Introducing the
Collaborative Research Center (SFB) 700

Governance in Areas of Limited Statehood: New Modes of Governance?

Preface

The Collaborative Research Center (SFB) 700 "Governance in Areas of Limited Statehood" was established by the German Research Foundation (DFG) at Freie Universität Berlin in 2006. Using a common analytical framework, seventeen individual research projects analyze different aspects of governance in areas in which the state struggles to implement or enforce decisions.

Some 60 researchers are involved, most of them political scientists, historians and legal scholars. While the SFB 700 is hosted at Freie Universität Berlin, other scholars work at partner institutions, most notably the University of Potsdam, the German Institute for International and Security Affairs (SWP), the Berlin Social Science Center (WZB), and the German Institute of Global and Area Studies (GIGA).

Centers such as ours are funded for a maximum of twelve years, divided into three four-year funding periods with competitive evaluations after the first and second period. After two successful evaluations the SFB has now, at the time of this brochure's printing, reached the third, and sadly, last period of funding. Nevertheless, we are still enthusiastic about our research agenda! Both our topic and our individual projects resonate well with pressing questions in a number of disciplines, and interest in our contributions and publications still continues to grow. This brochure provides an accessible overview of the SFB's research projects. We hope that some of them will capture your attention. All of them continue to fascinate us!

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Coordinator

Prof. Dr. Stefan Rinke
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Eric Stollenwerk, M.A.
Managing Director

Contents

SFB 700

Introducing the Collaborative Research Center

THE COLLABORATIVE RESEARCH CENTER (SFB) 700:

OVERVIEW AND INTRODUCTION

Most contributions to governance research take certain core elements of modern statehood for granted. These usually include a monopoly on the use of force, "effective territorial sovereignty," and/or the ability of the state to implement and enforce political decisions. Outside of the contemporary Western industrialized world, as well as in historical perspective, these assumptions do not hold. "Limited statehood" – i.e., constraints on the monopoly on the use of violence and/or the lack of state capacity to implement and enforce central decisions – appears to be the rule rather than the exception.

Against this background, we ask: How can effective and legitimate governance be sustained in areas of limited statehood? What problems emerge under such conditions? Which consequences may arise from non-state governance for national and international politics?

We conceive of governance as institutionalized modes of social coordination, which aim to produce and implement binding rules or provide collective goods. This governance concept allows us to analyze various modes of governance within and beyond the parameters of statehood. It includes governance by state actors, by cooperative arrangements between state and non-state actors, by self-regulating private actors, and by actors for whom the modern Western dichotomy of "public" and "private" does not hold.

With these overarching questions to guide research across the SFB 700, the center is currently organized into 17 individual research projects in five project areas. This brochure introduces the individual projects. For further information, please refer to our homepage: www.sfb-governance.com.

Project Area	Projects 2014–2017
A: Theory Building	A1
B: Governance Institutions	B2, B7, B9, B10, B13
C: Security	C2, C3, C6, C8, C9, C10, C11
D: Welfare and Environment	D1, D8, D9
T: Transfer	T3

A1

Project A1
Governance in Areas of Limited Statehood:
Contributions to Theory Building

GOVERNANCE IN AREAS OF LIMITED STATEHOOD:

CONTRIBUTIONS TO THEORY BUILDING

The Project A1 is the central synthesis project of the SFB 700, which systematically brings together the research results of all other projects and condenses them into an empirically underpinned theory of governance in areas of limited statehood. From this general focus three key aspects arise, which shape the research interests of the project:

The first focus of our project is the synthesis and aggregation of research activities of the entire SFB. Through the structured gathering from research results from all research projects and their systematization according to theoretically derived categories, A1 provides a platform for the formation of new theories at the SFB 700. This synthesis of empirical evidence allows the A1 research project to identify generalizable explanatory factors for the effectiveness and legitimacy of various governance constellations.

Second, the project engages in continued theoretical reflection on and further development of the central concepts of the Collaborative Research Center.

This includes theoretical work on concepts such as governance and limited and collapsed statehood, as well as effectiveness and legitimacy, a focus that already characterized the first and second funding periods of A1. In the third funding period we will additionally investigate the role of social trust for effective and legitimate governance and explore which consequences governance in areas of limited statehood has for the structure of the international system.

Third, the findings of the empirical research projects of the SFB 700 will be systematically broadened and complemented through a statistical analysis of quantitative data on governance in areas of limited statehood. This data sub-project will provide our own empirical contribution to the question of effective and legitimate governance in areas of limited statehood.

In this way, we hope that the A1 research project contributes to a theory of governing in areas of limited statehood that specifies conditions under which governance services can effectively and legitimately be provided.
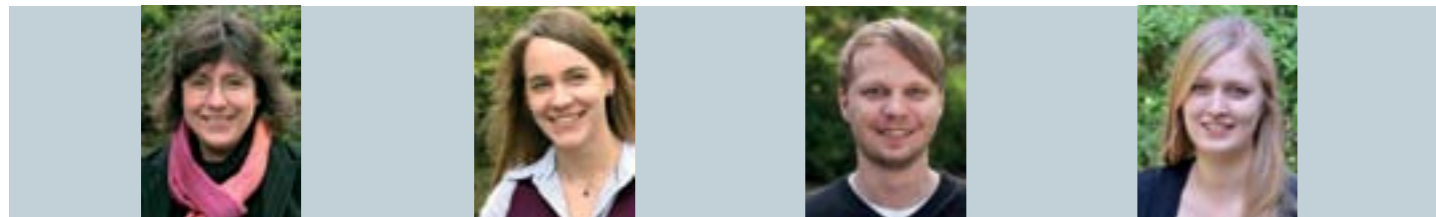
Prof. Dr. Thomas Risse   Dr. Gregor Walter-Drop   Dr. Anke Draude   Dr. Cord Schmelzle   Eric Stollenwerk

B2

Project B2
The Governance Contribution of External Actors
in Areas of Limited Statehood

The Governance Contribution of External Actors
in Areas of Limited Statehood

The B2 research project asks to what extent external governance actors contribute to effective and legitimate governance in areas of limited statehood. The project inquires into the conditions of governance provision, the relationship and interaction among different types of actors, and the consequences of governance contributions by external governance actors. Based on previous results and additional field research, the project sets up a causal model of the framework conditions for effective and legitimate governance by external actors. In addition, the research project plays an interdisciplinary role in that it compiles and integrates the research outcomes from all other research projects at the SFB 700.

The project identifies a number of different external actors that engage in areas of limited statehood, ranging from international organizations to business actors, and their action orientation (public or private). The project will have recourse to external actors covered in the research center, although much of the empirical focus will be placed on regional international organizations and multinational companies. What type of governance do external actors provide? How do they provide governance? What quality of governance is provided?

Regarding the circumstances under which external actors can make a contribution to governance in areas of limited statehood, we assume that the empirical legitimacy of external actors, the complexity of the governance problem, the degree of institutionalization of governance constellations, as well as the restraint of fragmentary state capacities significantly influence the effectiveness of external governance contributions.

How then do different actors, both providers and addressees, interact? We are interested in the interaction between external actors with local addressees, actors within the same governance constellation, and other governance providers. The project examines processes of appropriation and resistance by the governance addressees, adaptation and recognition on the part of the governance providers, and the (possibly absent) coordination of different governance providers.

The final research question of project B2 engages with the consequences resulting from external action, namely the establishment and reorganization of statehood and / or compromised sovereignty. Do external actors provide governance in accordance with state actors, thereby helping the addressed states to build capacities so as to become governance managers? Or does the external provision occur without involving the addressed states?

Prof. Dr. Tanja Börzel   Dr. Anke Draude   Sören Stapel   Luisa Linke

B7

Project B7
Rule of Law and Governance in Areas of Limited Statehood

Prof. Dr. Gunnar Folke Schuppert   Dr. Matthias Koetter

RULE OF LAW AND GOVERNANCE IN AREAS OF LIMITED STATEHOOD

The project B7 explores the role of the law in areas of limited statehood. The points of departure are two central characteristics of these areas: the plurality of authorities who claim their right to govern based on various sources of legitimacy; and the related plurality of normative regulations, which can partly complement or overlap and collide with one other. In our earlier work, we examined the gradual decoupling of the state and the law by focusing on the context dependence of the concept of rule of law and on various specifications of non-state justice systems and their relationship with the official state legal system. It became clear how important the local understandings of global concepts like rule of law, as well as the significance of non-state laws can be under the circumstances of limited statehood, because this can limit the effective application of official state law.

The project focuses on five core areas of research:

(1) We will examine what role local and religious authority play for the application of law in various contexts of limited statehood, focusing on the chieftaincy system in Ghana, the school of religious jurisprudence in Islamic countries and the "kingdom of jurists" in Iran.

(2) We will suggest a conceptualization of law appropriate for the conditions set out by limited statehood.

(3) We will provide an assessment of the conditions for the validity and effectiveness of law. In order to achieve this, we will do empirical research in Pakistan, Ethiopia and South Africa and compare and contrast the findings with the latest research on legal pluralism.

(4) The previous research gives rise to the question of the validity of the official statutory law in areas of limited statehood and the related question of the prerequisites for the state law as a normative framework for non-state justice systems.

(5) From a normative viewpoint, we also want to examine to what extent the rule of law would serve as a general benchmark for the evaluation of the validity of plural regulatory structures in areas of limited statehood.

We cooperate with members of various groups and institutions who participate in the process of law-making and law-enforcement; this will include legislators as well as judges of state courts or of non-state justice institutions.

Project B9
Realizing Human Rights and the Right to Collective Self-Determination Under Conditions of Limited Statehood

REALIZING HUMAN RIGHTS AND THE RIGHT TO COLLECTIVE SELF-DETERMINATION UNDER CONDITIONS OF LIMITED STATEHOOD

B9

The research project inquires the possibility of legitimate governance under conditions of limited statehood.

In the first funding period we worked on clarifying the concept of legitimacy. During the second funding period we dealt with two meta-problems of legitimacy. Firstly, in the horizontal dimension it is ambiguous whom collectively binding decisions should be made for. Secondly, in the vertical dimension it is controversial who is permitted to make, change, and implement collectively binding decisions. Thus, our objective of the second funding period was to develop normative principles for dealing with these meta-problems. We then applied these principles to two issues: the justification of secessions as an answer to deficits in horizontal legitimacy and the normative justifiability of international transitional administrations in the absence of vertical legitimacy.

In the current funding period, we will draw on these results to answer two questions: *Firstly*, starting from the idea of a moral division of labor we ask what human rights obligations should be ascribed to the different governance actors operating in areas of limited statehood. *Secondly*, we inquire how the right to collective self-determination can be realized with regard to new forms of governance. Our normative starting point is a moral account of human rights and the right to collective self-determination.

Methodologically, we focus on the ambivalence of state governance. By analyzing this ambivalence, we hope to arrive at a principled account of the normative status of non-state governance under conditions of limited statehood. For the SFB 700 on the whole, this research project plays an interdisciplinary role in regard to the normative evaluation of new forms of governance.

Prof. Dr. Bernd Ladwig   Dr. Cord Schmelzle   Dr. Daniel Jacob

B10

Project B10
Legal Security and Order as Joint Tasks of Secular and Church Institutions (8ᵗʰ–11ᵗʰ Centuries)
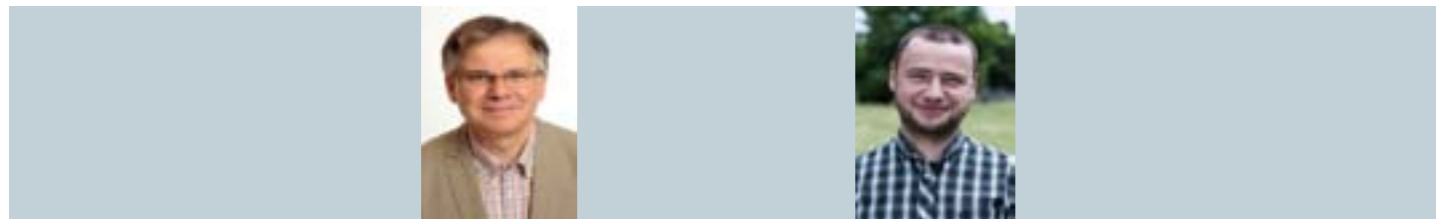
Prof. Dr. Stefan Esders   Lukas Bothe

LEGAL SECURITY AND ORDER AS JOINT TASKS OF SECULAR AND CHURCH INSTITUTIONS (8ᵀᴴ–11ᵀᴴ CENTURIES)

This research project explores the role of the Christian Church as a governance actor in the provision of legal certainty and public order in the Early Middle Ages. The project investigates to what extent the merger of secular and ecclesiastical institutions and sanctions could protect, legitimize and renew norms and regulations, and discusses in how far this can be interpreted as an attempt to metaphysically guard and restore legitimacy of norms at risk in areas of limited or decreasing statehood. By researching conditions that led to the creation of typical medieval co-production of governance between religious and secular institutions, the project intends to make a contribution to the theory formation on the topic of effectivity of governance in areas of limited statehood. In order to explain legitimacy in this context, the research project deals with the correlation between self-commitment and formal institutionalization.

Particular fields of research are:

1. Resources of *legitimacy provided by the church and subjected to its authority*. The focus of this research topic is the concept of double self-commitment rooted in the link between baptism and promissory oath. On the basis of faith and trust (in Latin both called *fides*), this self-commitment made a Christian commit to a variety of political, religious, legal and social obligations.

2. *Double sanction of offenses based on the concept of double self-commitment.* This field of research will concentrate on the Carolingian Era, a time when, built on double self-commitment, a dual, meaning religious and secular, sanctioning of offenses was established. Which crimes led to excommunication and to public penance in addition to fines and other secular sanctions? To what extent did religious penalty against certain offenses also lead to their revaluation as "sin"?

3. *Horizontal legitimacy of social order in the so-called Peace of God Movement.* Since the end of the 10ᵗʰ century so-called Peace of God treaties (*pax et treuga Dei*) were conjured in France, which used excommunication and other spiritual sanctions to revive old neglected norms within a limited regional area. This form of collaboration between church and state documents how social order was legitimized through less hierarchy but on the basis of baptism and mutual oath.

B13

Project B13
Adaptation and Legitimation as Factors of Effective Governance in China, 1949–1957

Prof. Dr. Klaus Mühlhahn   Suy Lan Hopmann   Vanessa Bozzay

ADAPTATION AND LEGITIMATION AS FACTORS OF EFFECTIVE GOVERNANCE IN CHINA, 1949–1957

This project investigates the process through which the Communist Party of China (CCP) managed to consolidate its control, minimize the challenges of limited state capacity, and effectively govern at the local level between 1949 and 1957. By means of empirical case studies we aim to uncover the constellations of governance that emerged through this process. Our study focuses on the following three issues: the shaping of popular consciousness to legitimize CCP rule, the methods used to mobilize the population (particularly in campaigns against "social evils" such as drugs, prostitution and gambling), and the process of social reorganization on the local level (mainly through work units and residents' committees). For each of these questions we will conduct archival research in two Northern Chinese cities, Tianjin and Qingdao, in order to produce a total of six case studies.

A comparison of the results obtained in the two cities will allow us to shed light on the degree of local variance in the design of governance constellations as well as the impact of local efforts to legitimize CCP rule.

Building on our findings from the first funding period (begun in 2012), which empirically researched refugee governance in Tianjin and Qingdao, we now expand our thematic focus. While maintaining our focus on these two cities, we are narrowing the time frame of our study to concentrate on the early years of the People's Republic of China (PRC) from 1949 to 1957. After the examination of a smaller and more concrete question during the first funding period, we are extending the scope of our investigation to draw broader conclusions on how the CCP was able to consolidate its rule despite the continual constraints posed by limited state capacity.

This project aims, in short, to bring together the empirical findings of individual case studies in order to systematically demonstrate the adaptive nature of governance in the early PRC. Our hypothesis is that the flexibility of the institutional design of governance and the building of empirical legitimacy were central factors in the successful consolidation of CCP rule. Therefore, our project is able to directly contribute to the systematic testing of the core hypotheses of the SFB 700 regarding the relative effectiveness and legitimacy of governance strategies.

C2

Project C2
Variances and Consequences of Territorial Control by Non-State Actors
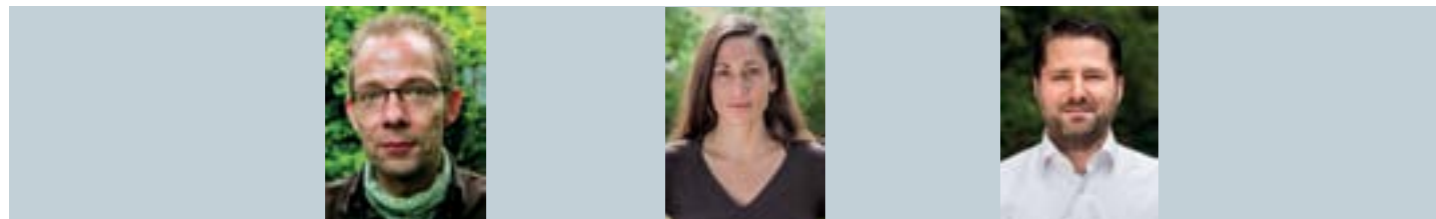
Prof. Dr. Sven Chojnacki   Lisa Pech   Gregor Reisch

Focus of research and research question

In areas of limited statehood, non-state and state actors are competing for resources and the support of the population. Control of territory is one way of raising the probability to gain both. This project focuses on the consequences of the rivalry between non-state and state actors and how these consequences shape the areas of limited statehood themselves. In particular, we will examine the redrawing of territorial borders as a result of hierarchical governance by non-state actors. The main guiding questions are: How can differences in effective territorial control be explained? Which spatial and conflictual formations/constellations can different forms of security governance and competitive (and sometimes overlapping) claims of territorial control take? How can the answers to these questions be used for theory building?

Theoretical considerations

Building on research regarding a special kind of hierarchical governance (coercive security), the logic of security markets was developed to model the competition of actors providing security for constituencies in areas of limited statehood.

Assuming a systematic and dynamic relationship between different forms of violence (fighting ⟷ one-sided violence), several key functions of violence can be identified: (a) fighting for/defending of territory (material base for political authority), (b) fighting for territorial control (access to resources and infrastructure), (c) one-sided violence to control social relationships in predefined spaces (e.g., ritual violence), (d) one-sided violence signaling weak territorial control (unconventional violence like massacres, assassinations, assaults), (e) one-sided violence as an opportunistic strategy (economic gains), and (f) one-sided violence or fighting expressing individual motivations and/or random opportunities (violence unrelated to the main conflict/incompatibility, private feuds). Therefore, violence can have different functions and in addition to a material dimension of territory economic and social functions of territorial control need to be considered.

Using spatially and temporally disaggregated event data, the main aim of the project is to explain variances in territorial control by non-state actors in areas of limited statehood and to enhance our theoretically understanding of the consequences of differing functions of violence for these areas.

C3

Project C3
Police-Building and Transnational Security Fields in Latin America

Police-Building and Transnational Security Fields in Latin America

The project "Police-Building and Transnational Security Fields in Latin America" (C3) assesses the local and international political context factors that contribute to the efficiency and legitimacy of security governance transfers.

We aim at understanding how and under which conditions transnational processes of circulation of security knowledge, practices, and resources work, and the consequences for efficient and legitimate policing. Therefore, we are particularly interested in the role of local brokers who translate globally travelling security governance discourses and practices – which can be appropriated and resisted by local elites and populations – into the local context.

Additionally, the project analyzes the impact of the historical legacies of such transfers on contemporary interventions. These questions will be investigated through an analysis of the shifting dynamics and historical legacies of two configurations of transnational security fields, centered on international police-building efforts in Guatemala (1954–2010). Guatemala is a unique case, with a long history of external police-building efforts that dates back to the late 19th century. Despite these efforts, Guatemalan policing remains a highly repressive, inefficient, and non-public issue and, consequently, the Guatemalan police is perceived as illegitimate.

The analysis of these fields is based on process-tracing methods and an innovative analytical framework combining Historical Institutionalism and Bourdieusian sociological field theories in order to demonstrate the complex entanglements between the local and the international scale in security governance transfers. Through this focus, the project addresses core questions of the SFB 700: the relevance of legitimacy in interventions and the long-term consequences of international police building for (local) statehood and the international system.

Prof. Dr. Marianne Braig   Prof. Dr. Markus-Michael Müller   Markus Hochmüller   Bernardo Jurema

C6

Project C6
The Politics of State- and Security-Building in Areas of Limited Statehood

THE POLITICS OF STATE- AND SECURITY-BUILDING IN AREAS OF LIMITED STATEHOOD

Over the past two decades international actors have repeatedly intervened in the wake of armed conflict in order to secure fragile peace and to support the rebuilding of weak state institutions. The state institutions responsible for the use of force have become a key focus of targeted reform efforts designed to build capacity to govern and extend state authority. However, in some cases external security assistance can make conflicts more volatile, and runs the risk of destabilizing rather than pacifying post-conflict states. Our research investigates these potentially adverse consequences and provides a deeper empirical analysis of how domestic political conditions in areas of limited statehood shape and structure the effects of externally-assisted state and security building processes after violent conflict.

Project C6 primarily seeks to explain under what conditions international security interventions undermine or consolidate the reconstruction of state institutions in areas of limited statehood. Often characterized by continuous factionalized struggles over power between competing societal and political forces, the state in these situations is only one institution among many that seeks to control societal and political order.

The project focuses on the complex struggles between these multiple sets of formal and informal political actors over the distribution of power, resources and the rules of the political game in a specific territory. The project conducts qualitative, comparative case research in West Africa (Côte d'Ivoire, Liberia) and the Middle East (Lebanon and the Palestinian Territories) to study the influence of international security interventions on state-building after war.

Moreover, the project traces changes in core international narratives about state building. As dominant narratives of liberal international state building have come under increasing criticism, we investigate whether and how recipient-side perceptions of and experiences with international interventions feed back into the ongoing transformation of state building strategies at the international level. The project empirically studies the role of different recipient-side regional and transnational actor networks – e.g. the recently established International Dialogue on Peacebuilding and Statebuilding – in shaping the evolution of international state building strategies.

C6

Prof. Dr. Ursula Schroeder   Sina Birkholz   Tilmann Scherf

C8

Project C8
Legitimacy and Law-Making in International Humanitarian Law

Prof. Dr. Heike Krieger   Lars Müller   Anton Petrov

LEGITIMACY AND LAW-MAKING IN INTERNATIONAL HUMANITARIAN LAW

Research project C8 investigates the legitimacy of norms and law-making processes in international humanitarian law. Focusing on the conflicts in the African Great Lakes region, the project explores whether the norms of international humanitarian law are both sufficiently flexible and legitimate to govern the conduct of the relevant actors in the region, namely state and non-state actors as well as international forces.

The project aims to combine the findings of the current research period with the previous one on compliance, in order to propose new norms and enforcement mechanisms for international humanitarian law that better respond to the context of areas of limited statehood.

During the current period of research, project C8 deals in particular with the following research questions:

1. Are the norms of international humanitarian law both sufficiently flexible and legitimate enough to govern the conduct of non-state armed actors, national armed forces, and international armed forces during armed conflicts in areas of limited statehood?

2. Does the law-making process in international humanitarian law meet the requirements of empirical legitimacy applying to the provision of governance services, bearing in mind the limited opportunities of state and non-state actors to influence such processes in areas of limited statehood?

3. Does the law-making process in international humanitarian law meet the requirements of normative legitimacy applying to the provision of governance services?

4. Which modifications to the norms and which new mechanisms for enforcing international humanitarian law are necessary in light of the challenges faced during armed conflicts in areas of limited statehood?

C8

Project C9
Aid, Minds, Hearts: A Longitudinal Study of Governance Interventions in Afghanistan

Prof. Dr. Michael Daxner   Jan Koehler

Aid, Minds, Hearts:

A Longitudinal Study of Governance Interventions in Afghanistan

This project investigates (1) the conditions under which externally supported state building can lead to the local emergence of effective and legitimate governance in North-East Afghanistan and (2) how this externally supported governance interrelates with the overall stability of social order in the context of the downsizing of the international intervention. Ultimately we seek to understand the link between the quality of governance and the stability of social order in an area of limited statehood.

There are four types of conditions explaining the effectiveness of governance in areas of limited statehood: First, we expect that the institutional arrangements of the governance constellation crucially influences the extent to which effective and legitimate forms of governance emerge at the local level in North-East Afghanistan. Second, we argue that (residual) statehood and its functional equivalents have strong implications for the effectiveness and reach of local governance and its impact on social order. Third, the project assesses the relevance of the empirical, i.e. perceivable, legitimacy of the Afghan state and of the local constellation of governance for the effective provision of security in North-East Afghanistan. Fourth, trust and societal integration are analyzed as key elements in the provision of effective and legitimate governance (or lack thereof).

During the first funding period, we aimed at developing and testing the best methodological approach on assessing the effects of a transnational intervention on local level governance in conflict-affected areas of limited statehood. During the second funding period, we looked for empirical effects of the state-building intervention on security and development. In the third funding period, the longitudinal research on the effects of the intervention will continue, taking into account the expected downsizing of the intervention by the end of 2014 and beyond. We will return to our broader research interest in stability and conflict transformation in the context of "transition" and reduced foreign presence. We use a mixed-methods approach to the study of governance zones in Afghanistan, combining statistical models, socio-geographical methods (incl. geo-statistics), and ethnographic field research.

ALTERNATIVES TO STATE-SPONSORED SECURITY IN AREAS OF EXTREMELY LIMITED STATEHOOD (CENTRAL AFRICAN REPUBLIC AND SOUTH SUDAN)

C10

Project C10
Alternatives to State-Sponsored Security in Areas of Extremely Limited Statehood (Central African Republic and South Sudan)

Since late 2013, headlines on South Sudan and the Central African Republic (CAR) tell us stories of rebellion, displacement and ethnic or religious fighting. State authorities are wholly incapable of keeping the situation under control. In South Sudan the president called in help of the neighboring Ugandan army while in the CAR several international peacekeeping operations fail to restore law and order. However, while some areas in the two countries have plunged into chaos, others are calm and have been so for years. Why are some areas with only limited statehood engulfed in constant conflict? Why are other such areas able to produce lasting stability?

Although it may seem that the two countries fractured suddenly in late 2013, a closer look reveals histories of economic disintegration, lack of social and political inclusivity and fluid loyalties of men in arms. After independence in July 2011, the now sovereign South Sudan embarked on the project to build a stable state and to control its territory. Recent fighting, however, shows that power distributions continue to be contested, both in the center and in some of its peripheries. The CAR has always had a weak central state, including a long history of state neglect in its sparsely populated margins. Both countries have large pockets where the state is virtually absent. Due to their protracted crises, other actors have stepped in to shape governance and provide security. The scope and impact of these alternatives to state-sponsored security lay at the center of this research project.

The research investigates how local, national and international (non-state) actors govern and secure areas of extremely limited state presence. This involves analyzing all relevant actors including those commonly dubbed illegitimate or criminal. To do this, we conduct focus group discussions, interviews and hire local researchers to gather data over a three year period in various areas throughout the two countries. We propose three broad hypotheses: Hierarchically structured actor constellations are most effective in providing security; Homogeneity generates trust which should influence effectiveness; And distance to the capital should reduce state services thereby increasing local self-management.

Stay tuned as we begin to shed light on this under-researched and yet so essential topic.

Prof. Dr. Andreas Mehler   Dr. Lotje de Vries   Tim Glawion

C11

Project C11
Charting the International Legal Framework for Security Governance by External Actors in Areas of Limited Statehood

Prof. Dr. Robin Geiß   Pia Hesse   Cedric Drescher

Charting the International Legal Framework for Security Governance by External Actors in Areas of Limited Statehood

Research project C11 is concerned with issues on international law. Our research work during the third funding period intends to support the SFB in gaining insight into consequences of security governance in areas of limited statehood for the international (legal) system. For this purpose, project C11 explores the question of what contributions international law can make to the fighting of specific security risks emanating from areas of limited statehood.

Areas of limited statehood are secure havens that oftentimes function as breeding grounds for transnational security risks. More and more frequently, external governance actors are fighting these security risks with international law enforcement operations directly within these areas of limited statehood. Of note are here for example current measures to combat drugs in Afghanistan, the fight against piracy off the Somali coast or confiscation of weaponry by UN „peacekeepers" in the Democratic Republic of the Congo.

In the view of this current state practice, research project C11 investigates the changes that are currently influencing the international legal framework in regard to the provision of security governance efforts in areas of limited statehood. In this context we will critically scrutinize the extent to which the international legal framework adequately correlates with and normatively guards conditions of success for effective and legitimate governance that were identified during the first two funding periods of the SFB. While current state practice provides numerous examples of large-scale powers of intervention and coercion, in many cases it is uncertain which human rights standards need to be followed in the context of international law enforcement operations. Moreover, it is ambiguous to what extent economic and social long term effects of such operations as well as repercussions for areas of limited statehood put constraints on external governance actors. On this basis, the project will explore if there are generalized legal standards to be found in practice for a „transnational security law" that is exceeding mere combating of symptoms and can assure a sustainable improvement of the security situation in areas of limited statehood.

With this cross-cutting perspective on the international legal framework research project C11 will make an essential contribution to the theory building of the third funding period.

Project D1
Partnerships for Sustainable Development in Areas of Limited Statehood: Impact, Conditions for Success, and Meta-Governance

Partnerships for Sustainable Development in Areas of Limited Statehood: Impact, Conditions for success, and Meta-Governance

Proponents of transnational partnerships for sustainable development – scholars, policy-makers, and practitioners – expect that these initiatives contribute to the achievement of international targets such as the Millennium Development Goals or the future Post-2015 Agenda. Project D1, hosted by the German Institute for International and Security Affairs (SWP), investigates key conditions for the success of such transnational partnerships for sustainable development in areas of limited statehood.

Our research shows that many partnerships have difficulties achieving the desired output and outcome with their projects in areas of limited statehood. They have even greater difficulties with regard to impact, i.e., making a broader and long-term contribution to problem solving in these areas. Yet such impact is essential for sustainable governance beyond isolated project successes.

First, the project will investigate participant and stakeholder views on the extent to which transnational partnerships impact sustainable development governance and the conditions for broader and long-term impact in areas of limited statehood. We will talk to transnational partnerships' members, staff, and stakeholders at the international and national level. At the local level, we will focus on the activities of three previously identified types of partnerships and their work to promote sustainable water governance in areas of limited statehood in Kenya: a service partnership (Water and Sanitation for the Urban Poor, WSUP), a knowledge partnership (the Global Water Partnership, GWP), and a standard-setting partnership (the Alliance for Water Stewardship, AWS).

Second, the project will examine consequences for a next generation of partnership activities: Based on the experiences of participants and stakeholders over the past ten years, how will and should partnerships be further developed and embedded? A focal point of this part of the research will lie on the question of whether and how actors are attempting to build better meta-governance for these initiatives. In that context, we will specifically investigate the plans for a UN Partnership Facility, which UN Secretary General Ban Ki-moon is advocating, and the future review at the UN's High-Level Political Forum on Sustainable Development (HLPF), which shall provide a platform for partnerships.

D1

Dr. Marianne Beisheim   Nils Simon

D8

Project D8
'Talk and Action'. How International Organizations React to Areas of Limited Statehood

Prof. Dr. Andrea Liese   Angela Heucher   Leon Valentin Schettler

'Talk and Action'. How International Organizations react to Areas of Limited Statehood

International organizations (IOs) are key actors in the delivery of basic governance services in areas of limited statehood: First, they contribute to devising transnationally valid norms ("Meta-Governance"), thereby providing regulatory guidance to a variety of stakeholders. Second, IOs are governance actors themselves, aiming at the provision of fundamental public goods. Our project examines IOs seeking to provide food security – a basic governance service and a fundamental human right – in West Africa (Sierra Leone, Ivory Coast, and Niger), Latin America (Colombia), and the Caribbean (Haiti).

Securing access to sufficient, safe and nutritious food remains a highly challenging task in areas of limited statehood as these areas are more vulnerable to evolving food crises. Many IOs are working on this challenge. Given their diverse programs ranging from immediate food crisis response to long-term agricultural development, these organizations have collected different experiences in dealing with areas of limited statehood.

Against this background, our main research questions are: *How do IOs seeking to provide food security in areas of limited statehood conceptualize "governance"* and "statehood"? Which experiences influence their perspectives and how do these in turn influence their behavior? Which conditions encourage learning in IOs?

In order to answer these questions, we seek to analyze *Talk and Action* concerning the interpretation of both concepts by conducting a comparative, qualitative analysis. Specifically, we will conduct in-depth interviews with IO representatives in the headquarters and field offices of all IOs under investigation. These include the World Bank, the World Food Programme (WFP), the Food and Agriculture Organization (FAO) and the European Community Humanitarian Office (ECHO). We will further look at organizations with a more regional focus, such as the New Partnership for Africa's Development (NEPAD) and the Inter-American Development Bank (IADB).

In the context of the Collaborative Research Center (SFB) 700, our project contributes to understanding the conditions under which IOs are able to reflect upon and change their *Talk and Action*. Moreover, we shed light on the consequences that governance in areas of limited statehood may have for the international system (e.g., in terms of changing transnational norms).

Project D9
Exchange Relationships and Collective Use of Resources in Culturally Heterogenous Areas: Latin American Frontiers, 1880 to 1910

Prof. Dr. Stefan Rinke   Mónika Contreras Saiz   Dr. Lasse Hoelck

Exchange Relationships and Collective Use of Resources in Culturally Heterogenous Areas: Latin American Frontiers, 1880 to 1910

Project D9 investigates modes of exchange and collective management of resources involving indigenous and private or state actors in the Latin American peripheries around 1900. Comparing three case studies in Sonora (Mexico), Araucania (Chile) and the Upper Xingú (Brazil), it aims at analyzing how governing elites tried to include autochthonous groups in their economic governance and employ them as a work force for the exploitation of natural resources to be used in regional, national, and/or international economic circuits. Based on research approaches of ethnohistory and microhistory, the project draws theoretical input from sociology, anthropology, political philosophy, and social psychology to investigate trust-based and reciprocal governance mechanisms between egalitarian and state societies that recognize indigenous knowledge and values.

In preceding phases of this investigation, we have worked on a conceptualization of social trust adapted specifically to an ethnohistorical research project, which allows for an analysis of interethnic relations beyond (nation-)state paradigms like effective territorial sovereignty, rule of law, security, or welfare.

The archival documentation will be examined under the following questions:

Which (competing) norms of reciprocity become evident in the documented interactions between egalitarian societies and state actors? What interdependencies exist between reciprocal relations and mutual trust?

Does trust based governance provide a more effective regulation of collective issues than the "institutionalized mistrust" of controls? Is it possible to mask existing asymmetries of power through the communication of signs of confidence – e.g., the abstinence from surveillance mechanisms – to promote cooperative action?

How do state institutions like missions or military affect the expectations of indigenous negotiating partners, and what effect do they have on a generalization of trust? Do long-term cooperation and staff continuity promote the development of interethnic trust?

D9

T3

Project T3
Policy Implications of Governance Research for German Foreign Policy
(Cooperation Partner: German Federal Foreign Office)

Prof. Dr. Thomas Risse   Dr. Gregor Walter-Drop   Dirk Lölke   Karoline Eickhoff   David Remmert

POLICY IMPLICATIONS OF GOVERNANCE RESEARCH FOR GERMAN FOREIGN POLICY (COOPERATION PARTNER: GERMAN FEDERAL FOREIGN OFFICE)

Areas of limited statehood or "fragile states" have been a salient issue on the German foreign policy agenda since the end of the Cold War: How can Germany help states foster sustainable development and promote governance compliant with the rule of law if these states cannot guarantee the monopoly of force or have significant problems with passing, implementing and enforcing laws and other forms of regulation? When such areas of limited statehood are being engaged, what consequences does this have for the "diplomatic toolbox"?

In 2012, the German federal government adopted interdepartmental "Guidelines for a Coherent Policy towards Fragile States" to address these questions. The Transfer Project was, then, initiated as a collaborative endeavor between the German Federal Foreign Office and the SFB 700, with the aim of devising concepts and training formats that build on SFB's basic research into governance in areas of limited statehood. SFB researchers work closely with Division 300 at the Foreign Office, which has been charged with implementing the 2012 guidelines.

While this cooperation represents a unique opportunity to share SFB 700 findings with policymakers, SFB 700 also benefits from an in-depth look into operating procedures at the Foreign Office in the sense of a "reality check," highlighting the practical conditions needed to validate theoretical insights. The focus of this reciprocal exchange will follow three thematic priorities:

- 2014/2015: *Rule of Law*, which concerns supporting a reliable, affordable, fair and viable legal system;

- 2015/2016: *Security Sector Reform*, which concerns supporting a resilient and accountable security sector with the objective of promoting peace and development in a sustainable manner;

- 2016/2017: *Democracy Promotion*, which concerns supporting institutional and legally sound mechanisms for equitable political participation.

The Transfer Project will generate two categories of transfer products for each thematic priority: concept development and concept implementation. Concept development involves proposing policy guidelines, drawing on SFB 700 research, while concept implementation refers to education formats and training for diplomats as well as staff from other Federal ministries who are either working on topics related to areas of limited statehood or who are about to be deployed to fragile states.

T3

Z

Project Z:
Administration and Support

PROJECT Z: ADMINISTRATION AND SUPPORT

In the administration project, a team of full-time employees and student assistants works to provide the SFB's researchers with the service and support they need. Eight sub-departments handle everything from invoices to international conferences, allowing the researchers to focus as much as possible on their work.

Meeting the complex demands of a globally connected research organization, the *Administration Department* not only manages core administrative tasks for the Berlin staff but also arranges visits by scholars from around the globe and supports the researchers out in the field.

With its own Working Paper Series, as well as the Nomos and Palgrave Book Series, the SFB 700 channels its research results into the academic world and to a broader interested audience. The *Publications Department* handles the complex details of bibliographies, style guides, and publisher relations in close cooperation with the academic staff.

The *Public Relations Department* manages communication with the press and is in charge of advertising and information material about the research center – such as this brochure. It collaborates closely with the *WWW-Department* in charge of the SFB's homepage (www.sfb-governance.com), a central tool for information dissemination and SFB 700 communications.

Whether addressing hardware with a mind of its own, the intricate schemes of new statistics software, or simply a quick tutorial, the *IT Department* combines patience for the not-so-tech-savvy with real-time solutions.

The *Department for Family Support* works to alleviate the additional burdens placed on families with small children by a challenging academic environment.

The *Department for the PhD Program* organizes the SFB's own structured PhD curriculum. The department offers a broad range of activities such as workshops and lectures in order to create the best possible working environment for the PhD candidates at the Collaborative Research Center and their various dissertation projects.

Finally, the *Department for Organization and Event Management* takes care of small workshops as well as large conferences with participants from all over the world. Managing all of the minute details involved in hosting academic events, this department aims to bring everything together seamlessly.

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