

**Stellungnahme zum  
German Institute for 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.<sup>1</sup>

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. Der für das GIGA zuständigen Gruppe stand eine von der Einrichtung erstellte Evaluierungsunterlage zur Verfügung. Die wesentlichen Aussagen dieser Unterlage sind in der Darstellung (Anlage A dieser Stellungnahme) zusammengefasst.

Wegen der Corona-Pandemie musste der für den 15. und 16. September 2021 vorgesehene Evaluierungsbesuch am GIGA in Hamburg entfallen. Die Bewertung erfolgte im Rahmen eines Ersatzverfahrens, das der Senatsausschuss Evaluierung (SAE) in Umsetzung eines Grundsatzbeschlusses des Senats vom 31. März 2020 eingerichtet hat. Der Senat hält in diesem Grundsatzbeschluss fest, dass das Ersatzverfahren ein Notbehelf ist und ausschließlich auf Einrichtungen angewendet wird, die im Regelturnus von sieben Jahren evaluiert werden. Die Bewertungen, auf deren Grundlage der Senat Stellung nimmt, sind auf zentrale Kernfragen der Entwicklung und Perspektive einer Leibniz-Einrichtung fokussiert. Ausführliche Einschätzungen und Schlussvoten zu Teilbereichen und Planungen für „kleine strategische Sondertatbestände“ müssen regelmäßig entfallen.

Die Bewertungsgruppe erstellte den Bewertungsbericht (Anlage B). Das GIGA nahm dazu Stellung (Anlage C). Der Senat der Leibniz-Gemeinschaft verabschiedete am 12. Juli 2022 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.

Das *German Institute for Global and Area Studies*/Leibniz-Institut für Globale und Regionale Studien (GIGA) untersucht politische, wirtschaftliche und soziale Entwicklungen in Afrika, Asien, Lateinamerika sowie dem Nahen Osten. Das GIGA ist eine der führenden Forschungseinrichtungen zu diesen Weltregionen und führt Wissen aus verschiedenen Disziplinen zusammen. Die Regionalinstitute arbeiten in den vier thematischen Forschungsschwerpunkten „Politische Verantwortlichkeit und Partizipation“, „Frieden und

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

Sicherheit“, „Globalisierung und Entwicklung“ sowie „Globale Ordnungen und Außenpolitiken“ zusammen. Dabei verfolgt das Institut einen vergleichenden Forschungsansatz.

Die Regionalinstitute waren vor sieben Jahren in drei Fällen als „sehr gut“ und in einem Fall als „exzellent“ bewertet worden. Seitdem hat das GIGA seine wissenschaftlichen **Leistungen** weiter gesteigert. Die Arbeiten führen regelmäßig zu Publikationen in international wahrgenommenen Zeitschriften oder zu Monographien, die in renommierten Universitätsverlagen erscheinen. Das GIGA gibt vier für die Forschung zu den Zielregionen wichtige Zeitschriften heraus, deren Sichtbarkeit durch geeignete Maßnahmen gesteigert wurde. Außerdem entstehen am Institut innovative Datensätze, die auch über das Institut hinaus zugänglich gemacht werden. Die Forschungsergebnisse dienen der Information politischer Entscheidungsträger und dem Wissenstransfer in die Öffentlichkeit. Sehr gut ist der Austausch mit hochrangigen politischen Akteuren, der auf internationaler Ebene, insbesondere mit Blick auf den globalen Süden, weiter ausgebaut werden sollte. Das Informationszentrum des GIGA bietet Zugang zu einem breiten Spektrum an sozialwissenschaftlicher Literatur. Durch die Zusammenführung in einem neuen Gebäude ab 2024 und die Ausweitung der (digitalen) Dienstleistungen bestehen hervorragende Entwicklungsmöglichkeiten.

Im Forschungsbereich verfügt das GIGA über geeignete Instrumente des internen **Qualitätsmanagements**, für die Transferaktivitäten und insbesondere für das Informationszentrum müssen sie jedoch deutlich verbessert werden (Nutzung, *impact*).

Seit der letzten Evaluierung fand ein umfassender **Wechsel** auf Leitungsebene statt, den das Institut und die verantwortlichen Gremien sehr gut gestaltet haben. Zur Zeit der vergangenen Evaluierung trat erstmals eine Präsidentin ihr Amt an; seitdem wurden außerdem sechs der acht Stellen auf der zweiten Leitungsebene neu besetzt. Für alle Positionen ist es gelungen, sehr erfolgreiche Wissenschaftlerinnen und Wissenschaftler zu rekrutieren und auch die Zahl der Wissenschaftlerinnen auf der zweiten Leitungsebene von einer (2013) auf drei (2020) zu erhöhen.

Die Aufgabe des Leitungsteams ist es nun, die **strategische Entwicklung** des GIGA weiterzuführen. Die Matrixstruktur aus den regional ausgerichteten Teilinstituten und den dazu querliegenden Forschungsschwerpunkten bietet einen geeigneten Rahmen, um nun die Ein- und Ausschlusskriterien für die Auswahl der am GIGA bearbeiteten Projekte weitergehend zu klären. Das Institut hat einen *Global Approach* formuliert, der dabei als Leitgedanke dienlich sein kann, aber deutlich stärker konkretisiert und operationalisiert werden muss. Die im *Global Approach* angelegte Selbstverpflichtung zu einer Zusammenarbeit mit relevanten Akteuren weltweit, insbesondere aber im globalen Süden, wird begrüßt.

Für die kommenden Jahre hat das GIGA zusätzlich die strategischen Themen „Verwundbarkeit und Handlungsfähigkeit“, „Nachhaltigkeit“ sowie „Digitalisierung“ festgelegt. Dies sind Themen von globaler Relevanz. Derzeit ist jedoch nicht klar zu erkennen, welche strukturelle Rolle diesen Themen im Kontext der bestehenden Matrixstruktur und des *Global Approach* zukommen soll. Das gilt insbesondere für das Thema „Digitalisierung“, zu dessen Bearbeitung das GIGA auch zusätzliche Mittel der Bund-Länder-Förderung

(„kleiner strategischer Sondertatbestand“) beantragen möchte. Ziel ist es, die Auswirkungen der Digitalisierung auf Konflikte zwischen Regierungen sowie innerhalb von Gesellschaften zu untersuchen. Geplant ist die Einrichtung eines *Digital Transformation Lab*. Bei der Antragstellung im vorgesehenen Verfahren sollte das Institut erläutern, welche Funktion das „Labor“ im Rahmen der bestehenden Strukturen haben soll.

Der Anteil der **Drittmittel** am Gesamtbudget des GIGA liegt auf einem sehr guten Niveau, auch ist das Portfolio ausgewogen. Wie bei der letzten Evaluierung empfohlen, wurde eine deutliche Steigerung der eingeworbenen EU-Mittel erreicht. Das GIGA sollte diese Entwicklung fortsetzen. Insbesondere wird Potenzial in der Beantragung von EU-geförderten Verbundprojekten gesehen.

Das GIGA ist sehr erfolgreich in der Förderung von Wissenschaftlerinnen und Wissenschaftlern in frühen **Karrierphasen**. Seit der letzten Evaluierung wurden acht ehemalige GIGA-*Postdocs* auf Professuren an Universitäten im In- und Ausland berufen. Das Institut verfügt über ein transparentes und angemessen umgesetztes Verfahren zur Entfristung. Mit fortschreitender Umsetzung des *Global Approach* ist eine weitergehende Internationalisierung des Personals zu erwarten.

Wie geplant hat das GIGA seine **Zusammenarbeit** mit Universitäten ausgebaut. Derzeit sind fünf Wissenschaftlerinnen und Wissenschaftler in gemeinsamen Verfahren auf W3-Professuren an der Universität Hamburg berufen, zwei weitere an den Universitäten Erfurt und Frankfurt am Main. Das Institut ist an zwei Exzellenclustern und zwei Sonderforschungsbereichen beteiligt. Der Austausch mit Wissenschaftlerinnen und Wissenschaftlern aus den Untersuchungsregionen sollte vertieft werden. Die vier dort angesiedelten *Research Platforms* haben das Potenzial, die Forschungs- und Transferaktivitäten mit lokalen Akteuren weiter zu stärken.

Durch die Verbindung von Expertise zu den verschiedenen Weltregionen mit interdisziplinären Untersuchungen bedeutender Forschungsfragen verfolgt das GIGA eine vergleichende Arbeitsweise, die so an einer Hochschule nicht möglich wäre. 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 wissenschaftspolitischem Interesse zu stellen sind.

## 2. Zur Stellungnahme des GIGA

Das GIGA sieht sich insgesamt positiv bewertet und dankt dafür, dass der Bericht das Institut darin bestärkt, seinen Weg fortzusetzen. So versteht auch der Senat die Bewertung der Sachverständigen. Die Bewertung ist mit wichtigen Hinweisen für die weitere Entwicklung verbunden. Der Senat geht davon aus, dass das GIGA diese bei seiner weiteren Arbeit berücksichtigt. Das gilt insbesondere für die Empfehlungen zur weiteren Profilierung des Instituts, die auch Auswirkungen auf einen etwaigen Antrag für zusätzliche Mittel haben sollten (s. o.).

Der Senat teilt nicht die Einschätzung des Instituts, es sei trotz der positiven Gesamteinschätzung durch die Sachverständigen zu kritisch bewertet worden. Es liegt in der Natur der Sache, dass die Sachverständigen einzelne Aspekte anders gewichten und bewerten als

das GIGA selbst. Der Bericht ist konsistent und der Senat identifizierte keine Fehler in der Darstellung von Sachverhalten.

Der Bericht der Sachverständigen enthält eine ausführliche, differenzierte Gesamtbewertung und befasst sich mit den im Rahmen einer Evaluierung zu bewertenden Sachverhalten, ohne dies auf eine Betrachtung quantitativer Indikatoren zu reduzieren. Wie im Verfahren vorgesehen hat die Bewertungsgruppe die vom Senat in den Verfahrensgrundsätzen definierten Gegenstandsbereiche in den Blick genommen und miteinander in Bezug gesetzt.<sup>2</sup>

Anders als das GIGA annimmt, mündete die Beurteilung vor sieben Jahren nicht in einer „Schlussnote“ zum Institut. Schlussvoten (exzellent, sehr gut, gut, nicht hinreichend) wurden bei der damaligen Bewertung ausschließlich zu den bewerteten Arbeitseinheiten abgegeben, wie im Verfahren mit Institutsbegehung im Unterschied zum Ersatzverfahren vorgesehen.

### **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.

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<sup>2</sup> Vgl. zur Methodik des Evaluierungsverfahrens [Bericht des Senats der Leibniz-Gemeinschaft an die GWK: Evaluierungen von Leibniz-Einrichtungen 2009-2016 \(31.12.2016\)](#), S. 7.

## **Annex A: Status report**

### **German Institute for Global and Area Studies, Hamburg (GIGA)**

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## 1. Key data, structure and tasks

### Key data

Year established:	1964
Admission to joint funding by Federal and <i>Länder</i> Governments:	1964
Admission to the Leibniz Association:	1995
Last statement by the Leibniz Senate:	2015
Legal form:	Foundation under the civil law of the Free and Hanseatic City of Hamburg
Responsible department at <i>Länder</i> level:	Free and Hanseatic City of Hamburg (Ministry of Science, Research, Equalities and Districts)
Responsible department at Federal level:	Federal Foreign Office

### Total budget (2020)

- € 7.54m institutional funding
- € 2.43m revenue from project grants

### Number of staff (2020)

- 62 individuals "Research and Scientific Services"
- 33 individuals "Science-Supporting Staff (laboratories, technical support, etc.)"
- 13 individuals "Science-Supporting Staff (administration)"

### Mission and structure

"The **purpose** of the Foundation is the promotion of scholarship and research. The Foundation fulfils this purpose by carrying out research on political, social, and economic conditions and developments in Africa, Asia, Latin America, and the Middle East. Furthermore, it conducts research on cross-regional, global, and comparative topics and is dedicated to the transfer of knowledge into the domains of politics, the economy, and society. It operates an information centre in which, above all, specialised literature is collected, indexed, and made publicly available. The Foundation is politically and financially independent." (GIGA Charter §2, 1)

The GIGA has four **Regional Institutes** – Institute for African Affairs, Institute for Asian Studies, Institute for Latin American Studies, and Institute for Middle East Studies. Research takes place in these four institutes and in four cross-cutting thematic **Research Programmes** – "Accountability and Participation", "Peace and Security", "Globalisation and Development", and "Global Orders and Foreign Policies". These units are supported by central service departments – Administration, Communications, Publications, IT, and the GIGA Information Centre. Since 2009, the GIGA operates a Berlin Office as an outreach hub to decision makers in the German capital.

## 2. Overall concept and core results

The GIGA conducts Social Science research on Africa, Asia, Latin America, and the Middle East, and on global developments. The Institute examines how political, social, and economic transitions come about, and how they unfold both worldwide and within the regions of the “Global South”. Based on its research, the institute conducts research based knowledge transfer and policy exchange and engages with academic, political, and societal stakeholders.

The GIGA’s four Regional Institutes and four Research Programmes (see chapter 7) interact in a **matrix structure**. All GIGA scholars are affiliated with one Regional Institute and participate in at least one Research Programme. The Regional Institutes build area competence, maintain close ties to their respective regions, and act as hubs for the Area Studies communities. The Research Programmes structure GIGA’s research agenda, incorporate disciplinary perspectives from Political Science, Economics, other disciplines and related fields, and are the sites where research projects are developed and discussed.

With its **Global Approach**, the institute aims to understand the regions on their own terms and analyse them from a comparative perspective. This approach operates in three dimensions: The institute aims to be global in content by contributing to scientific progress and addressing real-world challenges on topics that are meaningful beyond a particular region. In doing so, it systematically incorporates viewpoints and theories from the Global South. The institute strives to be global in reach by publishing its research results with high-impact journals and publishing houses, engaging with international institutions, and hosting physical and online events that bring together distinguished academics and practitioners. By pursuing activities in the studied regions i.a. via field research or research platforms (see chapter 3), by attracting staff from all over the world, and by engaging in visiting and fellowship programs in the geographic regions of interest, the GIGA strives to be global in structure.

### Results

#### *Research*

Among its research activities since the last evaluation, the GIGA highlights the following:

- Research on the effects of religious ideas, resulting in, i.a., an article in the *American Journal of Political Science* that combined results from artefactual field experiments and regression analysis on the effects of religious ideas, showing that their content may make the difference regarding prosocial outcomes.
- Analyses that employ qualitative and quantitative comparative methods, e.g. resulting in an article in the *Journal of Peace Research* that presented results from a mixed-method analysis of crowd-sourced data on fatalities in the Syrian civil war, satellite images of the Earth at night, and qualitative evidence from Syrian localities.
- Investigations on social policies and inclusive development that led to an article in *Comparative Politics* which applied a mixed-method analysis to investigate factors in parental-leave policies in Latin America.



- Contributions to debates on migration, including comparative multilevel analyses on the interaction between different levels of state stability and migration flows. The GIGA highlights the resulting introduction to a Special Issue of *Mobilities* in which its scientists combine discussion on the Anthropocene with questions of migration and mobility.
- Publications of monographs and edited volumes with renowned university presses, including an edited volume with Oxford University Press on the methodological and practical challenges of Comparative Area Studies as well as its empirical applications.

Between 2018 and 2020, scientists from GIGA published research results in 127 **publications** on average per year. The work led to on average 60 articles in peer-reviewed journals per year, 11 articles in other journals, and 5 monographs; scientists authored on average 39 individual contributions to edited volumes and were responsible for 8 editorships (see appendix 2). The peer-reviewed articles were published in more than 100 different journals. The institute highlights the increase in the average Impact Factor of the SSCI journals in which the articles were published to 2.22 in the current evaluation period (2018-2020, compared to 0.88 for 2011-2013). Five books were published with Oxford University Press and Cambridge University Press, respectively.

GIGA scientists have received 17 **awards** and prizes for their publications and datasets, among them the Nils Petter Gleditsch Article of the Year Award of the *Journal of Peace Research* in 2015, the Lijphart/Przeworski/Verba Dataset Award of the American Political Science Association's Comparative Politics Section in 2017, and several awards for dissertations by GIGA's doctoral students, among them the "Deutscher Studienpreis" in 2017 and the Leibniz Dissertation Award in 2017 and 2019.

As a service to the academic community, GIGA mentions the editorship of the **GIGA Journal Family**, consisting of Africa Spectrum (AS, 123,098 article downloads in 2020), Journal of Current Chinese Affairs (JCCA, 123,211 article downloads), Journal of Current Southeast Asian Affairs (JCSAA, 287,651 article downloads), and Journal of Politics in Latin America (JPLA, 78,423 article downloads). Each journal is edited by the corresponding Regional Institute in cooperation with international partners (see chapter 6). Each journal publishes three issues per year. GIGA points to the journals' active encouragement of contributions by authors from the Global South and the Platinum Open Access standard as important elements for the institute's global approach. Since 2019, the GIGA Journal Family has been published by SAGE. AS and JCSAA are included in the SSCI. The GIGA Journal Family is supported by GIGA's publication department.

### *Research Infrastructure*

The GIGA **Information Centre** mainly provides services to researchers working at the GIGA. It also contributes to the German national information infrastructure. The collection comprises about 200,000 books and approximately 11,000 online journals, and more than 120,000 online documents on economic, political, and social developments in Africa, Asia, Latin America, and the Middle East, as well as on overarching global issues.

In the **Metadata Database**, the GIGA collects access options to currently 54 quantitative and qualitative (replication) datasets generated at the institute that led to journal publications. As examples of important datasets made available by the institute, the GIGA mentions the database for the Land Matrix Initiative, which collects data on concluded, intended, and failed land transactions as well as research data on state revenues and expenditures, improving the coverage and accuracy of state budget data for most authoritarian regimes.

### *Transfer*

The GIGA provides **policy advice** to different target groups, based on the institute's research results. Recipients at the federal level of government include the Federal Foreign Office, the Office of the Federal President, the Ministry for Economic Cooperation and Development, but also parliamentarians and parliamentary groups of parties. Other target groups in Germany include decision-makers in Hamburg and non-governmental actors such as political foundations or business associations. At the European level, the GIGA has recently aimed at engaging with the European Commission through, i.a. the "EuropeAid" expert network. International actors are addressed through policy advice to the UN or the WTO or through GIGA's presence at the Munich Security Conference. Between 2018 and 2020, the GIGA produced on average 11.7 expert reviews per year (see appendix 2), including, among others the annual politico-economic short analysis for the Ministry for Economic Cooperation and Development, which in turn consist of approximately 60 reports on individual countries.

Knowledge exchange **events** hosted regularly by the GIGA include the GIGA Forum in Hamburg aimed at the general public, the GIGA Talks in Berlin aimed at decision-makers, and the event series "Crossing Borders" aimed at connecting foreign correspondents and academic experts. Over the last years, the institute introduced the GIGA Global Transitions Conference and the GIGA Distinguished Speaker Lecture Series as new "flagship events" as well as other new types of events. The GIGA describes an enhanced quality of speakers and quantity of participants and, additionally, an increase in the global visibility of its outreach during the COVID-19 pandemic with the institute's events being usually booked out (at maximum seating capacity of 100 people) and digital formats attracting up to 400 people from around the world.

As examples of its **outreach** activities, the institute mentions the invitation to the GIGA president to accompany the Federal Foreign Minister on a delegation trip to North America which aimed at strengthening multilateralism, and the GIGA Distinguished Speaker Lecture by NATO Secretary General Jens Stoltenberg on the geopolitical implications of COVID-19.

## **3. Changes and planning**

### **Development since the previous evaluation**

Since the last evaluation, the GIGA has seen changes in leadership, with a new president who took up office in 2014, and new Directors for three of four Regional Institutes (see

chapter 5). These transitions in leadership resulted from retirements in case of the Presidency and two of the Regional Institutes, and one change to another institution. Under the new leadership the GIGA states having focussed on sharpening its academic profile by developing its Global Approach and cultivating its defining features. In its strategy, the institute has put emphasis on four fields of action:

- The GIGA has recalibrated its **Research Programmes** to create both new dynamics within and synergies between them. An emphasis has been placed on inter-, intra-, and cross-regional comparisons. RP 1 shifted its focus to accountability and citizen participation. RP 2 bundled together its work on peace and security, using identities, institutions, and interventions as defined thematic foci. RP 3 added international trade and investment to its research portfolio and put inclusive and sustainable development into its focus. RP 4 underscored the plurality of worldviews and notions of order.

Internal discussion platforms focussed on “non-Western” theories and innovative methods of comparative research as well as **new** laboratory-style **formats**. To increase visibility of research, the publication strategy and internal measures for quality assurance were developed further (see chapter 4).

- The GIGA has expanded on its **knowledge exchange** and outreach activities. The institute highlights the close relationship between GIGA staff and the Federal Foreign Office (including secondments, see chapter 6) and the institute’s contributions to drafting foreign policy strategies. For the Federal Ministry for Economic Cooperation and Development, GIGA produces politico-economic short analyses, studies on escalation potentials, and, since 2020, the “Trend Analyses” focussing on larger regional and global developments.
- The institute’s **internationalisation** strategy included attracting international experts to be recruited to leadership positions (see chapter 5), at the postdoctoral level, and for two new Junior Professorships. To advance collaboration with partners in the regions, Research Platforms were established in Africa, Asia, Latin America, and the Middle East with funding from the Federal Foreign Office and special dispensation. New high-profile event series to promote research and dialogue were established, including a “Distinguished Speaker Lectures Series”. International participation in the editorial boards of the GIGA Journal Family was increased as was GIGA’s participation in international research projects.
- The institute highlights its emphasis on **diversity and equality of opportunity**. The institute received the TOTAL E-QUALITY award in 2020 and increased the number of leading female scientists (see chapter 5).

### **Strategic work planning for the coming years**

For the coming years, the GIGA has identified three themes it plans to emphasize due to their impact on the polities, economies, and societies of the Global South and on academic debates:

- The GIGA aims to strengthen research on the co-existence of **vulnerability and agency**. The institute plans to investigate how global transformations affect the vulnerability of societies in Africa, Asia, Latin America, and the Middle East and which agency actors from the Global South – states, companies, citizens – have when it comes to addressing the challenges that come with these transformations. It sees the latter as a question that often tends to be overlooked in scholarly and public debates. The GIGA’s agenda on the co-existence of vulnerability and agency will include research on weaponised interdependence (e.g. agency of seemingly weak states in production networks), climate change (e.g. bargaining power of the Global South), and the COVID-19 pandemic (e.g. political leadership in developing pandemic narratives).
- Building on its previous research, the institute mentions **sustainability** as second key theme. Research on climate change will investigate i.a. international climate negotiation or how climate change impacts on human mobility and conflict. Conditions for sustainable peace will be addressed by investigating the role of state and non-state organisations. Planned research on sustainability in global trade and production includes whether more sustainable production and consumption patterns may result in less international trade and investment. GIGA also highlights sustainability as a strategic theme influencing its organisational processes.
- Third, the institute plans to investigate the drivers and the political, social, and economic consequences of **digitalisation** in Africa, Asia, Latin America, and the Middle East. In the medium term, the GIGA aims to establish a **Digital Transformations Lab** (DigiTraL). The Lab will conduct theoretically grounded empirical research on the threats and promises of digitalisation, using comparative methods, collect empirical data, and systematically study the processes and consequences of digitalisation. GIGA envisions three thematic legs for DigiTraL: (1) the leg “Diplo” will focus on digital diplomacy and statecraft, including investigations of fragmentation of the global digital space in an era of growing nationalism as well as studies of multilateralism in a digital age. (2) The leg “Dev” will focus on economic structural change in developing countries, including how a digital divide can reinforce inequalities as well as impacts of digitalisation on trade and investment flows. (3) The leg “Peace” will focus on digital transformations and the nature of inter-state and intra-state conflicts, including the relationship between governments, adversaries, and society.

The institute has secured funding from the Federal Foreign Office for a first phase over the years 2021-2023, focussing on the first leg. In this phase, the institute plans to pursue research on (1) negotiations, diplomacy, and multilateral governance, (2) the geopolitical and geo-economic impacts of digital technologies, and (3) digitalisation and political processes. For the establishment of the other two legs and the permanent operation of DigiTraL, GIGA aims to apply for additional institutional funding (see below).

These themes are to be addressed by all Research Programmes and for all regions. The institute plans to further enhance the visibility of the Global South by developing its Research Platforms in the regions into arenas for digital and physical research exchanges,

increasing visibility of scholarly work from the Global South through events and by supporting publication efforts, expanding exchange programmes, and recruiting further international candidates for doctoral and postdoctoral positions.

### Planning for additional funds deriving from institutional funding

In order to establish and operate the **Digital Transformations Lab** (DigiTraL, see above) permanently from 2025 onwards, bringing together all three legs, the GIGA plans to apply for additional institutional funding (“extraordinary item of expenditure”). The Board of Trustees and the Academic Advisory Board approve of the plans.

In total, the costs amount to € 1.25m per year, of which € 250k would come from the GIGA’s institutional budget (up to 3 postdoctoral positions, complementing the 10 positions detailed below). The € 1m of additional funds consist of € 820k for personnel (10 positions = 8.95 FTE), and € 180k for operating costs. In detail, the institute intends to apply for funding for the following items:

- Additional staff (10 positions): 4 postdoctoral researchers (E 13, one for each leg and one data scientist position), 3 doctoral researchers (E13, 65 %, one for each leg), 1 administrative support staff (E 9), 1 position for institutional coordination (E 13), 1 transfer position (focused on innovative knowledge transfer and outreach, E 9)
- annual budgets for secondments (see chapter 6) of GIGA researchers to the FFO and staff exchange with other Lab partners from policy, media, and civil society,
- annual budgets for communication, events, digital research tools, travel, and training.

#### „Extraordinary item of expenditure“: summary of funds planning

	2025	2026	2027	Permanently
<b>Own funds + additional funds = „extraordinary item of expenditure“</b>	€ 840k	€ 1,145k	€ 1,250k	€ 1,250k
<b>Own funds</b> from existing funding by institution (at least 3 % of core budget)	€ 240k	€ 245k	€ 250k	€ 250k
<b>Additional funds</b> of institutional funding	€ 600k	€ 900k	€1,000k	€ 1,000k

## 4. Controlling and quality management

### Facilities, equipment and funding

#### *Funding*

Over the years 2018-2020, the GIGA’s average annual revenue was € 10.4m. Institutional funding amounted to € 7.8m on average. Additional funding from third-party sources included € 2.6m from third-party funded project grants (corresponding to 25 % of revenues) and € 6k from services (<1 %). The institute highlights that revenues from project grants reached an all-time high in 2019. Some fluctuations in institutional funding re-

sulted from temporary additional funding for relocation activities and institutional development. Limitations imposed on fieldwork by the COVID-19 pandemic resulted in fluctuating third-party funded expenses.

The GIGA aims for a balanced mix of revenue from project grants. The most important third-party funding sources are the Federal and *Länder* Governments (share of third-party funding: 32 % on average), the German Research Foundation (DFG, 29 %), the Leibniz Association (17 %), and the EU (11 %).

### *Facilities*

The GIGA is located in two sites in Hamburg. The main building is at a 15-minute walking distance from the building that houses the GIGA Institute for Asian Studies and the GIGA Information Centre's Asia library. In 2024, the GIGA is scheduled to relocate to an equally well-located and additionally fully refurbished building where all the Hamburg-based GIGA units will exist under one roof. Since 2009, the GIGA also maintains a Berlin Office to enhance outreach to decision makers.

The GIGA has introduced a cloud-based **IT infrastructure** and a new IT service management system in recent years. This allows the institute to balance a high level of usability and availability with a very high level of IT security. The IT Department consists of 2.8 FTE service staff. Since field work often takes place in non-democratic countries, the institute provides continuous security support through a cloud-based approach. The GIGA recently appointed an IT Security Officer and defined concrete IT security rules that are binding for all members of the GIGA.

## **Organisational and operational structure**

### *Organisational structure*

The institute is a foundation under civil law. GIGA's operations are governed by the **Executive Board**, consisting of the President, the Vice President, the Directors of the Regional Institutes, and the Managing Director. The President is the chairperson of the Executive Board. The tasks of the Executive Board are the coordination of the Institute's work, the allocation of human and financial resources, the preparation of the Programme Budget and Research Plan, and decisions on all personnel-related matters. Resolutions of the Executive Board have to be passed by a simple majority. No resolution can be passed in the case of an opposing vote by the President.

Within GIGA's matrix structure, the Regional Institutes are permanent units. Their Directors are the immediate superior and carry the responsibility for the staff within their subdivisions. The Regional Institutes are also responsible for the respective journals in the GIGA Journal Family (see chapter 2). The Research Programmes are more flexible units. They structure the research agenda and incorporate the necessary disciplinary perspectives. The Research Programme Heads coordinate and steer the research agenda in their subdivision. They are appointed by the executive board and do not have direct staff responsibility.

Work within and between the academic subdivisions is coordinated via the **Research Council**, consisting of the President, the Regional Directors, the Heads of the four Research Programmes, the Academic Director of the GIGA Doctoral Programme, and the Research Manager. The Research Council discusses all matters related to the Institute's research strategy and provides recommendations to the Executive Board. This includes creating or reorienting Research Programmes, planning the staffing of the GIGA research matrix, and developing the research profile of upcoming institutionally funded academic positions.

GIGA's research units are supported by the central Administration and four service departments (Communications, Publications, IT, and the GIGA Information Centre).

### *Operational structure*

Target- and result-oriented budget control is implemented by the **program budget**. Information on all research activities and outputs is collected in a central research information system. Performance is monitored regularly by the Research Manager, assessed by the Academic Advisory Board, and reported upon in the following program budget. In 2020, the GIGA introduced the research information system PURE.

The GIGA also points to annual staff appraisal talks with the responsible Institute Director and the respective Research Programme Head as central instruments. Work Agreements and GIGA's Code of Conduct address important operational matters, such as regulation of working time, reintegration after illness-related times of absence, or the use of research information systems.

Each Regional Institute and Research Programme, as well as the GIGA President, has access to **Innovation Funds** at their own disposal. In 2017, a competitive component was introduced which rewards the academic units with the best achievements in third-party funding and publications. Further performance-based-funding allocation is based on voluntary group goals.

### **Quality Management**

The GIGA has defined a structured process to ensure project quality, including internal presentation, discussion with an external reviewer, reflections on research ethics, outreach strategies, and research data management.

The institute established its Guidelines to Ensure Good Academic Practice in 2010. Recently, the institute has engaged in a comprehensive reform process that is scheduled to be concluded in the course of 2021. The GIGA has an ombudsperson. In 2019, the institute updated its guidelines on research ethics for research conducted at or in the name of the GIGA. Guidelines for the Handling of Research Data were established in 2017. The institute commits itself to the FAIR (findable, accessible, interoperable, and reusable) principles. Research data is archived in external repositories.

As central element of its publication strategy, the institute points to its "Journal Whitelist", which ranks journals into four categories. For the publication of edited volumes and

books, the institute targets university presses such as Oxford University Press or Cambridge University Press. The institute introduced Open Access guidelines in 2014 and in the long term aims to make all its peer-reviewed journal articles accessible via open access. Implementation of GIGA's Open Access guideline is supported by the Information Centre e.g. by advising researchers in applications for third-party-funded projects on Open Access mandates and providing support for research data management.

### **Quality management by the Academic Advisory Board, the Board of Trustees, and the Council for Financial Affairs**

The **Academic Advisory Board** (AAB) consists of six to twelve external scholars or other experts of international repute in the Foundation's area of research. Members are elected for four years, reappointment is possible once. The AAB advises the Board of Trustees and the Executive Board on matters of the work programme, on cooperation, and on the presentation of research findings. The AAB meets annually, typically in person in Hamburg. Between external evaluations, the AAB performs an audit.

The **Board of Trustees** consists of no fewer than nine and no more than 17 voting members. The Board is composed of representatives of GIGA's funders (the Free and Hanseatic City of Hamburg and the Federal Government represented by the Federal Foreign Office), its founding institutions (the five Hamburg regional business associations), and the Leibniz Association. With consideration to the regions to be researched, additional members are appointed from among representatives of organisations that have a particular interest in the aims of the Foundation and are of particular importance for the Foundation's work (i.e. politics, economy, civil society, and the media). The Board of Trustees meets twice a year, advises the President and supervises the management of the Foundation's affairs.

The **Council of Financial Affairs** consists of no fewer than three and no more than five members, appointed by the Board of Trustees. The Council of Financial Affairs advises the Board of Trustees on financial, organisational, and personnel matters, as well as on the investment and administration of the assets of the Foundation.

## **5. Human Resources**

As of 31 December 2020, the institute had 148 employees, thereof 62 in research and scientific services, 33 in science-supporting service positions, and 13 in science-supporting administrative positions (see appendix 4). Additionally, 40 student assistants and 20 scholarship recipients worked at GIGA. 10 employees (16 %) in research and scientific services as well as 12 scholarship recipients (60 %) came from abroad.

### **Leading scientific and administrative positions**

GIGA's Executive Board consists of the President, the Vice President, the Directors of the Regional Institutes, and the Managing Director (see chapter 4). Apart from the Managing Director, all Executive Board members hold professorships at Universität Hamburg. The institute conducts international appointment processes jointly with the university that include a targeted approach to identifying qualified female candidates and encouraging their application.



Members of the Executive Board are appointed by the Board of Trustees upon recommendation of the President. The Vice President is appointed from among the Directors of the Regional Institutes. The term of office for the President, the Vice President, and the directors of the Regional Institutes is five years, reappointment is possible.

Since 2014, the GIGA has seen the following changes on leadership level:

- The president took up office in 2014.
- The director of the Institute for African Affairs took up office in 2018.
- The director of the Institute for Middle East Studies took up office in 2019.
- The director of the Institute for Latin American Studies took up office in 2020.
- The Head of the Research Programme “Accountability and Participation” was appointed in 2015. She holds a professorship from the Leibniz Programme for Women Professors since 2021.
- The Head of the Research Programme “Peace and Security” was appointed in 2015.
- The Head of the Research Programme “Global Orders and Foreign Policies” was appointed in 2020.
- Additionally, in 2019 two scientists took up office for the newly established junior professorships “Development Economics” (joint appointment with University of Göttingen) and “Sustainable Governance” (joint appointment with Leuphana University Lüneburg).

### **Staff with a doctoral degree**

For staff with doctoral degrees, GIGA’s personnel concept foresees positions as a Research Fellow, Senior Research Fellow, and Lead Research Fellow. Research Fellows are typically hired on temporary contracts, while Senior and Lead Research Fellows are usually tenured as these positions include responsibility for central institutional tasks and management functions. As of 31 December 2020, the GIGA employed 26 Research Fellows (two of which appointed to the newly established Junior Professorships, see above), 7 Senior Research Fellows, and 8 Lead Research Fellows. 2 post-doctoral scholarship recipients worked at GIGA.

Research Fellows at the GIGA are offered opportunities for individual training and to engage in different functions, such as Research Team speaker. The institute puts an emphasis on enabling academic employees to obtain transferable skills and thus be competitive in both internal and external job markets. Since the last evaluation, eight GIGA postdoctoral researchers went on to be appointed as Professors at universities in Germany and abroad.

**Tenured** academic positions at the GIGA are offered via a competitive and transparent procedure. Forecasts of available tenured academic positions are given three to five years in advance in annual announcements. The institute has established a three-stage selection process, which includes external reviews and internal presentations to the entire GIGA staff. Senior Research Fellows have responsibility for central institutional tasks such as GIGA Focus Editor, GIGA Forum Coordinator, GIGA Ombudsperson, and GIGA Journal Editor. The next academic career stage is that of Lead Research Fellow, acting for example as

Head of a GIGA Research Programme or as Academic Director of the GIGA Doctoral Programme. In these roles, Lead Research Fellows are members of the Research Council and thus part of the second leadership level of the GIGA.

### **Doctoral Candidates**

As of 31 December 2020, 34 doctoral candidates worked at the GIGA, of which 16 were employed on a contract while 18 held a scholarship. 14 doctoral candidates came from abroad. On average, 6 doctoral degrees were completed annually over the period 2018-2020. The average doctoral period was 4.5 years. The doctoral researchers usually enrol at the university that their first supervisor is affiliated with.

The institute operates a structured **doctoral programme** that comprises regular coursework, colloquia, and soft-skills seminars. The programme is designed for three years and includes a supervision agreement. A Doctoral Board (consisting of the two supervisors and one additional scientist) evaluates progress at least twice during doctoral studies.

The GIGA is also regularly part of externally funded doctoral-training initiatives, such as, currently, the Marie Curie Initial Training Network “Mediating Islam in the Digital Age,” (since 2019, H2020-funded, led by partners in Paris) and the Hamburg-funded research training group “Democratizing Security in Turbulent Times” (2021–2023, with UHH and other partners). All GIGA doctoral researchers in these networks are part of the GIGA Doctoral Programme and take part in its training and supervision.

### **Science supporting staff**

The institute offers training measures including language classes, training related to each service departments’ specific tasks, and enables individual qualification measures.

### **Equal opportunities and work-life balance**

As of 31 December 2020, the proportion of women in “Research and Scientific Services” was 48 %. In terms of individual scientific status groups, 69 % of doctoral students, 42 % of Research Fellows, 40 % of Senior and Lead Research Fellows and 40 % of leadership personnel (Directors of the Regional Institutes and President) were women.

Targets for the quota of **women at leadership level** are defined based on the cascade model for the Executive Board, the Research Council, and Research Team Speakers. The institute highlights the recruitments of two female researchers for junior professorships and the appointment of one female lead researcher in the Leibniz Programme for Women Professors. As of August 2021, seven of the 13 professorships at the GIGA were held by women.

The institute’s currently fourth “Equal Opportunity Plan” defines measures to achieve concrete goals such as promoting diversity or ensuring gender equality. The Equal Opportunity Commissioner and her Deputy support GIGA’s leadership in the implementation. The GIGA points to measures such as flexible working hours and emergency child-care to help employees reconcile work and family life. The institute received the Hamburg Family Seal in 2013 (which was continuously renewed in 2015, and 2018) as well as the TOTAL E-QUALITY award in 2020.

## 6. Cooperation and environment

The GIGA's main partner **university** is the Universität Hamburg (UHH). Cooperation is based on a new cooperation agreement, signed in 2016. The president and four scientists are jointly appointed professors (W3) at UHH. Additional joint professorships are held at the University of Erfurt and Goethe University Frankfurt (one W3 each), as well as University of Göttingen and Leuphana University Lüneburg (one W1 each). Until 2020, the GIGA had another joint professorship with Helmut Schmidt University Hamburg.

Additionally, GIGA scientists hold adjunct professorships at UHH and University of Göttingen (one each) and honorary professorships with Free University Berlin and University of Marburg (1 each). Thus, GIGA scientists contribute to graduate and undergraduate **teaching** at eight different universities.

The GIGA is an active partner in several DFG-funded Clusters of Excellence (EXC) and Collaborative Research Centres (CRC):

- “Climate, Climatic Change, and Society” (EXC 2037, since 2019) at UHH Hamburg
- “Contestations of the Liberal Script” (EXC 2055, since 2019) led by FU Berlin
- “Governance in Areas of Limited Statehood” (CRC 700, 2006-2017) at FU Berlin
- “Ecological and Socioeconomic Functions of Tropical Lowland Rainforest Transformation Systems” (CRC 990, 2012-2023) at University of Göttingen

Other collaborative projects include the Horizon 2020 project “Competing Regional Integrations in Southeast Asia” as well as the BMBF-funded initiatives “World Order Narratives of the Global South” (both with UHH) and “Monitoring System and Transfer Platform Radicalisation” (with the Federal Criminal Office), the “Regional Centre for Sustainable Adaptation to Global Change in the Middle East (SAGE-Centre)” coordinated by the University of Tübingen, the „German-Latin American Centre of Infection & Epidemiology Research and Training” (GLACIER) coordinated by Charité Berlin, the Merian Institute for Advanced Studies in Africa, coordinated by University of Freiburg and the University of Ghana, and the Merian Centre for Advanced Studies in the Maghreb, coordinated by the University of Marburg and Tunis University.

Within the **Leibniz Association**, the GIGA mentions the Berlin Social Science Center (WZB), Peace Research Institute Frankfurt (HSFK), Kiel Institute for World Economy (IfW Kiel), Leibniz Information Centre for Economics in Kiel and Hamburg (ZBW), and Bernhard Nocht Institute for Tropical Medicine (BNITM) as key partners. The institute is a partner in the Leibniz Research Alliances “Crises in a Globalised World”, “Open Science”, and “INFECTIONS in an Urbanizing World”.

**International collaborations** can be divided into partners for the GIGA Journal Family, partners at GIGA's Research Platforms, and partners in individual research collaborations. Each journal is edited in cooperation with an international institution. Currently, these are the University of California, Berkeley (for Africa Spectrum), Lau China Institute at King's College London (for the Journal of Current Chinese Affairs), Centre de recherches internationales, Sciences Po (CERI), Paris (for the Journal of Current Southeast Asian Affairs), and Universidad Diego Portales, Santiago de Chile (for the Journal of Politics in Latin America).

As partners for the research platforms, GIGA mentions universities and other organisations in the respective regions, including the China Foreign Affairs University, Southern Africa Labour and Development Research Unit, L'Observatoire Tunisien de la Transition Démocratique, and Universidad de los Andes. Partners in individual collaborative projects include, among others, the University of Oxford, Peace Research Institute Oslo, Cornell University, Observer Research Foundation, and Bar-Ilan University Tel Aviv.

Since 2015, GIGA scholars have been appointed in a **secondment** programme to the Policy Planning Staff or the Political Directorates-General at the Federal Foreign Office (FFO). Scholars are selected from the GIGA scientific staff based on the expertise the FFO requests. In exchange, a Diplomat in Residence regularly works at the GIGA. As part of these programmes, five GIGA scholars have worked at the FFO for an average duration of eleven months, while three FFO diplomats worked at GIGA over the years 2015 to 2020.

### **Institution's status in the specialist environment**

Within Germany, the GIGA mentions the Berlin Social Science Center (WZB) and the German Development Institute in Bonn (DIE) as institutions with comparable approaches that combine research and policy advice. Within Europe, the institute sees the Centre de Recherches Internationales (CERI) at Sciences Po in Paris as the most comparable institution. The institute points to the School of International Studies at Jawaharlal Nehru University in Delhi and the Watson Institute for International and Public Affairs at Brown University as resembling the GIGA most closely within the Global South and North America, respectively.

## **7. Subdivisions of GIGA**

### **GIGA Institute for African Affairs**

(17.7 FTE, thereof 11.3 FTE Research and scientific services, 6.5 FTE Doctoral candidates)

The GIGA Institute for African Affairs (IAA) investigates political and socio-economic developments in sub-Saharan Africa thereby combining disciplinary approaches with contextual knowledge on the region as well as its subregions such as the Sahel and key country cases. Political institutions, violent conflicts, as well as a variety of socio-economic challenges form the thematic core of the IAA's work. Specific topics include research on land, migration, sanctions, religion, regional organisations, and the repercussions of the COVID-19 pandemic.

The IAA employs qualitative and quantitative methods to test, modify, and develop theory. Its fieldwork aims at collecting original data and ensuring context-sensitivity. Research projects include cross-regional perspectives. IAA engages in knowledge exchange, often as part of joint projects with German and African partners and with decision makers.

In the last few years, collaboration with African partners has been increasingly institutionalised, especially by participating in the Merian Institute for Advanced Studies in Africa, based at the University of Ghana and via the GIGA Research Platform Africa. The IAA

hosts the Secretariat of the Association for African Studies in Germany (VAD). In cooperation with the VAD it publishes the journal *Africa Spectrum* (SSCI Impact Factor: 0.900 in 2020).

Over the period 2018-2020, IAA's work led to on average 15.3 articles in peer-reviewed journals per year, 2.7 articles in other journals, and 0.3 monographs; scientists in the subdivision authored 7.3 individual contributions to edited volumes and were responsible for 0.7 editorships. Average yearly project grants amounted to € 995k over the same period and were obtained mostly from the Federal Government (€ 555k), the DFG (€ 215k), and the EU (€ 105k). On average, two doctoral degrees were completed per year.

### **GIGA Institute for Asian Studies**

(14 FTE, thereof 13.3 FTE Research and scientific services, 0.7 FTE Doctoral candidates)

The GIGA Institute for Asian Studies (IAS) analyses political, social, and economic developments as well as phenomena in and across four Asian world regions: Northeast Asia, South Asia, Southeast Asia, and Australasia. It operates at the interstices of Asian Studies and the Social Sciences, with a mix of qualitative, quantitative, and interpretative methods called upon. Recent research topics include civil society-state relations, party politics and populism, civil-military relations, education policy in Indonesia, changing China policies in the "West", India's role in regional/global governance, the Indo-Pacific, and maritime security.

Since 2015, the IAS has operated the GIGA Research Platform Asia. It engages in knowledge exchange and contributes to events such as the biannual Hamburg "India Week" and the "Hamburg Summit: China meets Europe." It hosts the Secretariat of the German Association for Asian Studies (DGA) and was host and lead institution for the Association's 50th anniversary conference in 2017. The Institute is one of the founding members of the European Alliance for Asian Studies, and initiator of the "Changing Asia" conference series, conducted since 2017 in collaboration with partner institutions from several world regions. The IAS co-edits the *Journal of Current Chinese Affairs* and the *Journal of Current Southeast Asian Affairs*. The latter will be included in the SSCI as of 2022.

Over the period 2018-2020, IAS's work led to on average 19.7 articles in peer-reviewed journals per year, 2.3 articles in other journals, and 1.7 monographs; scientists in the subdivision authored on average 14 individual contributions to edited volumes and were responsible for 4.7 editorships. Average yearly project grants amounted to € 370k over the same period and came from various sources, including the DFG (€ 175k) and the Federal Government (€ 55k).

### **GIGA Institute for Latin American Studies**

(11 FTE, thereof 9.3 FTE Research and scientific services, 1.7 FTE Doctoral candidates)

The GIGA Institute for Latin American Studies (ILAS) is dedicated to the analysis of political, social, and economic developments in Latin America and the Caribbean (LAC). ILAS scholars research, among other topics, the quality of democratic institutions and partici-

pation; the challenges posed by violence and crime; the interaction of inequality and politics; social, health, and gender policies; immigration and emigration; and regional integration.

The institute's work is comparative, based on quantitative and qualitative methods, including fieldwork. ILAS senior scholars hold leadership roles in organisations such as the German Latin American Studies Association (ADLAF), the Latin American Political Science Association (ALACIP), and the American Political Science Association (APSA). Moreover, ILAS hosts the secretariat of the network "Red Euro-Latinoamericana de Gobernabilidad para el Desarrollo" (RedGob) and co-edits the Journal of Politics in Latin America. The ILAS is also engaged in knowledge exchange with the policy community, both in Germany and the European Union as well as in LAC, e.g. in 2020 as a co-organiser, with the German Federal Foreign Office, of an event at the EU-LAC Foreign Ministers' conference.

Over the period 2018-2020, ILAS's work led to on average 18.7 articles in peer-reviewed journals per year, 5.3 articles in other journals, and 2.3 monographs; scientists in the subdivision authored on average 12.3 individual contributions to edited volumes per year and were responsible for 1.7 editorships. Average yearly project grants amounted to € 950k over the same period and were obtained mostly from the Leibniz Association (€ 385k), the DFG (€ 295k), the Federal Government (€ 165k), and the EU (€ 65k). On average, four doctoral degrees were completed per year.

### **GIGA Institute for Middle East Studies**

(9.8 FTE, thereof 7.8 FTE Research and scientific services, 2 FTE Doctoral candidates)

The GIGA Institute for Middle East Studies (IMES) studies political, economic, and social developments in the Middle East and North Africa (MENA). Its scholars examine topics such as state and regime structures, energy security, violent conflicts, forced migration, Islamist movements, and the reshaping of the regional order. The Institute has developed context-sensitive approaches based in Comparative Politics, Political Economy, and International Relations for assessing the region's societies. The growing interaction between the MENA and its neighbouring regions such as the Sahel, the Horn of Africa, and South Asia is being investigated in research projects that are informed by the GIGA's approach of Comparative Area Studies (CAS).

The Institute operates the GIGA Research Platform Middle East in Beirut and Tunis and is a core partner in the Merian Centre for Advanced Studies in the Maghreb at Tunis University. The IMES is a member of the Euro-Mediterranean Study Commission (EuroMeSCo) and the advisory council of the World Congress for Middle Eastern Studies. IMES researchers are members of the German Middle East Studies Association for Contemporary Research and Documentation (DAVO). With their expertise in political hotspots of the area and their development potential (e.g. Egypt, Iran, Saudi Arabia, Syria, Turkey, and Yemen) they aim at informing decision makers and leading media.

Over the period 2018-2020, IMES's work led to on average 9.7 articles in peer-reviewed journals per year, 1 article in other journals, and 0.7 monographs; scientists in the subdivision authored on average 6 individual contributions to edited volumes and were responsible for 1 editorship. Average yearly project grants amounted to € 300k over the same

period and were obtained mostly from the EU (€ 110k), the Federal Government (€ 65k), and the DFG (€ 60k).

### **Research Programme “Accountability and Participation”**

(9.3 FTE, thereof 9 FTE Research and scientific services, 0.3 FTE Doctoral candidates)

The Research Programme investigates political processes, institutional change, and socio-political developments taking place in the Global South. Its research focuses on state-society and intra-state political dynamics in different political regimes.

The programme investigates how civil society organises itself, and how it protests and mobilises its members and supporters to assert its demands and get politicians to deliver under conditions of high levels of economic and social inequality. Likewise, the programme analyses the leadership’s responsiveness to citizens’ demands and the empowerment of executives above other actors and institutions. A focus lies on the prevalence of informal practices, which may imperil the rule of law and the link between citizens and political elites, thereby providing opportunities for populist mobilisation. In addition, the study of authoritarian political practices at the national or local levels alerts on the emergence and spread of authoritarian enclaves in different political regimes. Its researchers work in the field of Comparative Politics and related disciplines such as Sociology, Legal Studies, and Political Economy. They collaborate with researchers in the regions and aim to inform civil society organisations and decision makers on the Global South’s most relevant sociopolitical dynamics.

Over the period 2018-2020, the work led to on average 11.3 articles in peer-reviewed journals per year, 5 articles in other journals, and 2.3 monographs; scientists in the subdivision authored on average 15.3 individual contributions to edited volumes and were responsible for 2.7 editorships. Average yearly project grants amounted to € 880k over the same period and were obtained mostly from the DFG (€ 395k), the Leibniz Association (€ 275k), the Federal Government (€ 90k), and the EU (€ 70k). On average, 1.3 doctoral degrees were completed per year.

### **Research Programme “Peace and Security”**

(14.9 FTE, thereof 11 FTE Research and scientific services, 3.9 FTE Doctoral candidates)

The Research Programme examines peace and conflict processes in Africa, Asia, Latin America, and the Middle East, investigating international violence and security trends. It analyses the role of local, national, regional, and international actors in creating peace and security and overcoming conflict by advancing novel theoretical explanations and integrating state-of-the-art qualitative and quantitative comparative methods. Research topics include sanctions, religion, forced migration, and climate change as drivers of conflict (and potential sources of peace).

Utilising networks with partner institutions in peace, conflict, and security research from several world regions, the programme aims at generating in-depth knowledge of the respective dynamics. Analysing the increasingly transnational nature of conflicts, security

provision, and peacebuilding, it also aims at identifying lessons for both scholars and policymakers.

Over the period 2018-2020, the work led to on average 22 articles in peer-reviewed journals per year, 2.3 articles in other journals, and 0.7 monographs; scientists in the subdivision authored on average 6.3 individual contributions to edited volumes and were responsible for 1.3 editorships. Average yearly project grants amounted to € 550k over the same period and were obtained mostly from the Federal Government (€ 240k), the DFG (€ 160k), and the EU (€ 105k). On average, 1.7 doctoral degrees were completed per year.

### **Research Programme “Globalisation and Development”**

(15.8 FTE, thereof 11.5 FTE Research and scientific services, 4.3 FTE Doctoral candidates)

The Research Programme studies the economic, political, and social foundations of inclusive and sustainable development. Its research draws on the regional knowledge and methodological expertise of GIGA researchers from Development Economics and related disciplines, especially Comparative Politics and International Political Economy. Particular strengths are seen in original data collection, experimentation, and policy innovation.

By engaging in fundamental research, policy analysis, and designing and testing new policy interventions the programme strives to bridge the gap between theory and practice. Much of the research is therefore carried out in partnership with national governments, international development agencies, and NGOs. The programme has well-established working relations with policymakers and practitioners, including in the Global South. It aims to connect to broader debates on multilateralism, sustainability, and development strategies while also examining and engaging with specific policies and interventions – for example, by conducting rigorous impact evaluations.

Over the period 2018-2020, the work led to on average 10.3 articles in peer-reviewed journals per year, 0.7 articles in other journals, and 0.3 monographs; scientists in the subdivision authored on average 5.3 individual contributions to edited volumes and were responsible for 0.3 editorships. Average yearly project grants amounted to € 750k over the same period and were obtained mostly from the Federal Government (€ 410k), the DFG (€ 110k), and the EU (€ 100k). On average, 1.3 doctoral degrees were completed per year.

### **Research Programme “Global Orders and Foreign Policies”**

(12.6 FTE, thereof 10.2 FTE Research and scientific services, 2.4 FTE Doctoral candidates)

The Research Programme studies the new complexity of global politics (e.g. with new or previously marginalised actors), focusing on the future of regional and global institutions and the (foreign) policies of the diverse actors that engage with them. It analyses major trends, such as climate change, global health crises, populism, global power shifts, the new importance of South-South relations, and how these trends transform global order – for instance, through new steering mechanisms for international cooperation in an increasingly complex global system. This includes research on traditional foreign policymaking while also acknowledging the growing significance of transnational linkages between domestic actors, such as private businesses, political parties, and civil society groups.



In doing so, the Research Programme blends International Relations with Comparative Politics, Economics, and other Social Sciences disciplines represented at the GIGA. By integrating quantitative and qualitative methods, it develops and discusses notions of global order, multilateralism, and governance from diverse vantage points, with a special focus on those ideas emanating from the regions of the Global South. An important aspect of this work is the manifold partnerships and networks in the GIGA regions. This allows the Research Programme to contribute to the inclusive theorisation of international affairs and produce policy-relevant empirical expertise.

Over the period 2018-2020, the work led to on average 16.7 articles in peer-reviewed journals per year, 3.3 articles in other journals, and 1.7 monographs; scientists in the subdivision authored on average 12 individual contributions to edited volumes and were responsible for 2.3 editorships. Average yearly project grants amounted to € 430k over the same period and were obtained mostly from the Leibniz Association (€175k), the Federal Government (€ 96k), and the DFG (€ 80k). On average, 1.7 doctoral degrees were completed per year.

## 8. Handling of recommendations from the previous evaluation

The GIGA responded as follows to the recommendations of the last external evaluation (highlighted in italics, see also statement of the Senate of the Leibniz Association issued on 9 July 2015, pages B-2 to B-3):

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.”*

To implement this recommendation the GIGA states having

- developed its Global Approach with a priority on systematically integrating perspectives from and working with the regions of the Global South,
- focused in its publication strategy on leading journals and university presses, leading to prizes and awards (see chapter 2),
- put emphasis on further increasing the acquisition of third-party funding for research projects (see chapter 2),
- engaged in conceptual work on Comparative Area Studies,
- recalibrated the GIGA Research Programmes, and
- intensified the exchange with academics and practitioners via new event series and other formats (see chapter 3).

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.”*

To implement this recommendation the GIGA states having

- not expanded its geographical focus further,
- recruited with the intention of gaining additional and complementary expertise on topics with high relevance in the world regions covered by the GIGA (including three Regional Director positions and two new Junior Professorships; see chapter 5),
- intensified its work with Africa, Asia, Latin America, and the Middle East, especially via the Research Platforms established after the last evaluation and through international networks (see chapters 3 and 6).

*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.”*

The GIGA refers to the activities described in chapter 2, including its increased research-based interactions with national executive and legislative institutions. The institute points to a newly established impact concept that emphasises the close connection between academic and societal impact. It reports having expanded its research-based interaction also with international organisations like the World Trade Organization, World Bank, European Commission’s Directorate-General for International Partnerships, United Nations Economic Commission for Latin America and the Caribbean, Food and Agricultural Organization of the UN, and institutions such as the Munich Security Conference. It also states having increased its visibility in international and national media, and having intensified its exchange with the Hamburg audience (chapter 3).

*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.”*

The GIGA points to the renewed cooperation agreement with Universität Hamburg (UHH) and other universities in northern Germany as described in chapter 6 as well as to the close cooperation with UHH in doctoral training and teaching. Both institutions also cooperate in terms of research, inter alia in the Hamburg Cluster of Excellence “Climate, Climate Change, and Society” and in the project „World Order Narratives in the Global South“ (chapter 5).

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.”*

The GIGA implemented a targeted internationalisation strategy and established Research Platforms with international core partners (see chapter 3). Other international collaborations were expanded (see chapter 6), including two Maria Sybilla Merian Centres (MIASA, MECAM) and two Global Centres on climate and health respectively.

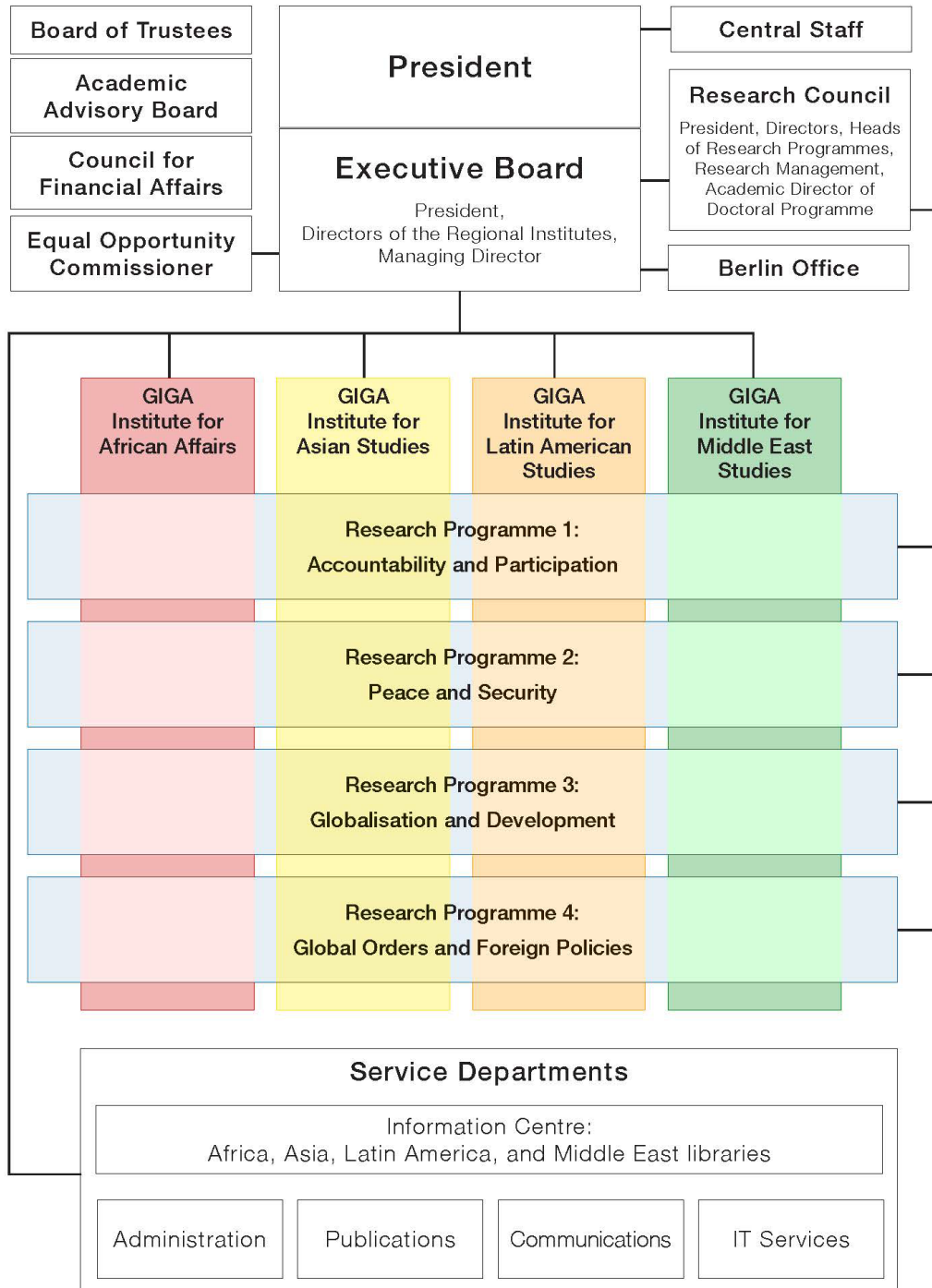
6) *“GIGA must increase the **proportion of women** at leadership level and amongst those with tenure. The two positions that will become vacant due to retirement in 2018, in particular, offer scope for appointing highly qualified female researchers.”*

The GIGA points to

- the target the institute defined in its renewed cascade model (see chapter 5),
- the increased proportion of women at the first leadership level and raising the percentage of professorships held by women to over 50 %,
- the success of one of its female lead researchers in the Leibniz Programme for Women Professors (see chapter 5),
- having actively approached women to apply for positions advertised at the GIGA; the last five tenured positions were filled with two men and three women.

Appendix 1

Organisational Chart



## Appendix 2

### Publications, patents, and expert reviews

	Period		
	2018	2019	2020
<b>Total number of publications</b>	137	107	138
Monographs	5	5	5
Individual contributions to edited volumes	41	38	37
Articles in peer-reviewed journals	63	46	71
Articles in other journals	13	6	15
Working and discussion papers (GIGA WP)	5	5	4
Editorship of edited volumes (incl. special issues)	10	7	6

	2018	2019	2020
Number of expert reviews <sup>1</sup>	9	11	15

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<sup>1</sup> Such expert reviews may consist of various individual reports. Examples include the political-economic short analyses and studies on escalation potential (both produced annually for the BMZ) or the country studies for the Bertelsmann Transformation Index,

## Appendix 3

## Revenue and Expenditure

Revenue		2018			2019			2020 <sup>1)</sup>		
		k€	% <sup>2)</sup>	% <sup>3)</sup>	k€	% <sup>2)</sup>	% <sup>3)</sup>	k€	% <sup>2)</sup>	% <sup>3)</sup>
<b>Total revenue (sum of I., II. and III.; excluding DFG fees)</b>		12,149.4			12,720.8			12,189.7		
<b>I.</b>	<b>Revenue (sum of I.1., I.2. and I.3)</b>	10,530.2	100 %		10,957.5	100 %		9,969.2	100 %	
1.	<b>INSTITUTIONAL FUNDING (EXCLUDING CONSTRUCTION PROJECTS AND ACQUISITION OF PROPERTY)</b>	8,580	81 %		7,478.3	68 %		7,540.5	76 %	
1.1	Institutional funding (excluding construction projects and acquisition of property) by Federal and <i>Länder</i> governments according to AV-WGL	8,580			7,478.3			7,540.5		
1.2	Institutional funding (excluding construction projects and acquisition of property) not received in accordance with AV-WGL	0			0			0		
2.	<b>REVENUE FROM PROJECT GRANTS</b>	1,940.4	18 %	100%	3,472.3	32%	100%	2,428.7	24 %	100%
2.1	DFG	683.8		35%	881.8		25%	676.2		28%
2.2	Leibniz Association (competitive procedure)	419.3		22%	518.1		15%	412.6		17%
2.3	Federal, <i>Länder</i> governments	187.3		10%	1,249.1		36%	1,079.4		44%
	Therefrom: BMZ	177.3			1,105.4			848.3		
	Therefrom: BMBF	0			51.6			230.1		
	Therefrom: other federal	10.0			92.1			1		
2.4	EU	361.1		19%	458.7		13%	75.2		3%
2.5	Industry	0		0%	0		0%	36		1%
2.6	Foundations	222		11%	174.4		5%	44.6		2%
2.7	Other sponsors	66.9		3%	190.2		5%	104.7		4%
3.	<b>REVENUE FROM SERVICES</b>	9.8	0 %		6.9	0 %		0	0 %	
3.1	Revenue from commissioned work	0			0			0		
3.2	Revenue from publications	9.8			6.9			0.1		
3.3	Revenue from exploitation of intellectual property for which the institution holds industrial property rights (patents, utility models etc.)	0			0			0		
3.4	Revenue from exploitation of intellectual property without industrial property rights	0			0			0		
<b>II.</b>	<b>Miscellaneous revenue</b> (e.g. membership fees, donations, rental income, funds drawn from reserves)	1,619.2			1,763.3			2,220.5		
<b>III.</b>	<b>Revenue for construction projects</b> (institutional funding by Federal and <i>Länder</i> governments, EU structural funds, etc.)	0			0			0		
<b>Expenditures</b>		<b>k€</b>			<b>k€</b>			<b>k€</b>		
<b>Expenditures (excluding DFG fees)</b>		12,149.4			12,720.8			12,189.7		
1.	Personnel	7,552.0			7,612.4			8,080.1		
2.	Material expenses	230.6			162.7			149.7		
2.1	Proportion of these expenditures used for registering industrial property rights (patents, utility models, etc.)	0.0			0.0			0.0		
3.	Equipment investments	270.6			157.8			115.6		
4.	Construction projects, acquisition of property	0.0			0.0			0.0		
5.	Other operating expenses	4,096.2			4,787.9			3,844.3		
5.1	Therefrom services purchased	1,438.9			1,791.0			1,632.4		
5.2	Therefrom other operating expenses	943.7			812.3			559.7		
5.3	Therefrom other accruals	1,713.6			2,184.6			1,652.2		
DFG fees (if paid for the institution – 2.5% of revenue from institutional funding)		185.9			184.2			188.1		

<sup>1</sup> Preliminary data: no.<sup>2</sup> Figures I.1, I.2 and I.3 add up to 100 %. The information requested here is thus the percentage of “institutional funding (excluding construction projects and acquisition of property)” in relation to “Revenue from project grants” and “Revenues from Services”.

## Appendix 4

## Staff

(Basic financing and third-party funding / proportion of women (as of: 31 December 2020))

	Full time equivalents		Employees		Female employees		foreigners
	Total	on third-party funding	Total	on temporary contracts	Total	on temporary contracts	Total
	Number	Percent	Number	Percent	Number	Percent	Number
<b>Research and scientific services</b>	<b>52.5</b>	<b>45.3</b>	<b>62</b>	<b>67.7</b>	<b>30</b>	<b>73.3</b>	<b>10</b>
President	1	0	1	0	1	0	1
Directors	4	0	4	0	1	0	1
Lead Research Fellows	7.3	7.1	8	0	4	0	0
Senior Research Fellows	6.4	0.6	7	0	2	0	0
Research Fellows	23.1	56.6	26	100	11	100	5
Doctoral Researchers	10.8	94	16	100	11	100	3
<b>Science supporting staff (laboratories, technical support etc.)</b>	<b>23.8</b>	<b>1.9</b>	<b>33</b>				
Communications Department (from E13, senior service)	0.6	0	1				
Communications Department (E9 to E12, upper-mid-level service)	2.6	0	3				
Publications Department (E9 to E12, upper-mid-level service)	3.2	0	5				
Information Centre (from E13, senior service)	1.5	0	2				
Information Centre (E9 to E12, upper-mid-level service)	9.7	4.5	13				
Information Centre (E5 to E8, mid-level service)	0.2	0	1				
IT Department (from E13, senior service)	1	0	1				
IT Department (E9 to E12, upper-mid-level service)	2.8	0	3				
Office Support (E5 to E8, mid-level service)	2.1	0	4				
<b>Science supporting staff (administration)</b>	<b>11.9</b>	<b>0</b>	<b>13</b>				
Head of Administration	1	0	1				
Staff positions (from E13, senior service)	4	0	4				
Staff positions (E9 to E12, upper-mid-level service)	1.7	0	2				
Internal administration (financial administration, personnel, etc.) (from E13, senior service)	0	0	0				
Internal administration (financial administration, personnel, etc.) (E9 to E12, upper-mid-level service)	5.3	0	6				
Building service (E1 to E4)	0	0	0				
<b>Student assistants</b>	<b>11.4</b>	<b>43.1</b>	<b>40</b>				
<b>Trainees</b>	<b>0</b>		<b>0</b>				
<b>Scholarship recipients at the institution</b>	<b>19.8</b>	<b>5.8</b>	<b>20</b>		<b>12</b>		<b>12</b>
Doctoral candidates	17.8	0.8	18		10		11
Post-doctoral researchers	2	50	2		2		1

## **Annex B: Evaluation Report**

### **German Institute for Global and Area Studies, Hamburg (GIGA)**

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Appendix:

Members of review board



## 1. Summary and main recommendations

The German Institute for Global and Area Studies (GIGA) investigates political, economic, and social developments in Africa, Asia, Latin America, and the Middle East. The GIGA's distinguishing feature is the systematic combination and integration of expertise from different disciplines and on different geographic regions. The GIGA's research across the four Regional Institutes is conducted in four Research Programmes. The Regional Institutes and Research Programmes interact in a matrix structure.

The GIGA has further improved its publication record since the last evaluation. Some research results have led to top-level publications that have received international attention. The researchers at the GIGA frequently generate innovative datasets. The four peer-reviewed journals of the GIGA journal family edited by the institute provide a valuable academic service to the respective area studies communities. With its Information Centre, the GIGA provides access to a wide range of current social science literature. The revenue from third-party funding is high. The GIGA's research outcomes are a source of information for political decision-makers – particularly the German Federal Foreign Office – and of knowledge transfer to the general public in Hamburg and – through a separate office – in Berlin.

Since the last evaluation, the GIGA has successfully completed a comprehensive turnover in leadership. In 2014, a new President took office. Three of the four directors of the Regional Institutes and three of the four Research Programme heads were also newly appointed. The transition in leadership was managed well and has led to an increase in the number of women in leadership positions. The GIGA is very successful in training young researchers; eight post-doctoral researchers have been appointed to professorships since the last evaluation.

Under the new President, the GIGA has developed a *Global Approach* as its guiding mission. Thereby, the institute aims to conduct research on topics that are meaningful beyond one particular region and to operate with a structure that integrates international staff and that is conducive to international collaboration. This commitment to engage with relevant actors around the globe, in particular in the Global South, with the aim of reaching global visibility, is welcome.

The institute's wide network of partner universities in Northern Germany is demonstrated by the fact that GIGA staff hold professorships at five universities and are involved in collaborative research projects, including two Clusters of Excellence. The international collaborations include formalised partnerships for *Research Platforms* as well as for editing the region-specific journals published within the GIGA Journal Family.

The following notes and recommendations from the evaluation report (highlighted in bold in the text), deserve particular attention in the further development of the GIGA:

### Overall concept, activities and results (chapter 2)

1. The global reference in the institute's name implies an aspiration to be a relevant player in all regions of the world. Given the overall size of the GIGA, and the manifold dynamics and developments across the globe, this would be an impossible mission. Therefore, it is a necessity that not all topics are investigated in all regions to the same extent (and

vice versa). The GIGA has prioritised certain regions and research topics. With this portfolio, it manages to cover large parts of the world in a range of important subjects. At the moment, however, it remains insufficiently clear how the priorities are determined. The institute should ensure that decisions are taken deliberately and in a transparent and participatory process.

#### Changes and planning (chapter 3)

2. The Regional Institutes and Research Programmes interact in a matrix structure, which provides a suitable framework for conceptualising the GIGA's comparative research. The linkages to the matrix structure and the implementation of the *Global Approach* should be further embedded and developed. In particular, it should be clarified how the *Global Approach* of the GIGA leads to guidelines as to which types of research projects are pursued.
3. For the coming years, the GIGA has identified three themes it plans to emphasize: vulnerability and agency, digitalisation, and sustainability. So far, they appear to be rather broad and it remains unclear how these themes are to be implemented within the matrix structure, in particular how they fit into the established Research Programmes. Before realising its plans for the strategic themes, the institute should more clearly define how the themes translate into projects that are pursued within the Research Programmes and the Regional Institutes.
4. As part of its work on digitalisation, the GIGA plans to establish a Digital Transformation Lab (*DigiTraL*). For the purpose of implementation, the GIGA intends to apply for a permanent extraordinary item of expenditure (*Sondertatbestand*) from 2025 onwards. While the topics the GIGA intends to pursue are a good fit for the institute, their implementation needs to be developed further before an application is submitted in the designated procedure.

#### Controlling and quality management (chapter 4)

5. The Information Centre should develop its profile further, utilising the new opportunities resulting from bringing together all GIGA libraries under one roof in the new building from 2024 onwards. Its current endowment of 12.4 FTE library staff provides excellent resources for it to become a more visible institution in the field, for example by extending the digital services offered.
6. The GIGA has implemented appropriate quality management instruments when communicating with academic audiences. However, the quality management instruments for the Information Centre and for the GIGA's transfer activities need to be extended significantly.

#### Human resources (chapter 5)

7. In line with its *Global Approach*, the institute should further increase internationalisation and the diversity of its staff. The institute acknowledges this and has implemented measures to increase the share of staff from abroad. So far, these measures have led to an increase in international applications, and it is expected that this will lead to further international hires soon.

### Cooperation and environment (chapter 6)

8. In line with its *Global Approach*, the GIGA aims to actively engage with academics based in the Global South and has already established a visiting scholars programme which should be further strengthened. A further increase of interactions with academics from the regions that the institute focuses on would also contribute to the development of new knowledge and ideas about these regions, allowing the GIGA to generate research projects in a bottom-up approach directly from the regions.

## **2. Overall concept, activities and results**

The GIGA conducts research on political, economic, and social developments in Africa, Asia, Latin America, and the Middle East. Its distinguishing feature is the systematic combination and integration of expertise from different disciplines in these geographic regions. This allows the institute to pursue its approach of Comparative Area Studies. The research outcomes are a source of information for political decision-makers – particularly the German Federal Foreign Office – and of knowledge transfer activities to the general public.

The GIGA's activities are conducted in four Regional Institutes – the Institute for African Affairs, the Institute for Asian Studies, the Institute for Latin American Studies, and the Institute for Middle Eastern Studies (see chapter 7). The GIGA is one of the leading research institutions in area studies for these regions. The Regional Institutes are linked by four thematic Research Programmes: “Accountability and Participation”, “Peace and Security”, “Globalisation and Development”, and “Global Orders and Foreign Policies” (see below). This structure provides an appropriate framework for conceptualising GIGA's approach and leads to important results on inter-, intra-, and cross-regional issues. Furthermore, the GIGA has made important contributions to the development of the field of Comparative Area Studies. The GIGA should continue to promote Comparative Area Studies and communicate the insights this approach provides also to adjacent fields, such as political science.

**The global reference in the institute's name implies an aspiration to be a relevant player in all regions of the world. Given the overall size of the GIGA, and the manifold dynamics and developments across the globe, this would be an impossible mission. Therefore, it is a necessity that not all topics are investigated in all regions to the same extent (and vice versa). The GIGA has prioritised certain regions and research topics. With this portfolio, it manages to cover large parts of the world in a range of important subjects. At the moment, however, it remains insufficiently clear how the priorities are determined. The institute should ensure that decisions are taken deliberately and in a transparent and participatory process.**

### **Results**

The GIGA has further improved its **publication record** since the last evaluation. While the total number of publications has decreased, the number of peer-reviewed articles has

risen significantly (on average 46 per year in 2011-2013; 60 in 2018-2020). GIGA researchers now regularly publish articles in high-ranking journals and monographs in renowned university presses. Since the last evaluation, some research results produced at the GIGA have led to top-level publications that have received international attention. The institute aims to reach a diverse readership that includes the scientific communities and political decision-makers around the globe. For this purpose, it is important that the institute continues to publish in high-ranking journals while at the same time also using publication outlets that reach its target audiences around the world.

The four journals of the **GIGA journal family** edited by the institute provide a valuable academic service to the relevant area studies communities, including in the Global South. The policy of actively encouraging submissions from the GIGA's regions fits well with the institute's *Global Approach*. The articles published in the journals have high download numbers and they make important contributions to the GIGA's visibility in the regions studied. Each journal is co-edited with an international institution. The journals have peer-review procedures and are published in open access. The GIGA has only recently changed its internal policies, and it now allows its researchers to publish in the GIGA journal family. Thus, the majority of articles published in the GIGA journals are authored by researchers outside of the institute. The listing of the *Journal of Current Southeast Asian Affairs* and *Africa Spectrum* in the Social Sciences Citation Index is a welcome development.

The researchers at the GIGA frequently generate innovative **datasets** that have the potential to make important contributions to the academic community. It is appreciated that the GIGA collects access options to the datasets in its Metadata Database.

The GIGA **Information Centre (IZ)** provides access to a wide range of current social science literature. The IZ has excellent opportunities to further contribute to the GIGA's visibility in the field by extending its (digital) services to the academic community. The instruments to measure the impact and usage of the IZ should be developed further (see recommendation on quality assurance in chapter 4).

The GIGA conducts very good **transfer activities**. These include policy advice such as high-level exchange with the Federal Foreign Office and with other political actors in Germany. Knowledge exchange also takes place with the public through events hosted in Hamburg and Berlin (or online, which means much higher attendance rates), where the GIGA maintains an office in close proximity to the government district. The GIGA has expanded its activities to address political actors at the European and international level. These efforts should be continued. In addition, the GIGA is encouraged to extend its knowledge exchange activities in the Global South and to aim to monitor the impact it has on political outcomes, particularly in the regions (see chapter 4).

*Activities and results of the four Research Programmes (for details on the Regional Institutes see chapter 7).*

Within the Research Programme "**Accountability and Participation**", the GIGA pursues a coherent research agenda on timely and promising topics such as the persistence of authoritarianism, the rise of populist leaders, and the challenges for migration policy. Since

the last evaluation, the Research Programme has undergone a productive realignment. Many of the highlight activities within the Research Programme are grounded in inter-regional comparisons. These include the production of datasets such as the Global State Revenues and Expenditure dataset, and noteworthy results on Latin America and sub-Saharan Africa, such as comparative research on presidential term limits and judicial independence in these regions. Within this Research Programme, the comparative approach could be strengthened further by including more research projects on South Asian countries.

The research projects pursued within the Research Programme “**Peace and Security**” cover an impressively broad selection of relevant themes and topics, such as micro-level processes influencing conflict and peace, perceptions of security and the security implications of the COVID-19 pandemic. The researchers make important contributions to scholarly and policy agendas in a range of salient fields, including refugee studies and the study of sanctions. Particularly valuable is the production and publication of datasets, such as the dataset *Religion and Conflict in Developing Countries* and the dataset on authoritarian sanctions targets. Concerning its further planning to extend research on forced migration, the institute should carefully consider whether focussing on the global governance of migration is the most promising perspective, since this topic is associated with very different challenges than the projects pursued so far. The Research Programme’s transfer activities include highlights such as the annual country assessments for the Federal Ministry for Economic Cooperation and Development.

Within the Research Programme “**Globalisation and Development**”, important topics such as poverty, land grabbing, multilateral trade, and the impacts of developmental economic interventions are investigated. The programme has made significant contributions, particularly through the *Land Matrix* database. However, currently, the programme is too broad, and it is good to see that a process to consolidate the research topics is planned. As a result of this process, the research should be more clearly interlinked and reflect a focus on a few prioritised subjects for collaboration. As part of the future planning, the perspective of Area Studies should be more prominently incorporated.

The Research Programme “**Global Orders and Foreign Policies**” investigates topics with highly innovative potential, such as polycentrism, legitimacy, and populisms, as well as their relationships with global order and foreign policy. The Research Programme has a coherent thematic focus. Among other topics, the projects investigate the role of ideas and negotiating cultures as well as their relationship to power in the shaping of global order. The conceptual basis for this innovative perspective should be developed further. Such a focus can contribute to the further development of non-Western approaches and thereby advance the field. The policy consulting activities have significantly contributed to the GIGA’s increased visibility. In this field, the links to think tanks and to universities could be strengthened further.

### 3. Changes and planning

#### Development since the previous evaluation

Since the last evaluation, the GIGA has seen staff turnover at leadership level, with a new President taking office in October 2014 and three of the four Regional Institutes appointing new directors (see chapter 5).

Under the new President, the GIGA has developed a so-called *Global Approach* as its guiding mission. As part of this approach, the institute has identified three strategic dimensions: global in content, global in structure, and global in reach. Thereby, it aims to conduct research on topics that are meaningful beyond a particular region and to operate in a structure that integrates international staff and is highly conducive to international collaboration. The goal is to achieve global visibility for the GIGA.

**The Regional Institutes and Research Programmes interact in a matrix structure, which provides a suitable framework for conceptualising the GIGA's comparative research. The linkages to the matrix structure and the implementation of the *Global Approach* should be further embedded and developed. In particular, it should be clarified how the *Global Approach* of the GIGA leads to guidelines as to which types of research projects are pursued.**

The institute's commitment to engage with relevant actors around the globe, in particular in the Global South, is welcome. In order to achieve a truly horizontal engagement, the institute should increase the flow of stimuli, information and research ideas originating from the Global South into the GIGA. The Research Platforms that the GIGA has set up since the last evaluation with additional institutional funding, and which it now operates in the regions in collaboration with selected partners (see chapter 6) provide a good structure for this purpose.

#### Strategic work planning for the coming years

**For the coming years, the GIGA has identified three strategic themes it plans to emphasise: vulnerability and agency, digitalisation, and sustainability.** All of these are, of course, themes of global relevance and therefore it is good to see that the institute has adopted them to be pursued as part of an institute-wide research agenda. **So far, the strategic themes appear to be rather broad and it remains unclear how these themes are to be implemented within the matrix structure, in particular how they fit into the established Research Programmes. Before realising its plans for the strategic themes, the institute should more clearly define how the themes translate into projects that are pursued within the Research Programmes and the Regional Institutes.**

As part of its strategic theme "sustainability", the GIGA plans to extend its work on topics such as international climate negotiations, trade-offs between environmental policy and development, and climate change impacts on mobility and conflict. Thereby, it is particularly important that the impact of climate change on social processes in the regions is considered. Through collaborative projects, the GIGA ensures continuous involvement in debates while at the same time allowing the GIGA's research staff to focus on their other core research themes. So, it is good to see the institute participating in collaborative projects

on climate change, such as the Cluster of Excellence on Climate, Climatic Change, and Society (CLICCS) and in project initiatives focused on linkages between climate extremes and conflict.

The GIGA has identified the impacts of digitalisation as an important area for further research and presented plans to focus on the impact of digitalisation on diplomacy, economic development, and conflicts between governments and within society. **As part of its work on digitalisation, the GIGA plans to establish a Digital Transformation Lab (*DigiTraL*). For the purpose of implementation, the GIGA intends to apply for a permanent extraordinary item of expenditure (*Sondertatbestand*) from 2025 onwards. While the topics the GIGA intends to pursue are a good fit for the institute, their implementation needs to be developed further before an application is submitted in the designated procedure** (see above). In particular, the institute needs to be more specific about how the concept of a “lab” like *DigiTraL* fits into the GIGA’s current structure.

## 4. Controlling and quality management

### Facilities, equipment and funding

Institutional funding is adequate to fulfil the GIGA’s current portfolio of activities (€7.8m per year on average in the period 2018 to 2020).

Third-party research funding totalled approx. €2.6m on average per year. The share of third-party funding in the GIGA’s overall budget is at a very good level (25%). It is welcomed that the GIGA has maintained a well-balanced portfolio of third-party funding. As recommended at the last evaluation, the GIGA managed to increase funding obtained from the EU significantly. The GIGA should continue this development and aim to further expand EU funding for collaborative projects. It has considerable potential to develop promising applications for this purpose.

#### *Facilities and equipment*

In 2024, the institute is scheduled to move to a new building. The efforts by the City of Hamburg and the Federal Government to enable this relocation are welcome.

In its GIGA Information Centre (IZ), the institute combines its regional libraries (Africa, Asia, Latin America, and the Middle East) as well as a trans-regional collection. The libraries are accessible to external users and also contribute to the World Affairs Online database. The collection is extensive and comprises more than 200,000 books and approximately 11,000 online journals.

**The Information Centre should develop its profile further, utilising the new opportunities resulting from bringing together all GIGA libraries under one roof in the new building from 2024 onwards. Its current endowment of 12.4 FTE library staff provides excellent resources for it to become a more visible institution in the field, for example by extending the digital services offered.** In this context, the internal quality management in the Information Centre should be extended significantly (see the recommendation below).

## Organisational and operational structure

The GIGA's organisational structures are appropriate and allow it to pursue comparative studies effectively across its geographic focus regions. The institute should ensure that the function of the Research Programmes in providing guidelines for future projects is developed further (see chapter 3).

As was recommended at the time of the last evaluation, the fact that responsibility for financial management resides with the Managing Director is now specified in the GIGA statutes.

## Quality management

The *Global Approach* formulates high ambitions for the GIGA's impact on several levels, including a range of academic communities and policymakers in different regions of the world. In order to be able to monitor its success on the different levels, the institute should formulate clear goals that consider its academic excellence as well as other factors, such as the promotion of Comparative Area Studies, contributions to pressing societal debates, and horizontal knowledge transfer in the Global South.

**The GIGA has implemented appropriate quality management instruments when communicating with academic audiences** (see chapter 2, results). The journal whitelist is a suitable instrument to guide the publication outlets for its research results. The inclusion of a category for innovative journals in this whitelist is welcomed. In line with its "Global Approach", the institute should ensure that the whitelist includes appropriate outlets to reach academics in the Global South. **However, the quality management instruments for the Information Centre (IZ) and for the GIGA's transfer activities need to be extended significantly.** For the IZ, these should include the monitoring of indicators such as the number of users, downloads, or external publications that use the services provided. For the GIGA's extensive political exchange activities, instruments to monitor the impact of its activities on political decision-making processes should be implemented. Additional collaborations with other institutions within and outside of the Leibniz Association may help the GIGA to develop suitable mechanisms for quality management.

## Quality management by advisory board and supervisory board

The Academic Advisory Board fulfills its mission as an external advisory body appropriately. It meets once a year and conducted an interim audit in 2018. The international composition of the Academic Advisory Board is laudable. Given the different disciplines incorporated in the GIGA's Research Programmes and the plans to include digitalisation as an important research theme, the expertise in disciplines other than political science should be strengthened.



## 5. Human resources

At 31 December 2020, the GIGA employed 108 people, of whom 62 were in research and scientific services, 33 in science support service positions and 13 in science support administrative positions. Additionally, 40 student assistants and 20 scholarship recipients worked at the GIGA.

Ten employees (16%) in research and scientific services as well as twelve scholarship recipients (60%) came from abroad. **In line with its *Global Approach*, the institute should further increase internationalisation and the diversity of its staff. The institute acknowledges this and has implemented measures to increase the share of staff from abroad. So far, these measures have led to an increase in international applications, and it is expected that this will lead to further international hires soon.**

### Leading scientific and administrative positions

The GIGA is very capably managed by the Executive Board, consisting of the President, the Vice President, the directors of the Regional Institutes, and the Managing Director.

The President, three of the four directors of the Regional Institutes, and three of the four heads of Research Programmes have been appointed since the last evaluation. The institute and the responsible bodies have not only managed these changes in leadership well. More so, they succeeded in recruiting highly successful researchers. The now complete leadership team is encouraged to work closely together and continue on its path towards a more strategic development of the GIGA.

### Staff with a doctoral degree

The GIGA is very successful in training young researchers. As *Research Fellows*, they have good opportunities for individual training and can engage in different functions, including research team leadership. Since the last evaluation, eight former GIGA postdoctoral researchers have gone on to be appointed as professors at universities in Germany and abroad. The institute has a transparent employment system for *Research Fellows* on temporary contracts, and *Senior* and *Lead Research Fellows* with tenure. The number of tenure procedures completed internally since the last evaluation is appropriate.

### Doctoral candidates

At 31 December 2020, 34 doctoral candidates worked at the GIGA, of whom 16 were employed on a contract while 18 held a scholarship. The GIGA should consider whether its current number of senior scientific staff allows it to increase the number of doctoral candidates.

The institute operates a structured doctoral programme designed to last three years. The GIGA participated in EU-funded doctoral training networks, such as three Marie Curie networks (for the periods 2013-2016 and 2016-2020). For the period 2021-2023, the institute has a joint research training group with partners in Hamburg.

## Equal opportunities and work-life balance

At 31 December 2020, the proportion of women in research and scientific services was 48%. Since 2014, the GIGA has been successfully led by a female President. The institute has increased the number of female scientists in leadership positions both at the level of directors of the Regional Institutes (from 0 out of 4 in 2013 to 1 out of 4) and *Lead Research Fellows* (from 2 out of 8 to 4 out of 8). This positive development should be continued.

In response to the COVID-19 pandemic, the institute states that it has found flexible solutions to provide good working conditions that meet the individual needs of its employees. This flexibility is welcomed. The institute should ensure that potential negative long-term effects of the pandemic, in particular on the career paths of female researchers, are mitigated as much as possible.

## 6. Cooperation and environment

The GIGA cooperates closely with universities in Northern Germany and has extended its network of university partners, as was planned at the time of the last evaluation. Five GIGA researchers are jointly appointed with the University of Hamburg. Additional joint professorships are held with the University of Erfurt and Goethe University Frankfurt (one each) as well as junior professorships with the University of Göttingen and Leuphana University Lüneburg. Adjunct and honorary professorships are held at four different universities. The GIGA's researchers contribute to teaching activities at eight different universities.

Through two DFG-funded Clusters of Excellence (in Hamburg and Berlin) and two Collaborative Research Centres, as well as through other third-party-funded collaborative research projects, the GIGA maintains close ties to many other institutions within Germany. In the Leibniz Association, the GIGA participates in three Leibniz Research Alliances: Crises in a Globalised World, Open Science, and INFECTIONS in an Urbanizing World. Among the most important partners within the Leibniz Association are the Berlin Social Science Center (WZB), the Peace Research Institute Frankfurt (HSFK), and the Leibniz Information Centre for Economics in Kiel and Hamburg (ZBW).

The institute has established **Research Platforms** in Africa, Asia, Latin America, and the Middle East. Additional temporary institutional funding was provided for the years 2015 to 2018 to establish the Research Platforms. Since 2019, funding for the research platforms is provided from the GIGA's core budget. The research platforms have the potential to significantly advance the GIGA's research projects and knowledge transfer activities. The institute needs to communicate more clearly the role of the research platforms, the nature of the collaborations, and the outcomes of the activities pursued.

The institute cooperates closely with renowned international institutions to edit the GIGA journal family (see chapter 2). Other international collaborations take the form of individual research projects. As was recommended at the last evaluation, the institute has further consolidated its collaborative relationships at a high level and developed a way of strategically classifying its partnerships. The institute should now define clearly which research

topics can be sufficiently covered by expertise present at the GIGA and which topics call for additional expertise to be accessed through collaborations.

**In line with its *Global Approach*, the GIGA aims to actively engage with academics based in the Global South and has already established a visiting scholars programme which should be further strengthened. A further increase of interactions with academics from the regions that the institute focuses on would also contribute to the development of new knowledge and ideas about these regions, allowing the GIGA to generate research projects in a bottom-up approach directly from the regions.**

## 7. Subdivisions of GIGA

### **GIGA Institute for African Affairs**

(17.7 FTE, of whom 11.3 FTE research and scientific services staff, 6.5 FTE doctoral candidates)

The Institute for African Affairs (IAA) has a clearly defined focus on topics that are at the centre of contemporary debates, both domestically and internationally. The staff have produced key results on matters of conflicts and made valuable contributions to the understanding of security problems. The work on democratisation is timely and in line with the current scholarly issues. The institute has adapted its research agenda by including other highly relevant topics, such as the links between supply chains and sustainable development and the legacies of colonisation. The future agenda, with its focus on dispelling the negative stereotyping of Africa, is welcomed.

The publication output is excellent; results are regularly published in renowned journals and the institute's researchers have authored notable monographs. Third-party funding rates are high. The *Africa Spectrum*, edited by IAA, contributes to the GIGA's visibility and has increased the citation scores over the last few years. The institute has also successfully expanded its networking activities with African partners and the consultancy with German ministries and other policymakers and should continue on this trajectory.

### **GIGA Institute for Asian Studies**

(14 FTE, of whom 13.3 FTE research and scientific services staff, 0.7 FTE doctoral candidates)

The Institute for Asian Studies (IAS) has developed very well. In an extensive region of the world, it aims to centre on issues of global order and global governance. Noteworthy research topics include civil-military relations and freedom of navigation. The IAS has further developed its expertise in Comparative Area Studies and presented promising plans to continue on this path. A greater reflection on the Indo-Pacific, and South Asia and on research themes such as democratisation studies and accountability politics would be conducive to this scheme. The intended research on populism and foreign policy have considerable innovative potential, as have the plans to increasingly incorporate non-Western approaches. For this purpose, the institute should aim for more diverse collaborations, especially in China and India. Good opportunities will arise as part of the *Franco-German*

*Observatory of the Indo-Pacific*, which was recently established by the GIGA and the *Center for International Studies* at Sciences Po, which invites key actors from the Indo-Pacific to present their vision of the region.

IAS researchers publish regularly in high-impact journals. The two journals associated with IAS are valuable assets to the research community, as underlined by the listing of the *Journal of Current Southeast Asian Affairs* in the Social Sciences Citation Index. Third-party funding, despite having decreased since the last evaluation, is at a good level and set to grow. The IAS undertakes high-profile activities with policymakers, think tanks, and the media, especially in Germany and India.

### **GIGA Institute for Latin American Studies**

(11 FTE, of whom 9.3 FTE research and scientific services staff, 1.7 FTE doctoral candidates)

The Institute for Latin American Studies (ILAS) has developed excellently into a global reference institution for the study of the politics of Latin America. ILAS has made significant contributions to a number of topics, such as the evolution of the Cuban economy, institutional systems and state organisation, as well as timely reporting on socioeconomic policies in response to COVID-19. The international profile was significantly strengthened with the hiring of the new director in 2020. She has an excellent academic reputation and brings with her a strong network both in the United States and in various Latin American countries.

ILAS's plans to strengthen links with various Latin American partners and policy actors are promising. The research visions should be developed further – building on its strengths, ILAS could contribute valuable research on the politics and political economy of climate change and energy transition. The institute has seen a high number of completed doctoral degrees in recent years. The number of doctoral candidates is currently low and should be increased again. The institute has a high publication output. It also conducts valuable outreach through publications, events, and activities. The publication of many research findings in Spanish is welcomed.

### **GIGA Institute for Middle East Studies**

(9.8 FTE, of whom 7.8 FTE research and scientific services staff, 2 FTE doctoral candidates)

The Institute for Middle East Studies (IMES) investigates developments in the Middle East and North Africa. The new focus on transformations of regional and global order is well-placed and can provide timely input to current debates. Since the change in leadership 2019, the institute has placed a strong emphasis on intensifying interactions with policymakers and media at a national and international level, including the *Financial Times* and the Saudi Ministry of Environment, Water, and Agriculture. This development is appreciated and has led to some noteworthy activities, such as participation in the advisory council of the World Congress for Middle Eastern Studies.

IMES has improved its publication record and visibility since the last evaluation to a good level. However, it should consider actively targeting more renowned journals. Third-party funding is at a lower level than in the other Regional Institutes. Following the appointment of the new director, the institute should increase the number of doctoral degrees completed in the coming years.

### **8. Handling of recommendations of the last external evaluation**

The GIGA successfully addressed most recommendations made by the Leibniz Association Senate in 2015 (see Status Report, p. A-20ff). Recommendation 1 (sharpening the GIGA's scientific profile) and recommendation 5 (further consolidating the relationships with partners abroad) remain relevant.

## Appendix

### 1. Review board

*Chair (Member of the Leibniz Senate Evaluation Committee)*

**Ilse Helbrecht**

Geography Department, Humboldt University Berlin

*Deputy Chair (Member of the Leibniz Senate Evaluation Committee)*

**Susanne S. Renner**

Department of Biology, Washington University, Saint Louis, Missouri

*Reviewers*

**Simon Dalby**

Professor of Geography and Environmental Studies, Wilfrid Laurier University, Waterloo (Ontario)

**Juanita Elias**

Professor in International Political Economy, University of Warwick

**Barbara Hogenboom**

Centre for Latin American Research and Documentation, University of Amsterdam

**Markus Kaim**

German Institute for International and Security Affairs, Berlin

**Duncan McCargo**

Nordic Institute of Asian Studies, University of Copenhagen

**Rahul Mukherji**

South Asia Institute, Heidelberg University

**Diego Sánchez-Ancochea**

Professor of the Political Economy of Development, University of Oxford

**Andreas Wimmer**

*(written statement)*

Professor of Sociology and Political Philosophy, Columbia University

*Representative of the Federal Government*

**Ruben Reike**

Federal Ministry of Education and Research, Bonn

*Representative of the Länder governments (Member of the Leibniz Senate Evaluation Committee)*

**Jutta Koch-Unterseher**

Governing Mayor of Berlin - Senate Chancellery

30 March 2022

**Annex C: Statement of the Institution on the Evaluation Report**

**German Institute for Global and Area Studies, Hamburg (GIGA)**

The German Institute for Global and Area Studies (GIGA) is grateful to the Leibniz Association's evaluation division and the review board for the positive evaluation report. We appreciate the work that went into the process. We thank all parties involved for their advice and are happy that the report encourages the GIGA to continue on its path.

While we are pleased and thankful for the positive review, we must point to some important omissions and errors in the writing of the report that could mislead the reader. Due to the pandemic, the GIGA was evaluated under the substitute procedure; this may have contributed to some of the misrepresentations of the GIGA in the report. We trust that this statement will be taken in the constructive spirit that it is offered.

#### *No overall assessment*

The GIGA was rated "very good and, in part, excellent" in 2014. Since then, even if one looks at just the quantitative indicators, we have had a seven-times increase in books with prestigious university publishing houses, doubled the average Impact Factor of our journal publications, increased the share of publications in A-journals from 20 % to 35 %, and increased our already high volume of third-party funding to a record high. In the evaluation period until 2014, we had won one prize; by 2021 the GIGA had 17 renowned prizes to its credit (e.g., from APSA, BPSA, Journal of Peace Research, plus two Leibniz Dissertation Awards). But, contra standard Leibniz practice, the 2021 report does not offer an overall assessment of the development of the GIGA since its last evaluation.

We also take note of the language of the 2021 report. While the 2014 evaluation report acknowledged our achievements with 12 occurrences of the keywords „convincing/ly“, „remarkable/ly“, and „outstanding/ly“, the 2021 evaluation report does not use any of these keywords even once, despite the above-mentioned achievements. Some might argue that Leibniz reports are not comparable, but we see ample use of these keywords both in the substitute procedure, as well as in the reports for Section B (average use in the current evaluation round: 9.5 times).

The final point in the evaluation report on the handling of recommendations from the previous evaluation is also somewhat misleading. The report states that recommendation (1) (Sharpening the GIGA's academic profile) remains relevant, but this recommendation is not put in perspective. The GIGA has taken many steps in this regard, e.g.: sharpened focus of working on and with the Global South (using its unique Global Approach), re-alignment of the Research Programmes, the above-mentioned quantitative indicators, plus increased international outreach. The report recognises some of these achievements. But this recognition is scattered in different spots throughout. The report also implies that we want to work on all regions of the world; the fact is that our structures and processes – also implementing a recommendation from the 2014 evaluation – very explicitly ensure our focus on four regions: Africa, Asia, Latin America, Middle East. A clear summarising statement towards the end would have helped the reader see the progress made in the last seven years and also better contextualise the 2021 recommendation.

The report also shows some inconsistencies. For example, in some parts, it seems to suggest that the GIGA should do more Area Studies; in other parts, it seems to suggest the op-



posite. Having rated the publications of one of our subdivisions as “very good” in 2014, the report now acknowledges that the same unit has “improved” to “good”. The 2014 report gave the (then) new President some tasks; the 2021 report does not acknowledge the role and expertise of the President, even though this is standard in other Leibniz evaluation reports. It is also inconsistent that the academic reputation of only one regional director is mentioned, but not any of the others. The same holds for past achievements and chosen foci of the GIGA subdivisions; they are mentioned in some cases, but left out in others. Had the report included an overall assessment, as most other Leibniz evaluation reports do, this would have helped the reader navigate through some of these inconsistencies.

### *Significant omissions*

The GIGA’s knowledge transfer in the 2014 report was described as “convincing” and “important, valuable and much sought-after”. At that time, this mainly involved exchanges at the German federal level and in Hamburg. Since then, the GIGA engaged in new high-level international interactions with UN Security Council, World Economic Forum, World Trade Organization, Munich Security Conference, European Commission, and stakeholders in the Global South. Interactions with FFO and BMZ have been intensified; new engagements have been set up with other ministries, and the Bundestag. This is not reflected in the 2021 report. Further, there is no mention of the quality of guest speakers at GIGA events and conferences, systematically increased since the last evaluation. Our international networking and event strategy has resulted in lectures and interactive sessions with top-level scholars and practitioners. These include, for example, NATO Secretary General Stoltenberg, then Foreign Minister Steinmeier, Head of Afrobarometer Gyimah-Boadi, as well as leading academics from Columbia, JNU Delhi, UCI, Cornell, NYU, Cambridge, NUS Singapore. The report omits these significant developments and also lacks an assessment of how it rates the GIGA’s improved knowledge exchange and international outreach in 2021, in comparison to 2014.

The GIGA’s increase in quality output and outreach are in good measure a result of deliberately developed, and systematically improved institutional processes. For instance, the GIGA has established – in line with and sometimes even going beyond the relevant Leibniz and DFG standards – the following: Guidelines to Ensure Good Academic Practice, Ombudspersons, Guidelines on Research Ethics, Guidelines for the Handling of Research Data (including commitment to FAIR data principles), Open Access Guidelines, Open Access Fund, dedicated quality assurance process for its projects and publications, as well as a data protection officer and an IT security officer. Contra standard Leibniz practice for other evaluation reports, the GIGA’s 2021 evaluation report does not acknowledge such vital institutional advances since 2014.

The report frequently frames the current content and strategies of the GIGA as something the institute should do. This is exemplified in the reference to the “Sondertatbestand”. The report acknowledges the fit of the proposed topic and advises the GIGA to develop the proposal further before submission. This, of course, has always been the GIGA’s plan and we are looking forward to bringing the proposal to fruition, together with colleagues internally and with our ministries.

Despite the Leibniz Association's commitment to equal opportunity, the 2021 report does not acknowledge many of the GIGA's achievements in this regard. In contrast also to other Leibniz evaluation reports, it makes no mention of major certifications for equal opportunity and diversity. The GIGA has been awarded the Hamburg Family Seal continuously since 2013 and received the TOTAL E-QUALITY award in 2020. The GIGA has also implemented the cascade model and numerous measures for work-life balance, laid out in its equal opportunity plan. Besides the increase in the share of women in leadership positions, the number of professorships held by women increased since the last evaluation from 2 out of 12 to 7 out of 13, achieving the goal of gender balance. The GIGA is clearly above the median of Leibniz with regard to the implementation of equal opportunity standards (maximum points: 68; GIGA: 58; median: 49.5). These important milestones are not reflected in the 2021 report.

We find it important to point to some of the shortcomings of the 2021 report. This, however, goes hand in hand with our acknowledgement and thanks for the positive assessment that the GIGA has received.

We are proud of what we have achieved. None of this would have been possible without the wonderful Team GIGA, the valuable advice of our Academic Advisory Board and our Board of Trustees, as well as the indispensable support of the Hamburg Behörde für Wissenschaft, Forschung, Gleichstellung und Bezirke (BWFGB) and the Federal Foreign Office.

The GIGA looks forward to breaking new ground together in the years to come.

Das German Institute for Global and Area Studies (GIGA) dankt dem Referat Evaluierung der Leibniz-Gemeinschaft und der Bewertungsgruppe für den positiven Bewertungsbericht. Wir wissen die Arbeit zu schätzen, die in den Prozess eingeflossen ist. Wir bedanken uns bei allen Beteiligten für ihren Rat und freuen uns, dass der Bericht das GIGA darin bestätigt, seinen Weg fortzusetzen.

Während wir uns über die positive Bewertung freuen und dafür dankbar sind, müssen wir auf einige wichtige Auslassungen und Fehler bei der Abfassung des Berichts hinweisen, die den Leser:innen einen falschen Eindruck vermitteln könnten. Aufgrund der Pandemie wurde das GIGA im Rahmen des Ersatzverfahrens evaluiert; dies mag vielleicht zu Fehldarstellungen beigetragen haben. Wir hoffen, dass diese Stellungnahme in dem konstruktiven Geist entgegengenommen wird, in dem wir sie verfasst haben.

### *Keine Gesamtbewertung*

Im Jahr 2014 wurde das GIGA mit „sehr gut und teilweise exzellent“ bewertet. Seitdem haben wir, nur die quantitativen Indikatoren betrachtet, die Zahl der Bücher bei renommierten Universitätsverlagen versiebenfacht, den durchschnittlichen Impact Factor unserer Zeitschriftenartikel verdoppelt, den Anteil der Publikationen in A-Journals von 20 auf 35 Prozent gesteigert und unser ohnehin schon hohes Drittmittelaufkommen auf ein Rekordniveau erhöht. Im Evaluierungszeitraum bis 2014 hatten wir einen Preis gewonnen, bis zum Jahr 2021 konnte das GIGA 17 renommierte Preise (u. a. von APSA, BPSA, Journal of Peace Research, sowie zwei Leibniz-Promotionspreise) verbuchen. Aber entgegen der Standardpraxis bei Leibniz bietet der Bericht von 2021 keine Gesamtbewertung der Entwicklung des GIGA seit der letzten Evaluierung.

Auch sprachlich fällt uns der Bericht von 2021 auf. Während der Bewertungsbericht 2014 unsere Leistungen mit 12 Nennungen der Stichworte „überzeugend“, „bemerkenswert“ und „herausragend/hervorragend“ würdigte, verwendet der Bericht von 2021 keins davon, nicht ein einziges Mal, trotz der oben angeführten Leistungen. Man mag einwenden, dass Leibniz-Bewertungsberichte nicht vergleichbar sind, aber wir sehen eine breite Verwendung dieser Stichworte sowohl im Ersatzverfahren als auch bei den Berichten für die Sektion B (durchschnittliche Nennung in der aktuellen Evaluierungsrunde: 9,5-mal).

Der letzte Punkt des Bewertungsberichts über den Umgang mit den Empfehlungen aus der vorangegangenen Evaluierung ist gleichfalls etwas irreführend. Der Bericht gibt an, dass die Empfehlung (1) (Schärfung des wissenschaftlichen Profils des GIGA) weiterhin relevant ist, aber diese Empfehlung wird nicht eingeordnet. Das GIGA hat in dieser Hinsicht viele Schritte unternommen, z. B. eine stärkere Fokussierung auf die Arbeit im und mit dem Globalen Süden (unter Verwendung unseres eigenen globalen Ansatzes), eine Neuausrichtung der Forschungsschwerpunkte, die oben erwähnten quantitativen Indikatoren sowie verstärkte internationale Outreach-Aktivitäten. Der Bericht erkennt zwar einige dieser Errungenschaften an, aber diese Anerkennung findet sich über verschiedene Stellen verstreut. Der Bericht impliziert zudem, dass wir uns mit allen Regionen der Welt befassen wollen; Tatsache ist, dass unsere Strukturen und Prozesse – auch in Umsetzung einer Empfehlung der Evaluierung 2014 – ganz ausdrücklich gewährleisten, dass wir uns auf vier

Regionen konzentrieren: Afrika, Asien, Lateinamerika und Nahost. Eine klare zusammenfassende Aussage am Ende des Berichts hätte den Leser:innen geholfen, die erzielten Fortschritte der letzten sieben Jahren zu sehen und auch die Empfehlung von 2021 besser zu kontextualisieren.

Der Bericht weist auch einige Inkonsistenzen auf. Zum Beispiel scheint er an einigen Stellen vorzuschlagen, dass das GIGA seinen Focus auf Area Studies verstärken sollte; anderswo scheint er das Gegenteil zu empfehlen. Nachdem im Jahr 2014 die Veröffentlichungen eines unserer Teilbereiche als „sehr gut“ bewertet wurden, wird demselben Regionalinstitut jetzt bescheinigt, dass es seine Veröffentlichungsbilanz auf „gut“ „verbessert“ habe. Im Bericht von 2014 wurden der (damals) neuen Präsidentin einige Aufgaben übertragen; der Bericht von 2021 versäumt es, die Rolle und die Expertise der Präsidentin anzuerkennen, obwohl dies in anderen Leibniz-Bewertungsberichten Standard ist. Inkonsistent ist auch, dass die wissenschaftliche Reputation nur einer Regionalinstitutsleitung erwähnt wird, nicht aber die der anderen. Gleiches gilt für die bisherigen Leistungen und gewählten Schwerpunkte der GIGA-Teilbereiche; sie werden in einigen Fällen erwähnt und in anderen ausgelassen. Hätte der Bericht eine Gesamtbewertung, wie die meisten anderen Leibniz-Bewertungsberichte auch, wäre den Leser:innen dabei geholfen, sich trotz Inkonsistenzen zu orientieren.

### *Signifikante Auslassungen*

Der Wissenstransfer des GIGA wurde im Bericht 2014 als „überzeugend“ und „wichtig, wertvoll und nachgefragt“ bezeichnet. Damals ging es vor allem um Austausch auf Bundesebene und in Hamburg. Seitdem hat das GIGA neue hochrangige internationale Interaktionen mit dem UN-Sicherheitsrat, dem Weltwirtschaftsforum, der Welthandelsorganisation, der Münchner Sicherheitskonferenz, der Europäischen Kommission und mit Akteuren im Globalen Süden vorzuweisen. Die Zusammenarbeit mit dem Auswärtigen Amt und dem BMZ wurde intensiviert; Kontakte mit anderen Ministerien und dem Bundestag wurden ausgebaut. Dies wird im Bericht 2021 nicht reflektiert. Auch wird die seit der letzten Evaluation systematisch gesteigerte Qualität der Gastredner:innen bei Veranstaltungen und Konferenzen des GIGA nicht erwähnt. Unsere internationale Vernetzungs- und Veranstaltungsstrategie hat zu Vorträgen und interaktiven Sitzungen mit hochkarätigen Wissenschaftler:innen und Entscheidungsträger:innen geführt. Dazu gehören z. B. NATO-Generalsekretär Stoltenberg, (damaliger) Außenminister Steinmeier, Afrobarometer-Chef Gyimah-Boadi sowie führende Akademiker:innen von Columbia, JNU Delhi, UCI, Cornell, NYU, Cambridge, NUS Singapur. Der Bericht lässt diese wichtigen Entwicklungen aus und weist auch keine Einschätzung auf, wie der verbesserte Wissensaustausch und die internationalen Outreach-Aktivitäten des GIGA 2021 im Vergleich zu 2014 bewertet werden.

Die Steigerung von Qualität und Reichweite der Arbeit des GIGA ist zu einem guten Teil das Ergebnis gemeinsam bewusst entwickelter und systematisch verbesserter institutioneller Prozesse. So hat das GIGA – in Anlehnung an und teilweise über die einschlägigen Leibniz- und DFG-Standards hinaus – Folgendes etabliert: Leitlinien zur Sicherung guter wissenschaftlicher Praxis, Ombudspersonen, Leitlinien zur Forschungsethik, Leitlinien zum Umgang mit Forschungsdaten (einschließlich der Verpflichtung auf die FAIR-Datenprinzipien),

Open-Access-Leitlinien, Open-Access-Fonds, eigene Qualitätssicherungsprozesse für seine Projekte und Publikationen sowie einen Datenschutzbeauftragten und einen IT-Sicherheitsbeauftragten. Entgegen der bei anderen Bewertungsberichten üblichen Leibniz-Praxis berücksichtigt der Bewertungsbericht 2021 des GIGA keinen dieser wesentlichen institutionellen Fortschritte seit 2014.

Der Bericht formuliert die aktuellen Inhalte und Strategien des GIGA häufig als etwas, das das Institut tun sollte. Dies wird am Verweis auf den Sondertatbestand beispielhaft deutlich. Der Bericht erkennt die Eignung und Passfähigkeit des vorgeschlagenen Themas an und rät dem GIGA dann, den Vorschlag vor der Einreichung weiterzuentwickeln. Dies war selbstverständlich der Plan des GIGA und wir freuen uns darauf, sowohl im internen Kolleg:innenkreis als auch mit unseren Ministerien den Vorschlag zur Antragsreife zu entwickeln.

Trotz der Verpflichtung der Leibniz-Gemeinschaft zur Chancengleichheit, nimmt der Bewertungsbericht 2021 zahlreiche Erfolge des GIGA in dieser Hinsicht nicht zur Kenntnis. Im Gegensatz zu anderen Leibniz-Bewertungsberichten werden wichtige Zertifizierungen für Chancengleichheit und Diversity nicht erwähnt. Das GIGA ist seit 2013 durchgängig mit dem Hamburger Familiensiegel ausgezeichnet worden und erhielt 2020 das TOTAL E-QUALITY-Prädikat. Darüber hinaus hat das GIGA das Kaskadenmodell und zahlreiche Maßnahmen zur Vereinbarkeit von Beruf und Familie umgesetzt, die in seinem Gleichstellungsplan festgehalten sind. Neben der Erhöhung des Frauenanteils in Führungspositionen hat sich seit der letzten Evaluierung auch die Zahl der von Frauen besetzten Professuren von 2 von 12 auf 7 von 13 erhöht, womit das Ziel eines ausgewogenen Geschlechterverhältnisses erreicht wurde. Das GIGA liegt bei der Umsetzung der Gleichstellungsstandards deutlich über dem Leibniz-Median (Maximalpunktzahl: 68; GIGA: 58; Median: 49,5). Der Bericht von 2021 gibt diese wichtigen Meilensteine nicht wieder.

Wir halten es für wichtig, auf einige der Schwächen des Berichts von 2021 hinzuweisen. Dies geht allerdings Hand in Hand mit unserer Anerkennung und unserem Dank für die positive Bewertung, die das GIGA erhalten hat.

Wir sind stolz auf das Erreichte, das ohne das wunderbare Team GIGA, den wertvollen Rat unseres Wissenschaftlichen Beirats und Kuratoriums sowie die unverzichtbare Unterstützung durch die Hamburger Behörde für Wissenschaft, Forschung, Gleichstellung und Bezirke (BWFGB) und das Auswärtige Amt nicht möglich gewesen wäre.

Das GIGA freut sich darauf, gemeinsam die innovative Arbeit in den kommenden Jahren fortzusetzen.