

# **Annual Report**

**2012**

Institut für Friedensforschung und Sicherheitspolitik  
an der Universität Hamburg (IFSH)  
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## **Impressum**

Das Institut für Friedensforschung und Sicherheitspolitik an der Universität Hamburg (IFSH) besteht seit Juni 1971 und ist eine unabhängige Einrichtung in Form einer Stiftung des Bürgerlichen Rechts. Laut Satzung ist es Zweck der Institutsarbeit, „sich im Rahmen der Friedensforschung speziell mit sicherheitspolitischen Problemen zu befassen und dabei die Kriterien von freier Forschung und Lehre, Förderung des wissenschaftlichen Nachwuchses und Publizierung der Forschungsergebnisse zu erfüllen“. Darüber hinaus erstellt Institut einen Jahresbericht.

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ISSN 0936-



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## 1. On the Work of IFSH 2012 – Director's Foreword



In 2012, important steps were taken to secure the future of the IFSH as one of the leading institutions for peace and conflict research in Europe.

Since spring 2008, the work program “Transnationalization of Risks of Violence as a Challenge for European Peace and Security Policy” has been the hub of the research activities of the IFSH. This program will be replaced in the summer of 2013 by a new one. The new program, developed in several steps, was discussed at the fall meeting of the Scientific Advisory Board of the IFSH and it was recommended that the Board of Trustees accept it in principle. The Board of Trustees agreed to this recommendation and decided to vote to adopt a revised text at a meeting in the spring of 2013.

In the context of the currently running work program, briefly referred to as “Transnational Risks of Violence”, a series of larger research projects has been carried out in recent years. The thematic foci of the research in the context of this work program were strategies to contain terrorism and piracy, extremist radicalization, transnational aspects of conflicts in Central Asia, climate change as a potential cause of violent conflicts, challenges of arms control as a result of the growing significance of transnational actors, as well as an analysis of the effects of policy measures in general. While some projects were completed in 2012, others continue in 2013.

Among the larger projects completed in 2012 are the project supported by the German Research Foundation (DFG), “Justification with the same Arguments? – Analyzing Arguments in Favor of Restricting Human and Civil Rights under the Pretext of Combating Terrorism in the USA, EU and Russia” and the project supported by the EU in the 7<sup>th</sup> Research Framework Programme “A New Agenda for European Security Economics (EUSECON)” in which the IFSH was significantly involved. Both projects led to a range of internationally respected publications. The institute-wide working group, which, parallel to the work program, discussed the possibilities and limits of the analysis of the effectiveness of international institutions, also came to an end. The results were collected in a jointly published book (“Studying ‘Effectiveness’ in International Relations”).

The central project for the 2008 work program “Between Control and Cooperation: Technology Transfer and Efforts at Non-Proliferation of WMD” and “Piracy and Maritime Terrorism as a Challenge for Maritime Trade Security: Indicators, Perceptions and Options for Action” drew to an end at the beginning of 2013. Via the piracy project, multiple new contacts to scientific and political actors as well as practitioners were able to be made. One consequence of this strong networking is that the IFSH is represented in two consortia, which have applied to the Federal Ministry for Education and Research for follow-on projects.

The results of the project work in the work program “Transnational Risks of Violence” are to be summarized and evaluated in 2013. Not all of the research questions outlined in the 2008 work program were able to be worked on to the degree anticipated. This applies especially for the area of internationally organized crime, which is unconnected with terrorism or piracy. On the other hand, over the course of this period, there were opportunities to work more intensely than expected in 2008 on relevant topical areas such as extremist radicalization. Even at the beginning of the evaluation, it was clear that a range of interesting results was able to be achieved. They confirm, in tendency, the thesis formulated in 2008 on the divergence between the demands of transnational challenges, such as terrorism, piracy and climate change, and the deficits of international power to act. National measures with questionable effects dominate the work on transnational risks of violence.

Also dealt with in the IFSH in 2012, in addition to the topics of the work program, were current peace and security policy questions for which the IFSH has available accumulated scientific competence to provide answers. Various works and contributions to nuclear disarmament and arms control as well as to the European peace order deserve particular mention here. “Global Zero”, the goal of global nuclear disarmament postulated by the US President Barack Obama in April 2009, was, in fact, not at the center of the international political attention in 2012, but, not least thanks to



the re-election of Obama, it remained on the international agenda. Here, the IFSH intends to continue to provide innovative input to discussions on the basis of scientific work.

The same applies for contributions to the European peace order and, in particular, to the role of the OSCE in this context. In the year 2012, the project on the analysis of the conditions for a Euro-Atlantic and Eurasian Security Community, jointly carried out with leading security policy institutes in Russia, Poland and France, received considerable international political attention. The closing report "IDEAS" was presented in October in Vienna at an informal ambassadorial meeting in which the majority of those ambassadors accredited in Vienna by the OSCE took part. Further presentations took place at NATO in Brussels and in Astana.

This and some of the areas of competency worked on in the context of the 2008 work program, such as extremist radicalization and climate change, are to be retained. Others, such as the effects of globalization on stability in industrialized countries and changes in the forms of violence, will be added. Analyses of terrorism and other forms of transnational risks of violence will become less important.

For the characterization of the new work program, the changed focus of the research is more important than naming the topical areas. The professional knowledge, which the staff at IFSH has acquired, should be made productive for a new, overarching question. The new work program links the existing knowledge and competencies at the IFSH with new topical areas and a new focus for the research.

The unifying feature of the new work program is the study of the appropriateness of liberal peace strategies for successful peace and security policy under the conditions of a dynamically progressing globalization and the division in the world society that goes along with this. In its rhetoric, peace policy in Germany and Europe largely follows the considerations that were developed in the 1960s and 1970s. With globalization and the end of the Cold War, however, the material bases of these peace strategies have changed. Transnational actors, as analyzed in the current work program, have increased in significance. State actors in Asia and Latin America, in particular, the leading regional powers, question the liberal peace concepts. Peace is no longer only a problem on the periphery, but the inner stability of modern industrialized nations is also at risk.

The changed conditions make a content review of the appropriateness and range of liberal peace strategies imperative. The basic assumptions, such as the peace-promoting effect of democratization and economic globalization, need to be questioned. The new work program will provide an analytic framework for this, which will be concretized in projects beginning in 2013.

The new work program was developed in a longer process. After the first phase, in which stocktaking of the current research on peace and security was undertaken, three working groups formulated competing thematic topics. After the first discussion with the Scientific Advisory Board, the selected aspects were deepened in the working groups. In two workshops, the basic elements of the program were discussed before a program group worked out a coherent text in the summer and in the fall of 2012.

An important consideration in the development of the new work program, in addition to the expected scientific knowledge, was also the potential political relevance. The work of the IFSH is to continue to incorporate scientific research and societal and political consultation, as well as promotion of young scientists and teaching. More strongly than in the work program of 2008, in which current security policy topics were taken up, the development of a longer-term peace policy agenda will be advanced in the new work program.

Through a combination of a fundamental peace policy question – the appropriateness of liberal peace strategies – topical areas of current political significance will ensure that the IFSH continues to receive attention and be heard in politics and in society. A professional reputation among both the broader public and political decision-makers in Germany and Europe, which IFSH has built up over decades, is a valuable commodity which will be augmented by the new work program.

Expressive of the interest are, among other things, the numbers on the extent of political consultations by IFSH staff mentioned in the annex to this annual report. In 2012, staff members took part in 122 hearings and internal discussions in parliaments, ministries and international organizations.



The reputation among the broader public demonstrates, among other things, the demand by the media for the expertise of IFSH. In 2012, IFSH staff gave 152 interviews. Further indicators such as 118 lectures and participation in 30 podium discussions are proof of the regard in which the IFSH is held in German and European peace research.

With the new work program, the efforts of the IFSH to achieve high results in the key performance indicators, which are seen by science as central proof of qualitatively high level scientific research, will be continued. While the number of publications – earlier in the history of IFSH seen as primary proof of the success of one's own work – continues to decline (146 in 2012, 179 in 2011, 158 in 2010), the number of publications in the competition is rising. Thus the number of refereed publications since 2006 has continually grown to 39 in 2012 (2011: 34, 2010: 28). Also the number of publications in journals on the list of particularly high level journals (Thomson Reuters World of Knowledge-List, also ISI-List) increased during this period. However, even more efforts are necessary to achieve the number of publications in a journal on the ISI list yearly and per scientific staff member, fixed by the IFSH Scientific Advisory Board.

The research at the IFSH is closely tied up with promotion of young scientists and teaching. A high percentage of the instruction in the course "Master of Peace and Security Studies" is undertaken by IFSH scientists who incorporate their research into their lectures. The course was reaccredited for a further six years after an inspection by an assessment commission in June 2012. On a regular basis, one or two graduates, after finishing this course, continue their education with doctoral studies at the IFSH. However, in the doctoral program, practitioners and, increasingly, doctoral candidates of other schools (SICS, HIGS, GIGA) are accommodated. The diversity of the anchoring of the doctoral candidates strengthens the spectrum of possibilities for their continuing education, on the one hand, which is also advantageous for the IFSH, but on the other hand qualifies the independent character of the IFSH doctoral program. Thus, the doctoral program is to be reformed in 2013.

With the stronger focus of the work at IFSH which is expected to be achieved with the new work program and the increase in the number of refereed publications, important steps have been taken in the direction of fulfilling the conditions required for a promising application for membership in the Leibniz Association (Wissenschaftsgemeinschaft Leibniz – WGL). The volume of third-party funding again reached a level compatible with WGL requirements, with more than half of the institutional support (third party funding in 2012: 937,730 € newly acquired third-party funding: 840,482€ institutional financing: 1,577,000€). However, quantitatively, IFSH still remains at the lower edge of the minimum research performance for a WGL institute. Without growth of institutional support, a successful application is, therefore, problematic.

As in previous years, this annual report has content articles, which give some insight into the spectrum of the work at IFSH. Wolfgang Zellner reports on the aforementioned IDEAS project in a fundamental consideration of regional security communities connected with the development of current options for strengthening the OSCE. Hendrik Hegemann, Regina Heller and Martin Kahl report on the results of the working group "Effectiveness Research in International Relations" and outline the possibilities and limits of researching the effectiveness of actions and institutions in international relations. Oliver Meier deals with an important consequence of the increasing significance and international availability of dual-use technologies, i.e. the relationship of exclusive control regimes to the prevention of the transfer of dangerous dual-use technology, on the one hand, and the inclusive Treaty on Non-Proliferation of Weapons of Mass Destruction, on the other hand.

This year's annual report would also be incomplete with saying thanks. Thanks go, first of all, to the Free and Hanseatic City of Hamburg which supports the work of the Institute. We also owe thanks to our numerous cooperation partners nationally and abroad. Finally, the engagement and the competency of the staff of the IFSH should be mentioned. In 2012, they have also shown that their research topics and the desire to make important contributions to the success of the IFSH are of great importance to them.

February 2013  
Michael Brzoska



## 2. Current Topics in the Institute's Work 2011

### 2.1 IDEAS

Wolfgang Zellner

#### The IDEAS Project: A Contribution to an OSCE Network of Academic Institutions



#### How We Came to Create IDEAS

Two years after the 2010 OSCE Astana Summit Meeting, the language of the “Astana Commemorative Declaration – Towards a Security Community” still sounds clear, bold, and forward-looking. In this document, the Heads of State or Government of the then 56 participating States committed themselves “to the vision of a free, democratic, common and indivisible Euro-Atlantic and Eurasian security community stretching from Vancouver to Vladivostok, rooted in agreed principles, shared commitments and common goals”.<sup>1</sup>

Interestingly, the OSCE's discovery of the vision of a security community is paralleled by a renaissance of this idea in the academic sphere. Emanuel Adler and Michael Barnett's groundbreaking 1998 book “Security Communities”, a constructivist reframing of the seminal 1957 work “Political Community and the North Atlantic Area” by Karl Deutsch and others, and more specifically Adler's essay on “The OSCE's security community-building model” have opened up a whole cosmos of broader conceptual thinking about Euro-Atlantic and Eurasian security that is politically still widely underused.<sup>2</sup> Another major contribution to this strand of thinking is Charles Kupchan's 2010 book “How Enemies Can Become Friends”.<sup>3</sup> If we compare and contextualize how the political and scholarly communities have dealt with security communities, two things stand out: First, the academic discourse starts a decade earlier than the political one. And second, both discourses have emerged when the political conditions for creating a Euro-Atlantic and Eurasian security community were substantially worse than they were in the early 1990s. History will show what this means for the chances of realizing this great vision one day.

The idea of a security community is a notion that *could* give guidance to states and societies at a time when almost all their energy is consumed by short-term crisis management. However, the message from Astana has not yet really arrived in most capitals. And even within the OSCE itself, the concept was not really debated seriously during 2011. This was the starting point for IDEAS – the Initiative for the Development of a Euro-Atlantic and Eurasian Security Community, a joint project of the Centre for OSCE Research (CORE) at the Institute for Peace Research and Security Policy at the University of Hamburg (IFSH), the Fondation pour la Recherche Stratégique (FRS), the Polish Institute of International Affairs (PISM), and the Moscow State Institute of International Relations (University) of the Russian Foreign Ministry (MGIMO). Our key concern was that the neglect of a vision as bold as that of a security community would not only represent a missed opportunity, but would seriously undermine the reliability of the OSCE as the only pan-European security organization.

In this situation, receiving the support of the foreign ministers of Germany, France, Poland, and the Russian Federation represented a major step forward. On 6 December 2011, they declared

1 Organization for Security and Co-operation in Europe, Summit Meeting, Astana 2010, *Astana Commemorative Declaration – Towards a Security Community*, SUM.DOC/1/10/Corr.1, para. 1, at: <http://www.osce.org/cio/74985.OSCE>.

2 See Emanuel Adler/Michael Barnett (eds), *Security Communities*, Cambridge 1998; Emanuel Adler, Seeds of peaceful change: the OSCE's security community-building model, in: *ibid.* pp. 119-160; Karl W. Deutsch/Sidney A. Burrell/Robert A. Kann/Maurice Lee, Jr./Martin Lichterman/Raymond E. Lindgren/Francis L. Loewenheim/Richard W. Van Wagenen, *Political Community and the North Atlantic Area. International Organization in the Light of Historical Experience*, New York 1957.

3 See Charles A. Kupchan, *How Enemies Become Friends. The Sources of Stable Peace*, Princeton 2010.





that “the four Ministers have asked four academic institutes to organize four workshops in Berlin, Warsaw, Paris and Moscow in 2012. These workshops will advance further the discussion on the future character of a Euro-Atlantic and Eurasian security community. The institutes are invited to present their final report and their recommendations to all OSCE participating States in Vienna in autumn 2012.”<sup>4</sup>

### **Why This Format?**

We have always perceived the IDEAS project as a contribution to a network of academic institutions as proposed by OSCE Secretary General Lamberto Zannier in his first speech in his new capacity in the Permanent Council on 4 July 2011. At the same time, it was obvious that we had to start with a smaller circle of participants if we wanted to complete a first study of the idea of a Euro-Atlantic and Eurasian security community during 2012. So we combined two existing formats – the Weimar Triangle consisting of France, Germany, and Poland, and a more recent triangle of Germany, Poland, and the Russian Federation – giving us the four IDEAS participants. However, it has always been clear that this constellation was an interim solution on the way towards a broader network of academic institutions.

### **The Conception of the Workshops**

The IDEAS project started with four workshops in Berlin (March), Warsaw (May), Paris (June), and Moscow (July). The report was to be based on as broad a discussion as possible. The four workshops were therefore differentiated in two aspects: While all of them dealt with the general question of the key features of a security community, they each also addressed different working fields: arms control in Berlin, sub-regional conflicts in Warsaw, transnational threats and challenges in Paris, and all three of these issues together in Moscow.

Although the number of participants in a workshop is itself limited, there was a clear intention to ensure that these meetings were as accessible and inclusive as possible. Thus, all the workshops were open to at least one representative from each participating State. And indeed, the Berlin and Moscow workshops, in particular, were each visited by some two dozen ambassadors from Vienna. In addition, the Irish Chairperson-in-Office designated Ambassador Lars-Erik Lundin his representative at the IDEAS workshop series, and the Secretary General was also represented at each event.

Each workshop was opened by a high representative of the host country's foreign ministry. In Germany, this was Federal Foreign Minister Guido Westerwelle; in Warsaw, Undersecretary of State in the Polish Ministry of Foreign Affairs Bogusław Winid; in Paris, Deputy Director General for Political and Security Affairs in the French MFA Pierre Cochard; and in Moscow, Deputy Minister of Foreign Affairs Alexander Grushko. Other experienced personalities also enriched the discussion, including former Russian Foreign Minister Igor Ivanov (Moscow), NATO Deputy Assistant Secretary General Jamie Shea (Paris), the former Polish Foreign Minister Adam Daniel Rotfeld, and the Chairman of the Committee on Foreign Affairs of the German *Bundestag*, Ruprecht Polenz.

### **The IDEAS Report – Main Deliberations and Key Issues**

From a number of conversations, it had become clear that there were two groups with contrary expectations: The first demanded concrete proposals and recommendations that would be useful for the OSCE. This would require a report focused tightly on OSCE issues. However, representatives of the other group stated that a report limited to OSCE issues would be superfluous and irrelevant. Starting from the insight that there were two target groups that both had to be somehow addressed, we decided to divide the report into two parts: a more general analytical section, which goes far

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4 Joint Communiqué, Vilnius, 6 Dec 2011, Ministers of Germany, France, Poland and Russia launch a scientific network to pave the way for a Security Community in the OSCE area, MC.DEL/16/11, 6 December 2011.





beyond the OSCE and treats the Organization only as one part of the whole, and specific recommendations on “What the OSCE Can Contribute to Building a Security Community”.

In the analytical part, we addressed four distinct, yet closely interlinked areas: the vision of a security community; arguments as to why the OSCE states would benefit from such a security community; an analysis of developments in the OSCE space; and finally, a decalogue of guiding principles for a strategy towards a security community.

*The vision of a security community.* Formulating this mini-chapter was by no means the easiest part of the whole exercise. It consists of a working definition of a security community and some additional qualifications. The definition reads as follows: “This reports proceeds on the basis of the understanding that a security community stands for a community of states and societies whose values, social orders and identities converge to such a degree that war among them becomes unthinkable. A security community means stable and lasting peace among states and within societies where there are no longer zones of different security, regardless of whether individual states belong to alliances or not.”<sup>5</sup> This definition already contains the notion of “convergence”, one of the key terms of the report.

There are only a few additional qualifications, but these are essential. One key insight is that there are “quite different – even contradictory” perceptions of what the key elements of a security community are – whether values or so-called “hard-security” issues. We deemed it necessary that all these elements and perceptions be included in a process towards building a security community. The notion of a process – long-term, open-ended – is a second essential qualification. It excludes the possibility that a security community is created by a single founding act. A third qualification is that a “security community is not an alliance directed against any outside state or alliance”.<sup>6</sup> This is important because sometimes the scholarly literature equates the notion of a security community with military alliances such as NATO. And finally, it was vital to stress that the “process towards a Euro-Atlantic and Eurasian security community extends beyond the OSCE”,<sup>7</sup> or, as formulated more strongly in the executive summary: “Building a security community in the OSCE area cannot be delegated to the OSCE alone.”<sup>8</sup>

*Arguments in favour of a security community.* This section, the shortest of the whole report, was definitely among the most complicated to draft. This was not so much because there are no good arguments in favour of a security community; rather the difficulty was formulating these arguments around a single concept so that they would apply to all the OSCE States. A good example is the “Shared Identity of Europeanness”,<sup>9</sup> a term we included after long discussions. However, the question remains as to how far this can cover, for example, Kazakh, Tajik, or even Canadian identities. The same is true of more material interests: Different states in different regions of the OSCE space have different strategic options tied to adjacent areas outside the OSCE space. This kind of strategic uncertainty makes it impossible to forecast how a security community may develop. The only way the issue can be treated is in terms of gradual and contingent processes of increasing convergence.

*Analysis of developments in the OSCE space.* Two main dangers were lurking in this key chapter of the report: painting too rosy a picture of the whole situation and – more fashionable among intellectuals – taking too gloomy a view. For this reason it was good to start the chapter on “Developments in the OSCE Space” with some very basic statements that are not made every day: “The greatest achievement of the last two decades is that a major war in Europe between states and alliances – the ever-present threat during the era of East-West confrontation – has become inconceivable.”<sup>10</sup> We also took the view that “there are no more antagonistic or major ideological divides within the OSCE space”.<sup>11</sup>

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5 Wolfgang Zellner (co-ordinator)/Yves Boyer/Frank Evers/Isabelle Facon/Camille Grand/Ulrich Kühn/Lukasz Kulesa/Andrei Zagorski, *Towards a Euro-Atlantic and Eurasian Security Community. From Vision to Reality*, Hamburg, Paris, Moscow, Warsaw 2012, p. 7.

6 Ibid., p. 8.

7 Ibid.

8 Ibid., p. 5.

9 Ibid., p. 9.

10 Ibid., p. 11.

11 Ibid.



From this initial statement, we came logically to three fields of convergence among the OSCE states during the last two decades. First, we noted a “remarkable process of normative convergence”,<sup>12</sup> in spite of many difficulties in implementation. This statement has attracted criticism on the grounds that the implementation of commitments is the key aspect of the normative dimension. While in no way underestimating the relevance of the actual implementation of norms, I would like to stress another aspect of the normative OSCE regime that backs our argument. This is a reference to the fact that the normative *acquis* of the OSCE is the only game in town; it is unrivalled by any other normative project, be it communism, sharia law, “Asian values”, or whatever else. The second area of convergence we noted – “convergence [...] resulting from the membership of an increasing number of states in or their co-operation with other international organizations”<sup>13</sup> – is of critical relevance because its logical consequence is that any process towards a security community is a process of interaction and co-operation among many organizations, and not a matter for the OSCE alone. And finally we noted a trend of convergence related to co-operation on transnational threats, an observation that is frequently made in the course of the OSCE’s everyday operations.

The other side of the coin concerns the growing number of well-known divergences that have emerged, particularly during the last decade, ranging from the unresolved sub-regional conflicts and the stagnation in arms control, via deficits in the observance of human rights and other human dimension commitments, to the tendency towards a new institutional divide between integration networks in the West and in the East. Particularly worrying is that these disputes are not limited to isolated issues but have resulted in a resurrection of the security dilemma and zero-sum-game thinking. Thus, the “current situation in the OSCE space is ambiguous. Advances towards a greater convergence are paralleled by divergences preventing joint action. The main divergence is political and concerns a lack of cohesive policy approaches to many issues in veracious fields.”<sup>14</sup> Consequently, the first step on the way towards a security community is the return to a practical co-operative security policy.

### Guiding Principles of a Strategy towards a Security Community

While it is not possible to draft a detailed strategy of how to achieve a security community – the objective is too distant and the uncertainty of reaching it too great – it is possible to formulate some principles that might be useful in attempting to approach this goal. The first one we listed is that believing in (economic) interdependence is not enough. Rather it is necessary to take political action to reach political goals. That sounds simple – and is – but it is frequently neglected because of an exaggerated belief in the beneficial impact of interdependence.

Two other principles concern the need to increase convergence and decrease divergence over the long term, and the fact that maintaining this process is more important than quick fixes. This implies also that the “task is not to fix the *status quo*, but rather to manage the process of ongoing change”.<sup>15</sup> This addresses the status quo-fixation of a good part of current policies that look easier at first glance – the status quo is something known – but make it actually more difficult to address a future, many elements of which are yet unknown.

Again, two further principles address the need to deal with as many issues as possible and *not* to limit oneself to so-called game changers – key issues that it is believed will change the whole conflict constellation. The game-changer syndrome represents the desire to reduce the complexity of a situation by concentrating on one or two issues. Sometimes this is successful. However, it also bears the risk of the game changer becoming a spoiler if the issue is not resolved.

Another key to making progress is to find a good mix of elements from the old agenda inherited from the Cold War and the new agenda that has arisen in response to current threats and challenges.

Finally, we proposed two principles related to modes of thinking and the need to approach these issues from a variety of perspectives. One is that it is important to de-securitize and even to

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12 Ibid.

13 Ibid.

14 Ibid., p. 14.

15 Ibid., p. 15.



depoliticize issues. Another is the need for the active engagement of not just states but also groups within societies, such as epistemic, religious, and business communities.

Policy principles of this kind are necessarily general in nature. However, one may find that the success or failure of concrete processes frequently depends on whether these (and other) principles were applied or not.

### **What the OSCE Can Contribute to Building a Security Community**

I shall not describe the IDEAS Project's recommendations to the OSCE in detail here. Most elements we recommended have been discussed in the OSCE community at one time or another – frequently without reaching agreement. Hence, it is not their novelty that might be decisive, but rather the achieving a consensus on their implementation. Resuming effective arms control, resolving the protracted conflicts, supporting stability in Central Asia and Afghanistan, and addressing transnational threats are familiar challenges. Encouraging reconciliation among states and societies has been an element of many OSCE activities over the last two decades, but could be done in a more focused way.

A more innovative proposal concerns the human dimension, namely improving the effectiveness of the OSCE's human dimension events cycle and opening a dialogue with Muslim communities. The latter proposal was hotly debated by the IDEAS team, and opinions differed as to whether the OSCE might play a useful role in this area. And, of course, we stated our readiness to contribute to the creation of an OSCE network of academic institutions.

### **The Reception of the IDEAS Report in Vienna, Astana, and Brussels**

On the invitation of Ambassador Eoin O'Leary, the Chairperson-in-Office's representative in Vienna, the four institutes had the opportunity to present the IDEAS report at an informal ambassadorial meeting at the Vienna Hofburg on 23 October 2012.

The reception was generally very positive. One ambassador called the report “forward-looking and pragmatic, solid work” and welcomed particularly the section on the creation of an academic network. Another agreed that efforts to broaden the academic network should be supported. A third said that the report showed the importance of track II initiatives, and needed to be followed up with the inclusion of other think tanks. However, he expressed doubt about the inclusion of an element of dialogue with Muslims. However, there was also criticism. One ambassador questioned whether we have really achieved normative convergence. There was also caution about appealing to a notion of common Europeanness, rather than acknowledging multiple identities. The same speaker who made this point also perceived a bias to the disadvantage of the human dimension. All in all, some 16 ambassadors took the floor.

Finally, on 18 December, the institutes presented their report to the Euro-Atlantic Partnership Council (EAPC) at NATO headquarters in Brussels. While the overall reception was as positive as in Vienna, and the need was underlined to work more with think tanks, a lot of questions were asked on the report and the way it had been produced: What could be the role of NATO and the EAPC in discussions of this kind? How was the report received by the OSCE? What understanding of civil society and NGOs do the authors of the report share? What are the personal experiences and lessons learnt of the drafters? On which issues did they disagree? In a frank atmosphere, Lukasz Kulesa (PISM), Wolfgang Zellner (CORE) and, connected by video link, Andrei Zagorski (MGIMO) from Moscow tried to answer all these questions.

Representatives of the four institutes plan to meet in the beginning of 2013 to discuss in which form and on what issues IDEAS should be continued. There is already agreement that the number of institutes involved should be considerably enlarged.



## 2.2 Studying Effectiveness

*Hendrik Hegemann/Regina  
Heller/Martin Kahl*



### Studying Effectiveness in International Relations

#### Introduction

Effectiveness is a central component of most areas in International Relations (IR) research. In fact, researching into effectiveness issues is no recent invention. Inspired by practical demands, the impact assessment and evaluation literature has a long tradition not only in IR but also in other fields of the social sciences. Effectiveness is most commonly understood to denote the degree to and ways through which certain actors, instruments or policies intentionally achieve their stated goals. Defined in this narrow way, the concept emphasizes purposeful and intended social behaviour that IR scholars usually aim to observe and understand. Many of the core issues and problems of international politics require answers to the questions of whether, how and when certain actors, tools or policies cause – or at least affect – specific results. For instance: Do sanctions lead to the desired effects? And if so when and how? How “successful” are policy measures directed at the democratisation of authoritarian states?? Which counter-terrorism measures are effective, which have little or no result and which are even counter-productive? International and global action often entails severe economic, social and political costs and is often legitimized by reference to its alleged effectiveness. Yet actors often take decisions about policies without adequate knowledge of their practical effects. In order to offer a critical review and suggest policy alternatives it is crucial to examine the consequences of such actions and the degree to which they achieve stated goals.

Within the IR community, there is a growing interest in studying the effectiveness or impact of (political) measures and tools in international relations, as well as a growing number of studies in this regard. Although most established IR theories are based on, and make implicit or explicit assumptions about, some kind of cause-effect relationship, measuring and pinpointing effectiveness remains inherently difficult. The setting of international politics is complex, uncertain and dynamic. Moreover, scholars are confronted with severe conceptual and methodological challenges. How can we measure effectiveness? What indicators should be used to assess effectiveness? And last but not least: Can we make reliable ex-post-factum assumptions about causal relationships at all?

Throughout a two-year research and discussion process, a working group at IFSH has been dealing with the philosophical, conceptual and methodological foundations of effectiveness in international relations. The group focused on the question of how the effects of actors, instruments and policies in international politics can be measured and assessed in a systematic and valid manner. Its results are now published in a multi-authored book which comprises contributions and expertise from IFSH researchers as well as from external experts from Germany and the United States. The publication gives an – albeit not necessarily complete – overview of the state of the art in the field, touching upon such issues as effectiveness of international organizations, regimes, international military interventions, international sanctions, socialization, post-conflict peace and state-building, external democracy promotion and assistance as well as counter-terrorism. The contributions discuss the objectives, concepts, methods and achievements of effectiveness research in the various fields.

#### Effectiveness research as a disparate field in the IR discipline

Despite the ubiquity of effectiveness-related questions in international politics, effectiveness research continues to be a rather disparate field in the IR discipline and scholars working on effectiveness in different areas do not engage in dialogue on common problems in the study of effec-



tiveness. Effectiveness as an analytical concept has rarely been subjected to explicit theoretical and methodological examination and its meaning as well as its use remain contested within the IR community. This is, for one, due to a lack of methodological rigour in those research areas that have so far dominated effectiveness studies, second, related to more fundamental discipline-related reservations about the general measurability of causality and cause-effect relationships, as well as normative reservation to effectiveness research.

### **Lack of methodological rigor**

Effectiveness research has traditionally been the domain of the impact assessment and evaluations literature commissioned and conducted by think tanks and more policy-oriented scholars. These studies usually do not engage systematically in theory-informed concept and methodology development with regard to cause-effect relationships, neither do they reflect upon their own theoretical and methodological base. They tend to rely on individual knowledge and expert judgments, 'I know it when I see it' approaches and the case-specific development of indicators. While this enables these researchers to derive rich empirical findings and targeted policy prescriptions, their results remain somewhat arbitrary. This conceptual and methodological flabbiness has led many theory-oriented IR scholars to steer clear of effectiveness research. Many of the latter do a good job in using general insights from advanced debates in social theory and philosophy of science to engage complex questions of causality and causation in international politics, but they largely fail to connect to the practical problems that scholars face in their attempts to measure and understand the effectiveness of specific actors, instruments or policies in concrete empirical cases. Thus, there seems to be a gap between scholars dealing with effectiveness in concrete empirical cases and those dealing with larger questions of theory and methodology.

### **Post-positivist criticism**

There are also more fundamental discipline-related reservations about effectiveness research put forward in the IR community. The discipline-related critique is formulated mainly by constructivists as well as by critical realists, who typically commit themselves to 'post-positivist' views and positions, rejecting the 'positivist' cause-effect assumptions that underlie most effectiveness studies. However, this critique is not coherent in itself, because, on a closer examination, many prominent mainstream constructivists accept, at least implicitly, certain causal effects in social relationships and do assess the effectiveness of respective policies, even though they are more sceptical towards universal and deterministic claims.<sup>1</sup> The whole socialization research and literature, which has been developing quite dynamically throughout the last ten years, amply demonstrates that also constructivists are in search of causal explanations relating to ideational factors – norms and identities – and how they constrain, frame or channel behaviour – even though they "do not effect cause in the sense that a bullet through the heart causes death or an uncontrolled surge in the money supply causes price inflation".<sup>2</sup>

### **Normative reservations**

Moreover, studies that focus on effectiveness evaluations have been criticized for their focus on efficiency and functionality and their attachment to specific agendas of institutional reform. Normative reservations, brought forward by various theory-oriented IR scholars, have been associated with the allegedly prescriptive and technocratic character of policy-oriented consultancy efforts concentrating on impact assessment and effectiveness evaluation. Critics lament that this kind of research is restricted to the level of results, feasibility and goal attainment and disregards the contentious political choices underlying international politics. Alexander Wendt therefore argues that

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- 1 Adler, Emanuel (1997): Seizing the Middle Ground. Constructivism in World Politics. In: *European Journal of International Relations* 3, 3, pp. 319-363 (329); Finnemore, Martha/Sikkink, Kathryn (2001): Taking Stock. The Constructivist Research Program in International Relations and Comparative Politics. In: *Annual Review of Political Science* 4, pp. 391-416 (394).
  - 2 Kratochwil, Friedrich/Ruggie, John G. (1986): International Organization. A State of the Art on an Art of the State. In: *International Organization* 40, 4, pp. 753-775 (767).





“perhaps even more important than knowledge about what works is knowledge about what is right and wrong”.<sup>3</sup> Wendt’s quotation may remind us that any effectiveness research seems insufficient without being sensitive to the relevant social and political context and without considering the legitimacy of the very goals to be achieved, the process through which they are defined, and the consequences of the policies adopted to pursue them. Hence, studying effectiveness contains a strong critical element in itself, as long as it is put in the context of broader political and normative considerations.

### **Detecting and dealing with conceptual and methodological hurdles**

Most recently, we can observe a more and more lively research community that tries to integrate meta-theoretical considerations about causality and cause-effect-relationships with a more practically- and empirically-oriented research on effectiveness in international relations, this way trying to overcome the conceptual and methodological hurdles in the study of effectiveness in IR as well as more fundamental reservations against the issue put forward in some scholarly camps. While some strands, such as the regimes literature, are already well-established in effectiveness research, others, such as the literature on international peace- and state-building interventions, are only just emerging as a coherent research field. However, all scholars are confronted with at least three common challenges when assessing the effectiveness of certain measures: firstly, determining the standard against which with effectiveness is measured, secondly, attributing the measure to the effect and thirdly, choosing the “right” way for inferring causality in a specific case.<sup>4</sup>

### **Determining measurement standards for effectiveness in IR**

Although determining clear standards is essential for measuring effectiveness, there is no general rule on how to establish accepted standards in the study of effectiveness in IR. This is so because these standards are highly dependent on the specific aims pursued by a certain actor and a respective measure applied. Is, for instance, the aim related to causing a more general, unspecified effect? Or do external actors wish to solve a specific problem? Do they aim at behavioural change and actor compliance? Is an external intervention deemed only “successful” after passing a predefined threshold? How broad or narrow should “success” be defined? And how do observable unintended effects of a specific measure fit into such “success”-oriented measurement criteria?

All these questions relate to different dimensions of “effect” – effect in output, outcome or impact. Although the fields of investigation in the most recent effectiveness literature are broad, most researchers try to relate to and systematize their understandings/concepts of effectiveness along these well-established categories. Tracing the research in various IR fields, we see that the foci are in flux: While the question of actor performance (output) has been dominating for a long time in fields such as international governmental and non-governmental organizations as well as external democracy promotion, there has been a gradual shift to the exploration of outcomes (mostly in terms of behavioural change and compliance) and, more recently, impact in the sense of direct problem-solving effects. Moreover, researchers have begun to investigate context variables more thoroughly, for instance the domestic conditions under which external actors pursue their politics, and they have raised question of legitimacy more frequently, which sheds light on another dimension of effectiveness – namely the input dimension.

### **Attributing effects to actors and their policies**

The second common difficulty researchers have to deal with is the so-called attribution problem: the question of whether it was really a certain action or measure that led to a specific change in the surrounding environment and/or whether it was *this* particular change that helped to achieve the formulated objectives or to solve a certain problem. If researchers are interested in “effective-

3 Wendt, Alexander (2001): Driving with the Rearview Mirror. On the Rational Science of Institutional Design. In: International Organization 55, 4, pp. 1019-1049 (1045).

4 Underdal, Arild (2002): One Question, Two Answers. In: Miles, Edward L./Underdal, Arild/Andresen, Steinar/Wettestad, Jorgen/Skjærseth, Jon B./Carlin, Elaine M. (eds.): Environmental Regime Effectiveness: Confronting Theory with Evidence. Cambridge: The MIT Press, pp. 3-45 (7-8).





ness", to all intents and purposes they have to deal with "causes" and "effects" and the causal path between them: they have to figure out whether an action or measure had a certain effect and how the effect was actually brought about. If one cannot plausibly link or "attribute" an activity or measure (or whatever else) to a certain result, one can hardly speak of "effectiveness".

The attribution problem has been a challenge for research on effectiveness in many areas. We cannot say anything about the effectiveness of sanctions, for example, if we do not know whether it was actually the sanctions that led to a certain change of behaviour. Yet, changes in the behavior of a sanctioned country can have various sources, such as domestic pressure or changes in the political leadership, which may or may not relate to external sanctions. It is especially problematic to attribute the non-occurrence of an event to a specific measure. For example, it is notoriously difficult to link the prevention of terrorist attacks to certain counterterrorism policies. This requires not only evidence for an observable effect on terrorist behavior and resources, for instance through the freezing of assets, but also that this effect prevented terrorists from an attack they would have committed otherwise. Researchers increasingly try to alleviate this problem through the combination of different methods, but the detection of generalizable, clear-cut causal relationships continues to be rare.

### **Qualitative or quantitative research designs?**

Debates about the best and most "scientific" way to infer causality have been fierce from time to time. The main points of contention are whether causality is a "logical" or an "ontological" category and whether it could be inferred by statistical models that search for "regularities" or via case studies that try to discern underlying mechanisms by causal process tracing. In practice, scholars face a basic trade-off between establishing viable causal relationships for specific cases and conditions without a great deal of generalization on the one hand, and finding widely generalizable correlations that describe highly abstract relationships but cannot claim causality and are only visible with sufficient data or in connection with underlying theories, on the other. The choice of methods is influenced by research questions and the availability of data, but also by certain research traditions in the various fields. There are, for example, established quantitative literatures dealing with sanctions or development aid whereas scholarship on socialization and democracy promotion tends to prefer process tracing and other qualitative approaches.

However, qualitative as well as quantitative approaches ultimately look for strategies to establish credible evidence in order to link specific causes and effects, whether through statistical correlations or tracing causal mechanisms. Scholars are united in their attempt to search for a more theory-inspired, systematic and comparable basis for the study of effectiveness as one of the most crucial as well as most delicate questions occupying contemporary IR research. In both methodological and theoretical terms, therefore, most scholars seem to favour a pragmatic procedure using one or more approaches or a combination thereof (rationalist and constructivist, qualitative and quantitative), depending on the objectives and contexts. It seems fair to say that researchers studying effectiveness are more interested in practically-relevant findings and concrete progress than in sticking to theoretical and methodological orthodoxies or reaching abstract conclusions as such.

### **Conclusion**

Given the prominence in many areas of IR research, the concept of effectiveness deserves closer scholarly scrutiny in order to enhance its analytical utility and enable dialogue across subject areas. The conceptual, methodological and normative difficulties associated with effectiveness should not prevent us from asking relevant questions about causality and cause-effect-relationships in IR and sharpening our tools to study it, even though substantial problems are likely to persist. However, these problems are rather due to the broad spectrum of issues, actors and instruments applied – from international governmental and non-governmental organizations to sanctions, military intervention, external democracy promotion and aid. Moreover, a more systematic study of effectiveness holds the potential to reconcile rigorous methodological and conceptual analysis with case-oriented and politically relevant inquiry and hence bridge the gap between these fields.



## 2.3 Dual-use-Technology transfers

*Oliver Meier*

### **Dual-use, technology transfers and the non-proliferation of weapons of mass destruction**



Efforts to stop the spread of weapons of mass destruction (WMD) increasingly focus on preventing the proliferation and misuse of dual-use technologies. The threat of terrorist attacks with nuclear, biological or chemical weapons, in particular, makes it necessary to develop a sustainable non-proliferation policy that effectively hinders the misuse of dual-use technologies, i.e. information, materials and equipment that can be easily used for peaceful and for hostile purposes, such as the production of weapons of mass destruction.

Preventing the misuse of dual-use technologies is not a new problem, but it is one which needs to be addressed more urgently than ever before. The Al Qaeda attacks of 11 September 2001, as well as the anthrax letters that killed five people in the United States in the same year, underscored the importance of intensifying efforts to secure technologies and materials that can be misused for the development or production of WMD.

Terrorist networks are increasingly acting across national borders and some of the groups and individuals involved in these networks would be prepared to use WMD if they had access to such capabilities. In addition, over the last ten years, programs to develop nuclear, biological or chemical weapons have been discovered in Libya, Iran and Syria. This shows that existing non-proliferation regimes are not sufficiently equipped to deter state-sponsored programs that exploit dual-use technologies for military purposes.

An effective policy to stem the spread of nuclear, biological or chemical weapons must be global in reach and involve governments as well as non-state actors, such as industry. Because of the global diffusion of dual-use technologies, emerging economies and developing countries have to be part of the solution to the non-proliferation problem. For them, unrestricted and equal access to technologies that also hold the promise of economic development is of prime importance. Thus, the countries of global South have always criticized industrialized countries for not fulfilling their obligations on cooperation for peaceful purposes under the treaties on the non-proliferation of nuclear, biological and chemical weapons. The growing economic and political importance of these countries makes it costly to ignore their interest in strengthening the cooperative side of the non-proliferation bargain contained in all three WMD control regimes. To give developing countries the incentive to remain or become stakeholders in global non-proliferation efforts, it will, therefore, be necessary to expand efforts on economic cooperation and technological assistance. Such cooperation has the potential to improve the legitimacy of non-proliferation regimes, but can also contribute to the spread of dual-use technologies.

### **The research project**

This dilemma – strengthening controls over dual-use technologies while improving international cooperation for their peaceful application – was at the core of a three-year research project conducted at the IFSH from 2008 to 2011. The project, which was funded by the German Foundation for Peace Research, aimed to better understand the impact of technology transfers on efforts to control the spread of weapons of mass destruction. Specifically, the project's goal was to analyse the impact of the 11 September 2001 terrorist attacks on non-proliferation efforts.

Most existing analyses look at the issue of dual-technology controls in a limited manner: they focus on issue-specific problems and/or cooperation and control. The research project, undertaken by Oliver Meier at IFAR in cooperation with staff from the Research Group for Biological Arms Control at the Carl Friedrich von Weizsäcker Centre for Science and Peace Research, University of Hamburg, took a broad approach to the issue of dual-use technology transfers and looked at the



dilemmas involved in the three regimes to control nuclear, biological and chemical weapons. By comparing the relationship between control efforts and obligations to cooperate on the peaceful use, it aimed to describe factors that influence the right balance between cooperation and control.

During the course of the project, specific findings were published in articles and working papers.<sup>1</sup> Project findings were discussed at the international conference “Between Control and Cooperation: Dual-use, technology transfers and the non-proliferation of weapons of mass destruction”, which took place on 16-17 June 2011 at the representation of the city of Hamburg in Berlin. Thirty academic experts and practitioners discussed how to improve controls on proliferation-sensitive, dual-use technologies without unduly hampering their peaceful application. The workshop was also supported by the German Federal Foreign Office.

In addition, the overall project results and presentations of the workshop will be summarized in a volume edited by Oliver Meier that will be published in Routledge's *Global Security Studies* series in 2013.<sup>2</sup>

### **Comparing technology transfer regulations on nuclear, biological and chemical dual-use technologies**

The three multilateral regimes on nuclear, biological and chemical non-proliferation contain similar norms, rules and procedures on dual-use technology transfers but they also differ in important ways. The 1968 Nuclear Non-Proliferation Treaty (NPT) is an unequal treaty because it recognizes China, France, Russia, the United Kingdom and the United States as the five nuclear weapons states. The NPT is a three-sided bargain balancing obligations on nuclear disarmament, non-proliferation and the peaceful application of nuclear energy. By contrast, the 1970 Biological Weapons Convention (BWC) and the 1993 Chemical Weapons Convention (CWC) place equal disarmament and non-proliferation obligations on all parties. Nuclear non-proliferation commitments are monitored by the International Atomic Energy Agency (IAEA), which applies safeguards to ensure that civil nuclear facilities and materials are not misused for the development of nuclear weapons. Compliance with the CWC, including obligations on chemical disarmament, is monitored by the Organisation for the Prohibition of Chemical Weapons (OPCW), while the BWC only has a rudimentary confidence-building mechanism and no verification regime.

Despite these differences, similar frictions exist in all three regimes between regulations on the control of dual-use technologies and obligations on international cooperation for their peaceful application. The NPT, BWC and CWC not only contain commitments by member states to take measures to prevent the application of dual-use technologies for hostile purposes, but also oblige them to facilitate the peaceful application of such technologies. The treaties stipulate that member states must not hamper economic and technological developments under the pretext of non-proliferation. Members also pledge to bring their national export control policies in line with these commitments.

Alongside of these multilateral treaties, traditional technology holders coordinate their dual-use technology trade policies in informal export control regimes. In the view of many developing states, groupings such as the Nuclear Suppliers Group (NSG, in which 46 participating states harmonize rules for trade in nuclear technologies) or the Australia Group (in which 40 countries agree on joint rules for trade in chemical and biological dual-use technologies) undermine the legitimacy of universal treaties such as the NPT, BWC and CWC.

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1 See for example Gunnar Jeremias/ Iris Hunger: “Building transparency in the world wide trade in biological dual use equipment”, Occasional Paper, Research Group for Biological Arms Control. Carl Friedrich von Weizsäcker Centre for Science and Peace Research. University of Hamburg 2010, Oliver Meier: „Auf dem Weg der Besserung? Der Nukleare Nichtverbreitungsvertrag nach der Überprüfungskonferenz 2010“, Internationale Politikanalyse, Berlin: Friedrich-Ebert-Stiftung, July 2010, Oliver Meier: “Arms Control Implications of the US-India Deal: An Assessment”, in: Subrata Ghoshroy/ Götz Neuneck (eds.): South Asia at a Crossroads. Conflict or Cooperation in the Age of Nuclear Weapons, Missile Defense, and Space Rivalries. Baden Baden: Nomos 2010, S. 287-298.

2 Oliver Meier (ed.) *Technology Transfers and Non-proliferation of Weapons of Mass Destruction: Between Control and Cooperation*, New York: Routledge, forthcoming 2013, <http://www.routledge.com/books/details/9780415535809>.

**Table 1: Dual-use technology transfer regulations & activities under the three WMD non-proliferation regimes**

	<i>Nuclear weapons</i>	<i>Chemical weapons</i>	<i>Biological weapons</i>
<i>Control</i>	<ul style="list-style-type: none"> <li>– IAEA safeguards</li> <li>– Export control stipulations in Article III NPT</li> <li>– Export control guidelines of the Nuclear Suppliers Group</li> <li>– Export control guidelines of the Zangger Committee</li> </ul>	<ul style="list-style-type: none"> <li>– CWC verification regime</li> <li>– Multilateral export control guidelines in Article VI CWC</li> <li>– Export control guidelines of the Australia Group</li> </ul>	<ul style="list-style-type: none"> <li>– Export control norms in Article III BWC</li> <li>– Export control guidelines of the Australia Group</li> </ul>
<i>Cooperation</i>	<ul style="list-style-type: none"> <li>– Stipulations on peaceful use in Article IV NPT</li> <li>– IAEA Technical Cooperation</li> <li>– “Capacity-building” by IAEA</li> </ul>	<ul style="list-style-type: none"> <li>– Stipulations on peaceful use in Article XI CWC</li> <li>– “Capacity-building” by OPCW</li> <li>– Disaster assistance</li> </ul>	<ul style="list-style-type: none"> <li>– Stipulations on peaceful use in Article X BWC</li> <li>– “Capacity-building” by Implementation Support Unit</li> </ul>

### The Politics of Dual-Use Technology Controls

The co-existence of multilateral treaties and plurilateral arrangements that regulate transfers of dual-use technology is a constant source of tension between industrialized and developing countries and affects the legitimacy of all three WMD regimes. These discussions address an important issue – namely, how to better control the spread of dual-use technologies while also facilitating their application for peaceful purposes – yet they are highly ritualized. These discussions continue to erode trust in the capacity of these regimes to prevent proliferation and have thwarted or complicated agreement on strengthened dual-use technology transfer regulations.

Three long-term trends complicate efforts to better control dual-use technologies. First, globalization – defined as the process of the integration of national economies – leads to technology diffusion. A second trend complicating dual-use controls is the rapid pace of technological progress. Third, the threat of terrorist networks acquiring the capacity to employ weapons of mass destruction has moved dual-use technology controls up the political agenda. Since 11 September 2001, the threat from sub-state actors has been a driving force behind efforts to strengthen non-proliferation accords. Many perceive non-proliferation regimes as being ill-equipped to address this threat because they were designed primarily to prevent state-sponsored WMD programmes.

#### *The growing importance of the peaceful use of dual-use technologies*

While the control of dual-use technologies is key to preventing the proliferation of WMD, the importance of these technologies for economic and technological development has also grown. Emerging economies, such as Brazil, China, India and South Africa, insist that international cooperation to facilitate the peaceful application of dual-use technologies has to be improved as part of the non-proliferation bargain.

Cooperative measures to promote or facilitate the peaceful application of dual-use technologies include

- Research on and development of new technologies for peaceful purposes,
- Measures to promote technology transfers,
- Agreements on assistance and protection in case of a WMD attack or an incident involving hazardous nuclear, chemical or biological materials or agents,
- “Capacity building”, for example through training or exchanges of scientific personnel, and
- Assistance in the national implementation of international non-proliferation obligations.



From a proliferation point of view, however, these areas of cooperation have different potentials for misuse. (See Table 2)

**Table 2: Risk of misuse of dual-use technology transfers**

Regime	<i>No risk of misuse</i>	<i>Low risk of misuse</i>	<i>High risk of misuse</i>
<i>Nuclear weapons</i>	Technical cooperation in medicine, environment, nuclear safety & security	Research & development (R&D) in civil nuclear energy	Cooperation on fuel-cycle technologies
<i>Biological weapons</i>	Civil assistance/ disaster preparedness, „capacity-building“, disease outbreak surveillance	Cooperation on dual-use facilities, R&D on sensitive biotechnologies	Cooperation in bio-defense
<i>Chemical weapons</i>	Civil assistance/ disaster preparedness, „capacity-building“	R&D in critical technologies	Cooperation in military defense against chemical attacks

The importance of dual-use technologies for economic and technological development is growing. Thus, many countries are interested in expanding nuclear energy. According to the IAEA “[i]n the context of growing energy demands to fuel economic growth and development, climate change concerns, and volatile fossil fuel prices, as well as improved safety and performance records, some 65 countries are expressing interest in, considering, or actively planning for nuclear power.” (IAEA 2008: 10) A few countries are considering joining the club of international nuclear fuel producers. In the Middle East, more than a dozen countries have stated an interest in becoming nuclear energy producers.

While an expansion of nuclear energy requires substantial, long-term investments as well as an adequate infrastructure, biotechnology as a market is comparatively easy to enter. Biotech companies are often small or medium-sized enterprises. Unlike nuclear technology, which has matured over the last 60 years, biotechnology is a new field. Former UN-Secretary General Kofi Annan already warned in 2006 that “[a]s biological research expands, and technologies become increasingly accessible, [the] potential for accidental or intentional harm grows exponentially. Soon, tens of thousands of laboratories worldwide will be operating, in a multi-billion dollar industry.” (Annan 2006)

The chemical industry is being transformed, too. Increasingly, production is taking place in developing countries and relying on relatively small, multipurpose plants that can quickly change production. Today, more than 5,000 such modern production facilities are in operation worldwide, many of them in emerging economies where the operational costs are often lower than in industrialized countries.

## Findings and recommendations

The comparison of discussions on technology transfer regulations in all three regimes leads to the following conclusions on the balance between controls and cooperation.

- *Multilateral technology controls regimes are not flexible enough to reflect technological advances and changing political circumstances*

Multilateral treaties on the non-proliferation of WMD are still the main frames of reference for discussions on dual-use technology controls, but NPT, BWC and CWC are increasingly under threat of becoming outdated. Novel dual-use technologies, particularly in biotechnology, are being developed at an ever faster speed. Yet, persistent differences of opinion about the relationship between controls and cooperation (as well as about nuclear disarmament in the case of the NPT) prevent agreement on urgently needed reforms so that control regimes can adequately reflect such changes by, for example, expanding or adapting verification procedures. The consensus principle





underlying these regimes complicates matters further. It ensures a high degree of inclusiveness, yet often hampers agreement on even modest improvements of control regimes. The perception that treaty-based regimes are not able to tackle the most urgent security problems is reinforced by the assessment of many governments that non-state actors should be at the focus of non-proliferation efforts.

Plurilateral export control regimes are doing only slightly better. Because of their informal rules for decision-making and limited membership of like-minded states, export control regimes are better at adapting to changing circumstances, but they are faced with fundamentally the same problems as more inclusive, multilateral regimes of catching up with technological developments. These arrangements still play an indispensable role in making it more difficult and more expensive for proliferators to acquire WMD. While export control regimes such as the NSG and AG continue to be criticized as being discriminatory, the principled opposition of the past to such arrangements by developing countries has softened. This is partly because key developing countries, particularly emerging economies such as India, Brazil and China, now see themselves as suppliers rather than as recipients of dual-use technologies.

- *There is growing international cooperation on peaceful uses of dual-use technology*

Efforts aimed at improving cooperation on the peaceful uses of dual-use technologies have expanded and diversified over the last decade. International organizations, such as the IAEA, have reformed their technical assistance programs and are increasingly engaged in building capacities in member states to enable them to better use and control dual-use technologies. The EU's regional Centers of Excellence initiative is another example of a new type of cooperation that bridges the non-proliferation and development divide. Increasingly, such cooperation can be expected to take place not only between the traditional technology holders in the OECD world and developing countries, but between countries of the South directly. In addition, other stakeholders, such as scientists are also framing their cooperation in a non-proliferation context.

A key factor driving these new types of cooperation is the realization by traditional technology holders that peaceful cooperation can also complement and strengthen non-proliferation. Yet, much of the cooperation on the peaceful use of dual-use technologies is taking place outside of the NPT, the CWC and the BWC. It is unclear whether and how such efforts could sustainably strengthen the legitimacy of these multilateral regimes.

Based on these findings, three recommendations for improving the balance between control and cooperation on multilateral technology regimes can be formulated.

- *De-politicise cooperative projects*

To the degree possible, cooperation on the peaceful use of dual-use technologies should be de-politicised. There are significant differences in degree to which cooperative efforts are viewed as part of multilateral regimes. In the nuclear area, much international cooperation on the use of nuclear energy is facilitated by the IAEA, though so far the Agency has not been able to subsume activities related to nuclear security under its auspices. The OPCW is playing a modest role in fostering the peaceful use of chemistry, but might in the future play a larger role in assisting member states to improve domestic controls over sensitive technologies. The lack of a strong institutional backing for the BWC means that there are only modest efforts to improve cooperation on the peaceful uses of biotechnology.

As a general rule, cooperation on the peaceful uses of dual-use technology appears to work better the less it is framed in a non-proliferation context.

- *Develop a broad concept dual-use technology controls*

Traditional non-proliferation regimes are based on an intergovernmental approach to international security. Yet, there is an emerging consensus that dual-use technology controls should be seen as a governance problem that can only be tackled by involving a range of stakeholders. Because the dual-use problem is ubiquitous, approaches to the problem have to be global in reach and compre-





hensive. International organizations, governments and non-state actors will all have to play a role in ensuring that dual-use technologies are not misused for hostile purposes.

Such a governance approach works well between and within pluralistic states that pursue cooperative foreign policies and have similar interests. Yet, governance approaches quickly run into difficulties when they are supposed to tackle proliferation problems in non-cooperative states or when there are serious compliance issues. How traditional, state-based, non-proliferation instruments can be reformed so they can involve stakeholders, such as industry and NGOs, without losing their ability to detect, deter and penalize non-compliant behaviour will be a key challenge for the future.

- *“Mind the gaps”: Apply governance approaches to unregulated technologies*

Some technologies with significant potential for damaging modern societies are not regulated at all or only in a rudimentary fashion. Missiles are an example of a mature dual-use technology that has, so far, largely defied regulation. At the same time, the spread of missiles is increasingly viewed as an important threat to international security because these could deliver weapons of mass destruction over long-distances.

Information technology is another example of a novel technology where efforts to prevent its misuse are only at an embryonic stage. Here, the problem of controlling “intangibles”, i.e. technology that is not bound to hardware or materials, is most pronounced. Yet, because the potential for disruption of our way of life through cyber attacks is so great, several states have begun to find ways to define internal norms (and in the future maybe rules and procedures) to reduce the risk of hostile use of information technology. The question is: What lessons might be learnt from existing mechanisms to regulate the transfer of dual-use technologies and how could they be applied to other areas where few or no such regulations exist?

The project has demonstrated that finding the right balance between cooperation and control on dual-use technology transfers will remain a key issue for global non-proliferation efforts. The terrorist attacks of 11 September 2001 have increased the importance of the topic. Key challenges for the future will be to keep political attention on improving dual-use technology governance and bring relevant actors to the table.



### 3. Research Units – Research and Consultancy Projects

#### 3.1 Centre for OSCE Research (CORE)

The Centre for OSCE Research (CORE) is the only institution specifically dedicated to research on the Organization for Security and Co-operation in Europe (OSCE). In keeping with the OSCE's comprehensive understanding of security, the research topics range from questions of European security, arms control, conflict management and transnational risks of violence to activities in human rights, democratisation and the rule of law. Regionally, CORE focuses on Eastern Europe, the Caucasus and Central Asia.

##### *Content focal points 2012*

CORE activities in 2011 were oriented to the Intermediate-term Work Program of IFSH "Transnationalization of Risks of Violence as a Challenge for European Peace and Security Policy" and concentrated thereby on two central conflict axes within the framework of the overlapping cluster "Change, Conflicts and Effects", namely the conflicts in and around Central Asia as well as the general security situation in the Euro-Atlantic and Eurasian space.

##### *The IDEAS Project*

CORE's most important activity in 2012 was the IDEAS project. IDEAS – The Initiative for the Development of a Euro-Atlantic and Eurasian Security Community – was initiated by the Foreign Ministers of Germany, France, Poland and Russia: "The four ministers have asked four academic institutes to organize four workshops in Berlin, Warsaw, Paris and Moscow in 2012. [...] The institutes are invited to present their final report and their recommendations to all OSCE participating States in Vienna in autumn 2012." „The institutes – Centre for OSCE Research (CORE), the Fondation pour la Recherche Stratégique (FRS), the Moscow State Institute of International Relations (MGIMO), and the Polish Institute of International Affairs (PISM) conducted four workshops between March and July 2012 at which 300 participants from 40 countries came together and discussed numerous aspects of a security community. Thereafter, representatives of the four institutes compiled the IDEAS Report "Towards a Euro-Atlantic and Eurasian Security Community: From Vision to Reality". This was the first report within the OSCE context, which made the serious attempt to define the core elements of a security community and to outline a way of achieving this ambitious goal. At the invitation of the Irish OSCE Chairmanship, the four institutes presented the report at an informal ambassadorial meeting on 23 October 2012 at which 100 people from 40 delegations took part. Furthermore, on 18 December 2012, the report was presented to the 50 members of the Euro-Atlantic Partnership Council at NATO headquarters.



IDEAS conference  
Foreign Minister Guido Westerwelle and Wolfgang Zellner

##### *Activities on Central Asia*

Central Asia also again had a prominent position on the CORE agenda for 2012. In Central Asia, domestic instabilities (civil war in Tajikistan 1992-1997, massacre in Andijan in 2005, pogroms in Osh and Jalal-Abad/Kyrgyzstan), transnational risks of violence (drug trafficking from Afghanistan) and interstate conflicts (over water, for ethno-political reasons) combine in a complex way. In 2012 CORE has filed a research application on the Afghanistan policies of the Central Asian states. In preparation for this project, several IFSH staff members and staff of the Eurasian University in Astana conducted a summer school on "The Afghan Crisis – Conflict Prevention and Crisis Prevention Strategies in Central Asia". A further important project designed by Anna Kreikemeyer and



Azamat Temirkulov, deals with the role of informal institutions in conflict prevention and peace building in the Ferghana Valley. Azamat Temirkulov spent several weeks as a guest scholar at the IFSH preparing the project.

### *Transfers and Consultancy*

The research projects were complemented by transfer and consultancy projects, among them *Policy Papers* for the (German) Federal Foreign Office on the role of the OSCE Secretary General, training for staff of the Ukrainian Foreign Ministry to prepare for the OSCE Chairmanship in 2013, the publication of the “OSCE Yearbook” and other OSCE-related services.

### *Larger Research Projects*

#### **CORE-10-F-02: Multilateralism in Russian Foreign Policy: Genuine Search for Partners or Undercover for Unilateral Ambitions?**

*Staff involved:* Elena Kropatcheva, Wolfgang Zellner.

The central question of this project is “How does Russia behave in security relevant, multilateral, international organizations (IO) (CSCE/OSCE, CSTO, NRC, SCO and the UN-Security Council). What kind of involvement (different types of multilateralism) and patterns of effectiveness can be recognized? While there are a number of studies on the behavior of the USA in international governmental organizations (IGOs) and the number of comprehensive, theory-led studies on the EU and China is also increasing, little is known about Russia’s “multilateralism”. The project is based on knowledge about the relationships of states and IO, multilateralism and studies on Russian foreign policy. It uses a broad range of theoretical approaches – from realism, liberal/rational institutionalism to constructivism and uses various methods (qualitative and quantitative content analysis, case studies and interviews). Furthermore, on the basis of an initiative on the post-doc promotion of the Junior Staff Initiative of the University of Hamburg, a research application was prepared. It should be completed in the first quarter of 2013.



Sebastian Schiek, Hans-Georg Ehrhart and Anna Kreikemeyer in Astana (Summer school „The Afghan Crisis – Conflict Prevention and Crisis Prevention Strategies in Central Asia“)

#### **CORE-10-F-06: The Afghanistan Policies of the Central Asian States: Exporters of Stability or Profiteers of Chaos?**

*Bearbeiter/in:* Sebastian Schiek, Wolfgang Zellner.

The upcoming withdrawal of the majority of the ISAF troops from Afghanistan in 2014 will change the security situation in the region and give more weight to the role of the Central Asian states. Against this background, the project also wants to study the Afghanistan policies of the Central Asian states as well as the goals to which their concrete actions lead. The hypothesis from which this project stems is that the primary goal of the Central Asian governments is stability in Afghanistan and their policies towards this country will serve this goal. The project builds on a pilot study supported by the Deutsche Stiftung Friedensforschung (DSF) (the German Foundation for Peace Research) which Diana Digol conducted in 2011. An application for third party funding has been submitted to the DSF.

#### **CORE-10-F-04: CFE and the Demise of the Co-operative European Security Regime**

*Staff involved:* Ulrich Kühn, Wolfgang Zellner.

The Conventional Armed Forces in Europe (CFE) Treaty has been hanging in the balance uninterruptedly for twelve years. In addition to the CSE Treaty, the Open Skies Treaty (OS-Treaty) has

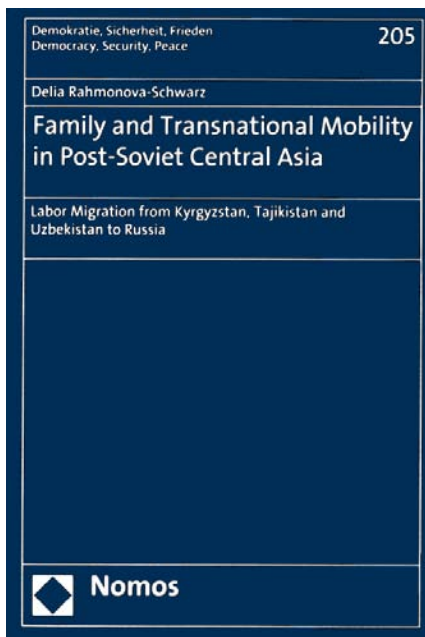


been in difficulties over the last few years. The revision of the Vienna Document 2011 on Confidence and Security Building Measures has yielded only technical and procedural changes. 22 years after the end of the Cold War, the cooperative security architecture in Europe is increasingly under pressure. Although the American-Russian restart led to a range of positive results, the Europeanization of this restart is still lacking. Meanwhile, the climate between Washington and Moscow has cooled again. This dissertation project, which is being conducted with the support of the Evangelische Studierendenwerk Villigst e.V., has a dual approach. On the one hand, concrete options for future-oriented approaches for conventional arms control in Europe are to be developed. On the other hand, the theoretical framework is attempting to prove the existence of a cooperative European security regime with the CFE as the key element. Taking into account the explanations of realism and neo-realism for the decline of the regime in connection with the CFE stalemate, this dissertation illuminates the possible negative effects of the decline of the entire European cooperative security regime.

### **CORE-10-F-05: The Initiative for the Development of a Euro-Atlantic and Eurasian Security Community (IDEAS)**

*Staff involved:* Wolfgang Zellner, Frank Evers, Ulrich Kühn

In 2012 CORE took over the conceptional and organizational direction of the activities of the Initiative for the Development of a Euro-Atlantic and Eurasian Security Community (IDEAS). IDEAS is a Track 2 initiative jointly carried out by four research institutes, which was established on 8 November 2011 in Vienna.



It was conducted jointly by the Centre for OSCE Research (CORE), the Fondation pour la Recherche Stratégique (FRS), the Moscow State Institute of International Relations (MGIMO), and the Polish Institute of International Affairs (PISM). IDEAS aims at conceptualizing “a free, democratic, common and indivisible Euro-Atlantic and Eurasian security community stretching from Vancouver to Vladivostok” which the OSCE participating States professed in 2010 in the Astana Commemorative Declaration. At the end of 2011, the foreign ministers of Germany, France, Poland, and Russia asked four academic institutes to organize a series of workshops with the goal of bringing forward the discussion of the future character of a European-Atlantic and Eurasian Security Community and presenting a report with recommendations to the participating States.

Between March and July 2012 four workshops took place in Berlin, Warsaw, Paris and Moscow. Following that, CORE took over the leadership in working out the IDEAS report assigned to it. In September 2012, CORE organized

an editorial workshop in Hamburg. The final report, “Towards a Euro-Atlantic and Eurasian Security Community: From Vision to Reality” was presented in the Vienna Hofburg on 23 October 2012 at an informal ambassadorial meeting to which Ambassador O’Leary of the Irish OSCE Chairmanship had issued invitations. On the 18 December 2012, there was a presentation in the Euro-Atlantic Partnership Council in Brussels. The Federal Foreign Office financed the involvement of CORE in the IDEAS activities.

**CORE Projects**

<b>Call number</b>	<b>Title</b>
CORE-10-F-01	Hegemonic Change and Security in Central Asia
CORE-10-F-02	Multilateralism in Russian Foreign Policy
CORE-10-F-06	Afghanistan Politics of Central Asian States
CORE-12-F-01	Role of Informal Networks of Trust
CORE-10-F-04	CFE and European Security Regime
CORE-10-F-05	IDEAS
CORE-10-P-02	OSCE Yearbook
CORE-09-NF-06	Multilateral Cooperation in Central Asia
CORE-09-NF-05	Power and Public Administration Reform
CORE-10-B-01	Rahmenprojekt Auswärtiges Amt
CORE-10-B-04	OSZE-bezogene Informationsdienstleistungen
CORE-10-B-03	Post-Soviet Security Dialogue Network
CORE-10-B-02	OSCE-related Training for Ukrainian MFA





### 3.2 Centre for European Peace and Security Studies (ZEUS)

The Centre for European Peace and Security Studies (ZEUS) is concerned, within the framework of the *Medium Term Work Program* of IFSH, with the contribution of European Union foreign, security and defense policies and its partners (non-EU countries, international organizations, regional organizations, NGOs and other societal actors) to working on these risks. Central to this is the question of how the EU – in a time of the post-national constellation – can impede the emergence and expansion of the risks of violence, prevent their transformation into violent conflicts or deal constructively with visible transnational violent conflicts. The development and implementation in particular, of the Common Foreign and Security Policy (CFSP) and the Common Security and Defence Policy (CSDP) and its specific strategies, structures and instruments define the parameters for research at ZEUS. In addition, the roles and security policies of relevant member states are also analyzed as are those of important partner countries. ZEUS makes its own contributions to the overall research focus in the *Medium Term Work Program* of the IFSH, through scientific publications, policy analyses, national and international conferences as well as public statements.

The following questions will be given particular attention in the projects: With which political challenges resulting from transnational risks of violence does the EU see itself faced? What norms and values underlie their strategies and political approaches? What structures, strategies and instruments is the European Union developing for the prevention – and the management of – transnational risks of violence? What roles do the conceptions of civilian-military cooperation and the nexus between security and development play here? How is the problem of radicalization dealt with? How and with whom does the EU interact, in which geographical spaces and functional political fields? What effects have been achieved up until now and to what can these effects be attributed? What conclusions can be drawn for the future action of the EU in dealing with transnational risks of violence? In the year 2012, the EU continued its activities in the area of security sector reform in the Balkans, in Africa and the Middle East, as well as in Afghanistan. The same applies to its efforts to contribute to the stabilization of the neighboring regions within the framework of the European Neighborhood Policy and to improve its relationship to the strategic partner, the Russian Federation. Similarly, it remains involved in the area of combating piracy and terrorism. These topics are also reflected in the scientific research projects and dissertations of ZEUS in the year 2012.

The research at ZEUS on the prevention, limitation and managing of transnational risks of violence is aimed at the further development of an individual analysis approach with the designation “Security Governance”. This approach is comprised of multi-level strategies, instruments and policies of the EU, complex constellations of actors on the parts of the EU and third actors, as well as their horizontal interaction with the coordination of negotiations on collective dealings with a common security problem. The basic working definition of Security Governance is: “Security Governance is an attempt at guaranteeing security through coordinating between more or less autonomous state and non-state actors, whose dealings are interdependent.” Here, approaches from impact research (evaluation research, regime analysis, qualitative analysis) are integrated. Thereby, the unintended effects on the conditions and actors in the respective target states, as well as on the EU, are themselves researched.



PiraT final conference



*Larger Research Projects***ZEUS-09-F-01: Security Governance as a Challenge to Dealing with Transnational Conflicts***Staff involved:* Hans-Georg Ehrhart, Hendrik Hegemann, Bernhard Rinke

The project makes the assumptions that transnational risks of violence and conflicts are of a complex nature, that in an international context they need differentiated management, and that while the EU has at its disposal a wide variety of institutional and material instruments for conflict prevention and crisis management, they still need to be networked. Against this background, the goals, role and the EU's way of functioning as a postmodern crisis manager are being studied. Both in internal relations and in relations with the outside world, there arise countless coordination and cooperation problems, which demand improved security governance.



PiraT workshop, 18-20 April 2012  
Hans-Georg Ehrhart at the lectern

This project combines empirical analyses on individual aspects of security governance in the EU such as, for example, civil-military relationships or security sector reform, the nexus between security and development or its role in counter insurgency within the framework of a comprehensive approach. Researched empirically will be which (internal and external) coordination and cooperation problems arise in dealing with violent conflicts and whether or how these can be overcome. The underlying hypothesis says that effective and efficient dealing with transnational conflicts requires Security Governance.

The study is guided theoretically by the assumptions of governance research. The focus is on the forms and mechanisms of negotiation coordination of autonomous actors to deal with a common security problem. An effort is made to refine the theoretical concept of security governance. Thereby, a methodical pluralism, which also comprises sources and literature studies as well as interviews, is the basis

The progress of the project in 2012 consisted of the publication of several articles and an anthology. Furthermore, project staff gave lectures on relevant topics of the project work. Finally, an international workshop, financed by the Thyssen Foundation, was held on the topic of "Putting Security Governance to the Test: Conceptual, Empirical and Normative Challenges". The cooperation partners of the project are: The Institute for strategic Future Analysis of the Carl Friedrich von Weizsäcker Foundation; The Queen's University Centre for International Relations, the Leadership Academy of the Bundeswehr; The Department of Social Sciences at the University of Frankfurt; The Department of Social Sciences at the University of Osnabrück; ISIS Brussels; the University of Bremen; the University of Essex; the European Institute of Public Administration; The Free University in Brussels and the University of Sussex.

**ZEUS-10-F-04: The Transformation of sub-state Violent Actors between the Struggle for Liberation and Nation Building as a Challenge for the Middle East Policy of the EU***Staff involved:* Margret Johannsen

In its contribution to the Israeli-Palestinian peace process the EU, as an external actor, acts in a broad area ranging from state-building support to combating terrorism and transatlantic cooperation. This general observation includes its role in the Middle East Quartet and extends to its cooperation with the Palestinian Authority (PA), especially in making available expertise in the area of security, financing development projects, direct budget aid and humanitarian aid measures. By contrast, there are no official contacts with the rival Islamic resistance movement (Hamas). On the contrary, the EU has joined in the boycott and isolation of the most significant among the Palestinian organizations which maintain their agenda of armed resistance.

The central question is how the intervention of an external actor, in the form of a boycott and isolation, affects the agenda of Hamas and the *de-facto* government supported by them in the Gaza



Strip. The basic assumption is that in the range of action between the support of state building, combating terrorism and transatlantic cooperation, conflicting sub-goals ensure that the desired transformation of the Palestinian militant group is made more difficult.

The study shows that the hopes placed in the policy of boycotting and isolation in the form of a *hidden agenda* have not been fulfilled. Quite the contrary, it has contributed to the escalation of the conflict between Israel and Hamas as well as to the intensification of the intra-Palestinian division and rather than an erosion of the Hamas rule in the Gaza Strip, a consolidation has been observed. The policy of the EU was detrimental to its involvement for peace in two respects. For one thing, in the course of the escalation of the conflict, the armed wing was strengthened; for another, the intra-Palestinian division undermined the already-endangered two-state solution for ending the Israeli-Palestinian conflict. In this respect the EU policy towards Hamas is a pointed example of unintended effects of political action.

The project was guided theoretically by the assumptions on state building as a concept within the framework of rationalistic institutionalism. Methodically, it is based on the evaluation of documents as well as interviews with Palestinian and European actors and the insights from workshops with participants from the region. The progress of the project consisted of the publication of a book chapter, a brochure and an article. The Institute for National Security Studies, Tel Aviv, Matin University Beirut, Near East Consulting, Ramallah and the Hessian Foundation for Peace and Conflict Research in Frankfurt work as cooperation partners in the project. The project was completed in 2012.

#### **ZEUS-08-F-07: Piracy and Maritime Terrorism as a Challenge for Maritime Trade Security: Indicators. Perceptions and Options for Action (PiraT)**

*Staff involved:* Hans-Georg Ehrhart, Kerstin Petretto, Patricia Schneider

Harbors, seas and oceans are the basis for global trade, the volume of which reaches new levels of growth every year, thanks to the boom and modernization of East Asia. At the same time, the maritime space is a place of the most varied dangers and the diffusion of non-state violence, recognizable world-wide, also affects the security of sea trade as, doubtless, one of today's most fundamental areas of globalized economic activity.

Starting from the maritime dependency of Germany and the European Union, the risks to the stability of the global trade and economic systems, in particular those connected with piracy and maritime terrorism, are being studied. In accordance with the hypothesis that both phenomena are likely to generate the potential for widespread systemic damage, the following questions are asked: Which concrete requirements for action to reduce the probability of their occurrence and the consequences connected with each of them are there? And how can cooperation be improved? As the analytical framework for empirical studies, elements of the current violence and risk research will be connected with each other. In the next step, recommendations for shaping German and European policy for prevention and avoidance of risk will be developed

From a theoretical point of view, the research project draws on the security governance approach and on the risk research, among other things. Because of the interdisciplinary orientation of the comprehensive twelve partner project, the security analytical perspective will be combined with the political, economic, legal and technical science perspectives as well as the methods of strategic future analysis, and the perceptions of the practice partners will be integrated into the formulation of the recommendations for action.



Patricia Schneider at the PiraT final conference

The progress of the project in this reporting year consisted of the publication of further *Working Papers*, the submission of two journal articles and the organization of several workshops. The project results were presented and discussed at a large

concluding conference at the Hamburg Chamber of Commerce with more than 100 participants from the sciences, politics, economics, the military, the police and the press. These were published in two books, which were prepared in the reporting period.



Heinz Dieter Jopp giving a lecture at the PiraT final conference

The following serve as collaboration partners: Deutsches Institut für Wirtschaftsforschung (DIW) [German Institute for Economic Research], Technische Universität Hamburg-Harburg (TUHH), Bucerius Law School (BLS), Institut für Strategische Zukunftsanalyse (ISZA) [Institute for Strategic Future Analysis] der Carl Friedrich von Weizsäcker-Stiftung UG, Verband Deutscher Reeder (VDR) [Association of German Ship Owners], International Chamber of Commerce (ICC) – Deutschland, Gesamtverband der Deutschen Versicherungswirtschaft (GDV) [The Joint Association of the German Insurance Industry], JWA Marine GmbH, Arbeitsgemeinschaft für Sicherheit in der Wirtschaft (ASW) [Consortium for Security in Commerce], Kriminalistisches Institut 11 des Bundeskriminalamts [Criminal Institute of the Federal Crime Office], Forschungsstelle Terrorismus/ Extremismus (KI 11-FTE) [Research Office on Terrorisms/ Extremism], Gewerkschaft der Deutschen Polizei (GdP) [German Police Officers Union]; Institut für Sozialwissenschaften, Universität Kiel [Institute for Social Sciences at the University of Kiel].

#### **ZEUS-08-F-04: Justification with the same Arguments? – Analyzing Arguments in Favor of Restricting Human and Civil Rights under the Pretext of Combating Terrorism in the USA, EU and Russia**

*Staff involved:* Regina Heller, Martin Kahl, Daniela Pisoiu

The targeted change of normative expectations, which opens up a spectrum of necessary and permissible actions and, thus, has a behavior-regulating effect, represents a significant preliminary stage for the erosion of established norms and the behavior resulting from this. The project has, as its subject, the argumentation of government actors in the USA, the EU and Russia, aimed at legitimizing the curtailment of human and civil rights while combating terrorism at national and international levels.

Because of the significance of the USA, the EU and Russia in their totality, it must be assumed that the same or similar persuasive arguments of governmental actors in the three different legal spaces will have an erosive effect on the world-wide applicability of human and civil rights. It will be examined whether the arguments intended to legitimate the limitation of human and civil rights in combating terrorism on national and international levels are similar or have, over time, come closer to each other. The goal is to determine whether, in relationship to these rationales for “extraordinary” measures in the combating of Islamic-motivated terrorism, a coalition of governmental “norm challengers” has developed.

From a theoretical point of view, the research project draws on the securitization approach, the research on norm changes as well as convergence research. With the help of a qualitative content analysis, the arguments and the development of possible patterns in the rationales and justifications of measures planned or already carried out in the time between 2001 and 2010, will be studied.

The project was completed in 2012. The final report was submitted to the German Research Foundation (DFG) and was accepted. The progress of the project in the reporting year was comprised of the publication of a second article in a peer-reviewed journal (which has already appeared), the submission of a third article with the results of the project, the presentation of the project at the ISA Conference in San Diego, as well as the preparation of a special section in a peer-reviewed journal in which the results of the project workshops from last year were presented.

The following serve as cooperation partners: The Chair for International Politics and Conflict Research at the University of Konstanz; Berghof Conflict Research; The Faculty of Political Science



II at the University of Kaiserslautern; the Chair for International Politics at the University of Frankfurt am Main; the Institute for Theology and Peace in Hamburg; the Institute for Social Sciences, and the Faculty of Political Science, University of Kiel..

### **ZEUS-10-F-01: Russia and the West: New Approaches to Explaining Russian Foreign Policy.**

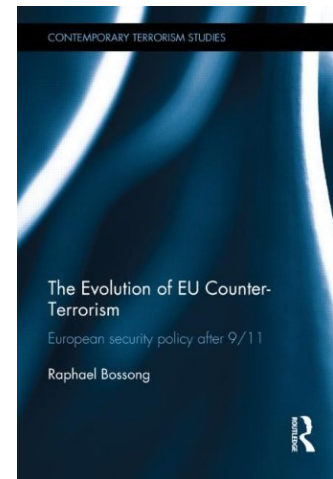
*Staff involved:* Regina Heller

With the help of new explanatory approaches, the project will explain the essence of Russian foreign policy with respect to the West. Previous attempts to identify the driving forces behind an often contradictory and, from a Western perspective, sometimes strikingly “emotional” or “irrational” Russian foreign policy, have had only limited success. The project will identify blind spots and find new theoretical ways to illuminate them.

Relationships between Russia and the West are extremely complex and have multiple fields of action and interaction structures. Thereby, both rational and understandable material (political and economic) interests and motives for action as well as less rational on the Russian side can be identified. The *basic assumption* in this project is that, in addition to rational cost-benefits considerations, “subjective” interests and motives also play an important role and these significantly influence the dynamic and quality of Russia’s interactions with the West.

In order to be able to explain the emotionality and the apparent „irrational” behavior of Russia in relationships with the West, the theoretical view must go beyond the conventional approaches from international relations. Drawing on the knowledge of political or social psychology seems to be enlightening here. The concept of “respect”, in particular, has the potential for building a bridge and should, therefore be used as a central explanatory approach for the influence of “subjective” interests in the development of relationships between Russia and the West.

The project progress in this reporting year consisted of the presentation of a paper at the ISA conference in San Diego in April 2012, the submission of a research application to the DFG, the organization of an “Authors’ Workshop” in Helsinki (Cooperation partners: The University of Tampere and the University of Frankfurt) as well as the preparation of a special issue. (Contact has been made with the journal “Communist and Post Communist Studies” Guest Editors: Tuomas Forsberg/Regina Heller/Reinhard Wolf).



### **ZEUS-10-F-02: TERAS-INDEX. Terrorism and Radicalization – Indicators for External Influence Factors**

*Staff involved:* Matenia Sirseldoudi

With the emergence of Jihadist-motivated terrorist violence, the risk of attacks with a high number of victims and grave material damage has increased significantly. Otherworld-oriented assassins apparently take into consideration neither their reference groups nor themselves – the more devastating the attack, the greater the supposed homage to the God, in whose name the attack is carried out. Considering these consequences of terrorist attacks, the battle against terrorism has shifted ever more strongly into the run-up of the actual terrorist act. Similar to other areas of collective violence, such as great escalation of conflicts, genocide and massive violations of human rights, prevention, as opposed to reactive management, is acquiring ever stronger significance. Thereby, the recruiting and radicalization processes which the individual goes through on the way to terrorist acts, moves into the focus of attention. At the same time the foreign and security policy management of the Federal Republic has unintentional consequences for domestic security in the form of radicalization processes. The involvement of the Federal Republic in international conflicts (particularly in the area of combating terrorism) carries with it a potential for radicalization. Coherent and convincing indicators for this potential for radicalization can be developed.





The project aims at working out and testing indicators for radicalization as an undesirable effect of security policy and making available instruments for adequately registering radicalization processes. Methodologically, the knowledge acquired should be through a combination of inductive and deductive approaches. In order to study the effect that the German foreign and security policy involvement in the Muslim world has on the domestic radicalization process, several methods of empirical social research will be combined (method triangulation). In addition to narrative interviews and group interviews, expert interviews with vulnerable, multiply marginalized youth and students as well as members of avowed Islamic milieus, will be conducted. For the data collection on terrorist actors, the evaluation of court transcripts (where necessary, compiled ourselves) and openly available documentary sources will be added.

The project process consisted of the publication of several articles, lectures, the further development of the theoretical concept and the method of developing indicators, the updating and expansion of a data bank, interviews in the Islamic milieu and conducting a school project to research the identity constellations of vulnerable youth. Furthermore, two workshops were conducted with the partner BICC and the three sub-contractors (University of Augsburg, University of Erfurt and the Terrorism Research Initiative) as well as the associate partner, the Hamburg Criminal Police Agency (LKA Hamburg).

### **ZEUS-10-F-03: Theory and practice of violent conflicts**

*Staff involved:* Johann Schmid

Violent conflicts and war are part and parcel of human history. All efforts at overcoming them permanently have failed up to now. Resolving specific models of conflict that dominated in the past does not seem to have made the world more fundamentally peaceful or safe. Preventing and avoiding, restricting and limiting them, as well as the ability to be able to successfully and rapidly bring existing violent conflicts to a humane and long-term peaceful end are, therefore, as important as conditions for peace as they have ever been.

The project is based on the premise that a systematic promotion of the aforementioned conditions of peace is not possible without an accurate and fundamental understanding of war and conflict and the related educated judgment of the managing actors. Based on the working hypothesis “Whoever wants peace, must understand war and violent conflict”, the project pursues the goal of contributing to a systematic development of a comprehensive understanding of the phenomenon of war – and also its difference to other forms of organized violence – uniting theory and practice. Thereby, it will take into account the growing need for an appropriate evaluation of extremely varied and permanently changing forms of war and violent conflict in the global space and make a contribution to the fundamental theoretical classification and limitations of the multifaceted phenomenon of war. Thus, it is connected not only with analytically but also with politically relevant questions. Especially against the background of the Alliance orientation of Germany, it is crucial to be able to make an independent and well-grounded judgment with respect to the evaluation of the current wars and conflict events and those that can be expected in the future, in order to help shape Alliance policies on the basis of what makes sense and what is doable and to be able to create, in a targeted way, the necessary means and instruments for this.



**Denkwürdigkeiten**

To achieve this goal, selected forms of current war and conflict events will be analyzed on the basis of, among other things, the theory and philosophy of Carl von Clausewitz, so as to lead to starting points for their evaluation and the development of management strategies under the conditions of violent conflicts. At the same time, the project is aiming at the review of – and, where applicable, the further development of – existing theoretical knowledge on the essence of the varied phenomenon of war. Building on this should contribute to working out a deep theoretical understanding of war and violent conflicts.

Project progress in the reporting period is documented through three published journal articles, a journal contribution in press, as well as three further articles in an advanced state of work. The cooperation partners are: The Planning Office of the Bundeswehr, Department of Security Policy (Planungsamt der Bundeswehr Dezernat Sicherheitspolitik); Clausewitz Network for Strategic



Studies, Inc. (Clausewitz Netzwerk für Strategische Studien e.V.); The Leadership Academy of the Bundeswehr (Führungsakademie der Bundeswehr); Universities of the Bundeswehr (Universitäten der Bundeswehr); the Political-Military Society, Inc. (PMG) (Politisch-Militärische Gesellschaft e.V. (PMG)); University of Cologne, Economic and Social Science Faculty, Chair for International Politics and Foreign Policy; RWTH Aachen, Institute for Political Science, Department of International Relations and Strategic Studies.

### **ZEUS-11-F-03: Development of a consistent model on Islamist and right-wing extremist radicalization and de-radicalization processes**

*Staff involved:* Daniela Pisoiu/Daniel Köhler

Currently, both the political and scientific sides are mainly attempting to explain and understand *Islamist* radicalization processes, as well as to prevent and combat them. Individual extreme rightist radicalization processes are, by comparison, studied much less often. A comparative analysis of Islamist and extreme rightist radicalization processes is needed both theoretically and empirically. The assumption that a general model for different forms of individual radicalization processes can be valid will be researched and a theory of individual radicalization based on primary data will be developed. In addition, radicalization will be conceptualized thereby as an intentional and gradual process which differs fundamentally from previous structural approaches which have shown empirical weaknesses. The great advantages of this model are its ideologically neutral approach and the fact that it puts the focus on socio-psychological processes instead of socio-economic or personality characteristics. Empirically, previously observed similarities between radicalization processes of Islamists and right-wing extremists will be systematically researched.

The research project follows three goals: Individual right-wing extremist radicalization processes will be thoroughly researched empirically and the pre-existing research results on Islamist radicalization will be expanded. Furthermore, the project will develop a theoretical framework for the similarities in Islamist and right-wing extremist radicalization processes which have been surmised in the research but have not yet been systematically elaborated. The project will take the “developmental model” of Islamist radicalization as a promising approach and advance it. Thereby, for the first time, primary data will be compared and analyzed within a large framework. The research questions are:

- In which phases does the right-wing extremist radicalization process flow and what are the motivating factors?
- What are the common mechanisms and conditions of integration into and detachment from Islamism and right extremism?
- What political implications emerge from the model?

The project takes up development concepts on Islamist radicalization and integrates further scientific approaches: Theories on the psychology of terrorists, the social movement theory and criminological theories on participation in crimes. The project does not look at individual radicalization in a deterministic manner nor as a sudden change of heart, but rather as a progressive process in small steps. Furthermore, it concentrates on individual motivations and less on structural factors. Particular significance is attributed to discourse as a fundamental element of decision-making. The project has an explorative character and follows the “grounded theory” method. Acquisition of data is primarily through interviews. The project application was submitted at the end of 2011 to the DFG. The primary collaboration partners are EXIT-Germany, ASTIU-Germany, Exit-Sweden und HCEIT-Canada

The project was rejected in this form. A new application is being prepared.





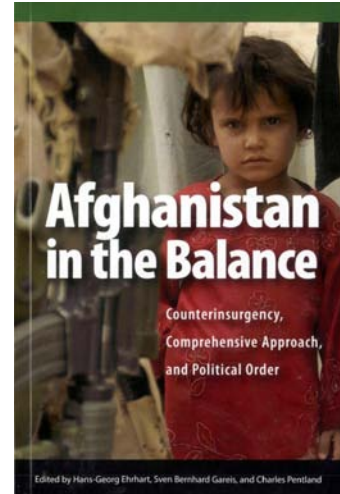
## ZEUS-11-F-04: Pre-radical subcultures and radicalization

*Staff involved:* Daniela Pisoiu

While the term „subculture“ is frequently used in a not very differentiated way to describe various kinds of associations, larger social groups, networks, cells or amorphous aggregates of ideas and convictions, the role of pre-radical subcultures in radicalization processes has not, up to now, been systematically studied and conceptualized. Two theoretical concepts, which have been developed in terrorism research, only marginally consider this problem area: social networks and “framing”. According to these concepts, entering into groups that are prepared to or actually do commit violence is made easier by prior involvement in pre-radical organizations and groups. On the other hand, individuals have developed into violent political actors without previously having been involved in the respective groups: “Lone-wolves” or those also radicalized by internet.

The research project deals with the questions of what role subcultures play in the radicalization process, Thereby, the following questions will first be asked and then expanded:

- Which different kinds of subcultures/groups/associations exist in the left, right and Islamic scenes in Europe?
- Which explanatory models, which describe/explain the mechanisms and concepts for the process of integration into subcultures, can be fallen back upon and how can they be classified in the “developmental model” of Islamic radicalization?
  - Are the underlying mechanisms of the two processes stimulus-oriented, deterministically, socially or discursively determined?
  - How does the transition from the subculture/group/association to “established” organizations take place?
  - Is this transition recursive?
- What role can the subcultures play in de-radicalization and detachment processes?



The theoretical approach of the project is interdisciplinary and rests on three research areas: terrorism research, criminology and research on social movements. Radicalization is understood as a development process, whereby participation occurs in small steps and in interaction with the near and far social environment. Motivation variables are, hereby, of decisive significance. The criminological approach is found at the intersection with terrorism research and includes approaches on “rational choice”, on social learning on the basis of selective stimuli for subculture theories, on theories of differential association and on cultural transmission of criminality. Among the approaches to social movements “rational choice”, collective identity and framing are considered.

The project application was submitted at the end of 2011 and was approved. The project was carried out in 2012 and was completed. On the basis of the research within this pilot project, the project application was submitted to the European Research Council and a book contract on the topic of subcultures and radicalization in Germany was signed.



## ZEUS Projects

Signatur	Titel
ZEUS-10-F-01	Russia and the West: New approaches to an explanation of Russian foreign policy
ZEUS-10-F-02	Terrorism and radicalization – Indicators for external influencing factors
ZEUS-10-F-03	Theory and practice of violent conflicts
ZEUS-10-F-04	The transformation of sub-state violent actors between the struggle for independence and state-building as a challenge for the Middle East policy of the EU
ZEUS-09-F-01	Security Governance as a challenge for coping with transnational conflicts
ZEUS-08-F-04	Justification with the same Arguments? – Analyzing Arguments in Favor of Restricting Human and Civil Rights under the Pretext of Combating Terrorism in the USA, EU and Russia
ZEUS-08-F-07	Piracy and Maritime Terrorism as a Challenge for Maritime Trade Security: Indicators, Perceptions and Options for Action
ZEUS-11-F-03	Development of a unified model on Islamist and right-wing extremist radicalization and de-radicalization processes
ZEUS-11-F-04	Pre-radical sub-cultures and radicalization
ZEUS-11-P-01	Assessing the Impact of EU External Governance
ZEUS-11-P-02	The Challenge of Security Governance
ZEUS-10-NF-02	Multilateralism in South-East Asian Counterterrorism
ZEUS-09-NF-01	Governing Transatlantic Counterterrorism: Form and Effectiveness of Combating Transatlantic Terrorism
ZEUS-09-NF-02	The relevance of rationalist approaches in the analysis of terrorism and anti-terror policy
ZEUS-07-NF-01	Conflict prevention and crisis management of the EU: Limits and chances for coherent management in the European multilevel system
ZEUS-07-NF-03	Elitenwechsel in Bosnien-Herzegowina in der Transition
ZEUS-07-NF-06	A comparative assessment of police missions in the European Security and Defence Policy (Bosnia-Herzegovina, the Democratic Republic of Congo and the Palestinian territories). Is there a European police reform in the making?
ZEUS-07-B-01	International Baudissin Fellowship-Program
ZEUS-12-B-01	EU-Asia Dialogue



### 3.3 Interdisciplinary Research Group on Disarmament, Arms Control and Risk Technologies (IFAR<sup>2</sup>)

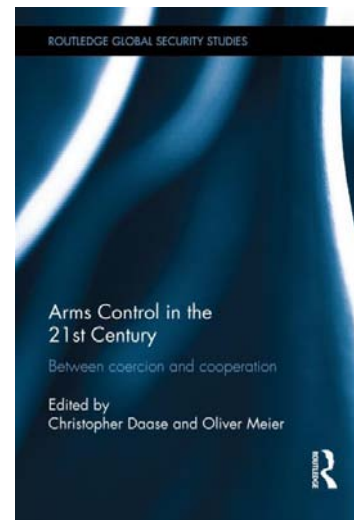
The Interdisciplinary Research Group on Disarmament, Arms Control and Risk Technologies (IFAR<sup>2</sup>) addresses the complex interaction between the dynamics of armament, potential weapons deployment, debates on strategy as well as the potential of arms control, non-proliferation, and disarmament as instruments of security and peace policy. The increasing complexity of such questions is taken into account in the form of an interdisciplinary research group. Its work methods involve a combination of natural- and social-science techniques and expertise. Through intensive cooperation with other institutions of various disciplines, basic research is conducted in the natural science/technical dimension of arms control. In addition to classic arms control, the members of this working group deal with topics such as “climate and security” and Cybersecurity. In addition, IFAR<sup>2</sup> participates in a range of expert networks, which bring together expertise from the areas of research and practice and concentrate research efforts.

The content of the IFAR<sup>2</sup>-projects and activities in 2012 was focused on arms control in Europe, the debates on NATO’s new Strategic Concept, in particular in the area of nuclear policy and missile defense in Europe, as well as the discussion on the achievability of a world without nuclear weapons (Global Zero). The project on NATO nuclear policy, supported by the William and Flora Hewlett Foundation, was successfully continued in the reporting year with workshops and publications. IFAR<sup>2</sup> was the co-organizer of workshops on NATO nuclear policy in Paris and Moscow and published on its project website further research papers and reports on the conferences on the nuclear weapons policy of NATO. IFAR<sup>2</sup> members participated in a wide range of hearings, workshops and international conferences.

Within the framework of the CLISAP Excellence Cluster, a number of larger enterprises were completed. Among them was, above all, the publication of an anthology on current international research on climate change, human security and societal stability. Finally, a thematic issue of the journal *Sicherheit und Frieden* (Security and Peace) on the topical area of geo-engineering was prepared. With the approval of the continuation of the CLISAP Excellence Cluster in June 2012, new activities were able to be planned.

In 2012 as well, IFAR<sup>2</sup> also welcomed a number of international experts and decision-makers to IFSH as guest speakers. Ambassador Nikel, Federal Commissioner for Disarmament and Arms Control, lectured on current topics of nuclear arms control. Ivan Oelrich from Washington, D.C., Guest Professor at ZNF, lectured on strategic stability and the Iran conflict. Other guests were Subrata Ghoshroy (MIT) and Paul Zajac, The First Secretary of the French Embassy in Berlin.

In addition to the basic conceptual and policy advising scientific activities, the work of IFAR<sup>2</sup> lay in the topical areas of arms control, disarmament, non-proliferation and security aspects of climate change, as well as contributions to the current international debates and the strengthening of international expert networks. IFAR<sup>2</sup> made its expertise available to the Federal Foreign Office on several occasions, such as during a gathering of the FMCT (Fissile Material Cutoff Treaty) working group in April 2012, at a meeting of the working group on peace and conflict research for the planning staff of the Federal Foreign Office in June 2012 and during an exchange of views on the current disarmament and non-proliferation perspectives for arms control in September 2012.



*Larger Research Projects***IFAR-10-P-01 Deterrence, Disarmament and Tactical Nuclear Weapons in Europe**

*Staff involved:* Oliver Meier, Anne Finger, Katarzyna Kubiak, Götz Neuneck

During the reporting period, IFAR<sup>2</sup>- staff continued and intensified the project on reducing the role of tactical nuclear weapons. In July the *William and Flora Hewlett Foundation* extended the project with the goal of reducing the significance of tactical nuclear weapons in European security. The project in which IFSH is a cooperation partner of the *Arms Control Association* (ACA) and the *British American Security Information Council* (BASIC) is contributing to making possible to create in NATO and in Russia, the conditions for joint steps towards disarmament of tactical nuclear weapons and the withdrawal of all US nuclear weapons in Europe. The background is the efforts of the (German) Federal Government to work to ensure a withdrawal of all US nuclear weapons station in Germany and in Europe in order to strengthen non-proliferation and bring forward global disarmament efforts. Oliver Meier took part in diverse conferences and hearings in the Bundestag



Götz Neuneck (front right) with MPS students

on this topic. Within the framework of the implementation of the “Deterrence and Defense Posture Review” decided upon at the NATO Summit in Lisbon, the project partners undertook a variety of activities in 2012. Ahead of the NATO Summit in Chicago in May 2012, IFAR brought together decision-makers and experts from various NATO states in the context of seminars in Paris and Moscow. The debate on a reduced role of nuclear weapons in European security was analyzed in publications (in *Arms Control Today*, among others) as well as two new *Nuclear Policy Papers*, which were written by experts and decision-makers. Project staff commented on and evaluated current developments such as, for instance, the NATO Summit in Chicago, in articles (*Arms Control Today*, *Arms ControlNow* and the Website of the European Leadership Network), studies (US Army War College), at events and conferences (of the Russian Political Science Foundation, the Institute of International Affairs, the Friedrich-Ebert-Foundation, the European Leadership Network, the ETH Zurich, the Foundation for Science and Politics (Stiftung Wissenschaft und Politik), the Polish Institute

of International Affairs, as well as in the Sub-Committee for Disarmament, Arms Control and Non-Proliferation in the German Bundestag), also in interviews (Deutsche Welle, Spiegel Online). A precise overview of the relevant activities and papers is available on the project website <http://tacticalnuclearweapons.ifsh.de>. The first two issues of the new newsletter “TacNukes News”, which is sent to several hundred experts and decision-makers in NATO states and in Russia, can also be found there.

**IFAR-10-F-02 New ways of Nuclear Non-Proliferation and Arms Control**

*Staff involved:* Michael Brzoska, Anne Finger Oliver Meier, Götz Neuneck, Ulrich Kühn, cooperation with Pugwash conferences

Michael Brzoska, Oliver Meier and Götz Neuneck presented a seven-point program for the solution of the Iran conflict. In the context of the Pugwash Conferences on Science and World Affairs, efforts were continued to find a diplomatic solution for the nuclear conflict with Iran (see also Project IFAR-08-B-02). In addition, Oliver Meier has written a non-proliferation paper on the role of the EU in the Iran conflict for the EU Non-Proliferation Consortium, which is due to appear at the beginning of 2013. Ulrich Kühn has written an article and a briefing paper on the prospects for a weapons-of-mass-destruction-free zone in the Middle East. Götz Neuneck (lecture) and Anne Finger took part in the first conference of the Non-Proliferation Consortium of the European Union in Brussels. Anne Finger prepared a concept for a dissertation project. Oliver Meier published a refereed article on European efforts for the control of enrichment and reprocessing technology. At the





Helmut-Schmidt University and the TU Dortmund, IFAR staff held lectures on the Iranian nuclear program.

The question of the effects on European security of military asymmetries between NATO and Russia and, in particular, on the progress of disarmament was at the heart of the study „Chancen zur Rüstungskontrolle in Europa“ (Opportunities for Arms Control in Europe) jointly published by IFAR and CORE on behalf of the Friedrich-Ebert-Foundation (FES) in 2011. In view of the NATO Summit in Chicago, Oliver Meier, Götz Neuneck and Wolfgang Zellner published a summary analysis.

Ulrich Kühn took part in the Wilton-Park Conference on the topic of “Conventional Arms Control and the European Security Environment”. At the invitation of the Director for Arms Control and International Security at the US State Department, Rose Gottemoeller, he took part in the discussions of the general state of conventional arms control and the implications of sub-regional conflicts.

### IFAR-09-F-01 Globalizing Zero: Conditions and Problems of a Nuclear Free World

*Staff involved:* Michael Brzoska, Oliver Meier, Götz Neuneck, Ulrich Kühn, Malte Götsche, Anne Finger, Katarzyna Kubiak

During this reporting period, IFAR continued the research on the attainability of and the conditions for a nuclear-weapons-free world – also in connection with the projects on deterrence and disarmament of tactical nuclear weapons (see IFAR-10-F-01) and on non-proliferation (IFAR-10-F-02). An overview of the European discussion is given in a refereed article by Anne Finger „Europe und Global Zero“. Ulrich Kühn and Götz Neuneck wrote an application “Challenges to Deep Cuts”. In the context of the project, a trilateral study group of American, Russian and German experts will be established to analyze a comprehensive reduction in strategic and conventional armed forces. The Hamburg Ministry for Science and Research approved a preparation project so that the work could already be begun in December 2012. For the next project phase, funding from the Federal Foreign Office will be mobilized.

IFAR and ZNF work together in the area of disarmament verification. The goal of the research is to study technical systems with relevance for the verification of nuclear disarmament, as well as the related methodologies. By contrast to the previous bilateral agreements between the USA and Russia, verifications systems are to be developed in which inspectors from non-nuclear states are also involved. In particular, secrecy on the destruction of nuclear weapons should, on the one hand, be maintained and, on the other hand, there should be certainty that the nuclear warheads, have, in fact, been destroyed. The physical components of the research, which will be worked out in the context of two doctorates (Malte Götsche and Frederik Postelt) as well as a Master's thesis (Martin Weil), deal with the authentication, i.e. the genuineness of nuclear weapons. If a weapon is disarmed, the inspectors must be able to trust that the declared object is actually a weapon. Possible ways of measurement here are gamma spectroscopy to determine the isotope vectors, as well as neutron multiplicity measures to determine the fissile mass. In cooperation with the Joint Research Centre in Ispra, Italy, gamma and neutron measurements are conducted on plutonium in order to get results from which an information barrier can be developed with the aid of the Monte-Carlo simulation. Martin Weil was able to conduct a one-week measurement campaign, which is the basis of his Master's thesis. In order to discuss this work nationally and internationally, the Network of Nuclear Disarmament Verification was founded in 2012. In addition to the members of the ZNF and Götz Neuneck, scientists of the TU in Darmstadt, of the Research Centre in Jülich and the Fraunhofer INT are participating. Malte Götsche lectured on the topic at the spring







conference of the German Physical Society, the Annual Meeting of the European Safeguards Research and Development Association (ESARDA), a seminar of the King's College at the University of Oslo and Princeton University. Götz Neuneck held a lecture on this at DESY. Malte Göttsche also took part in several workshops and meetings in Washington, DC. First, he is a member in the Verification Pilot Project of the Nuclear Threat Initiative, and second there were two meetings of the Novel Approaches/Novel Technologies ESARDA Working Group, which also currently deals with the relevant technologies for disarmament verification.

### **IFAR-08-F-01: Between Control and Cooperation: Technology Transfers and Efforts around Non-Proliferation of Weapons of Mass Destruction**

*Staff involved:* Michael Brzoska, Oliver Meier, Götz Neuneck, Cooperation with Arms Control Association

The background of the project is the increasing spread of proliferation-relevant technologies through globalization and secondary proliferation, as well as the tightening of control regulations by technology holders, especially as a consequence of the perception of increased threats of terrorist attacks with nuclear, biological or chemical weapons of mass destruction.

The project was concluded on 16 and 17 June with a seminar in the office of the Hamburg Representation in Berlin. At this international workshop, 30 experts from science and politics discussed how technology transfers can be organized so that the risk of proliferation of nuclear, biological and chemical weapons is limited and, at the same time, the peaceful use of these technologies can be promoted. Many of the contributions were published in an anthology edited by Oliver Meier, which will appear in the spring of 2013 in Routledge's Global Security Study Series. The volume shows that the significance of international cooperation by the control of dual-use technology has increased. The differences between the countries of the North and the global South over the question of how the relationship of cooperation and control should be organized continue to be great. The project has shown that many developing countries still fear that non-proliferation efforts will be used as a pretext to deny them unimpeded access to key technologies. Underneath this political level, however, promising approaches to cooperation on peaceful use of "dual-use" technologies can be seen. It will be a matter of so strengthening these approaches that they enhance the legitimacy of non-proliferation regimes and thereby create room for more effective controls. Thereby, the emerging nations will be given an important role because politically, they can play a mediating role between North and South. Results of the project were also incorporated into a lecture that Oliver Meier held, together with Martin Kahl, during a workshop at the Federal Ministry of Education and Research on dual-use problems in security research



Götz Neuneck, Ted Postol and General (ret.) Kuznesin visiting the for a long time kept secret ABM radar in Pushkino near Moscow

### **IFAR-08-F-03: Climate Change and Security (CLISAP C-3)**

*Staff involved:* Michael Brzoska, Christian Alwardt, Martin Kalinowski, Götz Neuneck, Jürgen Scheffran, Denise Völker, cooperation with other CLISAP-Partners.

The research work at IFSH in the topical area of climate change and security took place in 2012 in the context of the C-3 Group of the CLISAP Excellence Cluster of the University of Hamburg. The first focal point dealt with the identification of climate change as a security problem. In the context of the CLISAP Excellence Cluster a range of larger projects was completed. Among these was, above all, the publication of an anthology on current international research on climate change, human security and societal stability. In addition, a review article on the state of the research on cli-



mate change and armed conflicts was prepared. A summary appeared in the journal *Science*, a longer version in the journal, *Review of European Studies*. These activities took place in cooperation with the research group, Climate Change and Security (CLISEC), under the leadership of Prof. Jürgen Scheffran. Finally a topical focus issue of the journal *Sicherheit und Frieden* (Security and Peace) on the topical area of geo-engineering was prepared, which appeared in December 2012. With the approval of the continuation of the CLISAP Excellence Cluster in June 2012, new activities were able to be planned. In continued cooperation with colleagues at the University of Hamburg, these will have a focus on North Africa. In addition, within the context of the focal point program of the DFG on geo-engineering, an application was submitted which will deal with the effects on peace and security of selected methods of geo-engineering.



P. Quiles, L. Kuleza, A. Finger and B. Tertrais at the IFSH conference in Paris (from left to right)

In a second focal point area, the identification of “hot spots”, in which climate changes and vulnerability to violent conflicts come together, Denise Völker continued her research to study the effects of forest protection measures on conflict structures in the Amazons in the context of a longer research stay. Christian Alwardt prepared further elements for a model for the channeling of water into rivers as a basis for the assessment of potential future water conflicts and published a basic paper on the topic of “Water as a Resource”.

### **IFAR-11-F-01 Missile defense and prompt Global Strike – Consequences for Europe**

*Staff involved:* Götz Neuneck, Christian Alwardt, Hans-Christian Gils

The debate on missile defense in NATO burdens the international and European security and disarmament debate. In the context of a study for the Hamburg Academy of Science, the technologies, programs and consequences for Europe against the background of the NATO decision to acquire a territorial missile defense, were studied and presented in the context of the Academy Day of the Union of Science Academies. The possible architecture and the plans for NATO-BMD and its ways of functioning were analyzed more closely. Criteria, besides the feasibility and the architecture that is foreseen, are the planned cooperation with Russia, the reactions of the CEE states and the armament policy effect. New programs, such as the possibilities of Prompt Global Strike and the involvement of space, were also considered. The study, which was completed in November 2011, is being updated at present and should be published in the Hamburg Academy series.

In the context of a Master’s thesis, the current, multifaceted events and developments of the year 2012 were elaborated. In May, IFAR members took part in a conference on the “Missile Defense Factor in Establishing New Security Environment” organized by the Russian government in Moscow, in which some 50 government delegations participated. Other conferences on the problems of missile defense were held in Vienna, Newport (Rhode Island) and Warsaw. Götz Neuneck participated in the expert workshop of the Friedrich-Ebert Foundation, the so-called “security tandem” in Warsaw, and lectured there on the IFAR results on missile defense. He was also one of the authors who, in an opinion piece in the *New York Times*, presented the recommendations worked out on possible cooperation with Russia.

### **IFAR-11-F-02 Cyber Attacks – a new threat for international security?**

*Staff involved:* Götz Neuneck, Kerstin Pertermann, Thomas Reinhold



Internationally as well as nationally, a debate is being conducted that is analyzing the multifaceted threats of cyberspace and suggesting appropriate countermeasures. The discussion is complex since it unifies the various topical areas such as net policy, the vulnerability of critical infrastructures and the possible militarization of the internet. The goal of the project is, on the one hand, to increase the technical understanding of today's debate on cyber security and, on the other hand, gauge which confidence-building measures are possible in cyber space. In detail, what is analyzed is how the states as well as important international institutions, such as the United Nations, the European Union, NATO and the OSCE behave against the background of the multifaceted debate on cyber security. The debates in the USA, but also in Russia, the EU and China are being studied more closely. The recommended reactions, countermeasures and conventions are to be collected and analyzed. Important research questions are: How are cyber security, cyberspace and cyber weapons defined? What political and technical threats are being discussed internationally? What possibilities for confidence-building and containment of cyber operations are there?

In the context of the international research project, "Cyber Warfare: Legal Frameworks and Constraints and Perspectives for Transparency and Confidence Building" which is being conducted jointly with UNIDIR, the research institute of the United Nations in Geneva, the internationally respected conference report, "Challenges in Cyber Security – Risks, Strategies, and Confidence-Building", was published. The follow-up project comprises the preparation of two studies for the UNIDIR Yearbook "Cyber Security Index" which is appearing for the first time in 2013. The first study analyzes the activities and effect of international and regional organizations in the area of "cyber security". The second paper discusses the history, concept and the use of confidence-building measures in cyberspace. Initial results were presented in November at a UNIDIR conference in Geneva at the Palais des Nations.

Furthermore, the Working Paper Nr. 18 "Like and Strike", which more closely studies the significance of the new media in the Arab Spring, was published.



Götz Neuneck with the Iranian ambassador to the UN, Ali Asghar Soltanaieh, in April 2012 in Vienna

**IFAR Projects 2012**

<b>Call number</b>	<b>Title</b>
IFAR-09-F-01	Globalizing Zero: Conditions and problems of a nuclear-weapons-free world
IFAR-10-F-02	New ways to nuclear non-proliferation and arms control
IFAR-08-F-01	Between Control and Cooperation: Technology Transfer and Efforts at Non-Proliferation of WMD
IFAR-08-F-03	Climate Change and Security
IFAR-10-F-01	Deterrence, disarmament and tactical nuclear weapons in Europe
IFAR-11-F-01	Missile defense and Prompt Global Strike – Consequences for Europe
IFAR-11-F-02	Cyber Attacks – a new threat for international security?
IFAR-09-P0/ IFAR-08-P04	Verification and Monitoring of International Agreements
IFAR-09-P-05	Weaponization of space; space surveillance And China
IFAR-10-P-06	Security relevant technologies: Revolution in Military Affairs
IFAR-08-NF-02	Seasonal Modeling of Regional Water Flow Amounts from the Viewpoint of Climate Change
IFAR-09-N-01	Conflict Factor Forest Protection? Analysis of the Effects of Forest Protection Measures on Conflict Formation in Selected Regions of the Amazon Basin
IFAR-08-B-02	Pugwash Conference on Science and World Affairs
IFAR-08-B-01	Consultation for the Arms Control Department of the Federal Foreign Office
IFAR-09-B-01	Aktuelle Trends in der Rüstungskontrolle



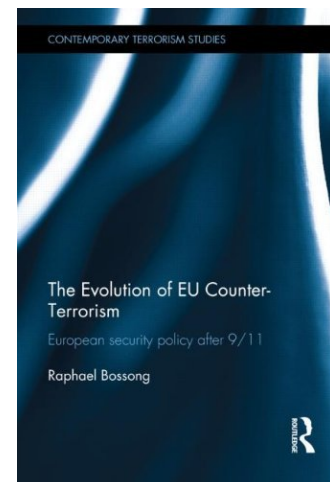
### 3.4 Pan-Institute Projects

#### *Larger Research Projects*

#### **IFSH-08-F-01A New Agenda for European Security Economics (EUSECON)**

The EUSECON project ended in February 2012. During the last phase of the project, the focus was on concluding a variety of research projects in which relevance, appropriateness and effectiveness of measures for prevention and containment of terrorism were studied. Thus Rafael Bossong compared the counterterrorism policies of important member states of the EU asking the question of whether at least partial convergence could be determined. He identified the “Peer Reviews” of the member states among each other as an important instrument for this, which have, in fact, led to a partial alignment of policies. At the same time, however, his studies led him to the conclusion that these “peer reviews” only seem to have an effect when they are conducted with a clear focus. The results of this research were published in the journal *Cooperation and Conflict*. Rafael Bossong also studied another kind of convergence for the field of terrorism prevention. Here too, it could be shown that member states learn from each other. An initially only marginal element of the counterterrorism policy, became a central one. However, the experiments with various forms of prevention outweigh taking over models from other states. One reason for this may be whether certain programs have the desired effect. This work has been accepted for publication by the *Cambridge Review of International Affairs*.

Additional contributions in the context of the EUSECON project came from Hendrik Hegemann who, in a theory-led work, studied the actor characteristics of institutions of the EU in the area of counterterrorism. According to his results, institutions of the EU are only rarely independent supranational actors but, on the other hand, they are also not merely vicarious agents of the member states. Under favorable conditions, they can make independent contributions to policy-making and implementation. The EU Commission, on the one hand and the Counterterrorism Coordinator, on the other hand, stand in the foreground of Hendrik Hegemann’s empirical studies.



Michael Brzoska completed his studies of a special partial area of counterterrorism policy – the control and limitation of financial actions. The measures affected in this area have been expanded piece by piece, without their effectiveness having been determined. Here too, “peer reviews”, in this case the Financial Action Task Force (FATF) also played a large role. In the context of FATF, rules for the member states were agreed upon, largely without certain knowledge of their effectiveness. External assessors concentrated on the gaps in observing these rules, not on the questions of their effectiveness. The summary of the work in this topical area has been submitted to the journal, *Administration and Society*.

Finally, Raphael Bossong combined his various work on terrorism and counterterrorism in a book published by Routledge in 2012. Therein, he combines early contemporary analyses with more political-economically oriented approaches that were followed in the context of the EUSECON project.



**Pan-Institute Projects**

<b>Call Number</b>	<b>Title</b>
IFSH-08-F-01	A New Agenda for European Security Economics (EUSECON) (Project manager: Michael Brzoska)
IFSH-07-P-01	Peace Report (Project manager: Margret Johannsen)
IFSH-10-P-01	Working Group on the Research on the Effectiveness of International Institutions (Project manager: Martin Kahl)
IFSH-11-P-01	Russia's „Status-Quo“ Strategies (Project manager: Regina Heller and Anna Kreikemeyer)
IFSH-12-P-01	Conceptionally new approaches to European arms control (Project managers: Götz Neuneck and Wolfgang Zellner)
IFSH-08-B-01	“European Security and the Future of the Bundeswehr” Commission at IFSH (Project manager: Michael Brzoska)
IFSH-07-B-02	Academic Reconstruction of South Eastern Europe (Naida Mehmetbegović Dreilich)



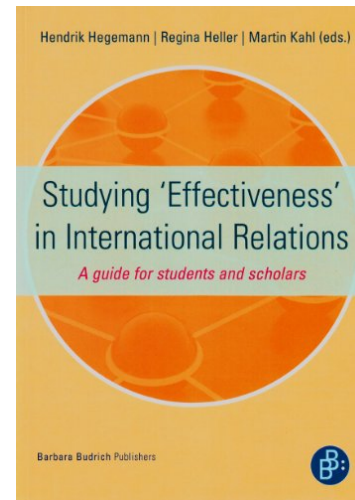
## 4. Comprehensive Activities

### 4.1 Working Group on the research on the effectiveness of international institutions

In 2012, the working group on the research on the effectiveness of international institutions at IFSH continued to work on the question of how the effectiveness of political actions could be documented scientifically. Shedding light on the connection between causes and effects is attempted in research with divergent goals and by means of very different methods and research designs. Thus the focus is, on the one hand, on short-term cause-effect relationships and, on the other hand, rather on the larger historical development process.

In the working group, approaches from various scientific disciplines are discussed and attempts made to develop them further. The members of the working group wrote a series of discussion papers on various questions and political areas of significance for effectiveness research. The results of the discussions will be made useful for the IFSH's own research.

The work on the publication of a book that summarizes the state of research in effectiveness research is finished. The volume, "Studying Effectiveness in International Relations", for which a wide range of authors, also outside of IFSH, were won, was published in January 2013 by the Barbara Budrich Publisher.



### 4.2 "European Security and the Future of the Bundeswehr" Commission at IFSH

The "European Security and the Future of the Bundeswehr" Commission, founded in 1999 and composed of scholars, politicians and military officers, held two work sessions in the reporting period

Members of the Commission in 2012 were: Professor Dr Michael Brzoska, Scientific Director IFSH (Chairman); Dr Jürgen Groß (Executive Director until June 2012); Dr Detlef Bald, (ret.) Social Science Institute of the Bundeswehr; Jörg Barandat, Lt. Col., General Staff, Federal Foreign Office; Agnieszka Brugger, MP ;Dr Hans-Georg Ehrhart, IFSH; Dr Hans-Günter Fröhling, Lt. Col (ret.), Internal Leadership Centre; Dr Sabine Jaberg, German Armed Forces Command and Staff College; Lars Klingbeil, MP;;Professor Dr Berthold Meyer, University of Marburg; Burkhardt Müller-Sönksen, MP, Dr Reinhard Mutz, former Acting Scientific Director IFSH; Winfried Nachtwei, former MP and Member of "Beirat Innere Führung"; Dr Bernhard Rinke, University of Osnabrück; Jürgen Rose, Lt. Colonel; Paul Schäfer, MP; Professor Dr Michael Staack, Helmut Schmidt University/University of the Federal Armed Forces Hamburg.

### 4.3 Research Group DemoS at IFSH

In the reporting period, the publication, "How the Bundeswehr, Politics and the Society Deal with Post-traumatic Stress Disorders in Soldiers" edited by Detlef Bald, Hans-Günter Fröhling, Jürgen Groß, Berthold Meyer and Claus von Rosen (Hamburg Contributions to Peace Research and Security Policy, Volume 159, Hamburg 2012), was put out by the external research group "Democratizing of the Armed Forces (DemoS)", which, since its founding in 2006, has worked on a traditional topical area of the IFSH – the "leadership development and civic education" of the Bundeswehr.

Members of the research group in 2012 were: Dr Detlef Bald, (ret.) Social Science Institute of the Bundeswehr, Lt. Col. (ret.) Dr Hans-Günter Fröhling (Internal Leadership Centre), Dr Jürgen Groß, Professor Dr Berthold Meyer, University of Marburg, Lt. Col. (ret.) Professor Dr Claus von Rosen (Baudissin Documentation-Centre at the German Armed Forces Command and Staff College).



#### 4.4 Selected Events, Conferences and Visitors

On **6 and 7 February 2012**, a closing meeting of the project partners of the EUSECON project (*A New Agenda for European Security Economics*), was held at which the European Commission and other European political decision-makers were present. The meeting was organized by the German Institute for Economic Research (DIW) in Berlin, as the project leader, as well as the Centre for European Policy Studies (CEPS) as the local partner. The IFSH, as one of the 14 project partners, was represented in Brussels by Michael Brzoska, Raphael Bossong, Eric van Um and Hendrik Hegemann.

On **5 and 6 March**, the IFSH was co-organizer of the conference, „Die künftige Abschreckungsfähigkeit der NATO: Was können Nuklearwaffen beitragen?“ (“The future deterrence capability of NATO: What can nuclear weapons contribute?”) at the Institut de Relations Internationales et Stratégiques (IRIS) in Paris

On **12 March 2012**, the conference co-organized by IFSH/IFAR, “Taktische Atomwaffen und der NATO-Russland Dialog” (“Tactical Nuclear Weapons and the NATO-Russia Dialogue”) was held at the Institute for World Economy and International Relations (IMEMO) in Moscow.

On **20 March 2012**, the first workshop of the Initiative for the Development of a Euro-Atlantic and Eurasian Security Community (IDEAS) was held at the Federal Foreign Office in Berlin. IDEAS is a joint initiative of CORE, the Fondation pour la Recherche Stratégique (Paris), the Polish Institute of International Affairs (PISM), and the Moscow State Institute of International Relations (University) of the Russian Foreign Ministry (MGIMO). It has set a goal of giving more substance to the vision of a security community – a region in which conflicts are resolved without war or the threat of war.

IFSH, together with the Bucerius Law School (BLS) conducted a workshop on **19-20 April 2012** on the topic „Private Sicherheitsdienstleister zur Abwehr von Gefahren auf Hoher See. Herausforderungen aus praktischer, rechts- und politikwissenschaftlicher Sicht.“ (Private security service providers to protect against dangers on the high seas: Challenges from a practical, legal and political science perspective”)

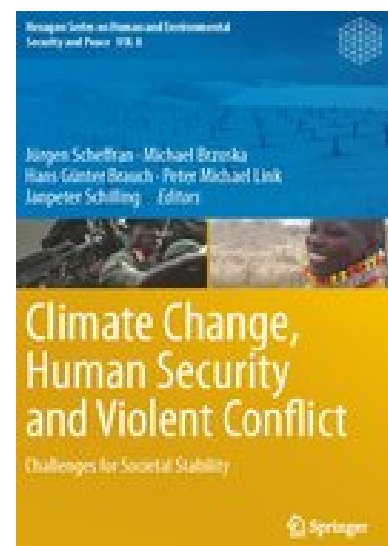
On **27./28. April 2012**, IFSH, together with the Climate Service Center and KlimaCampus, conducted a workshop in Hamburg on the topic of “Theorizing Migration and Climate Change”.

On **21 June 2012**, a DAAD student group from Kazakhstan visited IFSH during an educational trip. The students of the faculty for International Relations at the renowned Al Farabi University in Almaty, Kazakhstan, were accompanied by their professor, Dr. Mara Gubaidullina. IFSH Director, Michael Brzoska, welcomed the student group and lectured on the history of the IFSH and the history of peace research in Europe.

On **18 -19 June 2012**, in cooperation with the Hamburg Chamber of Commerce, the IFSH organized the closing conference of the PiraT project „Piraterie und Terrorismus als Herausforderungen für die Seehandelssicherheit – Ergebnisse und Empfehlungen“ (Piracy and terrorism as challenges for sea trade security – results and recommendations). Staff of the four sub-projects of the joint project supported by the BMBF until December 2012, presented their research results at this conference.

The Centre for OSCE Research at the Institute for Peace Research and Security Policy at the University of Hamburg (CORE/IFSH) conducted a summer school in Astana, Kazakhstan on 25 June – 1 July on the effect of the Afghanistan crisis on the Central Asian States as well as their Afghanist policies.

On **6-7 September 2012**, a workshop was conducted on “Russia’s Emotional Status Policies”, jointly organized by IFSH and the University of Tampere.





On **11 and 12 September 2012**, the first workshop of the EU financed project ANVIL (Analysis of Civil Security Systems in Europe) took place at the School of Governance of the University of Utrecht. The IFSH was represented by Raphael Bossung and Hendrick Hegemann.

On **27 and 28 September**, the Center for European Peace and Security Studies, with the financial support of the Fritz-Thyssen Foundation, held a workshop at the IFSH on the topic “Putting EU Security Governance to the Test: Conceptual, Empirical and Normative Challenges”.

On **9 October 2012**, the graduation ceremony for the 10th Master’s study class “Peace and Security Studies” and the welcoming of the new class took place at the University of Hamburg. Guest speaker was the former Federal Minister for Education and Research, Edelgard Bulmahn, who spoke on the topic “Peace Promotion and Conflict Transformation – The need for a stronger German engagement.”



University Vice-President, Rosemarie Mielke, Michael Brzoska, Senator Dorothee Stapelfeldt, Federal Minister (ret.) Edelgard Bulmahn and Götz Neuneck at the graduation ceremonies for the MPS program in October 2012 (from left to right)

On **23 October 2012**, CORE/IFSH and the FRS, the PISM and the MGIMO, jointly presented the IDEAS report, “Towards a Euro-Atlantic and Eurasian Security Community: From Vision to Reality,” at the head office of the OSCE in Vienna. The Irish OSCE Chairman had issued an invitation for an informal ambassadorial meeting in the Hofburg especially for this report.

On **24 and 25 October, 2012**, the 5th workshop of the Teras-INDEX consortium took place at which the first empirical results of the project partners and current developments on Islamic and Jihadist radicalization processes in relation to Germany were discussed.

On **7 and 8 November** a workshop on the Master programs on peace and conflict research took place at IFSH together with the AFK.

#### 4.5 Research Colloquium 2012

The IFSH regularly organizes research colloquia for the staff, the M.P.S. students and selected guests. In 2012 Regina Heller was responsible for directing and organizing the research colloquia.

- Paul Zajac, Erster Sekretär der französischen Botschaft, Berlin, Die Zukunft der nuklearen Abschreckung aus französischer Sicht, 11.1.2012.
- Alexander Redlich, Universität Hamburg, Die Moderation von Dialogworkshops mit kooperationswilligen Angehörigen verfeindeter Gruppen, 18.1.2012.
- Christoph Pinkert, Studierender M.P.S., Religionswissenschaft – was ist das? Praktische Beiträge einer Randdisziplin zur Friedensforschung, 25.1.2012.
- Uri Zilbersheid, Gastwissenschaftler am GIGA, Israel und der Nahost-Konflikt, 15.2.2012.
- Wolfgang Zellner, IFSH/CORE, IDEAS – The Initiative for the Development of a Euro-Atlantic and Eurasian Security Community, 22.2.2012.
- Nils Zurawski/Gerrit Herlyn, Universität Hamburg, Sicherheitsmaßnahmen am Flughafen – kulturwissenschaftliche Perspektiven und ethnographische Erhebungen, 29.2.2012.
- Christian Wipperfürth, Freier Autor, Berlin, Zur aktuellen Lage in Russland, 14.3.2012.
- Hajo Gießmann, Berghof Foundation Berlin, From Combatants to Peacebuilders. A case for inclusive, participatory and holistic security transitions, 28.3.2012.
- Lars Fischer, Universität Siegen, Waffen der Cyberkrieger – Informationstechnologie als Werkzeug im Konflikt, 11.4.2012.
- Luis Lobo Guerero, Keele University, Insuring War: Sovereignty, Security and Risk, 2.5.2012.
- Sebastian Meyer, Contested Neighborhood, Contrasting Practices: Russia, the EU and Regional Security Dynamics in their 'Near Abroad', 9.5.2012.
- Isabelle Maras, Doktorandin IFSH, A comparative evaluation of police missions in the Common Security and Defence Policy (CSDP) (Bosnia-Herzegovina and the DR Congo). Is there a European Union strategy for CSDP police intervention in the making?, 23.5.2012.



- Holger Beutel, Bundesamt für Wirtschaft und Ausfuhrkontrolle, Nonproliferation – Rüstungskontrolle – Terrorismus-bekämpfung – Menschenrechte 30.5.2012.
- Azamat Temirkulov, American University of Central Asia, The role of traditional institutions in local conflicts. The example of the Kyrgyz Republic, 6.6.2012.
- Sabine Jaberg, Führungsakademie der Bundeswehr Hamburg, Sicherheitslogik, 13.6.2012.
- Klaus Schlichte, Universität Bremen, Der Hamburger Ansatz im Spiegel gegenwärtiger Konflikttheorie, 20.6.2012.
- Cornelius Friesendorf, Universität Frankfurt, Flexible Sicherheitskräfte für Auslandseinsätze, 3.7.2012.
- Martin Binder, Wissenschaftszentrum Berlin, Aktuelle Probleme und Entwicklungen der Weltordnung, 1.8.2012.
- Nargiza Abdulajewa, Doktorandin HU Berlin, Tertiary student migration from Central Asia to Germany: Brain Drain or Brain Circulation?, 12.9.2012.
- Andreas Herberg-Rothe, Hochschule Fulda, Weltordnungskonflikte im 21. Jahrhundert, 17.10.2012.
- Ibrahim Can Sezgin, Doktorand, Universität Tübingen, Gewalteskalation auf Grund grenzüberschreitender ethnischer Kooperationen: Eine neue Perspektive zu Dynamiken andauernder innerstaatlicher Konflikte, 24.10.2012.
- Michael Fischer, Universität Hamburg, Technische Prävention von Low-cost-Terrorismus, 31.10.2012.
- Irina Dettmann, Heinrich-Böll-Stiftung Moskau, Russlands Rolle in der G20, 7.11.2012.
- Simon Koschut, Universität Erlangen-Nürnberg, Emotional Security Communities, 21.11.2012.
- Christina Schuess, Uni Lübeck, Frieden und Zeit, 28.11.2012.

#### 4.6 Lectures of Fellows and Staff (selection)

##### *Christian Alwardt*

- Klimatische Veränderungen und regionale Wasserhaushalte: Die szenarienbasierte Simulation von Flusseinzugsgebieten, Jahrestagung der Deutschen Physikalischen Gesellschaft, TU Berlin, 26. bis 30. März 2012.
- Klimatische Veränderungen und regionale Wasserhaushalte: Die szenarienbasierte Simulation von Flusseinzugsgebieten, FONAS Herbsttagung, Osnabrück, 26. bis 28. September 2012.

##### *Michael Brzoska*

- Counterterrorism Financing, San Diego, USA, 30.3.2012.
- Internationale Beziehungen und Sicherheitspolitik, Führungsakademie der Bundeswehr, Hamburg, 26.11.2012
- Klimawandel und Ressourcen, Europa-Union, Geomar, Kiel, 9.11.2012

##### *Hans-Georg Ehrhart*

- Piraterie und maritimer Terrorismus als Herausforderung für die Seehandelssicherheit: Handlungsoption aus politikwissenschaftlicher Sicht, Abschlusskonferenz des interdisziplinären Projekts PiraT in der Handelskammer Hamburg am 19.6.2012.
- Security Development Nexus: A Challenge for International Security Governance, International Summer School, Eurasian National University, Astana, Kasachstan, 26.6.2012.
- Combatting piracy off the coast of Somalia: Can the EU approach work? Vortrag auf dem internationalen Workshop „Putting Security Governance to the Test. Conceptual, empirical, and normative challenges“, Hamburg, 27./28.9.2012.

##### *Frank Evers*

- Key features and commitments of the OSCE, Diplomatic Academy of Armenia, 19./20.12.2012.
- The OSCE Corfu Process“, Diplomatic Academy of Armenia, 19./20.12.2012.
- The outcome of 2011 OSCE Astana Summit and discussions over the vision of a Euro-Atlantic and Eurasian security community, Diplomatic Academy of Armenia, 19./20.12.2012.

##### *Anne Finger*

- Confidence and security building measures: possible next steps, IFSH/BASIC/ACA/IFRI Roundtable: NATO's future deterrence posture: What can nuclear weapons contribute? Paris, 5.-6.3.2012.
- Prospects for Arms Control in Europe: How to Deal with NATO-Russia Nuclear and Conventional Disparities, ISYP-Konferenz: Jeune Pugwash France, Paris, 13. 3.2012.
- Der Iran als Fallbeispiel der Rüstungskontrolle, AIK-Summerschool „Konflikte und Konfliktlösung in der internationalen Politik“, Berlin/ Akademie der Bundeswehr für Information und Kommunikation, 2.-14.9.2012.

##### *Regina Heller*

- Claiming respect – the socio-emotional dimension of Russia's policy towards the West. Insights from the 1999 Kosovo case. International Studies Association (ISA) Convention, San Diego, USA, 3.4.2012.
- A 'coalition' of norm-challengers? Comparing official counter-terror argumentation in the US, the EU and Russia. International Studies Association (ISA) Convention, San Diego, USA, 1.4.2012..

##### *Margret Johannsen*

- Der Nahostkonflikt: eine unendliche Geschichte, Führungsakademie der Bundeswehr, 24.1.2012.
- Ungelöste Probleme im Nahen Osten, Lions Club Hamburg, 16.8.2012.
- 25 Jahre INF-Vertrag, BITS Berlin, 2.11.2012.



*Martin Kahl*

- Dual-use-Aspekte in der zivilen Sicherheitsforschung, BMBF Fachworkshop „Dual-use, Vertraulichkeit, Geheimnis. Grenzen der offenen Wissenschaft in der Sicherheitsforschung?“, Patriotische Gesellschaft Hamburg, 23.11.2012 (mit Oliver Meier).
- Towards Security Governance as a Critical Tool: A Conceptual Outline, Workshop “Putting EU Security Governance to the Test: Conceptual, Empirical and Normative Challenges”, IFSH Hamburg, 27.-28.9.2012 (mit Hendrik Hegemann).
- Strategische Partnerschaften der EU, Workshop „Auf dem Weg in eine multipolare Welt – Implikationen für das transatlantische Verhältnis: Driften Europa und die USA auseinander?“, Bundesakademie für Sicherheitspolitik, Berlin, 27.2.2012.

*Anna Kreikemeyer*

- Power and Security in Eurasian Regional Organizations: The Example of the CSTO; CORE-DAAD Sommerschule “Afghanistan and Central Asia – neighborhood in times of change”, Astana, Kasachstan, 25.6-1.7.2012.
- OSZE-Feldmissionen und Institutionen im OSZE-Sekretariat, CORE Training zum OSZE-Vorsitz für Beamte des ukrainischen Außenministeriums, Diplomatische Akademie Kiew, 6.-8. 11.2012.



Anna Kreikemeyer with participants of the Astana summer school

*Elena Kropatcheva*

- New Challenges and Opportunities in NATO-Russia Relations in the Context of the Chinese Factor – an Ignored Variable, BISA Working Group on Russian and Eurasian Security Meeting “Where the Regional meets the Global: Changing patterns of cooperation between 'the West', Russia and Eurasia in the context of 'emerging powers'”, Edinburgh, UK, 6/2012.
- Values versus Interests in EU policies towards Ukraine: a Case of Double Standards?, ECPR workshop “The Politics of Double-Standard? Revisiting the EU’s Engagement with Authoritarian Regimes”, Antwerpen, Belgien, 4/2012.
- Russia has elected – analyses of the presidential election results, Friedrich-Ebert-Stiftung, Magdeburg, 3/2012.

*Ulrich Kühn*

- The Initiative for the Development of a Euro-Atlantic and Eurasian Security Community (IDEAS): Report Findings, Konferenz “The OSCE Astana Declaration: Towards a Security Community”, OSCE Centre in Astana and the Kazakhstan Institute for Strategic Studies under the President of Kazakhstan (KISI), Almaty, 23.10.2012.
- Political-Military Relations between the West and Russia, Opening Workshop of the Initiative for the Development of a Euro-Atlantic and Eurasian Security Community (IDEAS) – Towards a Euro-Atlantic and Eurasian Security Community, Berlin, 20.3.2012.

*Oliver Meier*

- Die Modernisierung von US-Atomwaffen in Europe – Auswirkungen auf die deutsche und europäische Sicherheit, Stellungnahme vor dem Unterausschuss Abrüstung, Rüstungskontrolle und Nichtverbreitung, Deutscher Bundestag, Berlin, 27.6.2012.

*Götz Neuneck*

- European Perspectives on Ballistic Missile Defense, Workshop: “Ballistic Missile Defense: Post-Chicago Summit, Pre elections”, US Naval War College, Newport, Rhode Island, 13.8.2012.
- Confidence Building Measures: Application to the Cyber Domain, Cyber Security Conference 2012: “The Role of Confidence Building in Assuring Cyber Stability”, United Nations Institute for Disarmament Studies, Palais des Nations, Genf, 8.11.2012.
- Tactical nuclear weapons: Problems of reduction and withdrawal from Europe. Workshop “Contemporary Problems of Disarmament and Non-proliferation of Nuclear Weapons”, VIth Russian Congress of Political Science, Moskau, 23.11.2012.

*Kerstin Petretto*

- Herausforderung für die Seehandelssicherheit? Einführende Bestandsaufnahme der Bedrohungslage – Piraterie. Abschlusstagung des PiraT Projekts, Piraterie und Terrorismus als Herausforderungen für die Seehandelssicherheit - Ergebnisse und Empfehlungen, Hamburg, 18.6.2012.
- The EU’s Approach to Somalia-Counter-Piracy and the Question of a Comprehensive Approach, Europäisches Parlament, Brüssel, 21.2.2012.
- Private Sicherheitsdienste und Security Governance, PiraT Workshop Private Sicherheitsdienstleister zur Abwehr von Gefahren auf Hoher See: Herausforderungen aus praktischer, rechts- und politikwissenschaftlicher Sicht, Hamburg, 20.4.2012.

*Daniela Pisoiu*

- Radicalising and Communicating Islamism and Right-Wing Extremism, ISA (International Studies Association) Annual Convention, San Diego, USA, 1.-4.4.2012.

*Sybille Reinke de Buitrago*

- Is there a Nexus between Democracy and Violence? An Exploration of Violent Incidents in Democratic Procedures. (mit Ko-Autor) Jahrestagung des DVPW-Arbeitskreises „Demokratieforschung“, Ruprecht-Karls-Universität, Heidelberg, 19.-20.4.2012.
- Cross-Border Othering in the GDR and FRG: An Empirical Analysis of Personal Relations in the Context of Nationally-Promoted Othering. Internationale Tagung des Deutschen Historischen Instituts Warschau, European Network Remembrance and Solidarity, Institut für Politikwissenschaft der Polnischen Akademie der Wissenschaften, Chair for Central and Eastern European Studies der TU Chemnitz, Warschau, 15.-17.11.2012.

*Sebastian Schiek*

- Post-Soviet states in Central Asia and Max Weber's sociology of domination, Berlin Graduate School of Transnational Studies /FU Berlin, Summerschool, Bishkek, Kirgisistan, 5.-11.7.2012.
- „Applying Pierre Bourdieu's Habitus concept to post-Soviet change“, Berlin Graduate School of Transnational Studies /FU Berlin, Summerschool, Bishkek, Kirgisistan, 5.-11.7.2012.

*Johann Schmid*

- Zur Bedeutung und Relevanz der Clausewitzschen Theorie ‚Vom Kriege‘ für die aktuelle Friedens- und Sicherheitspolitik. Möckern / Burg bei Magdeburg, 24.2.2012.
- Strategische Dynamiken im asiatisch-pazifischen Jahrhundert. Landeskommmando Hamburg, Hamburg, 18.4.2012.
- Clausewitz: Den Krieg verstehen – für Sicherheit und Frieden. Zur sicherheits- und friedenspolitischen Relevanz einer Theorie des Krieges im 21. J.H. und den Implikationen einer wissenschaftlichen Nichtbefassung. Sicherheitspolitische Kurzvorträge, Dez SiPol/MilStrat, Berlin, 27.4.2012.

*Patricia Schneider*

- Herausforderung für die Seehandelssicherheit? Einführende Bestandsaufnahme der Bedrohungslage – Maritimer Terrorismus. Abschlussstagung des PiraT Projekts, Piraterie und Terrorismus als Herausforderungen für die Seehandelssicherheit – Ergebnisse und Empfehlungen, Hamburg, 18.6.2012.
- Piraterie und maritimer Terrorismus als Herausforderung für die Seehandelssicherheit, BMBF-Innovationsforum "Zivile Sicherheit", Berlin, 23.4.2012.
- Maritime Security Governance: A German Perspective. International Studies Association (ISA) Annual Convention, San Diego, USA, 4.4.2012.

*Matenia Sirseldoudi*

- Ursachen des Terrorismus, Führungsakademie der Bundeswehr, 17.9.2012.
- Terrorism and Radicalisation – Indicators for External Impact Factors, Potsdamer Konferenz für Gesellschaft und Sicherheit, Universität Potsdam, 26.4.2012.
- Jihadistische Radikalisierungsprozesse – ein Werkstattbericht, TERAS-INDEX -Terrorismus und Radikalisierung – Indikatoren für externe Einflussfaktoren, Milestone Meeting, Hamburg, 16./17.2.2012.

*Eric van Um*

- Why militant groups fight each other: Exploring causes, motives and effects. Konferenz „Terrorism, Peace and Conflict Studies: Investigating the Crossroad“, Universität Kent in Canterbury, 10-11.9.2012.

*Wolfgang Zellner*

- Working without Sanctions: Factors contributing to the OSCE High Commissioner on National Minorities' (Relative) Effectiveness, 42. Annual Research Conference, University Association for Contemporary European Studies (UACES), Passau, 3.-5.9.2012.
- Human Dimension Events: How to Exert More Impact on the Human Dimension, OSCE Focus Conference, gemeinsam organisiert von DCAF und dem Schweizer Außenministerium, Genf, 19./20.10.2012.
- Die OSZE als gesamteuropäische Sicherheitsorganisation: Kompetenzen, Missionen und aktuelle politische Lage, Führungsakademie der Bundeswehr, Hamburg, 28.11.2012.





## 4.7 Functions of IFSH Staff in Professional Bodies

### *Christian Alwardt*

- Member of the Chair of the Research Association, Natural Sciences, Disarmament and International Security (FONAS)

### *Michael Brzoska*

- Member of the Academy of Sciences in Hamburg
- Chairman Foundation Advisory Board, Deutsche Stiftung Friedensforschung [German Foundation for Peace Research]
- Chairman of the Foundation Council of the Ludwig-Quidde-Foundation
- Member of the Advisory Board, Hamburger Stiftung zur Förderung der Demokratie und des Völkerrechts [Hamburg Foundation for the Promotion of Democracy and International Law]
- Member of the Advisory Board NATO Watch, Brussels
- Member of the Scientific Advisory Board of the Institute for Theology and Peace
- Member of the Board of Directors of the Carl Friedrich von Weizsäcker Centre for Science and Peace Research [Carl Friedrich von Weizsäcker-Zentrum für Naturwissenschaft und Friedensforschung, Universität Hamburg]
- Corresponding member, Weapons' Export Section, Joint Commission of the Churches for Development Policy
- Editor of the scientific book series „Demokratie, Sicherheit, Frieden (Democracy, Security, Peace)“
- Editor of the journal, „Sicherheit und Frieden (S+F) [Security and Peace]
- Associate Editor of the Journal of Peace Research
- Associate Editor of Economics of Peace and Security Journal

### *Hans-Georg Ehrhart*

- Co-Editor of the textbook series „Elemente der Politik“ [Elements of Politics], VS-Publishers Wiesbaden (responsible for international relationships)
- Member of the study group “European integration”
- Member of the Cercle Stratégique Franco-Allemand
- Liaison professor (Vertrauensdozent) of the Friedrich Ebert Foundation
- Member of the Working Group on Security Policy at the Friedrich-Ebert Foundation

### *Regina Heller*

- Member of the Scientific Advisory Board of the Cologne Forum for International Relations and Security Policy, Inc. (KFIBS) e.V.
- Member of the Coordinating Committee of the Minor Course of Studies, Eastern Europe at the University of Hamburg
- Editor of the journal „Sicherheit und Frieden (S+F) [Security and Peace]”

### *Margret Johannsen*

- Co- Editor of the Peace Report

### *Martin Kahl*

- Member in the Security Research Professional Dialogue at the BMBF
- Reviewer for the Security Research Program of the BMBF
- Editor in Chief of the journal, „Sicherheit und Frieden (S+F) [Security and Peace]
- Member in the Expert Circle National Contact Point, EU Research Program

### *Katarzyna Anna Kubiak*

- Chairperson - Association of Friends, Promoters and former Participants of the Master's of Peace and Security Studies (M.P.S) course at the University of Hamburg, Inc. (Verein der Freunde, Förderer und ehemaligen Teilnehmer des Studiengangs Master of Peace and Security Studies (M.P.S.) an der Universität Hamburg e.V.

### *Naida Mehmedbegović Dreilich*

- Coordinator of the Academic Network South East Europe

### *Oliver Meier*

- International representative and correspondent, U.S. Arms Control Association



*Götz Neuneck*

- Board of Trustees German Physics Association (DPG)
- Speaker for the Research Group on Physics and Disarmament of the German Physical Society
- Member of the Executive Council on „Pugwash Conferences on Science and World Affairs“
- Member of the Scientific Advisory Board of the German Foundation for Peace Research [Deutschen Stiftung Friedensforschung] (DSF)
- Co-Chairman of the Research Association, Natural Sciences, Disarmament and International Security (FONAS)
- Member of the Advisory Board of the IPPNW
- Pugwash Representative of the Federation of German Scientists [Vereinigung Deutscher Wissenschaftler](VDW)
- Amaldi Representative of the Academy of Sciences

*Patricia Schneider*

- Editor and Co-Publisher of the journal „Sicherheit und Frieden (S+F)“ [Security and Peace]
- THESIS e.V. – Interdisziplinäres Netzwerk für Promovierende und Promovierte: Geschäftsführerin und stellv. Bundesvorsitzende seit 2011 ([www.thesis.de](http://www.thesis.de))
- Kassenwartin des Vereins der Freunde, Förderer und ehemaligen Teilnehmer des Studiengangs Master of Peace and Security Studies (M.P.S.) an der Universität Hamburg e.V.

*Wolfgang Zellner*

- Member of the Editorial Board of the journal Security and Human Rights
- Member of the Advisory Board of the journal Wissenschaft & Frieden [Science & Peace].
- Member of the Expert and Eminent Persons Group of the ASEAN Regional Forums (for EU).



Director of Studies Götz Neuneck MPS official ceremony in October 2012 in the University of Hamburg



## 5. Teaching and Promotion of Junior Researchers

The „Master of Peace and Security Studies“ at the University of Hamburg, conducted in cooperation with IFSH since 2002, is at the heart of academic teaching and coaching at IFSH. Almost all members of the scientific staff at the Institute are involved in teaching and mentoring in this course of studies. At the beginning of 2012, the course was successfully reaccredited until 2018.

Beyond this Master's program, IFSH supports a comprehensive program to promote junior scientific staff development. IFSH attaches particular importance to the advancement of women. Among the traditional components of teaching and coaching are the cooperation of recognized junior scientists in third-party funded research and consultation projects, the integration of student assistants into the scientific and academic work of the Institute as well as the training of interns. In 2012 42 students (18 female, 24 male) completed an internship at IFSH (distribution over the work areas: ZEUS: 32 CORE: 6, IFAR<sup>2</sup>:4).

IFSH works cooperatively with, to mention just a few examples, the European “Human Rights and Democratization program” (Venice), and the Eastern European program at the University of Hamburg.

In the reporting period, staff members at IFSH have, in addition to their teaching (for details on courses run by the Institute's scientific staff, see Chapter 5.5 and the statistical annex), written numerous first and second assessments for diploma and master's theses, conducted diploma and master's exams and taken part in doctoral procedures. Regina Heller was responsible for the organization and implementation of the weekly research colloquium of the Institute. Michael Brzoska directs the doctoral candidates' colloquium.

### 5.1 Degree Course „Master of Peace and Security Studies (M.P.S.)“ at the University of Hamburg

In October 2012, the 11<sup>th</sup> academic year of the M.P.S. Master's program began with student orientation and an excursion to Berlin.

On 9 October 2012 the 10<sup>th</sup> graduating class was bid farewell in an official ceremony. 25 graduates from fourteen countries (Austria, Australia, Bosnia and Herzegovina, China, Croatia, Denmark, Germany, Hungary, India, Indonesia, Iran, Lithuania, Mexico, and Serbia) received their Master's diplomas: Kristina Beck, Justina Budginaitė, Timothy Conboy, Regina De la Portilla Guevara, Astrid Engl, Yunhe Fan, Negar Ghanbari Solhjoo, Simone Grün, Sunita Hasagić, Thomas Kastning, Timea Kolop, Natalija Miletić, Kitt Plinia Bjerregaard Nielsen, Nathalie Olotu, Marija Peran, Christoph Pinkert, Vanessa Prinz, Kerstin Rother, Patric Salize, Nils Schaede, Tanja Schmidt, Amir Sedghi, Maxine Sundara Segaran, Laura Marie Timm und Dina Zenitha-Grünig.. Two students will only be able to finish her studies at the end of 2012 or at the beginning of 2013 due to illness.



MPS class 2012/13, excursion to Berlin

Following introductions by Prof. Dr. Rosemarie Mielke, Vice President of the University of Hamburg and Dr Dorothee Stapelfeldt, Senator for Science and Research of the Free and Hanseatic City of Hamburg, the former Federal Minister for Education and Research, Ms. Edelgard Bulmahn, gave the Commencement Address on the topic of “Peace Research and Conflict Transformation – The Need for a Stronger German Engagement.”

For the 11<sup>th</sup> academic year 2012/2013 25 students from 10 countries were enrolled (Austria, Australia, Brasilia, Colombia, Hungary, Italy, Japan, Lebanon, Russia, and Germany); the percentage





of women was 80 % (20 students). This program is conducted by the University of Hamburg in cooperation with the IFSH as well as with 15 other research and academic teaching institutions of the Cooperation Network of Peace Research and Security Policy (KoFrieS), including the Association of Friends and former M.P.S. students. The Bundeswehr once again seconded an officer as a participant in this course.

Coordination of the content and organization of the program is the responsibility of IFSH, which also headed the M.P.S. program in this reporting year. Director of Studies is Götz Neuneck. The academic coordinator was Naida Mehmedbegović-Dreilich. Members of the program's joint committee included the Scientific Director of IFSH, Michael Brzoska (Chair), Götz Neuneck and Wolfgang Zellner. On the admissions committee and on the board of examiners for the course of studies, besides the persons named above, was Naida Mehmedbegović Dreilich. In addition there are external members from the participating departments of the University of Hamburg and the cooperating institutions (KoFrieS).



MPS graduates 2011/2012 received their Master's diplomas in October 2012

*Institutional members of the Cooperation Network Peace Research and Security Policy (KoFrieS)* are, in addition to IFSH (ZEUS, CORE and IFAR):

- Institute for International Law of Peace and Armed Conflict, Ruhr University Bochum;
- Bonn International Center for Conversion (BICC);
- Berghof Conflict Research, Berlin;
- Peace Research Institute Frankfurt (HSFK);
- Institute for Theology and Peace, Hamburg;
- German Armed Forces Command and Staff College (FüAk), Hamburg;
- Protestant Institute for Interdisciplinary Research (FEST), Heidelberg;
- Carl Friedrich von Weizsäcker-Zentrum für Naturwissenschaft und Friedensforschung, Hamburg (ZNF);
- German Institute of Global and Area Studies, Hamburg (GIGA);
- Institute for Development and Peace (INEF) at the University of Duisburg-Essen;
- European Centre for Minority Issues (ECMI), Flensburg;



- International Institute for Politics and Economics, Haus Rissen, Hamburg;
- Center for International Peace Operations (ZIF);
- Institute for Political Science at the Helmut Schmidt University - University of the Federal Armed Forces Hamburg
- Three faculties of the University of Hamburg (law, economic and social sciences and humanities) and the
- M.P.S. Alumni and Friends Association

Dr Axel Krohn (German Armed Forces Command and Staff College) was re-elected by the consortium as representative to the Joint Committee for the study year 2012-2013.

The aim of the two-semester program is to introduce highly qualified graduates in the social or natural sciences, from Germany and abroad, as well as academically qualified practitioners, to a demanding level of peace and security policy research and to the basic principles of practice-oriented methodology. Furthermore, the goal is to communicate methods and results in order to prepare students for jobs in peace research and teaching, or peace and security-policy related careers in national and international organizations, administrations, associations and companies as well as governmental offices. The languages of instruction are German and English. Within the framework of the program, M.P.S. cooperates with other courses of study at the University of Hamburg, among them the “Euromaster”, the „Master of European Studies“ and the Eastern Europe Minor Field Program under the leadership of the Faculty of Law.



Former Federal Minister Edelgard Bulmahn gives the keynote speech at the official MPS ceremony

The first semester is comprised of a modular teaching program, consisting of six modules: international peace and security policy; international law on peace and armed conflict; natural sciences and peace; peace ethics; economic globalization and conflicts; and a cross-sectional module. The second semester consists of theoretical and practice-oriented modules. The students take intensive courses that prepare them for the topics of their Master's theses. The institutes and organizations, which are part of the Cooperation Network, act, in accordance with their research profile, as the resident institutes for the students in the second semester. At the same time, they offer students a link between their studies and future career plans after successful completion of the program.

In 2011 the program was funded by various scholarships and grants. We would like to make special mention of the support provided by the German Academic Exchange Service (DAAD) and the Peace Research Sponsoring Association (VFIF).

## 5.2 European Course of Studies „Human Rights and Democratization“(Venice)

For many years, the University of Hamburg has participated in this post-graduate degree program supported by 40 universities and institutes in EU countries. Since 2006, the university has awarded a joint diploma as one of – currently - six universities. IFSH performed teaching, supervisory and examination tasks for the University of Hamburg within the framework of this program. Among these tasks teaching and supervisory tasks in the function as a resident institute for program participants during the second semester. Three students, Mariana Groba Gomes, Matti Inkeroinen and Sofia Antunes Lopez, was at IFSH and at the University of Hamburg during the 2011 summer semester. She was supervised by Michael Brzoska, Hans-Georg Ehrhart, Regina Heller and Martin Kahl. Hans-Joachim Gießmann was responsible as E.M.A Director for the participation of the University of Hamburg in this degree program. Diana Digol, Naida Mehmedbegović Dreilich and Regina Heller took over coordination for IFSH.



For many years, the University of Hamburg has participated in this post-graduate degree program supported by 40 universities and institutes in EU countries. Since 2006, the university has awarded a joint diploma as one of – currently - six universities. IFSH performed teaching, supervisory and examination tasks for the University of Hamburg within the framework of this program. In 2012, these included teaching and supervisory tasks in the function as a resident institute for program participants during the second semester. Two students, Anika Timmermann and Laura Enciso Romero, were at IFSH and at the University of Hamburg during the 2011 summer semester. They were supervised by Michael Brzoska and Matenia Sirseldudi. Hans-Joachim Gießmann was responsible as E.M.A Director for the participation of the University of Hamburg in this degree program. Regina Heller took over coordination for IFSH.

### 5.3 Teaching and Doctoral Cooperation with the East China Normal University (ECNU), Shanghai

The cooperation between the ECNU, IFSH and the University of Hamburg, agreed upon in October 2007 was continued in the reporting period. The Chinese partner sent two students to the Master of European Studies-Program of the School of Business, Economics, and Social Sciences of the University of Hamburg.

### 5.4 The IFSH Doctoral Supervision Program

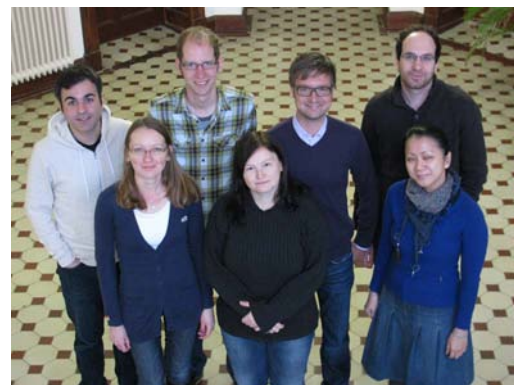
Supervision includes both doctoral students who are part of working groups at the IFSH and external students, who do their research at other institutions (particularly GIGA) or in addition to another job. Increasingly, doctoral students at the IFSH are also members of various graduate schools.

Doctoral Students doing their research at the IFSH receive intensive supervision from experienced IFSH researchers to enable them to successfully complete their dissertations and, at the same time, to give them the opportunity of acquiring the key qualifications needed to carry out job-related activities within and outside of scientific/ research institutes. Depending on the topics of their dissertations, the students are integrated into one of the IFSH research units, so that they are able to actively participate in the scientific and academic life of the Institute.

All doctoral students are required to attend the regular doctoral seminars. The weekly research colloquiums offer a platform for the exchange of scientific views and the presentation of preliminary results.

To be able to enter the program, students are required to have a degree in natural or social sciences with an above-average grade point average, a broad knowledge of the basic principles of peace research and to have chosen a peace research-related topic for their dissertations.

The IFSH cannot support dissertation work; however, support is given for applications to relevant foundations and institutions. Most doctoral students are affiliated with the University of Hamburg, but this is not a condition for participation in the PhD program. Responsible for the program in the reporting period was Michael Brzoska, who also led the doctoral students' seminar.



IFSH doctoral candidates 2012: Elena Kuipanova, Denise Völker, Shafiah F. Muhibat (front), Sebastian Schiek, Hendrik Hegemann, Ulrich Kühn, Eric van Um (from left to right)

### 5.5 Teaching by IFSH Staff in 2012

#### *Winter semester 2011/2012*

- Universität Hamburg/M.P.S., Seminar „Peace and Security Studies: Friedenspolitische und technische Aspekte im Hinblick auf eine Nuklearwaffenfreie Welt“ (Christian Alwardt, Götz Neuneck, Anne Finger und Martin Kalinowski)
- Universität Hamburg/M.P.S., Vorlesung und Übung „Politische Ökonomie von Konflikten, Kriegen. Terrorismus und Rüstung“ (Michael Brzoska)



- Universität Hamburg/M.P.S., Vorlesung und Übung “Disziplinäre Methoden und interdisziplinäre Friedens- und Sicherheitsforschung (Michael Brzoska)
- Universität Hamburg/M.P.S., Vorlesung „Die EU als außen-, sicherheits- und friedenspolitischer Akteur“ (Hans-Georg Ehrhart)
- Universität Hamburg/M.P.S., Blockseminar „Aufstandsbekämpfung: Weg zum Frieden oder politische Illusion?“ (Hans-Georg Ehrhart/Johann Schmid)
- TU Hamburg-Harburg, Blockseminar „Ethics for Engineers“ (Anne Finger)
- Universität Hamburg/M.P.S., Übung „Wissenschaftliches Schreiben“ (Anne Finger)
- Universität Hamburg/M.P.S., Vertiefungsseminar „Der Nahostkonflikt in den Internationalen Beziehungen“ (Margret Johannsen)
- Universität Hamburg/M.P.S., Vorlesung „Einführung in die Sicherheitspolitik“ (Martin Kahl)
- Universität Hamburg/M.P.S., Orientierungskurs „Disziplinäre Methoden der Friedens- und Sicherheitspolitik“ (Martin Kahl)
- Universität Hamburg/M.P.S., „Einführung in Wissenschaftliche Methoden“ (Martin Kahl)
- Hochschule für Angewandte Wissenschaften (HOPIKOS). Blockveranstaltung/Training „Interkulturelle Kompetenz“, (Naida Mehmedbegović Dreilich)
- Leuphana Universität Lüneburg, Blocklehrveranstaltung/Training „Erfolgreich im interkulturellen Kontext – Interkulturelle Kompetenz“ (Naida Mehmedbegović Dreilich)
- Universität Hamburg, Arbeitsstelle Studium und Beruf, Seminar „Interkulturelle Kompetenz“ (Naida Mehmedbegović Dreilich)
- Universität Hamburg/M.P.S., Blockseminar (Berlin-Exkursion) „Deutsche Außenpolitik zwischen globalem Engagement und nationalen Interessen (Naida Mehmedbegović Dreilich)
- Universität Hamburg/M.P.S., Blockseminar, „Intercultural Communication and Cooperation“ (Naida Mehmedbegović Dreilich)
- Universität Hamburg, M.P.S., Vorlesung „Naturwissenschaftliche Beiträge zur Friedensforschung“ (Götz Neuneck, Martin Kalinowski)
- Universität Hamburg, M.P.S., Methodenseminar im Propädeutikum (Götz Neuneck, Martin Kalinowski und Anna Zmoryinska)
- Universität Hamburg/M.P.S., Orientierungseinheit (Götz Neuneck, Naida Mehmedbegović Dreilich)
- Universität Hamburg/M.P.S., Blockseminar „Cyber Attacks – Hype oder neue Bedrohung?“ (Götz Neuneck)
- Universität Hamburg/M.P.S., Blockseminar „Unendliche Weiten – Frieden und Krieg im All: Ist Rüstungskontrolle im Weltraum möglich?“ (Götz Neuneck, Thomas Reinhold)
- Leuphana Universität Lüneburg, USAC, Seminar “International Affairs since 1945” (Sybille Reinke de Buitrago)
- Universität Hamburg/M.P.S., Seminar „Wer Frieden will, verstehe den Krieg!“ Krieg und Frieden verstehen auf der Basis clausewitzschen Denkens (Johann Schmid)
- Universität Hamburg/M.P.S., Blockseminar, Einführung in die Terrorismusforschung (Matenia Sirseloudi)
- Universität Hamburg/M.P.S., Vertiefungsseminar „Europäische Sicherheitspolitik: OSZE“ (Wolfgang Zellner)



Greeting remarks by Senator Dorothee Stapelfeldt to the MPS students

#### Summer semester 2012

- Universität Hamburg, Seminar “Foreign military intervention in Libya – Ideas, Interests and Institutions” (Michael Brzoska)
- IFSH/ZNF-Kolloquium (Michael Brzoska)
- Doktorandenseminar (Michael Brzoska)
- TU Harburg/Humanities, Blockseminar “Ethics for Engineers: Ethical, Legal and Social Issues in Scientific Work” (Anne Finger)
- Universität Hamburg, Vorlesung „Physikalische Grundlagen der Friedensforschung“ (Götz Neuneck)
- Universität Hildesheim, Seminar „Methoden der empirischen Sozialforschung“ (Sybille Reinke de Buitrago)
- Universität Hildesheim, Exkursion nach Berlin & Blockseminar „Rechtsextremismus als Herausforderung für die deutsche Demokratie“ (Sybille Reinke de Buitrago)

#### Winter semester 2012/2013

- Universität Hamburg/M.P.S., Vorlesung „Einführung in die Sicherheitspolitik“ (Martin Kahl)
- Universität Hamburg/M.P.S., Orientierungskurs „Disziplinäre Methoden der Friedens- und Sicherheitspolitik“ (Martin Kahl)
- Universität Hamburg/M.P.S., Blockseminar „Einführung in Wissenschaftliche Methoden“ (Martin Kahl)
- Universität Hamburg/M.P.S., Vorlesung „Peace and Security Studies: Die Zukunft nuklearer Abrüstung“ (Christian Alwardt, Anne Finger, Malte Götsche, Götz Neuneck)
- Universität Hamburg/M.P.S., Vorlesung und Übung „Politische Ökonomie von Konflikten, Kriegen. Terrorismus und Rüstung“ (Michael Brzoska)
- Universität Hamburg/M.P.S., Vorlesung und Übung „Disziplinäre Methoden und interdisziplinäre Friedens- und Sicherheitsforschung“ (Michael Brzoska, Mitveranst.)





- Doktorandenseminar (Michael Brzoska)
- Universität Hamburg/M.P.S., Übung „Wissenschaftliches Schreiben“ (Anne Finger)
- TU Harburg/Humanities, Blockseminar “Ethics for Engineers: Ethical, Legal and Social Issues in Scientific Work” (Anne Finger)
- TU Harburg/Humanities, Blockseminar “Humanities and Engineering: The Politics of Science” (Anne Finger)
- Universität Hamburg/M.P.S., Vorlesung „Die EU als außen-, sicherheits- und friedenspolitischer Akteur” (Hans-Georg Ehrhart)
- Universität Hamburg/M.P.S., Vertiefungsseminar „Der Nahostkonflikt in den Internationalen Beziehungen“ (Margret Johannsen)
- Universität Hamburg/M.P.S. und Nebenfachstudiengang Osteuropastudien, Seminar „Russland und Energiesicherheit“ (Elena Kropatcheva)
- Universität Hamburg/Nebenfachstudiengang Osteuropastudien und EuroMaster, Vertiefungsseminar „Politik und Sicherheit in Zentralasien“ (Elena Kulipanova)
- Universität Hamburg/M.P.S., Blockseminar „Der Konflikt um Irans Nuklearprogramm“ (Oliver Meier)
- Universität Hamburg, Vorlesung „Naturwissenschaftliche Beiträge zur Friedensforschung“ (Götz Neuneck)
- Universität Hamburg, M.P.S, Methodenseminar im Propädeutikum (Götz Neuneck, Markus Kohler und Gunnar Jeremias)
- Universität Hamburg/M.P.S., Orientierungseinheit (Götz Neuneck, Naida Mehmedbegović Dreilich)
- Universität Hamburg/M.P.S., Blockseminar „Cyber Attacks – Hype oder neue Bedrohung?“ (Götz Neuneck)
- Universität Hamburg/M.P.S., Blockseminar „Unendliche Weiten – Frieden und Krieg im All: Ist Rüstungskontrolle im Weltraum möglich?“ (Götz Neuneck)
- Leuphana Universität Lüneburg, Seminar “International Affairs since 1945” (Sybille Reinke de Buitrago)
- Universität Hamburg/M.P.S, Seminar „Clausewitz: ‚Vom Kriege‘ für Sicherheit und Frieden: Krieg und Frieden verstehen auf der Basis Clausewitzschen Denkens“ (Johann Schmid)
- Universität Hamburg/M.P.S., Blockseminar „Einführung in die Terrorismus-Forschung“ (Matenia Sirseldoudi)
- Universität Hamburg/M.P.S., Vertiefungsseminar „Europäische Sicherheitspolitik: OSZE“ (Wolfgang Zellner)

*Training and Continuing Education, Guest Lectures*  
 Summer School in Astana, (Hans-Georg Ehrhart)



University Vice-President, Rosemarie Mielke, Michael Brzoska and Götz Neuneck presenting Maxine Sundara Segaran her diploma.





## 6. Services

### 6.1 Public Relations

In accordance with the charter of the ISFH, the Institute, in addition to focusing on peace research activities (strictly speaking), is to dedicate itself to “taking inventory of and continuously informing itself of strategic thinking [...] by way of lectures, newspaper and journal articles, radio and television programs, and the publication of its own scientific series” (quantitative data on the relevant activities is provided in detail in the statistical annex).

In 2012 a large number of requests were directed to the Institute. The circle of those inquiring was wide and mirrored the great public interest in the work of the IFSH. The media, in particular, was, of course, responsible for a high percentage of inquiries for background information, interviews and written reports. Radio and TV stations – public-statutory as well as private – and their online services as well as the print media were responsible for the bulk of this public presence.

During the reporting period, Institute staff members were interviewees and guests of the following television stations or programs: ARD (Tagesschau, Tagesthemen, Report Mainz), ZDF, Phoenix, Bayerisches Fernsehen, NDR-Fernsehen, WDR-Fernsehen, rtl (rtl aktuell) SAT 1, n-tv..

The radio departments of NDR, WDR, SWR, BR, MDR, SR, HR, RBB and Radio Bremen were as much a part of the circle of the IFSH’s frequent “media customers” – as Deutschlandradio Kultur, Deutschlandradio Wissen, Deutschlandfunk (German Wireless) and Deutsche Welle. In addition, there were numerous queries from private radio stations and news agencies (dpa, Reuters dapd etc.). IFSH staff members were represented with articles and interviews in the following print media and their online editions: Hamburger Abendblatt, taz, Berliner Zeitung, Freie Presse Chemnitz, Flensburger Tageblatt, Kieler Nachrichten, Hannoversche Neue Presse, Die Welt, Freitag, Focus and Die Zeit.

Beyond the media requests, the Institute has received requests for lecturers and material, from workers’ unions, political parties and their youth organizations, adult education centers, schools, church groups, Federal Armed Forces’ institutions and peace groups, among others.

Thematically speaking, the requests in 2012 have concentrated primarily on current conflicts. Here, should be mentioned, above all, Cyber security, piracy, questions of radicalization and combating terrorism, the use of armed drones, arms control issues, the Iranian nuclear program, Afghanistan, arms exports, the relationship between Russia and the West, the „Arabellion“, the situation in Syria, , the Middle East conflict, and the Bundeswehr deployments abroad.

The rubric “Statements and Opinions” on the Institute Website reflects these topics, among others: [http://ifsh.de/IFSH\\_php/akt\\_stellungnahmen\\_engl.php](http://ifsh.de/IFSH_php/akt_stellungnahmen_engl.php)..

### 6.2 Peace Research Sponsoring Association (VFIF)

The Peace Research Sponsoring Association (VFIF) was founded on 28 January 1997 at the initiative of Dr Heinz Liebrecht and the then-member of the Hamburg State Parliament, Georg Berg.

The association endeavors to support the Institute’s work by acting as a broker, sharing results with the political and public spheres and raising additional funds. The VFIF issues invitations to lectures and discussion rounds and supports the Institute in carrying out events.

Members are invited to the events of IFSH and the Association and receive the newsletter, “IFSH-News”.



Reinhard Mutz is Chairman of VFIF



The board of directors consists of the following members:

Dr Reinhard Mutz (Chairperson)  
Andrea Wist (Deputy Chairperson)  
Professor Dr Herbert Wulf (Secretary)  
Professor Dr Hans-Joachim Gießmann (Treasurer)  
Professor Dr Michael Brzoska (IFSH Director)

In the reporting period, the Association supported some events of the MPS and was involved, above all, in promoting young academics, *inter alia*, through the establishment of grants for M.P.S. students and PhD students, and the allocation of travel costs.

### 6.3 Library, Documentation and Internet Presence 2012

#### Library

The IFSH Library is open primarily to IFSH scholars, PhD students and the students of the MPS program and to the staff of the Carl Friedrich von Weizsäcker Centre for Science and Peace Research (ZNF). However, the library may also be used by students of the Universities of Hamburg and the interested public.

The library collection comprises 29.936 volumes and 107 magazines (as of 31.12.2012). There was a total of 591 acquisitions, 72 of which were acquired through third-party funding and 390 of which were donated or acquired via exchange of literature. 301 volumes and 110 articles were borrowed from libraries in Hamburg or obtained through inter-library loan services and document delivery services.

The IFSH Library also houses the *OSCE Depository Library* in which literature of and about the OSCE is systematically collected. The librarian regularly compiles the bibliography of the OSCE Yearbook as well as the OSCE Online Bibliography on the CORE Homepage.

The Library's collection has been accessible through the campus catalogue of the University of Hamburg – selections of the inventory of the library since 1971 and the complete inventory since 1994. In the long term, it is planned that the inventory acquired before 1994 also be completely incorporated into the campus catalogue.



The library stacks

Since January 2012, the library has had a book scanner which makes possible the copying and scanning of articles and parts of books in a way that is comfortable and protects the books. It is a service which is well-received by its users.

#### Documentation

Since 2000 the IFSH has participated in the “World Affairs Online – Expert Information Network on International Politics and Regional Geography” (FIV) – a cooperative network of the documentation departments of twelve independent German research institutes.

The joint project of these institutes is the data base, World Affairs Online (WAO), which is one of the largest social science literature data bases in Europe. It has some 800,000 literature references – especially journal articles and book sections as well as gray literature – with a thematic focus on global and regional foreign and security policy as well as economic and social developments.



In the collaborative network of the FIV the IFSH literature on the OSCE as well as publications of the Institute are made available by the IFSH documentation. In addition to internet sources and online catalogues of the SUB Hamburg, the electronic databank of the FIV represents the most important source for the specialized literature research of the IFSH documentation.

Since September 2008 the WAO data bank is freely available on the Internet as a part of the IREON portal ([www.ireon-portal.de](http://www.ireon-portal.de))

Since 2003 the IFSH has been involved in the development and maintenance of a professional information guide for internet sources in the area of peace research and security policy, initiated by the State and University Library of Hamburg within the framework of the project, "Virtual Specialized Library" supported by the German Research Foundation (DFG). Links can be viewed at <http://www.vifapol.de/systematik/pea/>.

## Internet Presence

The Internet presence, fundamentally redesigned in 2011, was continually updated and further adapted in 2012 so that visitors received a current and detailed overview of the various research clusters, publications and specialized activities of the Institute. Conceptional suggestions for a redesign of the pages of the ZEUS, CORE and IFAR departments were also compiled and discussed in 2012. These suggestions will be implemented in 2013 after the completion of the Institute's new medium-term work program.

**IDEAS** Initiative for the Development of a Euro-Atlantic and Eurasian Security Community

Home | **IDEAS Report** | Workshops | Documents | Galleries | Contact

The Initiative for the Development of a Euro-Atlantic and Eurasian Security Community (IDEAS) is a Track II initiative jointly carried out by

- the Centre for OSCE Research (CORE) at the Institute for Peace Research and Security Policy at the University of Hamburg (IFSH),
- the Fondation pour la Recherche Stratégique (FRS),
- the Polish Institute of International Affairs (PISM)
- and the Moscow State Institute of International Relations (University) of the Russian Foreign Ministry (MOIMCO).

IDEAS aims at conceptualizing a "free, democratic, common and indivisible Euro-Atlantic and Eurasian security community stretching from Vancouver to Vladivostok", as envisioned by the OSCE participating States in their 2010 Astana Commemorative Declaration.

In late 2011, the Ministers of Foreign Affairs of Germany, France, Poland and the Russian Federation had asked the four institutes to organize a series of workshops to advance the discussion on the future character of a Euro-Atlantic and Eurasian security community and to present a report with recommendations to the participating States of the Organization for Security and Co-operation in Europe (OSCE) in Vienna. With their initiative, the Ministers took up the idea of establishing a network of academic institutions, a proposal made by OSCE Secretary General Lamberto Zannier.

The four IDEAS institutes held a series of four workshops in Berlin, Warsaw, Paris and Moscow from March through July 2012. These meetings were attended by a total of about 300 participants and guests from 40 countries and four international organizations. Outstanding contributions were made at the workshops and in discussions by Minister Guido Westerwelle, former Ministers Igor Ivanov and Adam Daniel Ruzfeld, former OSCE Secretary General Marc Perrin de Brichambaut, Deputy Minister Bogusław Winił, Deputy Minister Alexander Gruzinko, and former State Secretary Wolfgang Ischinger. The discussions at all workshops were most informal and deeply enriching. The members of the IDEAS working group that had been established by the four institutes benefited from additional meetings with officials in each of the four capitals.

As intended, the institutes published their findings in a report titled "Towards a Euro-Atlantic and Eurasian Security Community: From Vision to Reality". The report was written by a drafting group consisting of Wolfgang Zellner (co-ordinator), Yves Boyer, Frank Evers, Isabelle Facon, Camille Grand, Ulrich Kühn, Lukasz Kulesa and Andrei Zagorski. It was released at OSCE headquarters in Vienna on 23 October 2012.

There is general agreement that the 2012 IDEAS activities have brought up a broad variety of useful contributions for clarifying the substance of a future security community in Europe. They have made a good start for future track II discussions. The four IDEAS institutes stand ready to participate in such discussions and support the idea of establishing an OSCE Network of Academic Institutions.

Hamburg, October 2012



New Website of the IDEAS project



## 7. Personnel and Bodies

The Institute for Peace Research and Security Policy at the University of Hamburg (ISFH) is a civil law foundation. The Free and Hanseatic City of Hamburg, represented by the Ministry for Science and Research, supports the foundation. The organs of the Institute are as follows: Chair of the Foundation, Board of Trustees, Scientific Advisory Board, and Institute Council. The Chair of the foundation is the Scientific Director.

### 7.1 Board of Trustees

According to the By-Laws of IFSH, the following are members of the Board of Trustees: The Head of the Ministry responsible for science and research as the Chairperson, the President of the University of Hamburg, four representatives named by the University of Hamburg, up to three representatives from public life in Hamburg, who are chosen by the Board of Trustees, as well as the Chairperson of the Scientific Advisory Board.

The **Board of Trustees** of the IFSH convened twice in the annual report period. In 2012, it comprised the following members:

- *Dr Dorothee Stapelfeldt*, Senator for Science and Research of the Free and Hanseatic City of Hamburg (Chair)
- *Prof. Dr.-Ing. H. Siegfried Stiehl*, Vice President of the University of Hamburg (Deputy Chair)
- *Niels Annen*, former MP
- *Prof. Dr Leoni Dreschler-Fischer*, Department of Informatics, Research Area Cognitive Systems
- *Jasper Finkeldey*, Student Representative (until November)
- *Prof. Dr Cord Jakobeit*, Chairperson of the Scientific Advisory Board
- *Prof. Dr Martin Kalinowski*, ZNF (until March)
- *Indi-Carolina Kryg*, Student Representative (since November)
- *Antje Möller*, Member of the Hamburg State Parliament
- *Prof. Dr Rolf von Lüde*, Department of Social Sciences, Institute for Sociology
- *Berndt Röder*, former President of the Hamburg State Parliament (until June 2011)
- *Prof. Dr. Thomas Schramme*, Department of Philosophy (since May)
- *Dr Stefan Schulz*, former State Secretary (April until June)
- *Gerhard Fuchs*, former State Secretary (since September)



Prof. Dr Thomas Schramme is Member of the Board of Trustees since May 2012

### 7.2 Scientific Advisory Board

In the reporting period the **Scientific Advisory Board** convened once. In 2012, it comprised the following members:

*Prof. Dr Cord Jakobeit*, University of Hamburg (Chair)  
*Prof. Dr Tilman Brück*, DIW Berlin  
*Prof. Dr Tanja Brühl*, Goethe University Frankfurt / Main  
*Prof. Dr Elke Krahmann*, Brunel University, London (since April)  
*Prof. Dr Heike Krieger*, FU Berlin, Department of Law (since April)  
*Prof. Dr Kathryn Nixdorff*, TU Darmstadt, Institute of Microbiology (until June)  
*Prof. Dr Paul Reuber*, University of Münster, Institute of Geography (since July)  
*Dr Petra Seibert*, University of Vienna, Institute of Meteorology and Geophysics (since July)  
*Prof. Dr Michael Staack*, Helmut Schmidt University, Hamburg



### 7.3 Institute Council

The **Institute Council** met two times in the reporting period.

### 7.4. Gender Equality

In the reporting period, Dr. Anna Kreikemeyer was elected as equal opportunities representative for IFSH. Deputy representative is Dr. Patricia Schneider. The equal opportunities reports can be viewed on the Institute's Website: <http://www.ifsh.de/index.php/gleichstellungsbericht.html>.

### 7.5 Staff Members at the IFSH 2012:

#### *Institute Administration:*

Director: Professor Dr Michael Brzoska

Deputy Director: Professor Dr Götz Neuneck

Deputy Director: Dr Wolfgang Zellner

#### *Wissenschaftliche Referentinnen/Referenten:*

##### *Senior Researchers:*

Dr Hans-Georg Ehrhart (Head of ZEUS)

Dr Regina Heller

Dr Martin Kahl

Ursel Schlichting, M.A.

Dr Patricia Schneider

##### *Scientific Staff:*

Christian Alwardt, Dipl. Phys.

Dr Raphael Bossong (Jan.-Feb. And since May)

Dr. Frank Evers

Anne Finger, Dipl.-Pol. (bis Oktober)

Hendrik Hegemann, M.A.

Dr. Anna Kreikemeyer

Dr. Elena Kropatcheva

Katarzyna Kubiak, Dipl. oec., M.P.S. (March-August. and since Nov.)

Ulrich Kühn, M.A., M.P.S. (since September)

Naida Mehmedbegović Dreilich, M.A., M.P.S.

Dr Oliver Meier

Kerstin Pertermann, M.A. (until April)

Kerstin Petretto, M.A.

Sebastian Schiek, Dipl. Pol.

Matenia Sirseloudi, M.A.

Eric van Um, M.A., M.P.S. (until March)

Denise Völker, Dipl.-Ing., M.P.S.

#### *Information Officer:*

Susanne Bund

#### *Representative of the Armed Forces:*

Lieutenant-colonel in General Staff Dr Johann Schmid

#### *Senior Research Fellows:*

Dr Margret Johannsen

Dr Reinhard Mutz

Prof. Dr Jürgen Scheffran

Dr Arne C. Seifert

Prof. Dr Kurt P. Tudyka

#### *Fellows:*

Dr David Aphrasidze

Dr Heiko Fürst



Anna Kreikemeyer is gender equality officer of the IFSH





Dr Stephan Hensell  
Jens Narten  
Dr Daniela Pisoiu  
Dr Sybille Reinke de Buitrago

*Guest Scholars:*

Nodira Aminova (since October)  
Amanda Guidero (June-July)  
Shafiah F. Muhibat (until September)  
Prof. Ivan Oelrich (August-September)  
Azamat Termikulov (May-July)  
Awet Weldemichael (Juli)  
Oleksandr Zhytnyk (January)

*Doctoral Candidates:*

Christian Alwardt, Dipl. Phys.  
Nodira Aminova, LL.M. (since October 2012)  
Andreas Bernath, M.A.  
Anne Finger, Dipl.-Pol.  
Hendrik Hegemann, M.A.  
Katarzyna Kubiak, Dipl. oec., M.P.S. (since February 2012)  
Ulrich Kühn, M.A., M.P.S.  
Elena Kulipanova, M.A., M.P.S. (doctorate completed in 2012)  
Isabelle Maras, M.A.  
Naida Mehmedbegović Dreilich, M.A., M.P.S.  
Shafiah F. Muhibat, M.A. (doctorate completed in 2012)  
Sebastian Schiek, Dipl. Pol.  
Eric van Um, M.A., M.P.S.  
Denise Völker, Dipl.-Ing., M.P.S.

*External Doctoral Candidates:*

Dauren Akberdiyev, Dipl. Pol. (external)  
Alexandr Burilkov, M.A. (external)  
Hannes Ebert (external) M. Sc. (since August 2012)  
Thorsten Geise, Dipl. Pol., M.P.S. (extern)  
Julia Grauvogel (extern), M.A. (since May 2012)  
Gunnar Jeremias, Dipl. Pol., M.P.S. (external, ZNF)  
Carlo Koos, M.A., M.P.S. (seit October 2011) (external)  
Katja Munoz, M.A. (external)  
Dieter Riedel, M.A. (external)  
Isabelle Tannous, M.A. (external)  
Azermat Temirkulov, M.A. (external) (since June 2012)

*Support:*

Corinna Bock (until May)  
Jerome Cholet (until March)  
Magali Hélène Dietrich  
Martin Halewitz (since April)  
Anna-Lena Hildebrandt  
Kamińska, Karolina (since June)  
Tim Kröger  
Julia Lanz (since April)  
Tamara Nathan (until March)  
Mona Peter  
Melanie Schorsch (since May)



Nodira Aminova from Tajikistan  
Is guest scholar at IFSH since  
October 2012t



Christina Till (April-Juni and since Sept.)

*Secretariat:*

Madeleine Köhler

Franziska Wellner (until May)

*Editing/Translation:*

Graeme Currie, M.A.

Elizabeth Hormann, Ed.M. (external)

Ina Schachraj (external)

*Library*

Ute Runge, Dipl. Bibl.

*Documentation:*

Uwe Polley, Dipl.-Pol.

*Administration:*

Britta Fisch

Max Paul

Jochen Rasch

Dr. Eckhard Schlopsna

Jutta Stropahl

Carsten Walter

More information at:

[http://www.ifsh.de/IFSH\\_english/personal/ma.htm](http://www.ifsh.de/IFSH_english/personal/ma.htm)



MPS students 2012/13, Berlin excursion in October 2012 (here in front of the Chancellery).



## 8. Publications

The members of staff published a total of seven books in 2012 and, with 146 articles, among them 41 in reviewed journals and books (among the seven from the „Thomson Reuters Master Journal List“), participated in the public and scientific discourse.

Since 1987, the Institute has been co-publisher of the annual German Peace Report and since 1995 has published the OSCE Yearbook in German, English and Russian.

In addition to the Peace Report and OSCE Yearbook, publishing, editing and text review work is continually undertaken. The editorial office of the journal “S+F. Sicherheit und Frieden/Security and Peace” of the Nomos Publishing Company is resident at IFSH. Editor-in-Chief is Martin Kahl. Regina Heller, Sybille Reinke de Buitrago, and Susanne Bund are members of the editorial team.

The series, “Democracy, Security, Peace” is edited by Michael Brzoska and is overseen editorially by Susanne Bund.

### 8.1 IFSH Series

The IFSH, itself, publishes three series: The „Hamburger Beiträge zur Friedensforschung und Sicherheitspolitik“ (“Hamburg Articles on Peace Research and Security Policy”) is geared to a specialized public; by contrast, the „Hamburger Informationen zur Friedensforschung und Sicherheitspolitik“ (“Hamburg Information on Peace Research and Security Policy”) is aimed at a broader public. These two series are complemented by the Newsletter „IFSH-aktuell“. “IFSH-aktuell” is intended to inform the interested public in a briefer form through current positions as well as on new projects, events, visitors and publications of the Institute. Since 2006 there has been an abridged form of IFSH-aktuell, the IFSH news, which is exclusively distributed electronically. Since the activities of IFSH in recent years in the form of lecture and discussion events at the Hamburg Institute itself and the participation of its staff in international conferences has increased significantly, current news on these events is primarily and rapidly published on the IFSH Website. The newsletter “IFSH aktuell” or the electronically sent English edition IFSH News, which appear about every two months, are now dedicated more to focused reports on new research projects, relevant publications and particularly important events. With this selection, efforts are being made to enhance the content and quality of the newsletter in addition to providing information on the scope of the current work of the Institute.



Johann Schmid is responsible for the „Hamburger Beiträge“. Quality control lies with the editorial advisory board (Michael Brzoska, Hans-Georg Ehrhart und Wolfgang Zellner). “IFSH aktuell” is compiled by Anna Kreikemeyer.

In the reporting period two Hamburger Beiträge, six issues of IFSH aktuell appeared as well as four articles in the online rubric “Statements and Opinions” [http://www.ifsh.de/IFSH\\_english/publikationen/hambinfo.htm](http://www.ifsh.de/IFSH_english/publikationen/hambinfo.htm)

All IFSH series are on the Institute’s Homepage and can be read and downloaded (<http://www.ifsh.de/>). They are available in printed form at no cost in limited numbers.

In the reporting period two Hamburger Beiträge, six issues of IFSH aktuell appeared as well as seven articles in the online rubric “Statements and Opinions” [http://www.ifsh.de/IFSH\\_english/publikationen/hambinfo.htm](http://www.ifsh.de/IFSH_english/publikationen/hambinfo.htm)



The Centre for OSCE Research publishes three series: *CORE Working Papers*, *CORE News* und den *CORE Annual Report*. These are sent free to a limited number of distributors on paper and to a greater number in electronic form. They are also available over the CORE-Website ([www.core-hamburg.de](http://www.core-hamburg.de)).

The Interdisciplinary Research Group on Disarmament, Arms Control and Risk Technologies (IFAR) distributes the *IFAR Working Papers* in electronic form; they can be viewed and downloaded at [www.ifsh.de/IFAR/serv\\_bp.htm](http://www.ifsh.de/IFAR/serv_bp.htm).

The Centre for European Peace and Security Studies (ZEUS) publishes current work results in the series *ZEUS Working Papers*, which also can be viewed on the IFSH Homepage, ([http://www.ifsh.de/zeus/htm/veroeff\\_workingpapers.htm](http://www.ifsh.de/zeus/htm/veroeff_workingpapers.htm)).

The publications of the Institute receive financial support from the Free and Hanseatic City of Hamburg.

## 8.2 Peace Report

Since 1987, IFSH has been co-publisher of the annual [German] *Peace Report*, the joint yearbook of four scientific Institutes for peace research in the Federal Republic of Germany: IFSH in Hamburg, the Protestant Institute for Interdisciplinary Research (FEST) in Heidelberg, the Peace Research Institute Frankfurt (HSFK) and the Bonn International Center for Conversion (BICC). International conflicts and current threats to peace are continually observed and studied. The opinions of the editors are based on these individual analyses. They collect and weight the results and formulate recommendations for peace and security policy practice with a particular eye to options for action in European and German policy. Beyond assessing developments in political conflict, the *Peace Report* also aims at clarifying the connections between cause and effect, identifying means of resolution and encouraging readers to make their own judgments.

### Peace Report 2012

The global power shifts and their effects on the German and European Peace Policy are the focus of this year's Peace Report. Thereby, the Peace Report eyes the power shifts and the accompanying uncertainties at two levels – both in the state relationships as well as in relation to state power and non-state actors. The ability to exert control, be it that of the states or that of international systems, is at issue in many ways. New social movements indicate a growing civil society self-awareness.

The representatives of the four institutes publishing it presented the Yearbook on 22 May 2012 to the Federal Press Conference in Berlin. Following that, they discussed their results and recommendations in multiple committees of the German Bundestag: in the Defence Committee, the Committee for Economic Cooperation and Development, the Foreign Affairs Committee as well as the Committee for Human Rights and Humanitarian Aid with members of the planning staffs of the Federal Foreign Office, the Ministry of Defense and the Ministry for Economic Cooperation. Furthermore, they discussed the results of the assessment with members of the relevant Working Group for International and Human Rights of Bündnis 90/The Greens, the FDP and the SPD. In a public event in the Berlin "French Cathedral" in cooperation with the Evangelical Academy of Berlin and Women in International Security, the findings of the Peace Report was at the heart of a podium discussion: A New World Disorder? Germany between Claim to Power and *Ordnungspolitik*. On the 19/20 June the Yearbook was presented in Brussels at NGOs, and one of the Round Tables organized by the European MP, Franziska Brantner and at the EKD office on an expert panel on the topic of "„Politik von der Straße“.(Politics from the Street).



### Friedensgutachten 2012

Heinrich Stiftung Friedens- und Konfliktforschung (HSFK)  
Bonn International Center for Conversion (BICC)  
Forschungsinstitut der Evangelischen Studiengemeinschaft (FEST)  
Institut für Friedensforschung und Sicherheitspolitik  
an der Universität Hamburg (IFSH)

LIT





The articles from IFSH came from Michael Brzoska, Hans-Georg Ehrhart, and Martin Kahl. Supervision of the external articles by Muriel Asseburg and Heiko Wimmen as well as Sabine Kurtenbach as well as the co-editorship lay with Margret Johannsen.

### 8.3 OSCE Yearbook

The variety of topics and the international composition of the group of authors make the OSCE Yearbook a unique source of information for all who deal with the OSCE and questions of European security or are interested in the organization and its tasks. The OSCE Yearbook has been published by IFSH annually since 1995, in German, English and Russian, in cooperation with Ambassador (retd) Jonathan Dean, Dr Pál Dunay, Prof. Dr Adam Daniel Rotfeld and Dr Andrei Zagorski. The editorial staff is based at the IFSH in Hamburg. Ursel Schlichting, Editor-in-Chief, is assisted in the tasks of editing and translating by Susanne Bund, Graeme Currie, Elena Kropatcheva, Ina Shakhrai, Keith Semple and Uwe Polley. In addition, translations in 2012 were prepared by Alexander Molter, Ute Nissen, Uwe Polley, Isabelle Tannous and Michael Weh.

The German and English editions are published by Nomos, Baden-Baden, while the Russian edition is printed by “Prava Cheloveka”, Moscow.

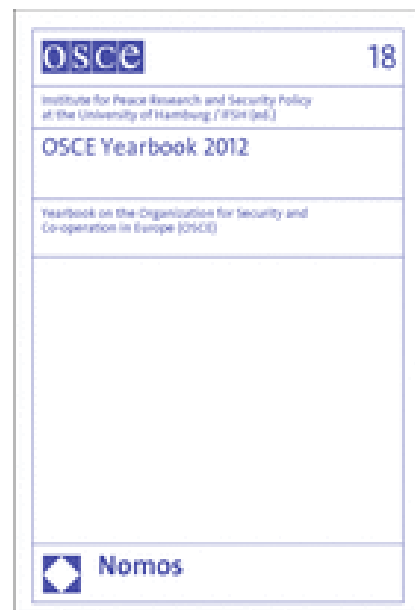
The German Federal Foreign Office funds the printing of the Yearbook and some of the staff costs associated with its production. Additional funds are earmarked for the distribution of free copies to members of parliaments, foreign ministries and OSCE institutions, and to universities, libraries, and other interested institutions. The OSCE Yearbook is used for teaching purposes at universities in CIS countries, at the OSCE Academy in Bishkek, at the MGIMO, and elsewhere. The articles of earlier editions of the OSCE Yearbook are available as complete texts (English and German until 2010) on the CORE-Website, <http://core-hamburg.de>.

Although the OSCE Yearbook is not an official OSCE publication, it has, for many years, enjoyed the support of the organization and its institutions, in particular the OSCE Secretariat in Vienna.

#### OSCE Yearbook 2012

Now in its 18<sup>th</sup> year, the OSCE Yearbook continues to be an unparalleled resource for the academic and political communities with an interest in the OSCE. No other publication brings together so many experts from so many diverse fields, all with a common interest in the world’s largest regional security organization. The IFSH has published the OSCE Yearbook in English, German, and Russian since 1995. The international co-editors of this flagship CORE publication are retired Ambassador Jonathan Dean (Union of Concerned Scientists, Washington), Dr Pál Dunay (Geneva Centre for Security Policy), Prof. Adam Daniel Rotfeld (former Minister of Foreign Affairs of Poland), and Dr Andrei Zagorski (Moscow State Institute of International Relations/MGIMO). The editorial staff are based at the IFSH in Hamburg. Ursel Schlichting, editor-in-chief, is assisted in the tasks of editing and translating by Susanne Bund, Graeme Currie, Elena Kropatcheva, Ina Shakhrai, and Keith Semple. In 2012, additional translating and editing work was carried out by Alexander Molter, Ute Nissen, Uwe Polley, Isabelle Tannous and Michael Weh. Further editing was undertaken by Yuliya Sudnik and Sergey Rastolzev.

The German and English editions are published by Nomos in Baden-Baden, while the Russian edition is printed by *Izdatelstvo “Prava Cheloveka”* in Moscow. The German Federal Foreign Office funds the printing of the Yearbook and some of the staff costs associated with its production. Additional funds are earmarked for the distribution of free copies to members of parliaments, foreign ministries, and OSCE institutions, including the Secretariat, and to universities, libraries, and







other interested institutions. The OSCE Yearbook is used for teaching purposes at universities in CIS countries, at the OSCE Academy in Bishkek, at the MGIMO, and elsewhere. The 2012 OSCE Yearbook will be published in winter 2012/13, with the German edition following in summer 2013. The Russian edition of the OSCE Yearbook 2010 was published in 2012. The entire texts of all previous editions of the OSCE Yearbook in English and German (up to 2010) are available to read or download at the CORE website: <http://core-hamburg.de>.

In the section on “The OSCE and European Security”, Rytis Paulauskas and Walter Kemp look back on the achievements of the 2011 Lithuanian Chairmanship; Rolf Mützenich and Matthias Karádi discuss the concept of a security community, and whether the OSCE is on the way to becoming one; Wolfgang Zellner reports on the Initiative for the Development of a Euro-Atlantic and Eurasian Security Community (IDEAS). Finally in this section, Elisa Perry presents the conclusions of the Euro-Atlantic Security Initiative (EASI) of the Carnegie Endowment for International Peace, which ran from 2009 to 2012.

Participating States whose domestic developments are in focus this year include Russia, where both Duma and presidential elections were held (Elena Kropatcheva), Hungary (with a focus on controversial recent changes to the constitution and media law, Pál Dunay), Bosnia and Herzegovina (Tobias Flessenkemper), Kyrgyzstan (Azamat Termirkulov), and Uzbekistan (Alisher Ilkhamov). In this section, Rosemarie Will also considers the failings of the German state to deal with a recent far-right murder campaign.

In the area of conflict prevention and dispute settlement, the 2012 Yearbook contains chapters on the latest developments in the ongoing Chechen conflict (Sven Singhoven) and an up-to-date overview of the Organization’s work in the area of conflict prevention (Alice Ackermann).

This year’s special focus section once again celebrates twenty years of the existence of an OSCE institution. This time, it is the turn of the High Commissioner on National Minorities (HCNM). This special section includes an overview of the institution’s mandate, history, and work by Olivier Brenninkmeijer; a run through of the institution’s evolution by Natalie Sabadnadze; and case studies of Ukraine (Klemens Büscher), the Baltic states (Jennifer Croft), and Macedonia (Marcin Czapinski). Manon de Courten also introduces the idea of “policy through projects” with reference to Georgia; while Hans-Joachim Heintze looks at the HCNM’s six sets of thematic recommendations in detail.

Loïc Simonet discusses the Code of Conduct on Politico-Military Aspects of Security and its implementation. Last but not least, in the final section, on organizational aspects of the OSCE, Juliane Markard-Narten and Jens Narten review the OSCE’s Project Management Evaluation system with reference to the Mission in Kosovo, while Graeme Herd considers the consequences of the Arab Spring for the OSCE.

As always, the OSCE Yearbook includes extensive annexes comprising facts and figures on the participating States, a list of recent conferences, meetings, and events, and a selected bibliography of current literature. The OSCE Yearbook is intended for politicians, policy- and decision-makers at all levels, OSCE staff, particularly in the OSCE missions, students and researchers, journalists, and the general public. The publisher’s goal is to contribute to the political and academic discussion of European security in national, regional, and international contexts and to create links between academic circles, political practice, and the public. Although the Yearbook is not an official OSCE publication, it is strongly supported by the Organization, and particularly by the Secretariat in Vienna.

#### 8.4 Publications by IFSH Members of Staff 2012\*

##### *IFSH*<sup>1</sup>

- Institute for Peace Research and Security Policy at the University of Hamburg/IFSH (ed.), OSCE Yearbook 2011, Baden-Baden 2012.

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Articles refereed in a double blind procedure are marked with \*; those with a non- anonymous professional assessment with \*\*. Articles in journals from the ISI-List are written in bold letters.

- 1 \* = double blind peer reviewed; \*\* = peer reviewed; bold = Journal of the „Thomson Reuters Master Journal List“ (ISI-list).



- Institute for Peace Research and Security Policy at the University of Hamburg (ed.): Challenges in Cybersecurity. Risks, Strategies, and Confidence-Building, Report of a Conference organized by the German Foreign Office, the FU Berlin, UNIDIR and IFSH, 13.-14. December 2011, Berlin/Hamburg.
- Jahresbericht 2011, Hamburg 2012, sowie unter: [http://www.ifsh.de/tl\\_files/IFSH/pdf/Publikationen/JB%202011%20mit%20fotos%20final\\_klein.pdf](http://www.ifsh.de/tl_files/IFSH/pdf/Publikationen/JB%202011%20mit%20fotos%20final_klein.pdf).
- Annual Report 2011, unter: [http://www.ifsh.de/tl\\_files/IFSH/pdf/Publikationen/AR2011.pdf](http://www.ifsh.de/tl_files/IFSH/pdf/Publikationen/AR2011.pdf).
- IFSH-aktuell 90/2012. Dezember-Januar 2011-2012. Englische Fassung: IFSH News, unter: <http://www.ifsh.de/pdf/publikationen/ifshaktuell/ifshaktuell90en.pdf>.
- IFSH-aktuell 91/2012. Februar-März 2012. Englische Fassung: IFSH News, unter: <http://www.ifsh.de/pdf/publikationen/ifshaktuell/ifshaktuell91en.pdf>.
- IFSH-aktuell 92/2012. April-Mai 2012. Englische Fassung: IFSH News, unter: <http://www.ifsh.de/pdf/publikationen/ifshaktuell/ifshaktuell92en.pdf>.
- IFSH-aktuell 93/2012. Juni-Juli 2012. Englische Fassung: IFSH News, unter [http://www.ifsh.de/tl\\_files/IFSH/pdf/ifsh%20aktuell/ifshnews93en.pdf](http://www.ifsh.de/tl_files/IFSH/pdf/ifsh%20aktuell/ifshnews93en.pdf).
- IFSH-aktuell 94/2012. August-September. Englische Fassung unter: [http://www.ifsh.de/tl\\_files/IFSH/pdf/ifsh%20aktuell/ifsh%20news%2094%20%28August-September%202012%29-1.pdf](http://www.ifsh.de/tl_files/IFSH/pdf/ifsh%20aktuell/ifsh%20news%2094%20%28August-September%202012%29-1.pdf)
- IFSH-aktuell 95/2012. Oktober-November. Englische Fassung unter: [http://www.ifsh.de/tl\\_files/IFSH/pdf/ifsh%20aktuell/IFSH%20news%2095%20%28October-November%202012%29.pdf](http://www.ifsh.de/tl_files/IFSH/pdf/ifsh%20aktuell/IFSH%20news%2095%20%28October-November%202012%29.pdf).
- Challenges in Cybersecurity. Risks, Strategies, and Confidence-Building, Report of a Conference organized by the German Foreign Office, the FU Berlin, UNIDIR and IFSH, 13.-14. December 2011, Berlin/Hamburg 2012 (Hrsg.).



#### Christian Alwardt

- Raketenabwehr in Europa – Theaterdonner oder Rückkehr des Kalten Krieges, in: Wissenschaft und Frieden 1/2012, S. 36-38 (with Hans Christian Gils und Götz Neuneck).

#### Raphael Bossong

- **Peer reviews in the fight against terrorism – a hidden dimension of European security governance, in: Cooperation & Conflict 4/2012, S. 519-538.\***
- The Evolution of EU Counter-Terrorism Policy: European Security Policy After 9/11. Milton Keynes: Routledge, 2012.\*
- EU civilian crisis management and organisational learning, in: European Security 4/2012, unter: <http://www.tandfonline.com/doi/abs/10.1080/09662839.2012.704364>.\*
- Capacity-building at the Headquarter Level: The Case of EU Civilian Peace Operations, in: Journal of Intervention and Statebuilding 4/2012, S. 351-368 (with Thorsten Benner).\*
- The Fight against International Terrorism – Driver and Yardstick for EU Homeland Security, in: Kaunert, C. et al. (Hrsg.), European Homeland Security: Politics, Coincidence and Strategy. Milton Keynes: Routledge, 2012.\*\*
- EU Civilian Crisis Management and Organisational Learning, EUSECON Working Paper, 62.\*\*

#### Michael Brzoska

- **Climate Change and Violent Conflict, in: Science 6083/2012, S. 869-871 (with Jürgen Scheffran, Jamin Kominek, Peter Michael Link und Janpeter Schilling).\***
- **Climate Change and the military in China, Russia, the United Kingdom and the United States, in: Bulletin of the Atomic Scientists 2/2012, S. 43-54.\***
- **Possible implications of climate engineering for peace and security, in: Bulletin of the American Meteorological Society online (BAMS), unter: <http://journals.ametsoc.org/doi/pdf/10.1175/BAMS-D-12-00022.1> (with Peter Michael Link, Achim Maas, Götz Neuneck und Jürgen Scheffran).\***
- Friedensforschung und Internationale Beziehungen – Lob der Verschiedenheit, in: Zeitschrift für Internationale Beziehungen 1/2012, S. 127-142.\*
- Climate Change, Human Security and Violent Conflict – Challenges for Societal Stability, Springer Publishers, Heidelberg 2012 (Hrsg. mit Jürgen Scheffran, Hans Günter Brauch, Peter Michael Link und Janpeter Schilling).\*
- Climate change as a driver of security policy, in: Jürgen Scheffran, Michael Brzoska, Hans Günter Brauch, Peter Michael Link, Janpeter Schilling (Hrsg.), Climate Change, Human Security and Violent Conflict – Challenges for Societal Stability, Springer Publishers, Heidelberg, S.165-184.\*
- The Role of Sanctions in Non-Proliferation, in: Oliver Meier/Christopher Daase (Hrsg.), Arms Control in the 21<sup>st</sup> Century, London, Routledge 2012, S. 123-145.
- Conclusions and Outlook: Research Results and Research Needs, in: Jürgen Scheffran, Michael Brzoska, Hans Günter Brauch, Peter Michael Link, Janpeter Schilling (Hrsg.), Climate Change, Human Security and Violent Conflict –



- Challenges for Societal Stability, Springer Publishers, Heidelberg 2012, S. 797-817 (with; Jürgen Scheffran, Hans Günter Brauch, Peter Michael Link, Janpeter Schilling).
- Direkte Eingriffe ins Klima. Eine friedenspolitische Herausforderung? Tagung am Klima Campus Hamburg, 10./11. November 2011, in: Wissenschaft und Frieden 1/2012, S. 44-45, unter: <http://www.wissenschaft-und-frieden.de/seite.php?artikelID=1768> (with Achim Maas, Michael Link, Götz Neuneck und Jürgen Scheffran).
  - Sieben Schritte zur friedlichen Lösung des Atomkonfliktes mit dem Iran, in: WeltTrends. Zeitschrift für Internationale Politik 84/2012, S. 93-98 (with Oliver Meier und Götz Neuneck).
  - Geoengeering – Möglichkeiten und Risiken, in: S+F, Sicherheit und Frieden – Security and Peace 4/2012, S. 185-193 (with P. Michael Link und Götz Neuneck).
  - Vertrag über den Waffenhandel: Staatenkonferenz 2.-27.Juli 2012, in: Vereinte Nationen. Zeitschrift für die Vereinten Nationen und ihre Sonderorganisationen 5/2012, S. 223-225 (with Ulrich Kühn).
  - Climate Change and the Military, e-international relations, March 16, 2012, unter: <http://www.e-ir.info/2012/03/16/climate-change-and-the-military/>.
  - Massenmigration und Klimakriege? Diskurse über Klimawandel als Sicherheitsbedrohung und ihr Einfluss auf die Politik, in: Wissenschaft und Frieden 3/2012, S. 19–22 (with Angela Oels).
  - Primat außenpolitischer Interessen, in: Wie weit sollen deutsche Soldaten gehen? Politischer Wille, sicherheitspolitische Strategie und friedensethische Normen, epd-Dokumentation 45/2012 S. 17-19.
  - Krieg und Frieden. Wo werden die Krisenherde 2030 liegen? Zukunft 2030. Visionen der Welt von morgen. Gütersloh/München, Brockhaus, S. 210-227.
  - Seven Steps on the Way Towards a Peaceful Resolution of the Conflict Over Iran's Nuclear Activities, Arms Control Now (The Blog of the Arms Control Association), 20 April 2012, unter: <http://armscontrolnow.org/2012/04/20/seven-steps-on-the-way-towards-a-peaceful-resolution-of-the-conflict-over-irans-nuclear-activities> (with Oliver Meier und Götz Neuneck).
  - Erhard Geißler: Drosophila oder die Versuchung. Ein Genetiker der DDR gegen Krebs und Biowaffen, Berlin (Berliner Wissenschafts-Verlag), 2010, besprochen in: S+F, Sicherheit und Frieden – Security and Peace 1/2012, S. 59-60.



#### Hans-Georg Ehrhart

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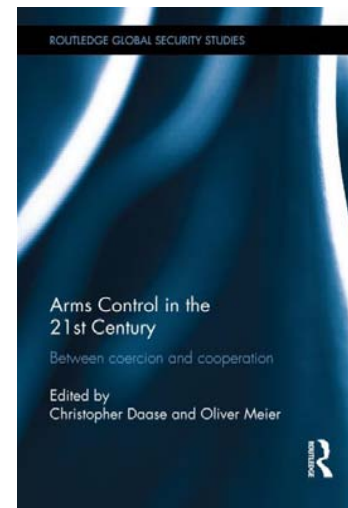




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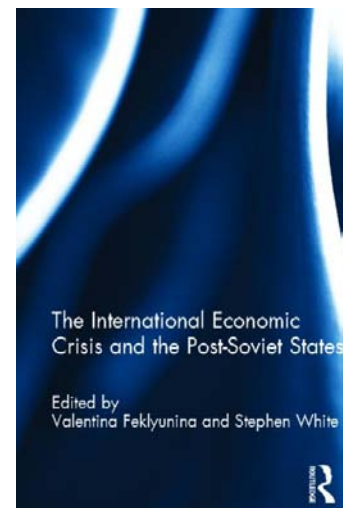
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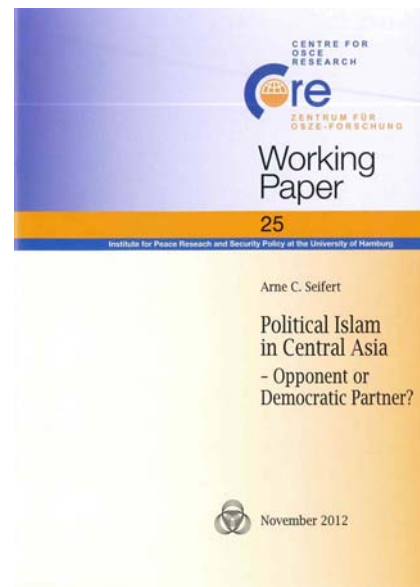
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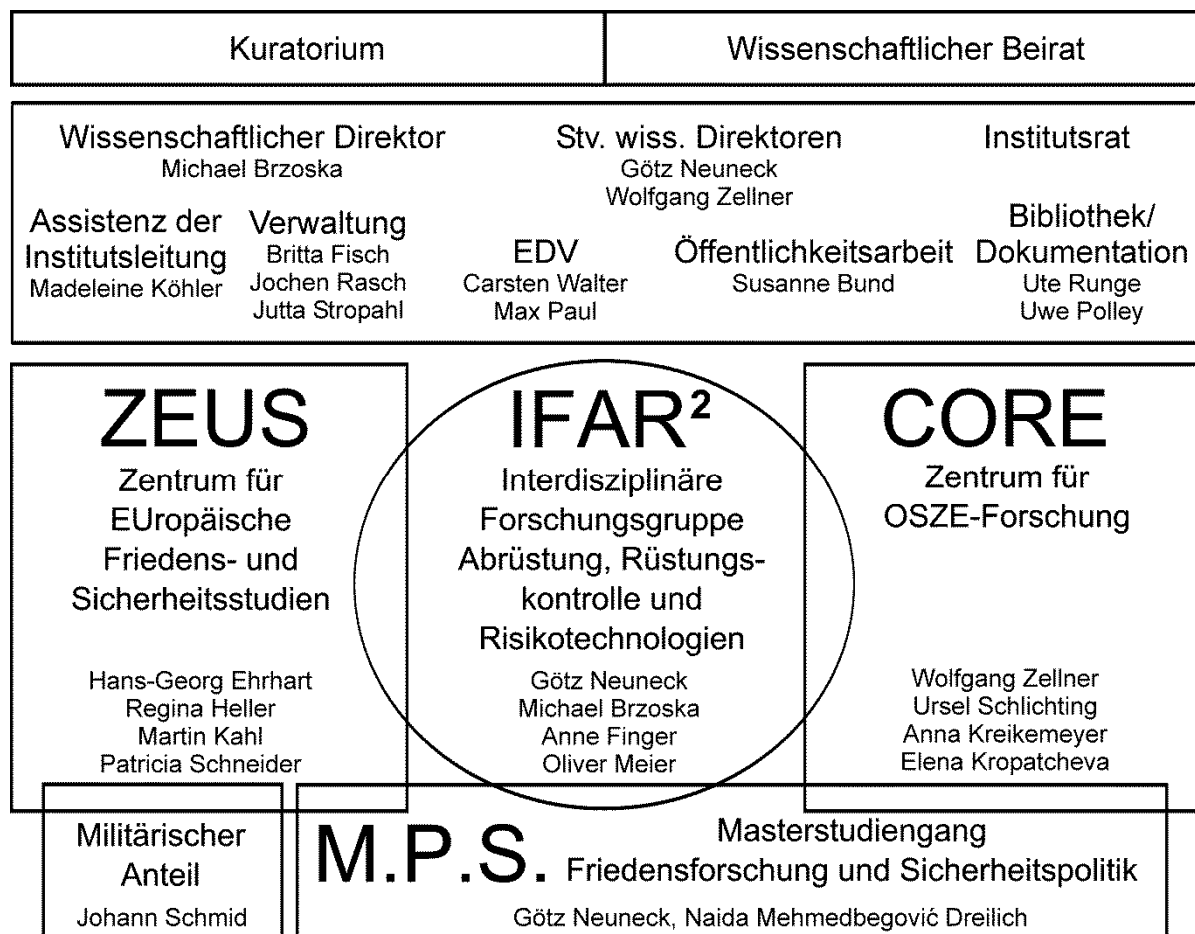
## **Statistical Annex**





## Organization Chart

As of 31.12.2012 \*



\* Employees according to the establishment plan (including part-time and limited contracts) without third party funding and contract staff

**Conference and Media Activities**

Topic	Lectures	Podium Disc.	Conferences	Interviews	Total
Current security policy questions (also terrorism)	51	11	43	66	171
Disarmament/Arms control	19	9	21	25	74
European security	11	2	19	3	35
OSCE	7	2	9	-	18
Regional conflicts	12	5	8	31	56
Peace research (also IFSH)	8	3	6	5	22
Others	10	5	10	22	47
<b>Total</b>	<b>118</b>	<b>37</b>	<b>116</b>	<b>152</b>	<b>423</b>

**A Comparison of Conference and Media Activities 2008-2012**

Year	Lectures	Podium Disc.	Conferences	Interviews
2012	118	30	116	152
2011	139	33	127	183
2010	118	29	117	190
2009	105	32	90	145
2008	150	37	133	200

**Number of Research Projects**

	2009	Externally financed	2010	Externally financed	2011	Externally financed	2012	Externally financed	2013 planned	Externally financed
<b>IFSH über- grei- fend</b>	2	2	2	2	1	1	1	1	1	-
<b>CORE</b>	4	1	5	0	5	1	5	1	4	4***
<b>ZEUS</b>	8	4*	8	4	9	6**	10	6**	9	8***
<b>IFAR</b>	4	3	6	3	5	4***	7	4***	4	4
<b>Gesamt</b>	18	10	21	9	20	12	23	12	18	16

\* 1 partially financed by IFSH

\*\* 3 partially financed by IFSH

\*\*\* 2 partially financed by IFSH

**Junior Staff, Consultation and Smaller Projects**

	2009	Externally financed	2010	Externally financed	2011	Externally financed	2012	Externally financed	2013 planned	Externally financed
<b>Insti- tute- wide</b>	4	1	5	2	5	2	6	1	4	1 <sup>3</sup>
<b>CORE</b>	14	10 <sup>1</sup>	10	7 <sup>2</sup>	7	6 <sup>1</sup>	8	7 <sup>1</sup>	10	7 <sup>3</sup>
<b>ZEUS</b>	18	11 <sup>2</sup>	19	13 <sup>2</sup>	13	13 <sup>2</sup>	13	12 <sup>2</sup>	11	6 <sup>4</sup>
<b>IFAR</b>	11	6 <sup>3</sup>	15	5 <sup>4</sup>	11	3	8	4	10	6 <sup>4</sup>
<b>Total</b>	47	28	49	27	34	24	35	24	35	220

<sup>1</sup> 5 partially financed by IFSH.<sup>2</sup> 3 partially financed by IFSH.<sup>3</sup> 1 partially financed by IFSH.<sup>4</sup> 2 partially financed by IFSH.



## Scientific Staff

Persons, status at year's end (full time equivalents in brackets)

	2008	Exter- nally finan- ced	2009	Exter- nally finan- ced	2010	Exter- nally finan- ced	2011	Exter- nally finan- ced	2012	Exter- nally finan- ced
<b>Insti- tute- wide</b>	1	-	1	-	1	-	1	-	1	-
<b>CORE</b>	6	3	6	3 <sup>1</sup>	6	3 <sup>1</sup>	6	3 <sup>1</sup>	8 (5,25)	4 <sup>2</sup>
<b>ZEUS</b>	7	3	8	3	11	7 <sup>1</sup>	10	6	10 (8,25)	6 <sup>1</sup>
<b>IFAR</b>	4	3	4	3	5	4 <sup>1</sup>	6	4 <sup>1</sup>	7 (3,79)	3 <sup>1</sup>
<b>Total</b>	<b>18<sup>2</sup> (11,65)</b>	<b>9</b>	<b>19<sup>3</sup> (13,27)</b>	<b>9</b>	<b>23<sup>4</sup> (18,95)</b>	<b>14</b>	<b>23<sup>5</sup> (19,12)</b>	<b>13</b>	<b>26<sup>7</sup> (18,299)</b>	<b>13</b>
<b>Women</b>	6	3	7	4	12	6	13	8	13 (8,61)	6
For In- forma- tion only: Number of doc- toral candi- dates	21	21	19	17	22	20	21	20	14 <sup>3</sup>	13 <sup>4</sup>
<b>Women</b>	12		11		12		9		8	

1 1 partially financed by IFSH.

2 2 partially financed by IFSH

3 In addition, there are 11 external doctoral candidates, who take part in the doctoral seminars to some extent but do not fall under the supervisory program

4 7 partially financed by IFSH.

## Guest Scientists

Cumulative number of persons over the respective years

	2008	2009	2010	2011	2012
<b>Institute-wide</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>1</b>	<b>1</b>
<b>CORE</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>2</b>
<b>ZEUS</b>	<b>2</b>	<b>3</b>	<b>5</b>	<b>3</b>	<b>3</b>
<b>IFAR</b>	<b>-</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>1</b>
<b>total</b>	<b>5</b>	<b>7</b>	<b>10</b>	<b>7</b>	<b>7</b>
<b>Women</b>	<b>3</b>	<b>2</b>	<b>2</b>	<b>3</b>	<b>3</b>



## Third Party Financing and Third Party Commitments

### a) Actual Expenditures (in Euro) / IFSH 2008-2012, Third Party Financing and Donors

Research Units	Donor		Year/Amount				
			2008	2009	2010	2011	2012
ZEUS	Science-driven third party allocations	DFG	1.500	245	76.229	94.015	
		Foundations	60.521	18.370	9.750	14.536	12.089
		DAAD	33.898	32.623	41.327		
		BMBF			202.488	371.961	313.738
		EU	79	58.287	13.464		54.762
	Federal Ministries						
	Federal States			-	-		
	EU				-		
	Priv. economy/IO/Foreign Admin.		780	-	5.241		
	Research Stipends		8.940	33.690	27.242	24.000	
	Other		6.969	10.702	10.520	11.022	981
<b>Total ZEUS</b>			<b>112.687</b>	<b>153.917</b>	<b>386.261</b>	<b>515.534</b>	<b>381.570</b>
CORE	Science-driven third party allocations	DFG		-	-		
		Foundations				19.890	
		DAAD		31.477			37.875
		BMBF					
		EU					
	Federal Ministries		286.391	218.400	206.682	214.048	236.668
	Federal States r			-	-		
	EU			-	-		
	Priv. economy/IO/Foreign Admin.		106.754	76.424	11.314	8.235	
	Research Stipends		26.150	26.925	24.700	12.000	
	Other						3.543
<b>Total CORE</b>			<b>419.295</b>	<b>353.226</b>	<b>242.696</b>	<b>254.173</b>	<b>278.086</b>
IFAR	Science-driven third party allocations	DFG			-		
		Foundations	94.002	62.185	45.214	68.464	27.695
		DAAD					
		BMBF					
		EU					
	Federal Ministries		9.391	8.750		51.966	
	Federal States		17.417	32.334			
	EU			-	-		
	Priv. economy/IO/Foreign Admin.		18.146			19.292	9.580
	Research Stipends				-		
	Other				7.339	1.494	11.186
<b>Total IFAR</b>			<b>138.956</b>	<b>103.269</b>	<b>52.553</b>	<b>141.216</b>	<b>48.461</b>
Institute-wide	Science-driven third party allocations	DFG		20.391	84.810	90.750	82.972
		Foundations	59.257	1.300		25.000	
		DAAD					
		BMBF					
		EU	15.697	7.935	57.937	94.549	26.456
	Federal Ministries		52.550	35.100	32.175	70.200	77.200
	Federal States		5.000	6.799	11.025	9.198	
	EU				-		
	Priv. economy/IO/Foreign Admin.		20.394	24.432	38.702	5.688	
	Research Stipends			4.000	8.000		
	Other		75.355	80.350	67.491	60.451	42.985
<b>Total IFSH w.</b>			<b>228.253</b>	<b>180.307</b>	<b>300.140</b>	<b>355.836</b>	<b>229.613</b>
IFSH Altogether	Science-driven third party allocations	DFG	1.500	20.636	161.039	184.765	82.972
		Foundations	213.780	81.855	54.964	127.890	39.784
		DAAD	33.898	64.100	41.327		37.875
		BMBF			202.488	371.961	313.738
		EU	15.776	66.222	71.401	94.549	81.218
	Federal Ministries		348.332	262.250	238.857	336.214	313.868
	Federal States		22.417	39.133	11.025	9.198	
	EU				0		
	Priv. economy/IO/Foreign Admin.		146.074	100.856	55.257	33.215	9.580
	Research Stipends		35.090	64.615	59.942	36.000	
<b>Total</b>	Other		82.324	91.052	85.350	72.967	58.695
<b>Total IFSH</b>			<b>899.191</b>	<b>790.719</b>	<b>981.623</b>	<b>1.266.759</b>	<b>937.730</b>




**b) Third Party Funding Received by IFSH in the years 2008-2012 (in Euros)**

Arbeitsbereich	Geber		Jahr				
			2008	2009	2010	2011	2012
ZEUS	Science-driven third party allocations	DFG	1.500	226.200			
		Foundations	15.000			24.800	11.070
		DAAD	57.118	45.962	50.734	1.649	
		BMBF			1.040.750		
		EU	110.960			143.765	
	Federal Ministries						
	Federal States		-	-			20.000
	EU			-			
	Priv. economy/IO/Foreign Admin.		-	-		10.000	
	Research Stipends		40.700	40.618	15.622	24.000	16.500
	Other		18.900	6.000	9.900	53.000	8.833
Total ZEUS			244.178	318.780	1.117.006	257.214	56.403
CORE	Science-driven third party allocations	DFG	-	-			
		Foundations				24.890	
		DAAD		41.590			56.110
		BMBF					
		EU					
	Federal Ministries		296.695	220.650	239.572	225.739	248.012
	Federal States		-	-			43.000
	EU		-	-			
	Priv. economy/IO/Foreign Admin.		-	-		14.666	
	Research Stipends		26.150	26.925	24.700	12.000	36.720
	Other		127.958,5	71.742			
Total CORE			450.808	360.907	264.272	277.295	383.842
IFAR	Science-driven third party allocations	DFG		-			
		Foundations	147.400			47.988,5	42.385
		DAAD					
		BMBF					
		EU					
	Federal Ministries		15.000	8.750	41.585	75.000	
	Federal States		35.000	28.600			9.800
	EU		-	-			
	Priv. economy/IO/Foreign Admin.		6.252	-		30.888	6.392
	Research Stipends			-			12.460
	Other			14.980	88.621	1.290	
Total IFAR			203.652	52.330	130.206	155.166,50	71.037
IFSH wide	Science-driven third party allocations	DFG	-	420.000			208.200
		Foundations		3.300		25.000	
		DAAD					
		BMBF					
		EU	343.600				
	Federal Ministries		52.550	35.100	37.500	70.000	77.200
	Federal States		10.550	10.000			2.800
	EU			-			
	Priv. economy/IO/Foreign Admin.		-	-			
	Research Stipends		-	12.060		25.250	8.000
	Other		54.550	45.500	6.000	22.000	33.000
Total IFSH ü.			461.250	525.960	43.500	142.250	329.200
IFSH Altogether	Science-driven third party allocations	DFG	1.500	646.200			208.200
		Foundations	162.400	3.300		122.678,5	53.455
		DAAD	57.118	87.552	50.734	1.649	56.110
		BMBF			1.040.750		
		EU				143.765	
	Federal Ministries		364.250	264.500	318.657	370.739	325.212
	Federal States		45.550	38.600			75.600
	EU		454.560	0			
	Priv. economy/IO/Foreign Admin.		6.252	0		55.554	6.392
	Research Stipends		66.850	79.603	40.322	61.250	73.680
	Sonstige		201.409	138.222	76.589	73.290	41.833
Total IFSH			1.359.888	1.257.977	1.554.984	828.925,5	840.482



## Publications

	2008	Reviewed	2009	Reviewed	2010	Reviewed	2011	Reviewed	2012	Reviewed
<b>Books</b>	11		18	6	13	4	10	3	7	4
<b>Book chapters</b>	66	6	62	7	65	13	83	15	42	13
<b>Articles in scientific journals</b>	39	13	45	13	29	11	28	8	39	18
<b>In ISI<sup>23</sup> journals</b>		2		0		1		6		7
<b>IFSH Publications</b>	18		22		16	-	27	1	18	
<b>Other</b>	33		24	1	35	-	49	7	40	6
<b>Total</b>	<b>167</b>	<b>19</b>	<b>171</b>	<b>27</b>	<b>158</b>	<b>28</b>	<b>179</b>	<b>34</b>	<b>146</b>	<b>41</b>
<b>In German</b>	106	11	95	12	79	13	121	13	69	5
<b>Publications per scientific staff member<sup>24</sup></b>	14,33	1,63	12,88	1,13	8,33	1,47	8,92	1,69	7,97	2,13

## Publications by research units

	2008	Re-viewed	2009	Re-viewed	2010	Re-viewed	2011	Re-viewed	2012	Re-viewed
<b>Institute-wide</b>	30	6	34	5	27	4	61	3,5	42,17	6
<b>In German</b>	23	3	24	2	18	1	42	-	32	1
<b>Publications per scientific staff member<sup>24</sup></b>	30	6	34	5	27	4	61	3,5	42,17	6
<b>CORE</b>	41	4	45	4	48	9	37	4	26,83	4
<b>In German</b>	19	1	19	2	19	3	22	1	6	1
<b>Publications per scientific staff member<sup>24</sup></b>	9,46	0,92	7,5	0,66	10,66	2	7,59	0,82	5,1	0,76
<b>ZEUS</b>	64	3	65	14	56	12	60	23,5	48	27
<b>In German</b>	49	3	43	7	36	7	42	10	17	2
<b>Publications per scientific staff member<sup>24</sup></b>	15,38	0,72	18,41	3,96	7,59	1,62	6,34	2,48	5,82	3,27
<b>IFAR</b>	32	6	27	3	27	3	21	3	29	4
<b>In German</b>	14	4	10	3	11	2	14	2	11	1
<b>Publications per scientific staff member<sup>24</sup></b>	14,95	2,80	9,85	1,09	8,43	0,62	4,44	0,63	7,6	1,05

<sup>23</sup> Publications listed on the Thomson Reuters Work of Knowledge-List

<sup>24</sup> Calculated as the quotient of publications and number (in full-time equivalents) of scientific staff

**Additional Indicators of the Research Work**

	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
<b>Participation in Parliamentary hearings</b>	11	15	15	19	7
<b>Participation in internal discussions in Ministries</b>	44	46	49	65	48
<b>Participation in hearings/discussions in Ministries/Parliaments and international organizations abroad</b>				31	80
<b>Lectures</b>	150	105	118	139	118
<b>Podium discussions</b>	37	32	29	33	37
<b>IFSH conferences</b>	11	9	16	20	15
<b>Teaching by staff (semester weeks, 2 semesters p.a.)</b>	58	41	38	47,5	46
<b>Completed doctorate*</b>	5	3	2	2	2
<b>Completed Master's degrees*</b>	27	28	28	23	25

\* Number of students advised by IFSH staff