



African Studies Centre Leiden

**Self-evaluation Report for the  
Period 2011–2016**

Leiden, March 2017



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*Additional documents: ASCL Research Harvest; ASCL Library; ASCL Self-Assessment SWOT; Benchmarking; and Information Notes.*

Coordinated by Trudi Blomsma and Ton Dietz (overall coordination), Jan-Bart Gewald, Mirjam de Bruijn, Jos Damen (with input from Elvire Eijkman), and Gitty Petit (with input from Jan Binnendijk, Irene Butter, Fenneken Veldkamp, Maaïke Westra, Marieke van Winden, and Anna Yeadell). And after consultations with the Scientific Advisory Board of the ASCL and the ASCL Board. Special input: Paul Lange and Tycho van der Hoog (benchmark analysis), and Dick Foeken: CERES/EADI calculations.

Dutch academic institutions are required to undertake reviews to chart their mission and performance. They form part of an evaluation cycle that follows the evaluation protocol developed by KNAW, VSNU and NWO, the so-called Standard Evaluation Protocol (SEP) 2015-2021. The last mid-term review of the African Studies Centre Leiden (ASCL) took place in 2015 and covered the period 2011–2014. It was undertaken by the Scientific Advisory Council of the ASCL. A full evaluation by an external committee occurred in April 2011, which covered the period 2004–2010. The review committee praised ASCL's accomplishments: on a five-point scale for four criteria (productivity, quality, relevance and viability) the ASCL research and library departments (judged separately) received five 5 scores (excellent) and three 4 scores (very good). The 5-scores were for all aspects of the library, documentation, and information, and for the relevance of the ASCL's research work.

## 1 Vision and mission; with attention for academic and societal relevance strategies

The ASCL is the national knowledge centre on Africa in the Netherlands since 1947. It serves the academic community in the Netherlands, in Africa and elsewhere and it serves professionals in the Netherlands dealing with Africa (in ministries, in NGOs, the business community, journalists, teachers, publishers) and the general public. The ambition of the ASCL is not only to be a think tank about Africa for specialized audiences in research and teaching environments, but also to serve as an information hub about Africa for policymakers, practitioners and the general public.

The ASCL is and wants to be one of the leading research institutes in the world in history and social sciences about Africa. It also is and wants to be one of the world's leading libraries in African Studies, with special attention for digital access of information about the continent. However, the ASCL has always been more than a research institute. It is a knowledge institute with a variety of functions. Consequently, this report includes the activities of the Library, Documentation and Information sections of the ASCL (see chapter 7), and the roles of the support staff and 'research for practice' (see chapter 5 and 6).

The ASCL has a world-renowned library and documentation centre, with growing digital services including an Abstracts Service, and a personalized Alert Service. The ASCL has a dedicated, professional support staff, responsible for organisational, networking, and financial management, projects, seminars, exhibitions, in-house language editing, and communication (e.g., an extensively-used website ([www.ascleiden.nl](http://www.ascleiden.nl)), a monthly Newsletter, social media, and the ASCL Community). The ASCL also produces a number of publications series, partly in collaboration with Brill Academic Publishers in Leiden. The ASCL's current research programme, entitled 'Africa and Global Restructuring' (2012–2017), aims to better understand Africa within the current historical juncture of global restructuring, with a focus on: (a) resources and wellbeing; (b) issues of governance; (c) identification and belonging in a media age; and d) Africa's global connections. The ASCL is a key member of the European Organisation for African Studies Centres, AEGIS (<http://www.aegis-eu.org/>).

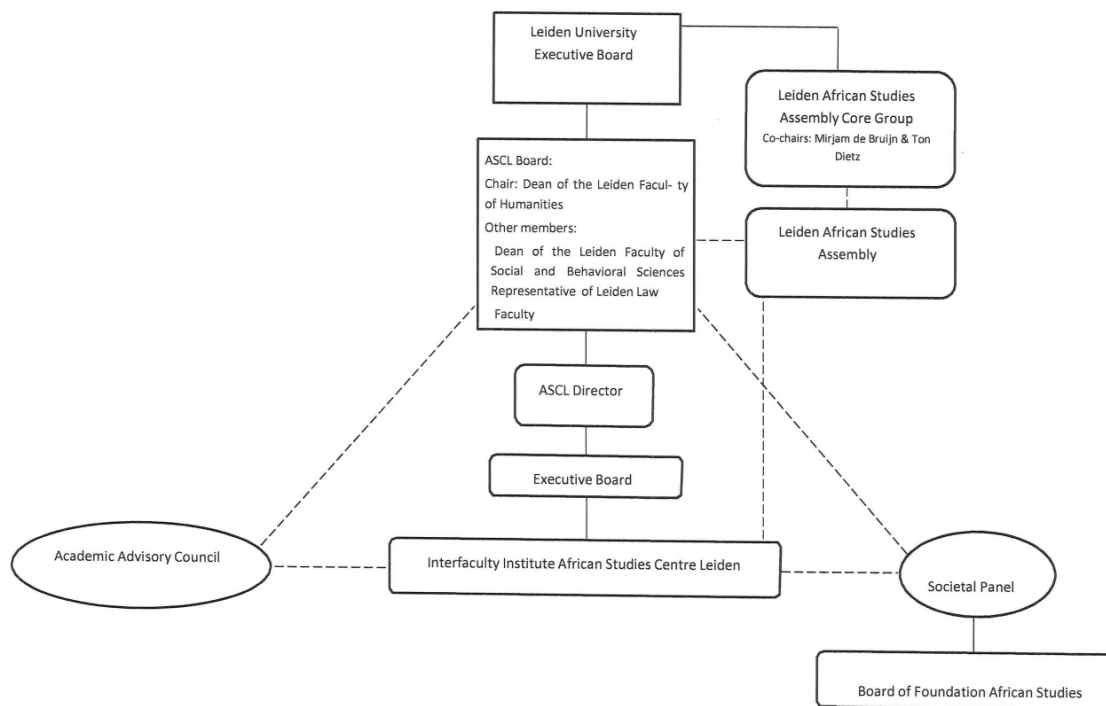
The ASCL also wants to be a catalyst in the newly formed Leiden African Studies Assembly, LeidenASA, after the African Studies Centre became an interfaculty institute of Leiden University (ASCL) on 1 January 2016. LeidenASA has formulated six main goals in 2016: joint teaching programmes, research integration and development of joint proposals for external funding, library collaboration, joint valorisation strengthening, joint development of a dedicated network with African knowledge partners, expansion to include knowledge partners in Delft and Rotterdam. In terms of focus areas LeidenASA currently discusses six key domains of collaborative work: 1) heritage studies; 2) the legal institutions and resources for dealing with resource competition, conflicts and peace building; 3) artistic expressions and citizenship movements; 4) population growth and health care; 5) financing investments in sustainable, inclusive urbanisation and (agro-) industrial development for urban demand, and 6) (frugal) innovations.

This Review will be used to formulate a new six-year plan for research (including valorisation), and the library, documentation and information services for 2018-2023, and we ask the Review Committee to judge the ASCL's quality, relevance and viability for research and for the library separately.

## 2 Organisation and finance

Until the end of 2015, the ASCL was an Independent Foundation (Stichting) with a Curatorium consisting of policymakers (the Chair), academics (vice-Chair), and representatives from the business community, the diplomatic community and journalists. From 1 January 2016, the ASCL is part of Leiden University, and the **ASCL Board** consists of the deans of the faculties of Humanities and Social

Sciences, and a representative of the dean of the Faculty of Law of Leiden University. The ASCL's **Scientific Advisory Council** consists of representatives of all relevant Dutch academic institutions; its **Societal Panel** connects the ASCL with its non-academic users (see: Information Notes: 1). In Leiden the ASCL is part of a network of Africanists (**LeidenASA**, see Information Notes: 2), and the ASCL Board also coordinates the special integration fund that the University Leadership gave to LeidenASA to stimulate synergy between ASCL and other Africanists in Leiden. It is the intention to expand that to include Delft University of Technology, Erasmus University Rotterdam, and UNESCO-IHE in Delft. The ASCL participates in **Leiden Global** ([www.leidenglobal.org](http://www.leidenglobal.org)) and works together with Leiden University (and with Africanists elsewhere) on joint PhD projects (the ASCL Director and two other ASCL staff members hold professorships at Leiden University), a joint Research Master's and Master's programme in African Studies and other joint activities. The **ASCL Community** consists of fellows, affiliates, associates and artists and connects the ASCL with relevant Africans who have a connection to the Netherlands and relevant Dutch people who have a connection to Africa. ASCL staff hold research and teaching positions (including as part-time special professors) at other universities in the Netherlands, in Africa and elsewhere. The ASCL's internal management structure consists of an **Executive Board**, chaired by the Director, and with a Vice Director, who is the head of the Library, an elected representative of the **Researchers' Assembly**, an appointed member for education, supervision and outreach, and a financial/organisational manager, who is also the head of the support staff. The ASCL has a **Works Council**, with representatives of the senior researchers, junior researchers, library staff and support staff.



The Centre successfully integrated into Leiden University on 1 January 2016 as ASCL. This brought the ASCL in line with other IOO institutes ('Institutes for International Education and Research') in the Netherlands, which have almost all been integrated into a Dutch University. The ASCL became an **interfaculty institute**, with a Board representing Leiden University. That arrangement will last for five years and in 2020 this arrangement will be evaluated. The old Board was restyled to become the core of a Societal Panel (and, as explained above, maintains a role as Board of the *Stichting ASC/Foundation African Studies*). The Scientific Advisory Board continues its advisory roles to the (new) Board and director, acknowledging the continued national academic role of the ASCL.

The interfaculty institute ASCL will have its own **full professors**, from 2017 onwards, in seven domains: Culture and Identity in Africa, Governance and Politics in Africa, Inclusive Development in Africa, Religion in Contemporary Africa and its Diaspora, Resources, Demography and Law in Africa, The Stephen Ellis Chair in the governance of finance and integrity in Africa, African History. It will also have its own **Graduate School**.

ASCL has indicated its willingness to **move to Leiden University's Humanities Campus** in order to be closer to other relevant area studies institutes. Also the prospect of a move, around 2022, into a new **African Library**, in a building shared with NINO, the library for the study of the Near East, seems to be a realistic one and ASCL actively supports such a move, as long as the Library and researchers will be near each other.

**Core funding** for the African Studies Centre Leiden comes from the Ministry of Education, Culture and Science, as part of the budget for International Education and Research. These funds are part of the Dutch government's Official Development Assistance (ODA). The Minister for International Trade and Development Cooperation has designated these funds as knowledge support for the current focus areas of Dutch development assistance (food and business; water; sexual and reproductive health and rights; security and the rule of law), as knowledge support for the Dutch government's Inclusive Development agenda, and – in relation to the ASCL – as knowledge support for the Ministry of Foreign Affairs.

The level of **external funding** met its target in the period under evaluation, and the externally funded research (2nd, 3rd and other) was constantly above the 20% target. Earlier review committees recommended avoiding becoming dependent on a limited number of funding sources and to capitalize on the added value of the ASCL research staff's contribution to PhD and teaching programmes. The Research Master's African Studies was partly realized through projects with different subsidy providers and the ASCL succeeded in reaching formal agreements with universities concerning the ASCL's share in PhD graduation bonuses. The first income for the Research Master's African Studies was received in 2009 and is now an average of 15% of 'Other' income for the period 2011–2016. From 2014/15 onwards, the ASCL also started to participate in the Master's African Studies of Leiden University. Financial payment for these services always follows two years after the year in which the teaching/supervision was given. From 1 January 2016, the ASCL also formally gets part of its funding from **Leiden University's AEG fund** (*Allocatie Eerste Geldstroom*) to finance ASCL input in teaching and reward PhD graduations and projects acquired from NWO and EU funds. Finally, the secondment of various ASCL researchers to other universities as professors or in other positions can also be regarded as an indirect source of additional funds. Such income is included under 'Other' in table A2.1.

External funding has become indispensable and allows the ASCL to maintain its capacity at the current level. In 2011, the ASCL had its first (small) budget cut in direct funding, followed by a considerable budget cut in 2012 and 2014 reducing its direct funding by 14.3% compared to 2010. Another budget cut was announced for 2017. The ASCL faces problems similar to those confronting the rest of Dutch academia; namely, increasing costs for personnel, office space, external services and books and journals. Current capacity cannot be maintained with the ASCL's core funding alone. Finding new sources of external funding therefore continues to be a priority.

### **3 Benchmarking**

In the Netherlands, the ASCL is unique in its field and has many unique characteristics in comparison with other area studies institutes in the Netherlands and elsewhere and with other African Studies Centres abroad. For this review, we have tried to do a benchmark analysis with three types of units: first, we compared the ASCL with other Africanists in Leiden, with two major area institutes in Leiden:

the KITLV (Royal Netherlands Institute for Southeast Asian and Caribbean Studies) and LIAS (Leiden Institute of Area Studies), and with other major centres of African Studies in Europe: SOAS in London, the Nordic Africa Institute in Uppsala, Sweden, IMAF in Paris, the CEA in Lisbon Portugal, and IAS in Bayreuth in Germany. But we decided to go beyond Europe and included a comparison with the two most important African Studies Centres in Africa: in Accra, Ghana and in Cape Town, South Africa, and with two centres in the USA (Northwestern University and Michigan State University) and one in Beijing (the IAS/PKU).

We compared the ASCL with these benchmark institutes by looking at:

- The structure/form of the unit, and internal organisation
- The major research agenda/topics
- The disciplinary composition of the staff
- The scientific visibility of its most prominent staff members.

For the last element, we developed the so-called GS5 method: the sum of the five most cited publications for the (leading) scholars, both for their total career citations and for the last five years (2012–2016; the period of the current research programme of the ASCL). To arrive at an acceptable standardisation, we compared the GS5 scores of the ten leading scholars of the ASCL with the ten leading scholars of each of the benchmark institutes. We included all PhD-holding scholars visible on a Unit's website (in late 2016), who have published about Africa, and for the GS5 analysis we focus on publications about Africa. Often the websites include retired (but still active) 'guest' scholars, the same as at the ASCL, and often they also show auxiliary scholars (again: the same as the ASCL).

*See appendix 7 for a summary of results and a separate document about the benchmarking analysis as a whole.*

If we compare the ASCL's research staff numbers with the various benchmark units, it is clear that the ASCL is in the sub-top, but LeidenASA as a whole is among the biggest local networks of African Studies in the world, comparable to the African Studies Centre of Michigan State University, SOAS in London, IMAF in Paris, CEA in Lisbon, and IAS Bayreuth. Looking at the research performance of the ASCL as such (so not including other scholars in LeidenASA) ASC of Michigan State University is the world leader, followed by SOAS in London. NAI Uppsala and ASCL are in a third/fourth position. In Leiden ASCL has a comparable performance with LIAS-Asia, and the ASCL has performed (much) better than KITLV and LIAS-Middle East. In terms of scientific domains the ASCL is strong in history and social sciences, but compared to other African Studies Centres elsewhere it is not so active in language studies, arts and literature, archaeology, applied health studies, and the sciences. LeidenASA is, though, and there is an active attempt now to develop more synergy.

#### **4 Targets and performance indicators**

When in 2011 the 'New Style' document was developed, and the new research programme started (2012-2017), the intentions were:

- 1 Maintain the level of funding for the ASCL, rejuvenate the ASCL staff, and make the ASCL Staff more diverse.
- 2 Less time to be spent on internal management by merging the separate research and organisational committees, and by changing a research structure with three theme groups to a research structure with one research programme.
- 3 More external funding, and a stronger finance department/project office.
- 4 The new research programme would have four focus areas (see Chapter 1), and flexible arrangements of collaborative research groups, to be managed by the Researcher's Assembly. There was a vision to rejuvenate, and to attract more temporary junior researchers.

5 Successful acquisition of academic research projects, particularly from the Dutch NWO funding agency.

6 The research output/input should be maintained at the same high level as during the 2004-2010 period.

7 The composition of research output should at least maintain the same strength in terms of scientific quality, decrease publications in non-refereed publication media, and increase publications with societal impact.

8 ASCL research output should become more visible in global academic usage, and the ASCL should be among the top-performing institutes in the world in African Studies.

9 It was the intention to have more professors, and hence a more direct involvement with PhD supervision. As long as the Centre was a Foundation (and not formally part of Leiden University), these professors had to be appointed as special professors elsewhere. It was also the intention to benefit more clearly from PhD graduations, also financially.

10 It was the intention to increase the Centre's input in education, and training.

11 Maintain the excellent quality of the physical library, and maintain the acquisition levels, and particularly for books and journals from Africa.

12 Further increase the digital services to the global academic community, and usage, but do so more efficiently. Improve the quality of the website and social media visibility.

13 Maintain the publications series of the ASCL (partly together with Brill Academic Publishers), but decrease the costs for the ASCL; Decrease the time spent on unpaid services to the global academic community.

14 Increase the variety of societal connections of the ASCL (and particularly increase the connections with the business world), and increase the output for non-academics, and the societal relevance of the ASCL's publications, and activities, both in the Netherlands and in Africa.

15 Increase the ASCL's involvement in the activities relevant for the Ministry of Foreign Affairs.

Target	Performance indicator	Where in document
1	Budget figures; diversity figures	Ch. 2 & 9, and A2; A8
2	Time spent on management	Ch. 5, and A1
3	Absolute and relative importance of external projects; and time spent on financial management/acquisition	Ch. 5, and A1
4	Research staff composition and strength	Ch. 5, and A1
5	Academic projects acquired	A2
6	CERES/EADI assessment of research success in terms of overall quantity	Ch. 5, and A3
7	CERES/EADI assessment of the quality and societal relevance of publications	Ch. 5, and A3
8	Google Scholar analysis; the GS5 method developed by the ASCL	Ch. 3 & 5, and A4, A5 and A7
9	Number of professors, and number of PhD supervisions and graduations	Ch. 6, and A6
10	Time spent on education, and variety of education and training programmes supported	Ch. 6, and A3
11	Library budget, time spent on the physical library, and	Ch. 7, and A3

	acquisition numbers	
12	Time spent on information services, variety of digital services, and downloads	Ch. 7, and A3
13	Output of ASCL publications series; time spent on publications and other services to the academic community	Ch. 1 & 5, and A1
14	Time spent on services to the non-academic community, variety of the non-academic network, visibility in non-academic circles, the importance of external funding beyond academic funds	Ch. 5, and A1
15	Variety of activities paid by and performed for the MoFA	Ch. 5, and A5

Appendix 10 presents a summary of the SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats), which the ASCL Staff collectively developed on 20 January 2017 (see separate ASCL Self-assessment SWOT document for the complete results).

Preliminary targets for the period 2018-2023 are:

- Further rejuvenate and diversify the staff; and develop the new research programme for the ASCL around the seven or eight full professors and their academic domains;
- Develop the ASCL Graduate School; attract at least 35 'own' PhD candidates; and make the Graduate School a hub for graduate training about Africa in the Netherlands, and with 'virtual outreach' to other African Studies Centres in Africa, Europe, and elsewhere;
- Develop a more intensive, high-quality involvement in teaching and (virtual) training; all researchers and some library staff members will have a BKO-qualification;
- As a result of growing competition with other tasks (acquisition, teaching, graduate school, BKO trajectory), it will be impossible to maintain the current high level of research output. It is more realistic to strive for a 75% success rate compared to 2011-2016;
- It is the intention to further increase the online accessibility and citation success of previous and new publications by ASCL Staff, and of ASCL publications and of publications about Africa in general;
- Move to new premises at the Humanities Campus, support the start of an African Library, and increase the overall Leiden budget for 'Africana' library acquisitions from the current 120,000€ (2/3 ASCL budget), to 200,000€ (1/2 ASCL budget; the ASCL Library strives to buy at least 50% of its new books from African publishers and organisations), but maintain the autonomy and quality of the current library, information and documentation functions of the ASCL; and maintain the interfaculty status of the Centre;
- Strengthen the collaboration with other Africanist colleagues in Leiden [LeidenASA] and in LDE [LDE-ASA], and 'harvest' the fruits of more synergy, and of a much wider coverage of academic domains, and scale; continue the fruitful collaboration with other area institutes in LeidenGlobal; 2019 an LDE-Africa Year for Leiden, Delft, The Hague and Rotterdam!
- Invest in acquiring NWO and EU funding for academic projects, and harvest the matching bonuses given by Leiden University; invest in joint funding applications with African and European colleagues; and widen the sources of funding beyond the Netherlands; invest in AEGIS collaborative research groups; and in dedicated contacts with selected LeidenASA partners in Africa;
- Maintain the fruitful collaboration with non-academic partners in the Netherlands, and further expand external funding; maintain the good relationships with the Ministry of Foreign Affairs in the Netherlands; expand the relationships with non-academic partners in Africa.



These preliminary targets for the new research period 2018–2023 will be developed further on the basis of the outcome of the Evaluation, and the process will be guided by the new ASCL director, who will start in September 2017, after the retirement of the current director.

## **5 Results over the past six years: academic and societal**

### **Highlights of successes and reputation**

*Academic success:* During the period under review, the ASCL harvested the results of the NWO-VIDI project of Jan-Bart Gewald ‘The relationship between people and the Internal Combustion Engine in Africa’; and was proud about the acquisition of an NWO-VICI-project for Mirjam de Bruijn ‘Connecting in Times of Duress’. The ASCL’s director was awarded a Laureat d’Honneur by the International Geographical Union in a festive ceremony in Kyoto, in 2014. The ASCL succeeded to get additional special professorships: Jan-Bart Gewald (Leiden), Rijk van Dijk (Amsterdam), and Benjamin Soares (Amsterdam). There were prestigious visiting Professorships: Stephen Ellis (VU), Jan Abbink (NIAS and Kyoto), Benjamin Soares (Beijing) and Rijk van Dijk (Konstanz). Han van Dijk became the new RESMA director for African Studies. There was overwhelming praise for Prof. Stephen Ellis after his death in 2015.

The ASCL (co-) organized 180 academic conferences and seminars in 2011-2016; and its staff supported editorial functions in 39 academic journals and 13 publication series. There was an active membership in 22 scientific institutions (see: Information Notes 5 and 7). During the period under review there was a production of 382 peer-reviewed academic publications (one third of those together with African co-authors, or co-editors), and 121 Academic Publications in the ASCL Series, many of those together with African academics, and partly co-published in Africa. The Africa Yearbook won the ASA 2012 Conover-Porter Book Award; African Dynamics publication ‘Asian Tigers, African Lions’ won the Choice Outstanding Academic Title Award in 2014. The ASCL Library acquired 19,860 new books, and developed Alert Services, and developed an app for usage of AfricaBib on mobile phones. The ASCL Library now has more than 93,817 paper books, 1850 DVDs, 3991 edocs, and 707 current journals. ASCL publications were often cited (see chapter 7), and there were huge download numbers for ASCL Publications in the Leiden Repository (ten most downloaded publications in 2011-2016: 272,000 times). In 2011-2016 55 PhD candidates graduated, who had been (co-) supervised by ASCL staff, (see: ASCL Research Harvest 2011-2016; and Information Notes 8).

The ASCL successfully acquired 21 academic research projects (for a total sum of >4.7m€), including prestigious ones like ‘Grounding Land Governance’ (WOTRO 2011), Arabisation and other technologies of communication in a post-conflict situation (WOTRO 2011), Centre for Frugal Innovation in Africa (LDE 2013), Productive Employment for Inclusive Development (Incl Dev; WOTRO 2014), Strategic Actors for Inclusive Development (Incl. Dev; WOTRO 2014), The Fulani in the Sahel (WOTRO 2016), and the LeidenASA Integration Fund (Leiden University) (see: Information Notes 3).

The newly designed website was a great success with >964,000 unique visitors in 2011-2016, and there was expanded use of social media (twitter followers December 2016: 3,944; facebook: 4,603) (see Information Notes 6).

*Societal success:* The ASCL staff produced 517 publications for a wider audience than academics; and there were 128 Publications in ASCL Series for a wider public, including policymakers (see ASCL Research Harvest 2011-‘16 and Information Notes 8).

The ASCL successfully acquired 49 research projects for societal partners (for a total sum of >8.0m€). This includes prestigious ones like: Living on the edge – sustainable land use and conservation of migrant birds in the Sahel (Birdlife International Netherlands 2011), Targeting the Poorest (Woord en

Daad 2011), Tracking Development II: Developmental States in Africa (ODI London 2011), CoCooN Initiative Kenya (Cordaid 2013), Society and change in Northern Ghana (Afr. Tiger Holding Ltd 2015), Breaking down barriers to inclusion (Liliane Fonds 2015), Mobile Money (World Bank 2015), A second chance for child soldiers in CAR (UNICEF 2016), Engaging the Private Sector (UNU-UNECA 2016), and various scoping studies for Labour Union CNV, and for the Knowledge Platforms Food and Business and VIAWater (see Information Notes 3). It was very important for the ASCL that it won a tender for the coordinating role for the Secretariat of the Knowledge Platform for Inclusive Development, and organizing major Platform conferences, a.o. in Lusaka at the African Development Bank meeting. It is equally important that the Ministry of Foreign Affairs will fund the Stephen Ellis Professorship in Finance and Integrity in Africa from 2017 onwards.

The ASCL (co-)organized 54 country and policy meetings in 2011-2016, including three Africa Works! Conferences (2012, 2014, 2016), together with the Netherlands African Business Council, four training seminars 'Leave no-one behind' with the co-ordinating body for Dutch Development NGOs, PARTOS, and two Voice4Thought Festivals with LeidenGlobal. As a result of expanded use of social media seminar attendance became much higher, and also attracted new audiences, including many more Afro-Dutch diaspora members (See Information Notes 7). The ASCL developed unique tools for knowledge about Africa for a general public: the Countryportal, AfricaBib, Webdossiers, thematic maps, infosheets, and policy briefs, while the ASCL's electronic newsletter, and the ASCL Community became important tools for intensive communication with a large network of people interested in Africa. There was an active membership in 28 societal organisations (see Information Notes 5 and 7).

### **Shifts in tasks**

In appendix 1, table A1.3 a comparison is given about the time spent in 2011 and 2016 on the various tasks of the ASCL. As intended (see chapter 4), there were shifts in tasks. The ASCL succeeded to maintain its level of funding, and in 2016 succeeded to grow again (see appendix 2). Managerial time of the director and vice-director/director of the library, plus time spent in the Board, the Executive Board, the Works Council and the separate meetings of support staff, library staff, PhD/junior staff and researchers decreased slightly (2011: three separate research groups and 2012-2016: Researcher's Assembly). However, the project office and the secretariat, grew (although after joining Leiden University part of the financial work has been externalized). In total, there was a growth of actual research time, but also a big shift in composition and types of research-related tasks: in 2011, senior researchers spent 7.8 fte on research; juniors 4.4; in 2016 this was almost reversed; senior researchers 5.8 fte; juniors 7.6. Senior researchers had to spend increasing time on research acquisition, and their actual time spent in the field and in archives became less. There was a slight reduction in time spent on research supervision of PhD candidates, but a growing involvement in teaching at (Research) Masters' and now also Bachelors' level. The physical library (acquiring books and journals, making those available, and a lending service) took less of our time. And also the services to the academic community (editorial work, publications series, (digital) library documentation and information; research/knowledge communication; membership of editorial boards; writing book reviews) were more efficiently organized, with slightly less time spent. There was a broader involvement with more diverse societal partners, including now also the business world. Overall, our Centre grew slightly, despite the budget cuts of our core funds, but that also meant that relatively more time is spent on acquiring and managing external projects, and on (paid) teaching.

### **Publication results**

Here we focus on the academic and societal results of the ASCL's research programme; chapters 6 and 7 cover the other result categories.

This report covers the last year (2011) of the ASCL's previous research programme (2007–2011) and the first five years (2012–2016) of the ASCL's current six-year research programme (2012–2017). The ASCL's research staff – comprised of the core research staff, associated researchers and PhD students – come from different disciplinary backgrounds and work primarily in the social sciences and the humanities. Research at the ASCL is solidly empirical in nature, with an emphasis on primary data collection in and about African societies. During the period of the review, the ASCL's research staff members combined academic research that led to many academic publications with an active engagement in public debates and exchanges with other academics, policymakers, including the Netherlands Ministry of Foreign Affairs, the media, NGOs and the business community.

Although the current research programme started in 2012, we will include the 2011 situation as well (more detailed information about that last year of the former research programme: ASCL Harvest 2011-'16: 6. See appendixes 4 & 5 for publication highlights and 'ASCL Research Harvest 2011-'16' for all output).

Over the years, the ASCL has maintained a high level of staff publications and also succeeded in acting as a steady 'publishing machine'. Increasingly, publications are presented on our website in the Annual Report with an online access URL, and the ASCL has become a strong advocate for open access. We succeeded in convincing Brill Academic Publishers (and also Karthala in Paris) to accept a two-year grace period, while all publications issued by the ASCL itself are immediately visible online, and 'marketed' with social media tools. A considerable number of staff publications are suitable and available for a wider public, including blogs and web dossiers (such as the country dossiers produced for every ASCL Community Country Day). In addition, the Library, Documentation and Information staff has succeeded in developing a very useful tool, the countryportal<sup>1</sup>. At the same time, the ASCL hosts or contributes to area portals (like the Kenya Coast Portal), thematic portals (like the Islam in Africa portal), research websites (like 'Connecting in Times of Duress') and outreach websites for a more general public (like the websites for INCLUDE, for CoCoon-Kenya (on the IUCN website), the NVAAS, PADev, and V4T).

## **Results for the four research foci of the research programme 'Africa and Global Restructuring':**

### **I Resources and well-being**

The thematic area of resources and well-being is of crucial importance in contemporary Africa, and one that demands sustained and critical fundamental research. The ASCL has taken a central role in this and much of its core research falls within this rubric. Resources and well-being are central to the lives of all people, and feature prominently in the life histories and aspirations expressed by many in Africa. In addition, a focus on resources and well-being is also manifest in the many and varied planned development and change models that the state, international donors and non-state actors, including private companies, promote and seek to initiate.

In Africa, as elsewhere, people seek to exploit and transform natural and other (financial, human) resources to create economic, social, political and cultural networks and institutions locally, regionally and (trans-) nationally, and are thus involved in processes of inclusion and exclusion. Individual and collective plans for improved well-being are influenced by the fact that state and non-state actors operate in highly volatile, uncertain and often adverse conditions. In addition, in the struggle for access to resources and a modicum of well-being, the intentions and aspirations of some inevitably clash with those of others.

Specifically, the ASCL aims to arrive at a better understanding of (i) how people in contemporary Africa use and perceive the continent's main physical resources, namely (arable) land, mineral resources, livestock, physical infrastructure, water and labour, in their trajectories towards improved well-being; (ii) how these uses and perceptions relate to and interact with the economic, social and

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<sup>1</sup> <http://countryportal.ascleiden.nl>.

political contexts that are increasingly being shaped by today's global restructuring (including various transnational companies with headquarters across the globe); and (iii) the effects of individual and collective plans and trajectories on the productive potential and sustainability of these resources. The focal points in this field of inquiry include (i) possibilities for improved well-being in terms of land, water and food security and more inclusive access to these resources; (ii) issues of food, land, water and youth employment in and around Africa's expanding urban centres; and (iii) the use of resources to improve human development and the quality of life (physical and mental health, nutrition, educational level, skills).

The extensive and multi-disciplinary cohort of ASCL researchers involved in resources and well-being has been in continuous dialogue with government ministries, NGOs, private sector and media, both in the Netherlands and abroad. As the host of the Secretariat for the Knowledge Platform on Inclusive Development Policies (INCLUDE), one of the so-called Knowledge Platforms launched by the Netherlands Ministry of Foreign Affairs in June 2012, the ASCL has also been a key player in policy relevant research and research valorisation relating to issues of inclusive development, with strong relations with the most prominent think tanks in Africa itself.

Central to the thematic area focusing on resources and well-being, is how individual and collective plans and actions affect African trajectories to improved well-being at the level of the individual, local community, region and the state within the context of global restructuring. Building upon research that started before the new research programme was initiated, ASCL research staff members have made significant and timely contributions to important academic and policy debates in the field. A notable contribution was *Asian Tigers, African Lions* (2013) and PhD theses, which presented the results of the *Tracking Development Project* initiated by the Ministry of Foreign Affairs that compared the development performance of South East Asia and Africa over the last fifty years.

The '*participatory assessment of development project*' highlighted the serious challenges involved in reaching the ultra-poor in Africa through NGO interventions. Similarly, work on *Breaking down barriers to inclusion* sought to investigate the manner in which an effective lobby and advocacy for children with a disability could be realized. A specific focus on women in development featured in several projects, for example on women in community based organisations (Zimbabwe), intra-household collaboration and polygyny (Nigeria) and a review on the evidence on gender equality interventions for property rights, labour markets, political participation and violence against women.

Significant contributions were made on agricultural performance, and the gendered division of labour in crop cultivation, urban agriculture and livestock keeping, biofuels, feedstock production, forest value chains, water management, forest governance, and resource management in a variety of African countries. ASCL researchers working in these fields also conducted research and published articles on related issues in places such as Mongolia, India, Vietnam, and Latin America, which are useful for comparative reflection. Access to land featured prominently. In addition to ongoing research on the important topic of 'land grabbing' in Africa ASCL researchers also conducted research on land governance in conflict and post-conflict settings in Mali, Rwanda, Burundi, South Sudan and Uganda. Opportunities to gain access to land and jobs as constituting elements in historical and current day migration also featured strongly in the contributions to *African Roads to Prosperity* (2015).

Building on work for CNV (The National Federation of Christian Trade Unions in the Netherlands), issues surrounding labour dynamics and trade unions again became an important area of interest, culminating in the establishment of a collaborative group, and an NWO-WOTRO-funded project 'Increasing Political Leverage for Informal and Formal Workers' Organisations for Inclusive Development in Ghana and Benin'. Uncertainty in household economies and livelihoods featured strongly in the work on community based health insurance in Togo and Ethiopia and a study into the effects of dollarisation in Zimbabwe, including the intensification of gift-giving rather than other anticipated coping mechanisms in such a hyperinflationary context.

Work conducted within the context of an *African Dynamics* joint publication led in part to the establishment of the Centre for Frugal Innovation in Africa, a joint multidisciplinary centre of Leiden University, Delft University of Technology and Erasmus University Rotterdam.

## **II Constellations of governance**

The researchers working on ‘Constellations of Governance’ took a broad view on politics, power and ‘governance’ in Africa, as shaped by historical processes, social actors and movements, and conflict arenas, be they actual physical conflict, or contestations of ideologies and interest groups (e.g. in political forums and the media). The economic dynamics and growth in Africa in the period of study (2011–2016) made this work on socio-political developments and governance particularly enthralling, allowing us to assess continuities and change.

Field- and archival-based studies were done on ‘governance’ by researchers working on related and overlapping themes, from the historical to the political-economic and the rural-sociological. Governance in Africa – in the sense of the equitable political management of public goods, law, and social justice – has remained deeply problematic in the past decade, despite the economic dynamism and selective growth in state contexts. In-depth study has shown the resilience and originality of socio-political actors within and outside state spaces in formulating alternative modes of organisation and survival. At the level of states and state governance, the moves towards ‘democratic’ reform, inclusive politics and social justice remained problematic, and the new alliances of state regimes with foreign investors and emerging foreign powers or allies weakened the political agency of non-state actors and marginal groups and classes (like youths, ethnic or religious minorities) and insurgent groups in certain regions. We found that ‘governance’ as a concept also had to be redefined in a more analytical and less normative way.

Some of our work tuned into the debates of the early 2000s on ‘fragile’ and ‘weak states’, but the explanatory power of such state-oriented models, based on narrow ideas of governance, appeared to us to be too limited. Some states might not ‘function’ for the majority of citizens but appear to be ‘strong’ nevertheless, often propped up by continuing donor support. We showed that durable socio-political, ethno-regional fault-lines and contestation persisted in many African societies (Chad, Ethiopia, Central Africa, Somalia). Also that the continent is not free from ‘ungoverned spaces’, where new (armed) power claimants forcefully established their rule or ‘authority’, and often had some global impact. ‘Governance’ in such spaces is not the political management of public goods and some kind of rule-of-law regime, but more like coercive political control and the direct exploitation of resources and people.

As to the perennial issue of development – seen here as a comprehensive process of induced societal change that has political, economic and socio-cultural features – ASCL research emphasized its context-sensitivity and its appropriation by political actors, either ‘developmental states’ and elites, social movements, religious groups, or ethno-regional minorities or even criminal networks (shading into politics). The essential contestedness of ‘development’ within national arenas came out starkly in various country studies (on Central Africa, Chad, Ethiopia).

The African continent also struggled with the after-effects of the World Bank-inspired ‘structural adjustment’ programmes of the 1980s, now converted into new models about private-public (i.e. state) partnerships for socio-economic development. Such models, allying African state regimes with global capital and global institutions, appeared to relegate African farmers, urban workers and other producers to a secondary role, with few rights accorded. The new players in Africa (e.g. Asian countries and companies) seamlessly fit into this paradigm. This appeared, for instance, in the processes of large-scale land investments aimed to ‘replace’ subsistence agriculture and agro-pastoralism – with little alternatives for those displaced. Indeed, in the past five years a surprising number of land governance and livelihood conflicts emerged in the wake of foreign land investments. These conflicts had environmental as well as socio-political aspects. They occurred in

conjunction with lapses into state authoritarianism and political closure in quite a few countries. Other countries consolidated their democratic 'polities', with elections, party diversity and political alternation, but were faced with similar challenges of equity and inclusiveness.

Understanding 'politics in Africa' thus meant exploring these complex constellations of governance, emergent power formations, political-economic inequality, (religion-based) radicalisation and competition, and also crime networks in localized settings. It also meant identifying their constituent elements in everyday economic and political practice, and examining how new technologies were changing the way economists and state actors understand and interact with informal economies (Nigeria, Chad, Mali, Central Africa, Sudan).

In several major studies, ASCL researchers addressed the *historical* dynamics of the past century that led to the current political dispensations, regimes, or party states (South Africa, Zambia, Niger, Central Africa). Historicizing and rethinking the role of the state thus also generated renewed interest in participatory reassessments of Africa's own post-independence histories, in the relevance of common periodisation ('pre-colonial', 'colonial', 'post-colonial'), and in the current aspirations among various actors (from state to business circles to political and religious groups). This contributed to questioning the received wisdoms on the desired or expected trajectories on national resource management, ecological policy, social justice and 'security and the rule of law', ideals held in some form by most Africans (although in specific local expressions), and also prominent in current UN and donor policy (incl. Dutch government policies) towards Africa.

In the six years of research, numerous contacts and exchanges – both on an individual and collective basis, e.g. study days, lectures or seminars, advisory reports – were undertaken by ASCL researchers with members of the Netherlands Ministry of Foreign Affairs and Development Cooperation, the mass media, NGOs, and other societal organisations seeking advice. Examples (in 2015) are conferences on 'radicalisation' in West Africa (with the Foreign Ministry) and a research report evaluating the Dutch multi-annual development strategies.

### **III Identification and belonging in a media age**

Within the thematic area centred on identification and belonging in an age where media – in particular, mobile telephony and ICTs – proliferates, staff members have continued the ASCL's long-standing focus on understanding new forms and politics of identification and belonging. This part of the ASCL Research Programme set out to explore how changing modes of belonging and exclusion in Africa over time have been affected by the current era of global restructuring and the media revolution. While older forms of identification and belonging, such as those pertaining to religion, class, gender and political affiliation continue to be significant but have changed due to this global restructuring in important ways, the proliferation of new media and communication technologies – most recently, the mobile telephone and the internet, but also older mass media such as television – have equally led to profound changes in forms of identification in Africa. It has dramatically extended the possibilities for communication over space and time, but has also changed the content and the significance of flows of information, knowledge, images and ideas to, from and within Africa.

This research focus has contributed to a better understanding of the manner in which these developments have had specific consequences for processes of identification and belonging in various parts of Africa through extended and intensive, empirical and historical research. The research period has been devoted by the group of core researchers, their associates and PhD students to the collection of primary data on the changing nature of these processes, the rise of the new media and the emerging and changing forms of social formations in various societies. Important insights have been gained and made available in a wide range of publications, reports, conferences, workshops and policy exchanges. The theme of identification and belonging has proved to have been a productive and conducive one, evidenced by a high spin-off of subsequent, partly externally funded research projects and publications.

In this research programme, the projects have identified key moments when identification and belonging are expressed in social, cultural and political forms. These include rituals of the life course (marriages and funerals), cultural creativity in music, the visual arts, material culture and language, including literature and journalism as well as more popular linguistic forms, such as patois, slang and SMS usage, and diverse forms of political action and expression and how they change over time, including their mediatisation. The detailed empirical research has been able to demonstrate how shifting identifications have led to new alliances and networks, which, in turn, influenced norms, values and worldviews, such as those in the field of sexual and reproductive rights. New social formations, such as transnationally operating NGOs and other civil society organisations that have emerged as new contexts of belonging in a global age, have facilitated access to new resources, engendering at the same time forms of exclusion and relations of inequality, and at times even fuelling outright conflict.

Taken together, the researchers have been able to approach the problematic of rapidly changing processes of identification and belonging from within their own fields of specialisation, yet allowing for a diversified and multidisciplinary exploration of these processes. Examples are a focus on the rise of new communication technologies (the mobile phone in particular) as well as the rise of the social media on the continent. Others are the attention for political processes of identification and belonging, highlighting in particular how these are intertwined with the rise of the new media as well and the manner in which these coalesce with the expression of religious notions of identity. Often a historical approach was used by looking specifically at the emergence of colonial rule in various parts of Africa and the manner in which new technologies of communication, transport, administration and planning impacted on people's identities and social formations. Some researchers concentrated on questions of the interaction between (Christian) religion and the introduction of new (global) bio-medical technologies in the context of the HIV/AIDS crisis, which have led to new notions concerning the 'social engineering' of behavioural change and the refashioning of private lives. Others concentrated on the exploration of recent developments in African Islam and the manner in which new movements have been emerging including new forms of leadership and public profiling. Specific attention was given to the context of Islam in the role of new social and organisational formations, particularly in which the rise of transnational NGOs and charity organisations have played a major role in the refashioning of social identities and belonging.

A lot of work was done to understand the dynamics that exist in the relationship between social media, mobile telephony and social fabric under duress in Africa's mobile margins. It combined studies on mobility/migration, conflict and communication in an attempt to uncover these new dynamics, which were so evident in North Africa and the Middle East in 2011. The studies that were conducted in these projects were situated in northern Middle Africa (Chad, Central African Republic, Cameroon and eastern Nigeria). These findings have enhanced our understanding of conflict dynamics and the role of social media and ICT in conflict and post-conflict societies.

#### **IV Africa's global connections**

Within this broad thematic area, staff members have been concerned primarily with Africa's changing connections with the world in two main areas: economics and development, on the one hand, and religion, in particular Christianity and Islam, on the other, and occasionally their intersection.

The adoption of this research theme as a transversal theme in ASCL's research programme is based on the recognition that the world has an increasingly multipolar character. That is a result of the emergence of new global powers such as China, India, Brazil, Turkey and the Gulf States, and is of crucial importance to reflect on Africa's role and position within this evolving world order. Among the questions are the following: What does this multi-polarity mean for Africa? How does Africa fare when faced with possible struggles over its raw materials and resources (such as land, water,

biomass and mineral resources) and escalating bids for hegemony by different global players? What does this mean for new streams of finance and knowledge production and exchange and the reorientation of Africa's networks? Does the new historical set-up offer African countries and social groups room for negotiation and manoeuvre, and possibly lead to greater growth and stronger institutions? These questions are especially acute given Africa's potential to take advantage of its demographic dividend. Today, many Africans are young, healthier and better educated than in the past and are poised to enter the workforce.

This theme combines an interest in Africa's changing economic and political linkages to the world, with one in evolving social, political, economic and cultural networks that link Africa and Africans to other parts of the globe, including African Diasporas. By taking an African vantage point and highlighting the agency of African groups *vis-à-vis* external actors, this field of enquiry challenges victimising views of the continent. It shows how African strategies towards these actors have a significant effect in helping to shape today's world. This is not least because African actors' choices for orientating themselves to new poles and partners are eroding western hegemony in political, economic and cultural domains.

Between 2012 and 2016, research related to this theme was broad-ranging and diverse, ranging from studies at the local level (e.g. new entrepreneurial partnerships, humanitarian and educational encounters, and changing cultural orientations) to the national level (e.g. bilateral economic and diplomatic agreements) and the international level (e.g. changing alliances in international forums such as the UN), and from studies with a predominantly historical focus to studies focusing on the newest technological trends and political developments. Since the African diaspora is an increasingly important actor in forging and reinforcing new global linkages and relationships, it has also received particular attention.

This research aims to contribute to an understanding of the building processes and the effects of the multipolar world that is shaping new economic and political topographies in Africa and beyond. The research has particularly focused on: (i) new and changing connections facilitated by technological and institutional innovations; (ii) Africa's position in the global division of labour, world trade and investment patterns, including the shadowy side of international fraud and organized crime; (iii) the political consequences of new partnerships and alliances; and (iv) the cultural economy of Africa's linkages to the rest of the world, especially in religion and education. Finally, the activities of the CRG 'Africa in the World: Rethinking Africa's Connections' fit wholly within this theme.

The ASCL's internal research collaboration (and with invited guest researchers) was organised through CRGs: **Collaborative Research Groups**. There have been eight. (Details can be found in the ASCL Harvest document).

- Beyond the State: Trajectories of power competition and civic engagement in Africa, 2012–2014. Convenor: Prof. Jan Abbink.
- Conflict in Africa: Trajectories of Power Competition and Civic (Dis-) engagement (2014–present). Convenor: Prof. Han van Dijk.
- Food Security and the African City (2012–13); Agro-Food Clusters in Africa (AFCA) (2014–present).; Convenor: Dr Dick Foeken (2012–2013) and, subsequently, Dr Akinyinka Akinyoade (2014–present).
- Labour Dynamics and Trade Unions (2013) Trade Unions and Labour Issues in Africa (TULIA) (2014–present). Convenor: Dr André Leliveld.
- Networks, Conflict and Mediatization in Africa (2012–2014); Convenor: Dr Rijk van Dijk
- Rethinking Contemporary African History and Historiography (2012–present). Convenors: Prof. Stephen Ellis (2012–15); Prof. Jan-Bart Gewald (2015–16); Dr Klaas van Walraven (2017 onwards).
- Roads to Prosperity and Social Zones of Transit: Comparing Southern and West Africa through Time (2012–2015). Convenor: Prof. Jan-Bart Gewald.



- Africa in the world (2012-ongoing). Convenor: Dr Mayke Kaag.

## Assessment of quality and relevance

How, though, should we judge our output? Here we must differentiate between ‘output’ that creates academic visibility (i.e. citations, which can be seen as ‘outcomes’), and output that is both academically and socially relevant, i.e. that inspires the academic community and generates new ideas and methods that are useful for the knowledge community and for society.

To assess the ‘productivity’, ‘quality’ and ‘social relevance’ of ASCL researchers, the ASCL uses the **CERES/EADI valuation system** of research output and links it to the ‘real research and PhD supervision time’ of ASCL researchers. In the period 2011–2016, the total real research and supervision time of ASCL senior researchers was 46 fte. Total output is measured by categorizing all publications (categories A-F) and adding PhD graduations, and using CERES/EADI values per category (books, book chapters, journal articles, editing of journals, films, and PhD graduations; also differentiating between single- and multiple author publications and the number of supervisors involved in PhD supervision<sup>2</sup>). It is a fine-grained system of valuation, which is regarded as much fairer and more inclusive than, for instance, the ISI/Web of Science system of journal classification. The CERES/EADI system is updated annually. Of course, there will always be individual scientists (or sub-disciplines) with complaints (often about undervaluing ‘their’ field of studies). Complaints and suggestions are taken into account. In total, ASCL senior researchers produced 1658 CERES/EADI ‘credits’ for total output in 2011–2016. 1311 credits were for ABCP categories (scientific output; a sign of ‘scientific quality’) and 347 credits for DEF categories (social output; a sign of ‘social relevance’). In respect of the research input (in total full-time equivalents) of ASCL senior staff and postdocs, this means a ‘score’ of 35.9 credits/fte for total production (= a proxy for scientific productivity), 28.4 credits for ABCP production (= a proxy for scientific quality) and 7.5 for DEF production (= a proxy for societal relevance). CERES/EADI uses a ‘norm’ for adequate performance of 15 for productivity, 10 for scientific quality and 5 for social relevance per full-time equivalent of researchers’ time. In 2011–2016, ASCL staff more than twice surpassed this standard for productivity and quality, and was above the norm for relevance. We can compare a long-term trend and see that ASCL staff have continuously improved performance, up to a level that may be difficult to improve further, also given the increasing demands on staff time by other activities. See appendix 3.

During the period under review, the ASCL had 27 different researchers<sup>3</sup>. Twenty researchers performed (much) beyond the standard norms for productivity and quality. Of these, nine performed at more than double these two standard norms. Seven researchers performed at levels (slightly) below the norms, of whom four had recently joined the staff, and one retired. Two senior researchers show worrying publication performance for this six-year period. The concerns, along with suggestions for improvements, have been shared in annual performance reviews. See appendix A3.3.

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<sup>2</sup> The CERES/EADI system integrates a judgement for journal articles and book publications, as well as some other forms of scientific output. For journals the A and B categories make use of the Web of Science/ISI journal ratings; while C means ‘other academic refereed’, D ‘academic non-refereed’, E ‘for a wider public’, and F films. There is also a P category for successful PhD graduations. For book publishers a comparable valuation tool was developed, and both are regularly updated. The system uses ‘CERES/EADI credits’ as a counting unit. The ASCL Director (and, in the past, Dr. Dick Foeken) played key roles in developing this evaluation tool. The ASCL Director still chairs the (virtual) CERES/EADI committee responsible for annual updates. Details can be found on the CERES website. See: [http://ceres.fss.uu.nl/component/option,com\\_wrapper/Itemid,7/](http://ceres.fss.uu.nl/component/option,com_wrapper/Itemid,7/). Go to ‘rating lists’ for journals and publishers.

<sup>3</sup> For the citation analysis (see A7) we used the Google Scholar data for these 27 scholars, as well as for 8 others, who were either retired guest researchers, but still actively publishing, or scholars from elsewhere who were temporarily attached to the ASCL as project coordinators, or some of the short-term junior scholars.

**Valorisation:** The DEF output was slightly higher in 2004–2010 than in 2011–2016 due to a successful policy of diminishing the number of publications in non-peer reviewed academic journals and with marginal scientific publishers (the D category). In addition, there was a drive to increase publications and films for a more general audience (the E and F category, i.e. the infosheets and thematic maps). E publications (and films; category F) can be seen as the most visible method used by researchers in the social sciences and humanities to contribute to the valorisation of scientific work, given that these types of scientists do not produce output such as patents. Among the 27 researchers with research output in 2011–2016, 15 produced more than five CERES/EADI credits for DEF publications per fte research input (and some ‘outreach scholars’ exceeded this norm for ‘social relevance’ quite a lot). Mainly for postdocs it proves to be difficult to be successful in being scientifically productive and visible, and at the same time producing products for users beyond the scientific community. However, the ASCL and all its researchers actively contribute to many other forms of valorisation, by engaging with policymakers, journalists, artists, teachers and writers/publishers of text books and encyclopaedias (including Wikipedia, and Wikimedia), and also by engaging with people working in business, NGOs and with the general public (see later). There are ongoing efforts to not only engage with non-academic audiences in the Netherlands, but also in African fieldwork countries, and in international environments (also see: Information Notes: 10).

**Citations:** Of course, publications are not made to sit on shelves. The ASCL has an active (some say: ‘aggressive’) policy of promoting online access, accessible repositories and – through an active use of its website and, recently, social media – raising the profile of staff and ASCL publications. Scientific success and visibility can be measured by looking at citations by peers. The ASCL stimulates the use of ResearchGate and Google Scholar (GS). It has encouraged all research staff to create an open access personal GS page. ASCL staff perform relatively well in terms of citations by academic peers, although publishing in some fields is more a ‘niche’ activity – with a small group of peers – than in others. It helps if one co-publishes with people who are international academic leaders, and particularly if they play (or have played) central roles in North America and/or the UK. Most of the ASCL’s publications are in English, so the problem of relatively low citations for publications written in French, Dutch, Portuguese or Arabic does not apply to the majority of our output (but is a real problem for colleagues preferring to publish at least part of their work in these languages). However, the ASCL also encourages its staff to publish at least some research outcomes in journals or with publishers in Africa. These generally have low citations. It is desirable for ASCL researchers to publish more frequently in the leading journals in their disciplines and/or in the leading Africanist journals. The leading ASCL researchers in terms of citations (Google Scholar on 22 February 2017) are: Prof. Stephen Ellis (>5700); Prof. Jan Abbink (>2500); Prof. Rijk van Dijk (>2000); Prof. Mirjam de Bruijn (>1700); Prof. Fantu Cheru (>1600); Prof. Ton Dietz (>1600); and Prof. Wouter van Beek (>1500). The publications of retired guest researcher Dr Piet Konings are also well-cited (>1600).

At the ASCL, everybody has made a personal Google Scholar page. This is rare for an Africanist academic institution or an Area Studies Institute in general. Because only few researchers elsewhere have made their Google Scholar page yet, it is difficult to compare the ASCL’s citation performance with the performance of researchers in benchmark institutes. To make comparison possible, the ASCL developed a special tool, the GS5 method: comparing the total citations for a scholar’s five most cited publications, and to do so for both the total career of a scholar and for the publications of the last five years. In appendix 7, we have compared the ASCL’s citation performance with other ASA scholars in Leiden, and with many benchmark institutes.

## **6 PhD supervision (and a note on teaching and training)**

The ASCL fulfils a central role in the Netherlands in terms of the supervision of PhD students involved in social science and historical research in Africa. In 2016 alone, ASCL researchers supervised 75 PhD

students (of whom half are Africans), some based at the ASCL ('resident PhDs') but most at different universities in the Netherlands, elsewhere in Europe, and in Africa.

Between 2011–2016, we celebrated 55 PhD graduations (50% graduates from Africa, and a few from Asia) in which ASCL supervisors were involved, both as promoters and co-promoters (see appendix 3 and 6). The topics were as diverse as the expertise of the ASCL research staff, and ranged from ecosystem changes in Burkina Faso, large-scale land acquisitions in Ethiopia; conceptions of democracy in Mozambique; to tourism, power and myth among the Bushmen in Southern Africa; and the use of ICTs among Cameroonians in South Africa and the Netherlands.

Over the last two years, efforts have been made to bring together all PhD students in the Netherlands working on Africa from a social science and/or humanities perspective. To this end, a couple of well-attended meetings were organized. Among other things, students received information on the ASCL, its research and library services, and had the opportunity to network among themselves and with the senior researchers present. Also LeidenASA now has a dedicated strategy to connect all PhD students working on Africa in Leiden; while the ASCL also participates in the Graduate courses under the umbrella of LeidenGlobal.

Many promising students are interested in doing a PhD on Africa and are finding their way to ASCL advisors. There are, however, a number of challenges, mainly related to PhD funding. For instance, graduates of the Research Masters in African Studies programme are often among those promising and ambitious students who would like to pursue a PhD trajectory at the ASCL after graduation, but there is currently no structural funding available for this within the ASCL. A related problem is the fact that also within the Netherlands Organisation for Scientific Research NWO, funding for PhD trajectories has diminished over the last few years, with the increasing tendency to mainly fund short term, policy-oriented research. One of the responses of the ASCL to meet this financial challenge is the development of a graduate school. This must become self-sustaining over time, on the basis of the recycling of PhD bonuses, and by re-investing bonuses provided by Leiden University for the acquisition of external projects and employing junior researchers on these projects in order to enable them to finish their PhD once the project has ended. This ASCL graduate School will start in 2017 and will be coordinated by Prof. Rijk van Dijk. Having its own professors from 2017 onwards also means that finally the 'chaos' that was observed by the Review committee in 2011 can be overcome.

All PhD graduates (also those graduating in Leiden) so far worked under the responsibility of others, and the PhD performance (e.g., effectiveness and time between start and graduation) has been reported in review reports of those other research units. The ASCL cannot provide these figures, as there has not been an ASCL registration system of PhD candidates so far. This will change with the start of the ASCL Graduate School. However, like in the past, many of the ASCL's PhD candidates will not be 'normal' PhD students: many are self-funded, part-time, and/or mid- or late-career candidates.

The ASCL has become involved ever more in teaching and training (see Information Notes: 4): next to Research Master teaching/supervision in Leiden, and teaching at other universities (Dutch universities, but also in Germany, in Africa, in China, and in Japan) at the request of Leiden University ASCL staff is now teaching in the (one-year) Master African Studies, in the BA International Studies and the BA University College Leiden (both in The Hague). Research Master and Master African Studies have recently been reaccredited. Two minors are being prepared now as part of LeidenASA and Leiden-Delft-Rotterdam collaboration (Frugal innovations in Africa; and African Studies). All ASCL Research staff and some others will follow a so-called BKO trajectory in Leiden University in 2017-2018 to improve education capabilities.

The ASCL has a training contract for diplomats at the Ministry of Foreign Affairs, and as part of a major EU-funded activity the ASCL supports the 'Enhancing Postgraduate Environments' project in

South Africa. While training, teaching and student supervision has become more important for ASCL staff over the past few years – a trend that is likely to continue in the near future – the rule is that ASCL researchers should not spend more than 20 per cent of their time on these tasks. A challenge still to be met is to distribute the teaching load more or less equally and fairly among the research staff.

## 7 The Library, documentation and information activities of the ASCL

### LDI: General outline and profile

In the period under review, progress was made in various respects and in accordance with the *Policy Plan 2012–2016* (the ‘New Style Document’), the recommendations of the ASCL’s external evaluation (*Research and LDI Assessment*, April 2011) and the recommendations of the *Midterm Committee Review Report about the period 2011–2014*. The integration of the ASCL with Leiden University in 2016 has positively influenced the way the ASCL Library functions within this new context.

The six most important aspects of this evaluation period are: (a) a further shift to a digital library; (b) Increased usage of the products of the Library; (c) Increased linkages with researchers; (d) Key element: The uniqueness of the library collection; (e) Increased usage and importance of archival resources; (f) Cooperation with African and European libraries in African Studies.

### Profile

The ASCL library is instrumental in the realisation of the institute’s mission. As a research library specialized in Africana materials and a knowledge centre on Africa, it fulfils a national task – and as a digital library it has global outreach.

### Policy and strategy

The policy and strategy of the ASCL Library are based on policy plans from 2008 and 2011, on the external and mid-term evaluation in 2011 and 2015, respectively, on the collection development policy plan *Patron-driven, Perpetual Access & Primary Data* (2011) and, finally, on the knowledge of the library staff.

### Analysis: Collection & usage

During the 2011–2016 period, the collection grew by almost 20,000 paper book titles to more than 93,000 (next to > 700 current journals, and many DVDs, and edocs. Registered visits to the physical library remained stable but loans of physical books decreased, while use of the digital services increased tremendously. See appendix 3, and the special document about the library.

In 2016, the ASCL Library collection and its usage was analysed in three ways [see special document about the Library, including benchmarking]: (1) Analysis of the quality and unicity of the English-language and French-language collection within the ASCL Library; (2) Analysis of the usage of the collection of the ASCL Library, by looking at budgets, suppliers and languages; (3) Analysis by comparing usage, collection and other key figures of the library to seven related libraries in the Netherlands and Europe.



### **Resources, funding and facilities**

In the period under review, the number of staff members of the library (incl. the director of the library) dropped from 9.4. fte to 8.6 fte. In the period under review, there were (on average) 3.6 fte library assistants, 4.3 fte information specialists and an additional (temporary) 0.1 fte student assistant (and a director of LDI for 1.0 fte). For statistics about funding and acquisitions: see appendix 1 and 3.

### **Subject-indexing**

The African Studies Thesaurus, developed by the ASCL in 2006, plays an ongoing key role in making the collection better accessible. It also plays a role in establishing web dossiers and the new Leiden Alert Services on African Studies (LASA), and proves valuable for new web features.

### **Library website**

Most library products and services are accessible via the ASCL website. Apart from the homepage of the ASCL website, the five most popular webpages of the ASCL were pages from the library: 2 web dossiers and 2 collection pages.

### **Library Acquisitions Online**

The list of acquisitions by the library was redesigned in 2014 and is sent to a few hundred subscribers on a weekly basis.

### **African Studies Abstracts Online (ASAO).**

*African Studies Abstracts Online*, the ASCL's abstracts journal, provides an overview of articles from periodicals and edited works on Africa in the field of the social sciences and the humanities that are available at the library. With an average of 1,500 abstracts a year, the number of abstracts published in ASAO remained stable in the period under review.

### **Web dossiers**

Introduced by the library's information specialists in 2001, web dossiers have proved a popular service. The web dossier pages on the ASCL website consistently rank high in the statistics (with 6 web dossiers in the top 10 of most frequented pages of the ASCL website in 2016) and the alert service to new web dossiers has over 500 subscribers. 24 web dossiers were made in the period under review, ranging from Food insecurity to Crime in Africa.

### **AfricaBib, Connecting-Africa and ASC Country Portal**

This bibliographic database now contains 222,000 items (metadata on scholarly literature). AfricaBib was indexed by Google Scholar in 2014, and in 2016 an app was built to increase usage. The ASCL Country Portal was launched in 2014, to give users direct access to trusted resources.

### **Outreach and use**

Usage is of primary importance to the ASCL Library. Outreach is performed in various ways: Supporting Country Meetings & Seminars, assistance to researchers and students, lecturing & touring, bibliographic assistance, Wikipedia projects and Leiden Repository. For user statistics of the physical library see appendix 3.

### **Professional relations and cooperation**

Relations and cooperation are diverse, ranging from Leiden University Library and ASALeiden to the Library of Congress, and from European partners (ELIAS) to Africa (African Union, Codesria). Yearly book acquisition trips help to diversify the collection. Cooperation with Leiden University has materialized in several ways, for example in collection development and acquisition.

## **8 Research integrity**

Doing research in and teaching about Africa touches on many aspects of integrity. Academic integrity checks (avoiding fraud, plagiarism, and un fair publication practices) are part of the debates in the Researchers Assembly. In our research agendas and publications we include aspects of integrity as research topics, and one of the forthcoming professorial chairs explicitly deals with the Governance of Finance and Integrity in Africa. In the Researchers' Assembly, in our regular seminars, and in our classes, ethical issues about academic integrity and about the personal integrity of working in often 'corrupt' environments are part of our internal debates, and also part of regular performance

interviews. Our finance department is vigilant to avoid irregular financial behaviour. All staff avoid 'making money out of their jobs', aside from their regular salary. There are clear rules: all money earned in projects, or by publications, or payment for functions, will be paid to the African Studies Centre Leiden. Staff also avoid 'luxurious' behaviour while travelling to and from Africa (or elsewhere), and avoid overspending on daily costs.

There are issues, though. One issue has to do with the fact that projects in which African partners, from African institutions, participate frequently deal with the fact that money sent through (academic) institutions in Africa do not always reach the researcher, or do so only after major difficulties. We try to solve these issues case by case. Another issue is that, as a Centre, we try to go beyond academia and engage with diplomats, journalists, business people, etc., also from Africa. In some cases, we have experienced threats to our independent judgements and attempts to silence our voices, or punish/threaten us for the positions we have taken. We support our staff, PhD and other students, and (former) visiting scholars, when they are confronted by these attempts. And when, for instance, the ASCL Community organizes Country Days or we host debates about controversial topics in our seminar series, or conferences, chairs of these meetings try to create and maintain an atmosphere of decent and respectful behaviour. In exceptional cases, we have organized these meetings behind closed doors and/or using Chatham House rules. Exceptions to the (strong) rule of open access applied to everything we produce (or with a maximum of a two year grace period for publishers) must occasionally be made in cases where publication could endanger staff or students.

Finally, there is a problem that must be discussed under this heading. Leiden University (like all universities in the Netherlands) enforces a strict policy of ensuring that staff and especially students cannot visit regions designated by the Ministry of Foreign Affairs in the Netherlands as dangerous (code Red or Orange). During the last few years, these red and orange zones have been growing in size and now cover a third or more of Africa. A strict interpretation of this 'no-go policy' would mean that the continuation of fieldwork with colleagues in these endangered regions becomes impossible, and also that relevant research topics, touching on security, conflict and violence cannot be studied by first-hand observation. We are currently in strategic debates with the university authorities about ways to handle this threat, which potentially means that major parts of Africa can no longer be studied properly, which results in a biased account of what is happening in the continent.

## **9 Diversity**

African Studies touches on many research topics that deal with inclusion and exclusion, and the institutional and cultural ways of creating and maintaining inequality, or breaking through barriers, and supporting emancipation. In African Studies, diversity is relevant in terms of age (the exclusion of youngsters; the neglect of children's rights), gender (the position of women and men in society, economy and politics; discrimination against women), sexual orientation (the criminalisation of LGBT people), religious choices (the position of 'indigenous' religion versus various forms of Christianity and Islam, but also the difficult position of atheists and 'free-thinkers'), race/genetics (who is an African? Does North Africa belong to Africa? What are the rights of white Africans in claiming to be African too?), ethnicity/nationality (all types of xenophobia, and ethnic exclusion or even genocide; the position of 'foreigners'), language (the often inferior position of African indigenous languages; the dominance of English versus French, Portuguese and Arabic), class (owners of capital, state employees, managers and salaried workers, informal sector workers, peasants, the unemployed), urban versus rural, and other social and political divisions that can and are being used to favour some sections of society, and discriminate against others. Recent debates in African academia about 'decolonizing the curriculum', and 'Rhodes Must Fall' resonate in curriculum discussions in Leiden (a student took the initiative of organizing a well-attended discussion meeting about these issues in 2016), but also feed debates about the one-sidedness of academic orientations, choice of research topics, methods to be used, and (biased) collaboration, publication and citation behaviour.

Studying and discussing these issues about Africa also demands an honest self-assessment of how we manage the diversity of our own research and teaching environment. With limited and diminishing core subsidies, and an existing staff structure, it is difficult to change unbalanced structures quickly.

Three questions are relevant in terms of staff composition: What is the age composition? What is the gender composition, and how many of our staff have an African background by birth or upbringing?

The changes in age and gender composition of ASCL staff are demonstrated by comparing late 2010 with late 2016. We do so by showing two 'gender-by-age' tables and two 'gender-by-scale' tables (see appendix 8). We look at numbers of people, not at full-time equivalents. And we do not differentiate between permanent and temporary staff. We also did not include our (many) visiting fellows. The comparisons between 2010 and 2016 show that, in this six-year period, the total numbers of ASCL employees grew, from a total of 48 paid members of staff to a total number of 51. This means that we succeeded in growing, despite cuts to our core budget during those years (a reduction of close to 20%). The growth was achieved by obtaining funds from alternative sources and employing staff on projects, but also by making it clear that 'regular staff' had to take initiatives to ensure that part of their salaries are covered by providing services (like teaching and PhD supervision), for which payments could be realized, in one form or the other, and by becoming involved in external projects for which staff time could be rewarded financially. At the same time, we succeeded in maintaining (or even slightly improving) the average level of remuneration for our staff: at the end of 2010, the average scale level was 9.6; by the end of 2016 it was 9.9. Scales for researchers range from 11 to 18, library staff from 7 to 13, and support staff from 5 to 11, while PhD students have a special scale (treated here as '4'), as do student assistants (treated here as '3'). However, the large majority of PhD students supervised by ASCL researchers are NOT on our payroll and receive their payments elsewhere.

It is clear that the ASC(L) has a relatively mature staff, and that it has been a challenge to recruit young people as PhD students, postdocs and junior researchers. During 2012–2016, we had a modest but dedicated postdoc policy of taking on young scholars, paid from the direct government subsidy, and from money earned as 'profits' from third-party funding. We succeeded in lowering the average age of our staff, from 49.4 years to 45.3 years, and we have been able to rejuvenate a considerable part of our staff. Of the 48 salaried members of staff in 2010, 21 left during the last six years (often because of retirement; but many remained as guest researchers, no longer getting a salary from the ASCL), and we recruited 24 new people. Among the men, the average age was and is considerably higher than for the women. The average in 2010 was 52.5 years for men and 47.3 years for women; in 2016 it was 51.3 years for men and 42.0 years for women.

It is also clear that what appears to be a generally balanced staff in terms of gender (in fact, there were and are more women in our staff than men, and increasingly so [in 2010: 27 women and 19 men; in 2016 33 women and 18 men]), becomes very unbalanced if we look at the scales and positions in the organisation. Among the (higher paid) researchers, men dominate; and among the (lower paid) library and support staff, women are the majority. As a result, the average scale level was 12.4 in 2010 and 12.7 in 2016 for men and 8.4 in both years for women.

Using the chances we now get to appoint our own ASCL professors the current plans are to fill two out of six professorial positions with women (and, in addition, one probable vacancy for a seventh position; and maybe an eighth professor, if the new director [from September 2017] is recruited from outside the Centre). We have a self-evident strategy that all committees should have at least one female member (and in LeidenASA women are even taking the lead now), and the ASCL director and other staff members refuse to participate in committees (including PhD assessment committees, and journal boards) comprising only men.

One aspect of age discrimination has been avoided due to a dedicated strategy. All those who retired during the last six years have been invited to continue working at the Centre, make use of its facilities (a room, telephone, computer, secretarial support, use of budgets, also for visits to Africa and to conferences), and to continue publishing and being part of the academic community. All retired staff have been made honorary members of the ASCL Community, and remain visible on the ASCL website. This is also true for retired librarians and documentation/information staff.

We are proud to report that we have succeeded in gradually recruiting more people originating from Africa as regular staff members, in addition to the long-established strategy of inviting visiting fellows from Africa (a policy now taken over by LeidenASA; see Information Notes: 9). In late 2010, we only had one member of staff from Africa, in a postdoc position. At the end of 2016, we had seven staff members coming from Africa, and among the intended professors there are two out of six (and one vacancy). Two senior researchers are African, as is one postdoc, one PhD student paid by the ASCL (many more get their salaries or bursary elsewhere) and one member of the support staff was born in Africa. Many of the ca 700 members of the ASCL Community are Africans (including Afro-Dutch diaspora), and there are many women among the Community members, also from Africa. See appendix 8 for graphs about the age and gender composition of the ASCL's staff.



## Appendix 1 Research staff/number and fte

The international prestige of the ASCL is based on its many outstanding members of staff. During the period under review total numbers of staff have been quite stable (ca 50; most support and library staff have part-time positions). Tables A.1.1, and A1.2 show the composition of the ASCL staff. The total number of staff on the ASCL's payroll (i.e. tenured staff) increased from 36.8 fte on 1 January 2011 to 37.5 fte on 31 December 2014, and 38.1 per 31 December 2016.

Table A1.1 ASCL Staff (people)

	2011	2012	2013	2014	2015	2016
Director	1	1	1	1	1	1
Perm. Res.	16	17	16	16	16	14
Guest Res.	3	5	7	5	5	5
Temp. Res*	4	4	3	7	5	3
Aux. Res.	-	1	1	2	3	3
Res. assist**	-	1	7	5	4	10
Res. PhD	26	24	22	20	15	14
Perm. LDI	12	12	13	12	12	12
Temp. LDI	1	-	1	1	3	1
Perm. Supp.	12	11	11	10	12	10
Temp. Supp.	5	4	4	4	3	3
Vis. Fell.	10	8	8	10	7	6
Total	90	88	94	93	86	82

\* including postdocs; \*\*excluding field assistants in Africa

Table A1.2 Personnel (in fte)

	On 1-1-2011	On 31-12-2014	On 31-12-2016
<b>Management (a)</b>			
- On ASC(L) payroll	3.2	2.5	2.7
<i>Total management</i>	3.2	2.5	2.7
<b>Research staff</b>			
<i>On ASC(L) payroll</i>			
- principal researcher	2.1	0.0	0.0
- senior researcher (b)	10.2	11.8	9.6
- researcher	0.4	0.6	1.1
- postdoc	0.0	1.0	0.0
- student assistant	0.6	0.1	1.0
<i>Subtotal research staff on ASC(L) payroll</i>	13.3	13.5	11.7
<i>On ASC(L) payroll but externally funded</i>			
- temporary researcher, externally funded	1.7	0.6	1.3
- researcher at own request (c)	(3)	(5)	(5)
- junior researcher	0.0	1.8	3.3
- PhD students	2.0	2.2	2.0

- postdoc	0.7	0.8	1.0
<i>Subtotal ASC(L) research staff externally funded</i>	4.4	5.4	7.6
<i>Total research staff</i>	17.7	18.9	19.3
<b>LDI staff</b>			
- information specialist	4.6	3.8	3.8
- assistant librarian	3.8	3.8	3.3
- student assistant	--	--	0.5
<i>Total LDI staff</i>	8.4	7.6	7.6
<b>Support staff</b>	8.5	8.3 <sup>d</sup>	8.3 <sup>d</sup>
<b>ResMaAS coordinator</b>	0.4 <sup>e</sup>	0.2 <sup>e</sup>	0.2 <sup>e</sup>
Total (all staff)	38.2	37.5	38.1
<b>Total staff on ASC(L) payroll</b>	<b>36.8</b>	<b>37.5</b>	<b>38.1</b>

Notes:

- In 2011, director (80%), director of LDI (100%), one researcher/manager (50%) and three theme-group leaders (30%); In 2014 and 2016, director (100%) director of LDI/vice-director (100%), Chair of the researchers (30%), coordinator of supervision and teaching (20%); as of 2016 also the institute's manager/controller (20%).
- Includes 1.0 fte tenured researcher, seconded elsewhere
- Researchers who continue to work at the ASCL after retirement (nul-aanstellingen). As of 1 January 2011 there were three; as of 31 December 2016 there were five. In 2016, there were also two additional, external researchers at the ASCL on assignments (not as salaried staff), and one Nigerian postdoc, not on the ASCL's payroll, but funded by project money.
- Including one temporary student assistant 0.5 fte.
- Costs shared by the ASCL and Leiden University; in 2011 on payroll Leiden University, as of May 2013 on payroll of the ASCL.

In addition, ASCL staff with professorial positions at Leiden University and elsewhere are currently co-supervising more than 70 PhD students. This strengthens the ASCL's research capacity and is an indication of the ASCL's success in obtaining external funds.

### Staff management

Job descriptions, including responsibilities and salary scales, exist for all ASCL functions and annual performance appraisals (*functioneringsgesprekken; from 1 January 2016 Result and Development Reviews, ROGs*) are held with an employee's immediate superior. In 2011, the performance appraisals were done by the three theme-group leaders with the researchers in their theme group. This changed when the theme groups disappeared and these appraisals are now done by the director. If necessary, mid-term progress discussions can be held. If a temporary appointment turns into a permanent position or in cases of promotion, an assessment (*beoordeling*) is carried out of the previous years' achievements. Matters discussed in these meetings (*functionerings/R&O/ROG-gesprekken* and *beoordelingsgesprekken*) are recorded in a report that is signed by the person concerned, the immediate superior and the director. See table A1.3.

Table A1.3 Performance Review Organisation

First Line	Second Line	Third Line
Chair Board > Director	All research staff	PhD candidates
		Auxiliary staff
	Director of the library	All library staff

		IT staff
	Head Publications Unit	Publications staff
	Head Finance Unit	Finance Staff
	Head Secretariat	Other secr. Staff
	Other support staff	

We have made an attempt to get an idea about the distribution of the various tasks at the ASC(L) in 2011 and 2016, among all staff. Table A1.4 gives the results.

*Table A1.4 ASCL tasks, measured in full time equivalents*

	2011	2016
Management/Finance	4.5	5.7
Research	12.2	13.4
PhD supervision and teaching	2.1	2.4
Library as such	3.8	3.0
Services to the academic community	11.1	10.3
Services to society	3.1	3.3
Total	36.8	38.1

Excluding temporary staff, guest researchers, and resident PhD students

## Appendix 2 Funding and expenditure

Table A2.1 Sources of funding (x €1000)

2011–2016		
	€	%
Direct funding	17,059	64.1
2 <sup>nd</sup> funding	2,412	9.1
3 <sup>rd</sup> funding	4,926	18.5
Other	2,210	8.3
<b>Total</b>	<b>26,607</b>	<b>100</b>

	2011		2012		2013		2014		2015		2016	
	€	%	€	%	€	%	€	%	€	%	€	%
Direct funding	3,052	67.3	2,846	66.8	2,848	68.3	2,658	66.8	2,701	59.8	2,954	57.4
2 <sup>nd</sup> funding	326	7.2	332	7.8	428	10.3	305	7.7	513	11.4	508	9.9
3 <sup>rd</sup> funding	751	16.6	664	15.6	415	9.9	616	15.5	996	22.1	1,484	28.8
Other	404	8.9	420	9.9	481	11.5	402	10.1	305	6.8	198	3.8
<b>Total</b>	<b>4,533</b>	<b>100</b>	<b>4,262</b>	<b>100</b>	<b>4,172</b>	<b>100</b>	<b>3,981</b>	<b>100</b>	<b>4,515</b>	<b>100</b>	<b>5,144</b>	<b>100</b>

Notes:

- Direct funding: funds provided directly by the government.
- 2<sup>nd</sup> funding source: research funds received from national and European science foundations (mainly NWO).
- 3<sup>rd</sup> funding source: funds from a third party, like ministries or NGOs, for specific activities.
- Other: includes graduation bonuses, secondment of personnel, teaching, etc.

2016 provisional.

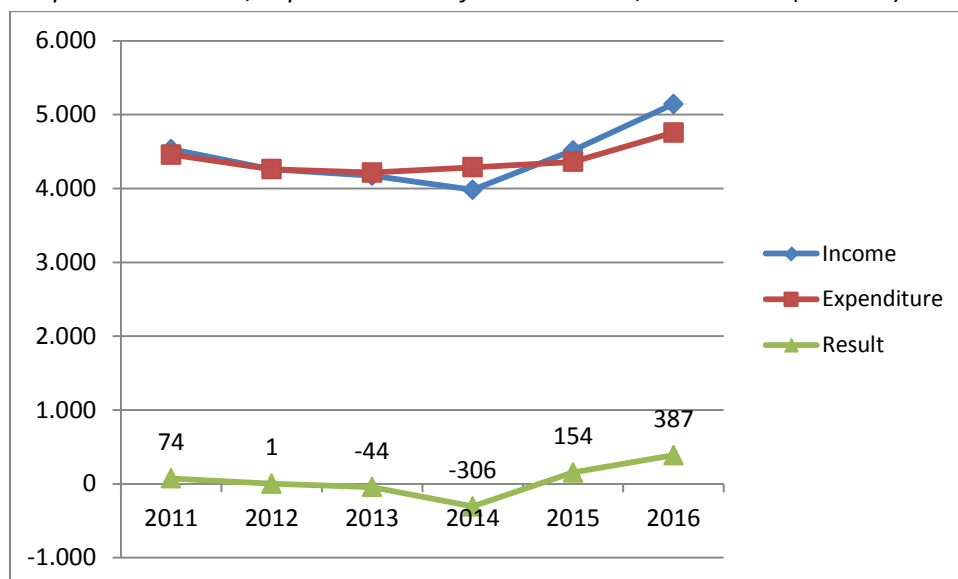
### Budget for the Library, Documentation and Information Services

In 2016, the library's total budget amounted to €672,500, down from a 2011 figure of €695,500 (excluding housing costs). It was sub-divided as given in table A2.2.

Table A2.2 Library budget

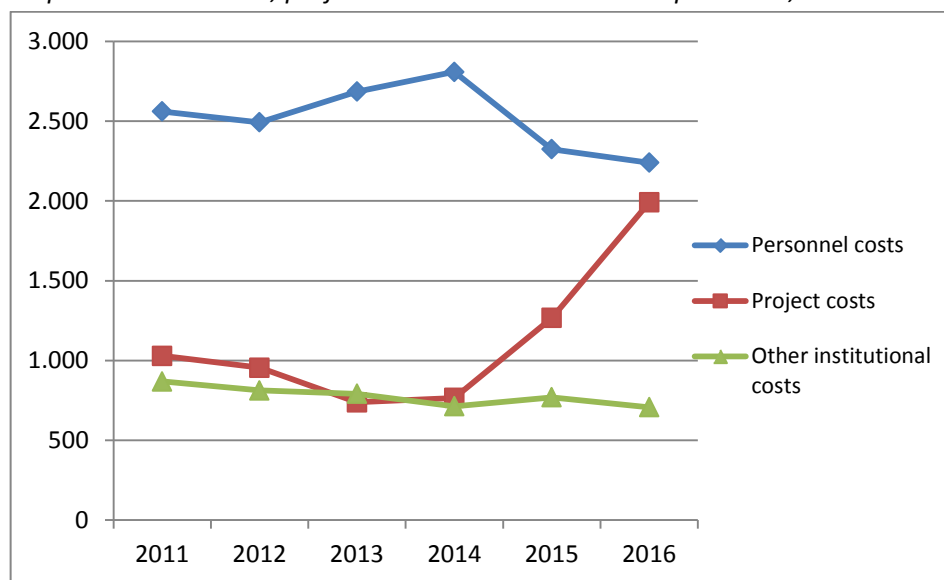
Budget	Personnel (incl. LDI Director)	Collection	Other (library automation)
<b>2016</b>	€ 551,000	€ 82,000	€ 39,500
<b>2011</b>	€ 570,000	€ 81,500	€ 44,000

Graph A2.1 Income, expenditure and financial result, 2011–2016 (x €1000)



Graph A2.1 compares the annual income with the annual expenditure and also shows the annual financial result for the years 2011 to 2016. The large negative result in 2014 was planned, and was mainly caused by extra research personnel and reducing the reserve for research activities to an acceptable level. In accordance with the wishes of the ASC Board of Governors at the time, the general financial reserve had to be kept at a level equivalent to, roughly, the salary costs for a period of three months (€600,000). At the moment this strategic reserve is >1m€, and currently the minimum requirement is €200,000. The difference can be used by the ASCL, but on the basis of specific proposals, and these must be approved by Leiden University.

Graph A2.2 Personnel, project and other institutional expenditure, 2011–2016 (x €1000).



Graph A2.2 shows a breakdown of ASCL expenditure into personnel costs, project costs and other institutional costs (i.e. rent, research costs, etc.). Personnel costs increased in 2013 due to more fte compared to previous years. In 2014, there was a considerable reserve set aside for non-taken leave days due to liberalisation of the rules regarding the maximum number of leave days held at the end

of the year. In 2015, this reserve was significantly reduced. Project costs include all expenses related to externally-funded projects and include personnel costs (including temporary costs). Other institutional costs, i.e. the costs of 'running' a Centre like ASCL excluding personnel costs, show a steady line, despite the fact that most costs (like rent) are indexed by a % every year. Tables A2.3 and A2.4 give an overview of external projects.

For information about the strategies developed to cope with the core budget cuts: see: Information Notes, section 3.

*Table A2.3 External research and outreach projects acquired during the 2011-2016 period, numbers of projects*

	2011	2012	2013	2014	2015	2016	Total
Univ&KNAW	-	-	2	2	1	3	8
NWO-WOTRO	6	1	2	3	-	1	13
Ministries	-	4	-	2	2	1	9
EU	-	1	-	-	1	-	2
Foreign org	2	-	1	-	1	4	8
NGOs	6	4	1	6	1	2	20
NUFFIC	-	1	1	-	-	-	2
Private	1	2	2	1	1	1	8
Total	15	13	9	14	7	11	70

*Table A2.4 External research and outreach projects acquired during the 2011-2016 period, funds acquired (x1000€)*

	2011	2012	2013	2014	2015	2016	Total
Univ&KNAW	-	-	908	13+	+	1241	2162+
NWO-WOTRO	947+	24	44	1137	-	453	2605+
Ministries	-	219	-	3745	24+	364	4352+
EU	-	74	-	-	61	-	135
Foreign org	151	-	138	-	255	140	684
NGOs	401	87	70	99	491	238	1386
NUFFIC	-	9	85	-	-	-	94
Private	50	25+	34	+	1220	+	1329+
Total	1549+	438+	1279	4994+	2051+	2072+	12747+

Ministries include Knowledge Platforms (Min. Foreign Affairs), and Planbureau voor de Leefomgeving; NGOs include Labour Unions. Foreign Organisations are DFID, Volkswagen Stiftung, World Bank UNU-UNECA, ODI and SOAS. See overviews in separate document: 'Information Notes': 3.

## Appendix 3 Output of research and library

### Research output and ASCL publications

Table A3.1: Publications by ASCL staff and by the ASCL

Type of Publication	2011	2012	2013	2014	2015	2016	Total
<i>Publications by ASCL staff</i>							
Peer reviewed publications	71	65	58	73	60	55	382
Other academic publications	33	31	22	39	19	29	173
For a wider public	37	51	35	63	63	44	293
Book and film reviews	11	12	8	8	4	4	47
Films	2	-	1	1	-	-	4
Total ASCL staff publications	154	159	124	184	146	132	899
PhD Theses	9	12	10	7	9	8	55
<i>Publications, published by the ASCL</i>							
African Dynamics (Brill)	1	1	1	1	1	-	5
Afrika-Studiecentrum Series (Brill)	4	1	6	3	2	-	16
Africa Yearbook (Brill)	1	1	1	1	1	1	6
African Studies Collection (ASCL)	8	9	9	1	5	3	35
APAM/ASCL	2	-	-	-	1	-	3
WAPOSO Series	-	1	-	1	-	1	3
Langaa/ASCL	4	2	2	2	2	-	12
Karthala/ASCL	-	-	-	-	1	-	3
ASCL Working Papers	5	10	4	4	9	11	43
ASCL Infosheets	3	3	4	4	4	9	27
ASCL Thematic maps	1	2	3	5	-	1	12
ASCL Occasional Publications	3	3	3	3	2	4	18
African Studies Abstracts Online	4	4	4	4	4	4	24
Web dossiers	3	3	3	6	4	4	23
Country dossiers	-	1	9	3	4	4	21
Total ASCL Publications	39	41	49	38	40	42	249

See: ASCL Research Harvest 2011-2016: 5 (2016 still preliminary).

Table A3.2 ASCL researchers' performance using CERES/EADI criteria: 1997–2016<sup>4</sup>

	All output	ABCP output	DEF output
1997–2003	15.3	12.3	3.0
2004–2010	30.1	22.4	7.7
2011–2016	35.9	28.4	7.5

Table A3.3 ASCL individual performance 2011–2016.

	Total > 30	Total 15-30	Total <15 (below norm for productivity)	Total
ABCP > 20	9	3	-	12

<sup>4</sup> 1997–2003 and 2004–2008 from ASC Self-Evaluation Midterm Review 2004-2010, March 2011 (p. 37). Figures until 2014 also in MTR 2015.

ABCP 10-20	2	6	2	10
ABCP < 10 (below norm for quality)	-	1	4	5
Total	11	10	6	27

*Table A.3.4 Seminars, conferences, etc.*

	2011	2012	2013	2014	2015	2016	Total
Annual lect.	-	-	1	1	1	1	4
Seminars	20	25	32	27	31	25	160
Art/Film mt	-	-	2	3	2	6	13
ECAS Conf	1	-	1	-	1	-	3
<i>Subt. Acad.</i>	21	25	36	31	35	32	180
Africa Works!	-	1	-	1	-	1	3
Country mt	5	1	8	3	4	4	25
Policy mt	1	-	3	9	6	7	26
<i>Subt Soc.</i>	6	2	11	13	10	12	54
<b>Total</b>	<b>27</b>	<b>27</b>	<b>47</b>	<b>44</b>	<b>45</b>	<b>44</b>	<b>234</b>

See: separate publication: 'ASCL's Research Harvest 2011-2016'; art/theatre/fil seminars include Festivals like the V4Th Festival; the country meetings of the ASCL Community include the 'Africa Today' seminars in 2011. Policy meetings are mostly with the Ministry of Foreign Affairs, but also with PARTOS; in 2015 and 2016 in includes the LeidenASA Annual Meeting.

*Table A3.5 Library acquisitions 2011-2016*

	2011	2012	2013	2014	2015	2016	Total
Acquisitions: new orders	3,025	2,907	2,404	3,276	2,818	3,512	17,942
Acquisitions: donations	c.500	c.250	344	c.500	c.400	374	1,918
Catalogued (excl. journal articles)	3,511	3,621	2,920	3,573	3,237	3,076	19,938

*Table A3.6 Visitors at the Physical Library, and Loans, 2011-2016*

	2011	2012	2013	2014	2015	2016	Total
Visitors	3,876	3,144	3,555	3,697	3,927	3,838	22,037
Loans	5,436	4,718	4,184	4,358	4,383	4,052	27,131

Both: see separate document: 'ASCL Library'



## Appendix 4: Most important scientific output of the research programme 2011-2016

### Resources and well-being

Jan Abbink, 'Land to the foreigners': Economic, legal, and socio-cultural aspects of new land acquisition schemes in Ethiopia. *Journal of Contemporary African Studies*, 2011. Taylor & Francis. Nr 6 publication in terms of recent citation visibility, with 38 citations so far.

W.R. Adano W.R., T. Dietz, K. Witsenburg & A.F.M. Zaal, Climate change, violent conflict and local institutions in Kenya's drylands. *Journal of Peace Research* 49.1 (2012): 65-80. Nr 1 publication in terms of recent citation visibility, with 109 citations so far.

Akinyoade, A. & J.B. Gewald (eds.), 2015, *African Roads to Prosperity: People en route to socio-cultural and economic transformation*, Boston & Leiden: Brill.

A. Barr, Marleen Dekker, M. Fafchamps (2012). Who shares risk with whom under different enforcement mechanisms? *Economic Development and Cultural Change* 60 (4), 677–706. Nr 11 publication in terms of recent citation visibility, with 30 citations so far.

Marleen Dekker, B. Kinsey (2011). Contextualizing Zimbabwe's land reform: long-term observations from the first generation. *Journal of Peasant Studies*, 2011. Taylor & Francis. Nr 13 publication in terms of recent citation visibility, with 21 citations so far.

Mayke Kaag, A. Zoomers (2014). *The global land grab: Beyond the hype*. Zed Books. Nr 10 publication in terms of recent citation visibility, with 31 citations so far.

A. Kwamie, Han van Dijk, I.A. Agyepong (2014). The application of systems thinking in health: Realist evaluation of the Leadership Development Programme for district manager decision-making in Ghana. *Health Research Policy and Systems* 12 (1), 1. Nr 12 publication in terms of recent citation visibility, with 25 citations so far.

Knorringa, P., I. Peša, A. Leliveld, C. Van Beers, 2016, Frugal innovation and development: Aides or adversaries? *The European Journal of Development Research* 28.2: 143–153.

### Constellations of governance

Jan Abbink, Ethnic-based federalism and ethnicity in Ethiopia: reassessing the experiment after 20 years. *Journal of Eastern African Studies*, 2011. Taylor & Francis. Nr 4 publication in terms of recent citation visibility, with 46 citations so far.

Jan Abbink, Dam controversies: Contested governance and developmental discourse on the Ethiopian Omo River dam, *Social anthropology*, 2012, 20 (2), 125–144; Nr 12 publication in terms of recent citation visibility, with 27 citations so far.

Stephen Ellis (2013). *External Mission: the ANC in exile, 1960-1990*. Oxford University Press (UK). Nr 2 publication in terms of recent citation visibility, with 77 citations so far.

Stephen Ellis, 2016, *This Present Darkness. A History of Nigerian Organised Crime*. London: C. Hurst.

Gewald, J.B., 2015. *Forged in the Great War: People, Transport, and Labour, the Establishment of Colonial Rule in Zambia, 1890-1920*. Leiden: African Studies Centre.

T. Hagmann, Jan Abbink, Twenty years of revolutionary democratic Ethiopia, 1991 to 2011. *Journal of Eastern African Studies*, 2011. Taylor & Francis. Nr 9 publication in terms of recent citation visibility, with 34 citations so far.

Van Walraven, K., 2013, *The Yearning for Relief: A History of the Sawaba Movement in Niger*, Leiden: Brill.

### **Identification and belonging in a media age**

Jan Abbink (2011). Religion in public spaces: Emerging Muslim-Christian polemics in Ethiopia *African Affairs*, Royal African Soc. Nr 7 publication in terms of recent citation visibility, with 37 citations so far.

Abbink, J., 2014, 'Religious Freedom and the Political Order: The Ethiopian "Secular State" and the Containment of Muslim Identity Politics', *Journal of Eastern African Studies* 8(3): 346–365.

Mirjam de Bruijn and Rijk van Dijk (2012). *The social life of connectivity in Africa*. Palgrave Macmillan. Nr 3 publication in terms of recent citation visibility, with 47 citations so far.

Bruijn, M.E. de, Brinkman, I. & F. Nyamnjoh (eds.), 2013, *Side@Ways: Mobile Margins and the Dynamics of Communication in Africa*, Bamenda/Leiden: Langaa/ASC.

Dijk, R.A. van, Counselling and relational uncertainty. Christian modalities of the social engineering of relationships in Botswana. *Culture, Health and Sexuality* 15.4 (2013): 509-522.

Hackett, R.I.J. and B.F. Soares (eds), 2015. *New Media and Religious Transformations in Africa*. Bloomington: Indiana University Press.

Linda van de Kamp (2011). Converting the spirit spouse: the violent transformation of the Pentecostal female body in Maputo, Mozambique, *Ethnos*, Taylor & Francis. Nr 14 publication in terms of recent citation visibility, with 20 citations so far.

Olsen, W.C. & W.E.A. van Beek (eds), 2015, *Evil in Africa: encounters with the everyday*. Bloomington: Indiana University Press, 2015.

Soares, B.F. & M. LeBlanc, Islam et jeunesse en Afrique de l'Ouest dans l'ère néolibérale: un regard anthropologique. In: K. Tall, M.-E. Pommerolle & M. Cahen (eds), *Collective mobilisations in Africa/Mobilisations collectives en Afrique*. Leiden: Brill, 2015. 67-90.

### **Africa's global connections**

Cheru, F. & G. Stegmann, 2014, 'Repositioning Africa in the World', in T. Alherss et al. (ed.), *Africa 2050: Realizing the Continent's Full Potential*, New Delhi: Oxford University Press, 399–425.

S. Cornelissen, Fantu Cheru, T. Shaw (2016). *Africa and international relations in the 21st century*. Springer. Nr 8 publication in terms of recent citation visibility, with 35 citations so far.

Stephen Ellis (2012). *Season of rains: Africa in the world*. University of Chicago Press. Nr 5 publication in terms of recent citation visibility, with 40 citations so far.

Ellis, S., 2014, 'The African National Congress and the international community – 1960 to 1990'. In: *Treading the waters of history: Perspectives on the ANC / Kwandiwe Kondlo*, Chris Saunders and Siphamandla Zondi (eds.). Pretoria: Africa Institute of South Africa.

Kaag, M., 2013, 'Transnational Elite Formation: The Case of the Senegalese Murid Community in Italy', *Journal of Ethnic and Migration Studies* 39(9): 1425–1439

Kaag, M., 2016. 'Islamic Charities from the Arab World in Africa: Intercultural Encounters of Humanitarianism and Morality'. In: V.M. Heins, K. Koddenbrock, and C. Unrau (eds), *Humanitarianism and Challenges of Cooperation*, London: Routledge, 155–167.

Soares, B.F. 2014. 'The Historiography of Islam in West Africa: An Anthropologist's View', *Journal of African History*, JAH forum, Islam in Sub-Saharan Africa 55(1): 27–36.

## Appendix 5: Most important publications and activities with societal impact 2011-2016

### Resources and well-being

Akinyoade, A., Klaver W., Soeters, S. & D. Foeken (eds.), 2014, *Digging Deeper: Inside Africa's Agricultural, Food and Nutritional Dynamics*, Boston & Leiden: Brill. [focus on the Platform Food and Business; MoFA and Agrobusiness].

Berendsen, B., Dietz T., Schulte Nordholt H. & R. Van der Veen (eds.), 2013, *Asian Tigers, African Lions: Comparing the Development Performance of Southeast Asia and Africa*, Boston & Leiden: Brill. [main output of the 'Tracking Development' project funded by the MoFA, and with direct linkages to the debate about the developmental state in the Overseas Development Institute in London].

Dietz, T., 2011, Silverlining Africa. Inaugural lecture Leiden University [started a debate in the Netherlands among scientists, and with many types of practitioners about how to interpret 'Emerging Africa'].

Dietz, T. et al., *PADev Guidebook. Participatory Assessment of Development*. Amsterdam: KIT/Leiden African Studies Centre, 2013. [result of experimental research together with NGOs].

Dietz, T., D. Foeken, S. Soeters, and W. Klaver. *Agricultural dynamics and food security trends in Kenya. Development Regimes in Africa Project*. Overseas Development Institute, London, UK (2014). [focus: policymakers and agricultural practitioners. Highest number of downloads of ASCL staff for a recent publication: 6238 downloads so far] .

Foeken, D., Dietz, T., De Haan, L. & L. Johnson (eds.), 2014, *Development and Equity: An Interdisciplinary Exploration by ten Scholars from Africa, Asia and Latin America*, Leiden: Brill. [early contribution to the Inclusive Development and Equity debate in the Netherlands, and connecting an academic and non-academic audience in North and South by giving Southern scholars a clear voice].

Rutten, M.M.E.M. & M. Shete, 2015, Impacts of large-scale farming on local communities' food security and income levels – empirical evidence from Oromia region, Ethiopia. *Land Use Policy* 47: 282–292. [Result of the LANDAC programme, funded by the Ministry of Foreign Affairs].

Rutten, M. M. E. M. & M. Mwangi, *Wives-For-Hire - Revealing the practice of imposing fake wives in dispossessing family land in Africa*. Cocoon Initiative Kenya Working Paper 5, ASC Leiden: African Studies Centre Leiden, 2016. [reviewed by National Land Commission Kenya; engaging with Northern and Southern practitioners, NGO workers and local activists about the fate of pastoralism].

PLUS: Coordinating the INCLUDE Knowledge Platform about Inclusive Development in Africa, and co-organising high-level meetings (e.g., at the African Development Bank Meeting in Lusaka in 2016). (Input a.o., Marleen Dekker and Karin Nijenhuis; focus: African think tanks, African and European diplomats).

### Constellations of governance

Abbink, J. & T. Hagmann (eds.), 2013, *Reconfiguring Ethiopia: The Politics of Authoritarian Reform*, London/New York: Routledge. [focus: engaging policymakers and diplomats about naïve optimism about Ethiopia's developmental state]

Ezeoha, A, A. Igwe, C. Onyeke, C. Uche, Relevance lost? The Petroleum Equalization Fund in Nigeria. *Energy for Sustainable Development* 31 (2016): 152–162. [focus; a fierce policy debate in Nigeria and in other oil-dependent states in Africa].

Gewald, J.-B., M. Hinfelaar & G. Macola (eds), *Living the end of Empire. Politics and society in late colonial Zambia*. Leiden: Brill, 2011 [focus: intellectuals in Southern Africa, and the policy and education debate about 'rewriting history from bottom up'].

Kobusingye, D., Van Leeuwen, M. & H. van Dijk, 2016, Where do I report my land dispute? The impact of institutional proliferation on land governance in post-conflict Northern Uganda. *Journal of Legal Pluralism and Unofficial Law* 48.2: 238–255. [focus: security and the rule of law; one of the Knowledge Platforms of the Ministry of Foreign Affairs]

Mann, L. & M. Berry, Understanding the Political Motivations that Shape Rwanda’s Emergent Developmental State. *New Political Economy* 21.1 (2016): 119-144. [focus: critically engaging with policy circles about Rwanda as an exemplary developmental state in Africa]

Van Vliet, M., 2014, ‘Weak Legislatures, Failing MPs, and the Collapse of Democracy in Mali’, *African Affairs* 113 (450): 45–66. [played a role in the preparations of the Military intervention in Mali].

PLUS: Organising two meetings with the Ministry of Foreign Affairs in Leiden and The Hague about The Islamic State and jihad in Africa; 2015 (input: a.o., Stephen Ellis, Benjamin Soares; focus: diplomats in the Netherlands).

### **Identification and belonging in a media age**

Bouju, J. & M. de Bruijn (eds.), 2014, *Ordinary Violence and Social Change in Africa*, Leiden: Brill. [focus: alerting policymakers and practitioners about the use of violence for political mobilisation, and the escalating youth revolt in Africa].

Bruijn, M.E. de, ICTs and the emergence of international protest in Central Africa. *The Broker Online* (29 June 2015). [focus: general public and policymakers].

Bruijn, M.E. de, 2014, ‘Connecting in Mobile Communities: An African Case study’, *Media, Culture & Society*, 36(3); 319–335 [focus: journalists, activists, and students].

Diallo, F. & R. Calland (eds.), 2012, *Access to Information in African Law, Culture and Practice*, Leiden: Brill [focus: lawyers].

Dijk, R. van, Dilger, H., Burchardt, M. & T. Rasing (Eds.) 2014. *Religion and AIDS Treatment in Africa. Saving Souls, Prolonging Lives*. London: Ashgate Publ. [focus: alerting policymakers and health workers about the deep connections in Africa between religious movements, identity creation and health care].

Soares, B.F. (A. Masquelier & B. F. Soares) (eds), *Muslim youth and the 9/11 generation*. Santa Fe: School for Advanced Research Press/ Albuquerque: University of New Mexico Press, 2016 [focus: public debate about Islam and African youth] .

PLUS: Organising Voice4Thought Festivals in 2015 and 2016 in Leiden (input: a.o., Mirjam de Bruijn; focus: African and Dutch activists, artists, journalists, and NGO workers).

### **Africa’s global connections**

Beckmann, N., Christiansen, C., Gusman, A., & R. van Dijk. 2014. ‘Strings Attached: AIDS and the Rise of Transnational Connections in Africa. An Introduction.’ In: Nadine Beckmann, Catrine Christiansen & Alessandro Gusman (eds.) *Strings Attached: AIDS and the Rise of Transnational Connections in Africa*. London, British Academy. [engaging with Northern and Southern policymakers and NGO officials in health care, and alerting them about transnational religious politics]

Dietz, T., Lange, P, T. Dietz, & M.L. Rau, Scoping Report. Improving the perspective for regional trade and investment in West Africa: the key to food security, economic development and stability in the region. Leiden: ASCL, in collaboration with the Agro-Economic Research Institute – Wageningen University and Research (LEI-WUR), and the European Centre for Development Policy Management (ECDPM). Report for the Food and Business Platform and the Ministry of Foreign Affairs. Leiden: July 2016. [result of a request to do a scoping study for the Food and Business Knowledge Platform and for the Dutch Ministry of Foreign Affairs].

Kanik, E.B. & M.M.A. Kaag, *South Korea in Africa : from arbitrary foreign policy to win-win ideology*. Leiden: African Studies Centre, 2015. ASC Infosheet 26. [example of the attempt to create 'easy-to-read' infosheets about Africa's engagements with emerging partners].

Van Kessel, Ineke. *'Labour migration from the Gold Coast to the Dutch East Indies: Recruiting African troops for the Dutch colonial army in the age of indentured labour'*. In: *Fractures and Reconnections: Civic Action and the Redefinition of African Political and Economic Spaces: Studies in Honor of Piet JJ Konings 5* (2012). [engaging in the public debate in the Netherlands about transcontinental colonial practices].

PLUS: Co-organisation, together with the Netherlands African Business Council, of three major conferences Africa Works! (in 2012, 2014, and 2016). (Input: a.o., André Leliveld, Gitty Petit, Ton Dietz, Chibuike Uche; focus: connecting African and European scholars, business people, NGOs, and diplomats/policymakers).

## Appendix 6 PhD graduations with (co-)supervision by ASCL researchers

Table A6.1 PhD graduations of PhD candidates (co-)supervised by ASCL staff

	2011	2012	2013	2014	2015	2016	Total
Leiden	3	4	5	3	1	3	19
Wageningen	-	3	1	-	3	3	10
VU Amst.	2	-	-	1	3	-	6
Tilburg	1	1	1	1	1	1	6
UvAmst.	1	2	-	2	-	-	5
EURotterdam	1	-	-	-	1	-	2
Utrecht	-	-	1	-	-	-	1
Netherlands	8	10	8	7	9	7	49
Elsewhere	1	2	2	-	-	1	6
Total	9	12	10	7	9	10	55

**Appendix 7: Benchmarking statistics** (explanation in main text, chapter 3)

*Table A7.1 Comparing the ASCL with the benchmark institutes: focus: career citations*

Rank	<b>GS5 Career (and for them GS5 five last years)</b>						
	ASCL	Other ASA Leiden	LIAS Leiden Asia	KITLV	LIAS Leiden Middle East	CAS/SOAS London	NAI Uppsala
Type	C+L	N	C	C	C	C+N+L	I+L
N	35	73	57	24	36	81	23
1	<b>3070 (172)</b>	932 (14)	1632 (406)	702 (25)	2133 (115)	1833 (322)	3073 (35)
2	<b>716 (83)</b>	821 (268)	634 (125)	438 (14)	114 (22)	1744 (13)	2480 (338)
3	<b>669 (65)</b>	704 (43)	438 (14)	279 (92)	113 (5)	1719 (326)	1065 (210)
First 10	<b>8425 (815)</b>	4941 (1052)	4138 (1018)	2465 (369)	2801 (240)	12407 (839)	8759 (887)

Type: C = Centre within a University, with own staff; I = Independent Research Institute; N= Network, with scholars working in different departments; L=With Own Library.

Rank	<b>GS5 Career (and for them GS5 five last years)</b>						
	IMAF Paris	CEA Lisbon	IAS Bayreuth	CAS UCT South Africa	IAS UG Ghana	PAS NWU USA	ASC MSU USA
Type	C+I(+L)	C+N+L	N (+C)+L	C (+L)	C+L	C+L	N (+C)+L
N	110	87	91	12	26	51	93
1	664 (5)	260 (13)	625 (108)	571 (22)	657 (103)	3544 (23)	2547 (284)
2	642 (20)	260 (2)	389 (100)	541 (70)	650 (80)	2130 (19)	2194 (4)
3	359 (12)	161 (0)	384 (87)	375 (24)	637 (62)	1112 (0)	2091 (395)
First 10	3490 (351)	1602 (101)	3098 (473)	2545 (455)	3064 (311)	10019 (262)	13706 (1688)

*Table A7.2 Comparing the ASCL with the benchmark institutes: focus: citations of recent publications*

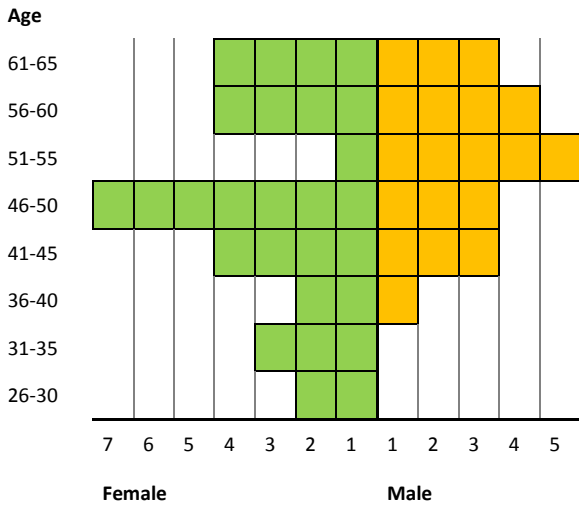
Rank	<b>GS5 last five years (on Africa)</b>							
	ASCL	Other ASA Leiden	LIAS Leiden Asia	KITLV Leiden	LIAS Leiden Middle East	CAS SOAS London	NAI Uppsala	IMAF Paris
1	<b>172</b>	268	406	98	115	374	338	131
2	<b>144</b>	225	184	92	46	326	210	67
3	<b>104</b>	192	125	80	35	322	86	48
First 10	<b>876</b>	1473	1095	463	297	1617	938	502

Rank	<b>GS5 last five years (on Africa)</b>					
	CEA Lisbon	IAS Bayreuth	CAS UCT South Africa	IAS UG Ghana	PAS NWU USA	ASC MSU USA
1	109	108	223	103	184	431
2	37	100	70	80	170	395
3	29	87	38	62	140	284
First 10	312	606	455	325	928	2598

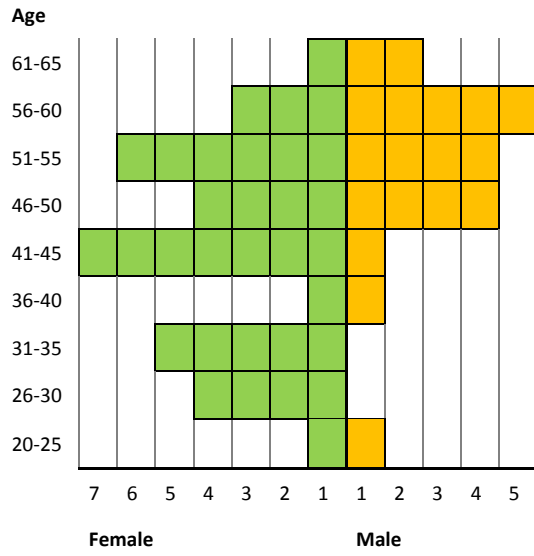


## Appendix 8 Diversity statistics

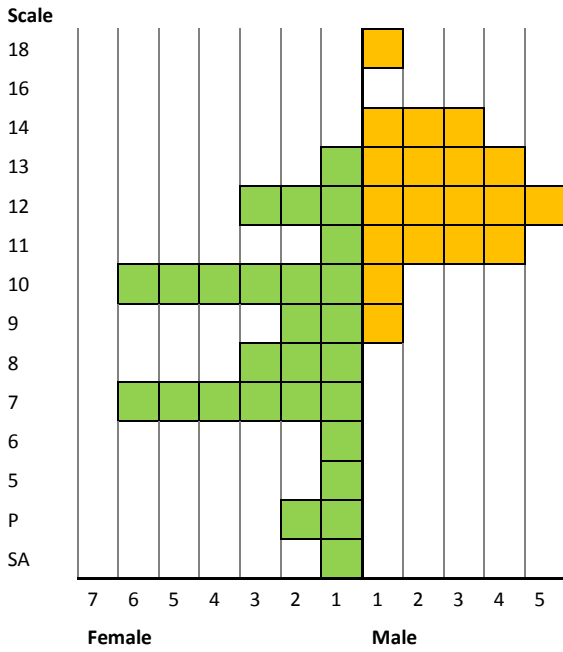
ASCL staff per gender and age group 31.12.2010



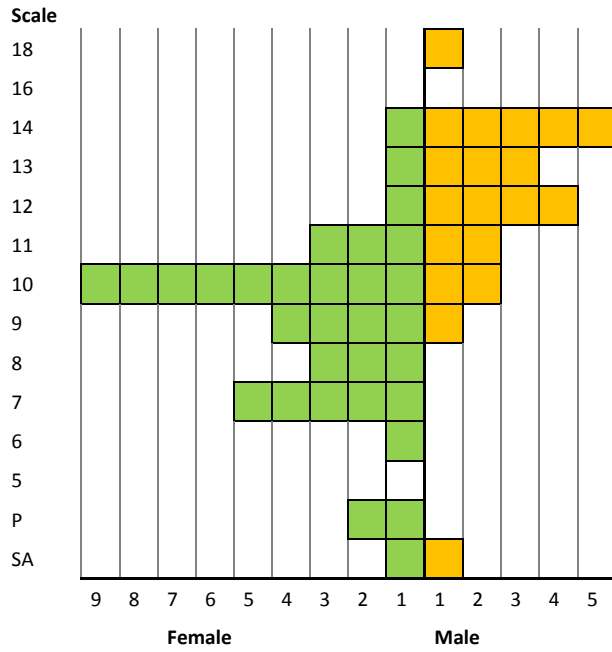
ASCL staff per gender and age group 31.12.2016



ASCL staff per gender and salary scale 31.12.2010



ASCL staff per gender and salary scale 31.12.2016



## **Appendix 9 Summary of conclusions and recommendations of the previous external assessment (2011) and mid-term review (2015)**

The Review Committee, which was responsible for the Evaluation in 2011, concluded that:

- The ASCL is one of Europe's leading centres for African Studies
- Its strength is based on two pillars: research and library/documentation
- ASCL staff publications are among the best in Europe and the world
- Its library and documentation production are truly unique.
- The working environment is clearly stimulating
- The ASCL's structure is horizontal and collegial.

Points of concern were:

- Decreasing numbers of senior staff, due to budget cuts of the core funding, while the number and variety of tasks have been growing: overstretched staff (ASCL response: more staff funded by external funds)
- The structure of management and research should be reformed (ASCL response: was done from 2012 onwards; 'new style document')
- PhD supervision is neither transparent, nor well structured; and tasks not well balanced among the senior research staff (ASCL response: difficult to change as long as the ASCL does not have its own Graduate School, and for that it first needed to become part of Leiden University, and getting its own professors; will be implemented in 2017).
- The 'hybrid library' strategy was fully endorsed, but it was recommended to adopt an 'e-first' policy for journals (ASCL response: implemented; and further streamlining to be expected when ASCL Library and UBL will develop towards one African Studies Library during the next six-year period).

The Mid-Term Review committee (March 2015) concluded that:

- The ASCL has successfully transformed its research programme, Library, Documentation & Information services and management strategies.
- The ASCL is known as a vibrant and active research and knowledge institute on Africa.
- The Committee recognizes the positive transformation made with the 'New Style' period from 2012 onwards, including the new research programme 'Africa and Global Restructuring: 2012–2016', towards a more cohesive ('one ASCL') and externally well-connected institute.
- The Committee also acknowledges that this transformation is not complete yet, and sees challenges ahead because of a dynamic policy environment and the planned integration of the ASCL into Leiden University, as an inter-faculty institute as per 1 January 2016.

Points of concern were:

- Lack of benchmarking (ASCL response: major exercise for the 2017 Review).
- Focus on economic issues ('emerging Africa'; connections with the political 'aid and trade agenda'; connections with the business community) is important but should not undermine the historical strength of the ASCL, which is its high-quality historical and socio-cultural research (ASCL response: for strategic and academic reasons both are important).
- The mission and vision should be made more explicit (ASCL response: was done after the successful integration as an interfaculty institute of Leiden University).
- Shrinking core funds, and formulating priorities and hence also posteriorities (ASCL response: more efficient organisation; focus on getting additional external funds, and making use of the financial opportunities within Leiden University; but also: less time to be spent on unpaid services to the global academic community by researchers).

## Appendix 10: SWOT

Based on SWOT meeting with all ASCL staff (20/1/2017, and on advice by the Scientific Advisory Council (14/2/2017), and the Societal Panel (8/12/2016).

### SWOT about research and valorisation roles of the ASCL

<p><b>Strengths</b></p> <p>Acknowledged position in African Studies; with leading researchers, a world-class library (&amp;staff), and seen as a pioneer in valorisation, and research relevance;</p> <p>Inter-faculty institute within Leiden University, supported by broad scientific advisory council and societal panel;</p> <p>High-level scientific output; and high productivity, quality and relevance of publications, seminars/conferences, website, social media, and other communication tools;</p> <p>Unified research programme with flexible arrangements for collaboration and funding;</p> <p>Mixed identity and mixed funding: both academic (University funds; academic funds), and practice (ODA funding; societal funding);</p> <p>Innovative, well-managed institute, with energetic, professional, effective, and resilient research, library and support staff;</p> <p>Research, library, and valorisation are well integrated into the institute as a whole, and for individual members;</p> <p>Strong and fruitful connections with Ministry of Foreign Affairs, other Ministries, NGOs, and Business Sector; Central position in Knowledge Platform for Inclusive Development;</p> <p>Strong ASCL Community network; Many different people make use of the ASCL staff's in-depth, historical knowledge of Africa.</p> <p>Self-evident connections with academic and non-academic partners in Africa; valorisation not only in the Netherlands, but also in Africa; strong programme of visiting fellows.</p>	<p><b>Weaknesses</b></p> <p>Budget cuts can be countered by obtaining more external funds, but not easily for all tasks;</p> <p>Need to acquire more external funds puts heavy burden on staff: perceived high workload;</p> <p>The Centre has difficulties acquiring European and African research funds;</p> <p>Making choices proves to be difficult, as an institute and for individual staff: overload of tasks;</p> <p>Staff composition could be more diverse, particularly in the professorship positions;</p> <p>More transparency needed in communication processes between Executive Committee and staff;</p> <p>Teaching and curriculum development qualities need to be developed; and teaching needs to be more fairly distributed among staff.</p> <p>Coverage of North Africa is weak.</p>
<p><b>Opportunities</b></p> <p>The ASCL's integration in Leiden University and central role in LeidenASA;</p> <p>ASCL benefits from Leiden University matching arrangements; professional training and support; and new premises in c. 2022.</p> <p>ASCL gets its own professors; ASCL Graduate School; graduation bonuses;</p> <p>Collaboration between Leiden University, Delft University of Technology, UNESCO-IHE, and Erasmus University Rotterdam, e.g. joint</p>	<p><b>Threats</b></p> <p>The political developments in the Netherlands threaten ODA-related work, and hence also the core funding of (for instance) the ASCL; and it challenges academic values;</p> <p>In 2020, an evaluation is expected within Leiden University about the 2016–2020 experiences; a change of the current form of integration can weaken the ASCL's position;</p> <p>Security issues in Africa make it difficult and more dangerous to continue research in major</p>

<p>activities in teaching – minors, visiting fellows, etc. towards an LDE Africa Strategy;          Collaboration with ECDPM (and their linkages with the African Union, AfDB, etc.);          Collaboration with African Studies Centres elsewhere (also in Africa), and LeidenASA MoUs with African knowledge centres;          Natural staff turnover and a substantial financial reserve: opportunities to bring more diversity among staff; and to expand research activities (areas, disciplines, topics), also as part of LeidenASA;          Africa’s role in world affairs will grow, and European anxieties about Africa will increase, creating ever more demand for ‘deep knowledge’ about the continent, and its global connections.</p>	<p>parts of the continent;          Increasing pressure in funding agencies to encourage direct policy and business relevance can undermine the independence, and integrity of academic research, and the choice of pioneering research topics;          Recruiting students from Africa has become more difficult due to relatively high Dutch tuition fees, and dwindling subsidy programmes.</p>
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Also see: special document ‘Self-assessment SWOT’ , developed by all Staff on 20 January 2017; also see ASCL research harvest: 1; and Information notes: 10.

### SWOT about the Library, Documentation and Information Services of the ASCL

<p><b>Strengths</b>          Innovative staff members, making ample use of internet technology;          Diverse open access collections (such as e-docs and AfricaBib);          Large and unique collection of paper books, journals, and films;          ASCL collects both paper and digital resources;          Open stacks make the library a welcoming place.</p>	<p><b>Weaknesses</b>          Lack of shelving space for the paper library;          Diversity of the collection demands different skills; time-consuming to manage well;          Reduction of staff numbers;          No user survey, as such, has been conducted since 2008 (but: usage analysis in 2016).</p>
<p><b>Opportunities</b>          Increased cooperation with Leiden University Library; working towards one African Library; towards doubling the acquisition budget in 2022 (1);          Expansion of the alert services;          Propagating the African Studies app;          Promotion of the different web services of the ASCL;          Increased cooperation with Africana libraries in Europe, Africa and Asia.          Acquiring more gifts and archives.</p>	<p><b>Threats</b>          Strongly increased digital use might undermine the continued support (and funding) for paper libraries;          Decreasing numbers of ‘physical’ visitors and loans of paper books;          Possible integration with the Leiden University Library might weaken the autonomy of acquisition strategies, and the unique services of the ASCL Library.</p>

Also see: Special document about the Library; and special document ‘Self-assessment SWOT’