIGA researchers are responsible, amongst other things, for courses and modules in IFSH's Master of Peace and Security Studies.

Within the Leibniz Association, GIGA collaborates with the Social Science Research Center Berlin (WZB) and the Peace Research Institute Frankfurt (HSFK) on the Contested World Orders project. The institute is also involved in three Leibniz Research Alliances: Crises in a Globalized World, Infections21 and Science 2.0.

Furthermore, GIGA collaborates with organisations active in development cooperation, especially with the *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ). Moreover, it maintains close relationships with foundations and think tanks from the four regions of the world.

Other collaborations and networks

It is pleasing that GIGA is involved in two EU projects under FP7 which are receiving funding from 2012 to 2015 and 2017 respectively. Furthermore, GIGA acquired funding for the Marie Curie initial training network, Power and Region in a Multipolar Order, together with the University of Hamburg (2013–2016, see Chapter 5). The network involves universities in Brazil, China, Germany, India, Portugal, Russia, South Africa, Turkey and the UK, as well as non-university institutions.

On the strength of its very good long-term international connections, over the last few years, GIGA has managed to significantly extend its linkages with collaborative partners, particularly in the four regions of the world it studies. **In the context of continuing to sharpen its profile, GIGA should now consolidate its many collaborative relationships with partners abroad, set priorities and concentrate on developing relations with particularly important partners.**

5. Staff development and promotion of junior researchers

Staff development and personnel structure

GIGA's personnel structure is appropriate for fulfilling its mission. Due to its large third-party income GIGA should consider whether additional staff are required to coordinate third-party funding applications and projects. Talks with members of staff at the institute revealed a high degree of both motivation and work satisfaction. All GIGA staff have sufficient opportunities to enhance their qualifications at the University of Hamburg and beyond.

Promotion of gender equality

Of the 78 individuals employed in research and scientific services on 31 December 2013, 37 were female (47%). However, amongst senior and lead research fellows the proportion of women was only 27% and 25% respectively. There are only 6 women amongst the 22 members of staff with tenure. The directors of all four regional institutes are male. At presidential level, change occurred with the transition from the acting (male) president to the new (female) president. **GIGA must increase the percentage of women at leadership level and amongst those with tenure. The two positions that will become vacant due to retirement in 2018, in particular, offer scope for appointing highly qualified female researchers.**

It is welcomed that GIGA intends to apply for the Total E-Quality certificate once again in 2015, after failing at the first attempt. Its successful application for the Hamburg Family Seal, a certificate for Hamburg-based enterprises supported by the Senate of the Free and Hanseatic City of Hamburg, in 2013 was a meaningful step in the right direction.

Promotion of junior researchers

The supervision of junior researchers is very good. Between 2011 and 2013, 22 doctoral students obtained their degrees. In order to manage well the senior staff's capacities and to ensure the high quality of the supervision, it could be examined whether it would be appropriate to define a maximum number of doctoral students. It is satisfactory, that the average time-to-degree is 4 years. As of 31 December 2013, 55 doctoral students were working at GIGA (24 employed by GIGA and 12 on scholarships). All doctoral students are trained within GIGA's Doctoral Programme that was initially set up in 2006. The programme was strengthened in 2010 by the acquisition of funding through the Leibniz Competition and the Hamburg State Excellence Initiative (together with the University of Hamburg, the University of Oxford, and Sciences Po, Paris), which facilitated the creation of the Hamburg International Graduate School for the Study of Regional Powers (HIGS, 2010 - 2013) with 12 doctoral students. In 2013, the experience gained from HIGS was successfully applied to institutionalising the new, structured doctoral programme, which now caters for all doctoral students at GIGA.

It is very pleasing that GIGA, in collaboration with the University of Hamburg and international academic and industrial partners, has been able to secure additional third-party funding for its doctoral programme in the coming years as part of the Marie Curie Initial Training Network PRIMO (Power and Region in a Multipolar Order). GIGA should continue along its chosen path and continue developing its doctoral programme.

GIGA's work promoting researchers at post-doc level is also convincing. This is evidenced by the fact that two members of staff have completed their *Habilitation* and eight researchers trained at GIGA have been appointed to professorships. Currently, three junior professors work at GIGA and another is planned (see Chapter 4).

It is welcomed that the supervision and promotion of junior researchers is due to be institutionalised in the context of an internal agreement. This will help to make the regulations regarding the dissolution of fixed-term contracts more transparent to GIGA's staff.

If an individual is remaining at GIGA as a post-doc after completing a doctorate, gaps in employment should be avoided.

Vocational training for non-academic staff

GIGA provides sufficient opportunities for non-academic staff to participate in in-service training and continuing education activities. The training programme for academic staff also offers courses for non-academic staff, especially in the modules communication, language and culture, and work-life balance.

6. Quality Assurance

Internal quality management

The tools used by GIGA for internal quality management are appropriate. The target agreements that define the expected working results constitute part of the basis for the programme budget; the latter serves as a tool for planning and quality control. GIGA should ensure that the entire system of different measures for ensuring quality is communicated to staff in a sufficiently transparent and regular manner.

Due to the management rules contained in the programme budget, the institute is currently required to restrict the amount used for institutionally-financed tenured positions to a maximum of 50% of the total allocation. It should be examined whether this requirement has a limiting impact on research work at the institute and whether it should possibly be adjusted.

The administration functions very well. As is usual at Leibniz institutions, the fact that responsibility for financial management resides with the head of administration should be anchored in the relevant regulations of the institute.

Quality management by the Academic Advisory Board and Supervisory Board

GIGA's Academic Advisory Board carries out its tasks excellently. Particularly in the difficult period of searching for a new president, the Board was highly engaged and its critical but always fair and circumspect assessments were of great help to the institute. It is welcomed that, in comparison with the last evaluation, the Board is much more international.

GIGA's Board of Trustees fulfils its task of Supervisory Board very convincingly. GIGA's charter should be changed in respect of the rights of the representatives of the Federation and the *Land* which hosts the institute on the Supervisory Board. According to the Administrative Agreement between the Federal and *Länder* Governments with regard to the joint funding of member institutions of the Leibniz Association (AV-WGL), they are supposed to have a right of veto on resolutions with significant financial implications, resolutions of significance to research and science policy, and resolutions pertaining to the institute's management personnel. In order to avoid conflicts of interest the chairperson of the Academic Advisory Board should be a member of the Supervisory Board, but in a non-voting capacity.

Implementation of recommendations from the last external evaluation

The recommendations made at the last evaluation (see also Statement of the Senate of the Leibniz Association of 9 July 2008, pp. 3-4) have been convincingly implemented. The Review Board draws attention to the following recommendations from 2008 (in italics, numbering in accordance with p. A-20 ff. of the Status Report):

*3. In addition to its core competency in political science, GIGA should develop expertise in related disciplines to meet the demands of **interdisciplinary research**.*

GIGA has managed to extend the spectrum of academic disciplines at the institute. However, GIGA's area of work requires yet more emphasis to be placed on interdisciplinary research (see Chapter 2).

*7. The co-operation with the **University of Hamburg** should be expanded. The University, the state of Hamburg, and GIGA should ensure that they refer in recruiting to standard models of joint appointments.*

Cooperation with the University of Hamburg has improved. Management should, however, discuss how it can continue to be developed and intensified. It is welcomed that GIGA has now built up a robust network of additional university partners in northern Germany (see Chapter 5).

*9. A **review of responsibilities** would be welcomed.*

Regarding the State of Hamburg, jurisdiction was transferred from the Ministry of Economics and Labour (BWA) to the Ministry of Science and Research (BWF) on 1 April 2010. Regarding the Federal Government, the transfer of jurisdiction from the Federal Foreign Office (FFO) to the Federal Ministry of Education and Research (BMBF) was reviewed by both sides. In 2013, they decided that GIGA should remain with the FFO.

2. Guests

Representative of the relevant Federal government department

Katrin aus dem Siepen Federal Foreign Office, Berlin

Representative of the relevant Land government department

Rolf Greve Ministry of Science and Research of Hamburg

Representative of the Scientific Board

Jürgen Rüländ Seminar for Academic Politics, University of Freiburg

Representative of the Leibniz Association

York Sure-Vetter GESIS – Leibniz Institute for the Social Sciences, Mannheim

3. Representatives of collaborative partners (one-hour interview)

Håvard Hegre Research Professor at PRIO and Dag Hammarskjöld Professor of Peace and Conflict Research at Uppsala University (Sweden)

Gabriele Löscher Dean of the Faculty of Economics and Social Sciences, University of Hamburg

Wilfried Seidel President of the Helmut Schmidt University, University of the Federal Armed Forces Hamburg

Laurence Whitehead Official Fellow in Politics, Nuffield College, University of Oxford (United Kingdom)

Michael Zürn Director of the Research Unit Global Governance, WZB Berlin Social Science Center

31 March 2015

Annex C: Statement of the Institution on the Evaluation Report

**German Institute of Global and Area Studies -
Leibniz-Institut für Globale und Regionale Studien, Hamburg (GIGA)**

The GIGA German Institute of Global and Area Studies – Leibniz-Institut für Globale und Regionale Studien would like to thank the members of the review board, the guests, and the evaluation office of the Leibniz Association for the constructive, thorough, and fair evaluation procedure.

We welcome the very positive rating of the GIGA's development, performance, and trajectory. We appreciate the support the report gives us for the future. Notwithstanding the difficult financial circumstances regarding the core budgets of Leibniz institutes, we will be happy to take up its recommendations and valuable inputs.