



DIRECTOR'S INTRODUCTION

The main goal of the Institute's management in recent years has been to improve its research and scholarly activities. The Research Assessment was a crucial step in this process since its results gave us a full account of our position within the context of other similar research institutions. Methodological standards applied to the Evaluation were based on Research Assessment carried out by the Czech Academy of Sciences (CAS). It was an extraordinarily demanding process in terms of organization and kept the Institute's employees busy for the latter half of 2018 and almost all of 2019. I am thrilled that the Assessment proved that the Institute had established itself over the past couple of years as an important institution addressing the period of the Nazi occupation and the communist dictatorship and thus defended its place in the academic community. These achievements are a result of the professional work and intense involvement of its researchers and, most importantly, their responsible approach to historical work. I believe that the scholarly level achieved and the professional attitude of all departments of the Institute provide a stable foundation for further research at the Institute for the Study of Totalitarian Regimes.



Zdeněk Hazdra, Ph.D.

FOREWORD BY THE CHAIRMAN OF THE COORDINATION BOARD

The main goal of the Institute's Research Assessment was to gather information for both the Institute's management and researchers. Thanks to the Evaluation Panel and Evaluation Committee members' professional work, we have been given inspiring stimuli for improving the Institute's strategic management, its research and scholarly activities, and the further direction of the Institute. We were also given the information concerning the position of the Institute and its work within the Czech as well as an international academic community. An essential aspect of the Assessment was the fact it provided independent feedback of the functioning of relevant departments and, most importantly, materials produced by the individual researchers.

The Research Assessment principles were acquired from the Czech Academy of Sciences and adjusted to the Institute's conditions. I would like to thank the Chairperson of the Czech Academy of Sciences, Prof. RNDr. Eva Zazimalova, CSc. She was supportive in consulting and assisting us with the implementation of the Evaluation principles. Despite the thorough preparatory work (in which participated the Institute's Scientific Board, the researchers, Institute's Office staff and Institute's management), it was extraordinarily demanding to organize and coordinate the whole process. Nevertheless, we were able to bring together an international group of experts who took on the role of members both the Evaluation Panel and the Evaluation Committee. Altogether, during evaluation we hosted five meetings of the international committees. Members of the Evaluation Panel were able to gather more than 90 reviewers from abroad with a professional interest in 20th century Czech and Czechoslovak history. This fact proves the assumption that the topics addressed by the Institute stretch far beyond the Czech academic community.

On behalf of the Coordination Board, it is my pleasure to thank the Scientific Board for their intense cooperation. The Scientific Board

undertook all the critical decisions and was intensively involved in the evaluation process. The Scientific Board, therefore, played crucial role of the guarantor of the Institute's academic quality.

Ondřej Matějka

RESEARCH ASSESSMENT

One of the Institute's essential tasks is increasing the quality of research and scholarly work. The Institute's Council, therefore, decided to undertake an evaluation of the Institute's research work ten years after its foundation. In doing so, it reflected Act 181/2007 Coll., which prescribes that the Institute is supposed to study and objectively evaluate the time of non-freedom and the period of communist totali-



tarian rule. Simultaneously the Institute has been listed as a research organization by the Research, Development, and Innovation Council since 2014. One of the ways to support the continuously increasing quality of the Institute's research and scholarly work, and thus to support the fulfillment of its mandatory Mission, was to provide an independent evaluation of its work.

This Evaluation aimed to define the referential framework of the Institute's scholarly activities for the present and the future, therefore also establishing its identity as a research institution. In its effort to reflect the Czech experience with dictatorship, the Institute should rely on top-quality scientific research that is competitive in national and international terms.

EVALUATION METHODOLOGY

The evaluation model applied by the Czech Academy of Sciences in 2015–2016 was selected as the most suitable. This model couldn't be used to the full extent due to some different features of the Institute, but its basic principles were adopted. The key advantage is that the Evaluation results are comparable with those of history institutes of the Czech Academy of Sciences. Thanks to this, the management was given a clear picture of the Institute's historical research quality.

It was also vital to choose a proven model respected by Czech and foreign scholars. The basic principles of Evaluation carried out by the Czech Academy of Sciences are publicly available, and the management of the Academy approved its usage.

However, the evaluation of the institute differed from the evaluation of the Czech Academy of Sciences in the following aspects:

1. The Evaluation of the Institute covered a period of ten years instead of five. Nevertheless, it is desirable to make the next Evaluation in five years. The shorter interval makes it easier to follow the effects of specific measures on the quality of scientific outputs. It will also make it easier to implement and develop those measures which turn out to be successful in terms of academic quality.
2. The concept of the "scientific team" was approached differently. In reality, only a small number of Institute's researches is involved in actual teamwork. A majority of researchers work individually, which is usual for historians.



Therefore, the reviewed outputs were presented as the team works only in cases they resulted from the collaboration of several researchers. The majority of outputs was presented as an individual work.

3. It was necessary to make Assessment results comparable with those of the CAS history institutes. It was therefore crucial that during Phase I of Evaluation, a comparable profile of the Institute's results was produced.
4. The combination of reasons nr. 1. and 2. implies that those staff members of the Institute who no longer work for the Institute but worked there for at least one year were also included in the Evaluation. The Assessment results would have been misleading without considering their work.
5. The combination of reasons nr. 1. and 2. also implies that the selection key for the outputs presented was modified in two respects. The number of results presented for Evaluation for individual staff members was based on a combination of the extent of their labor contract and the length of their work for the Institute.
6. Unlike CAS evaluation Institute's Assessment also included outputs of educational activities, for instance, methodologies for teachers, educational applications, and other educational materials. For the sake of evaluating their didactical and pedagogical qualities, both Panel and the Committee included an expert in these areas.

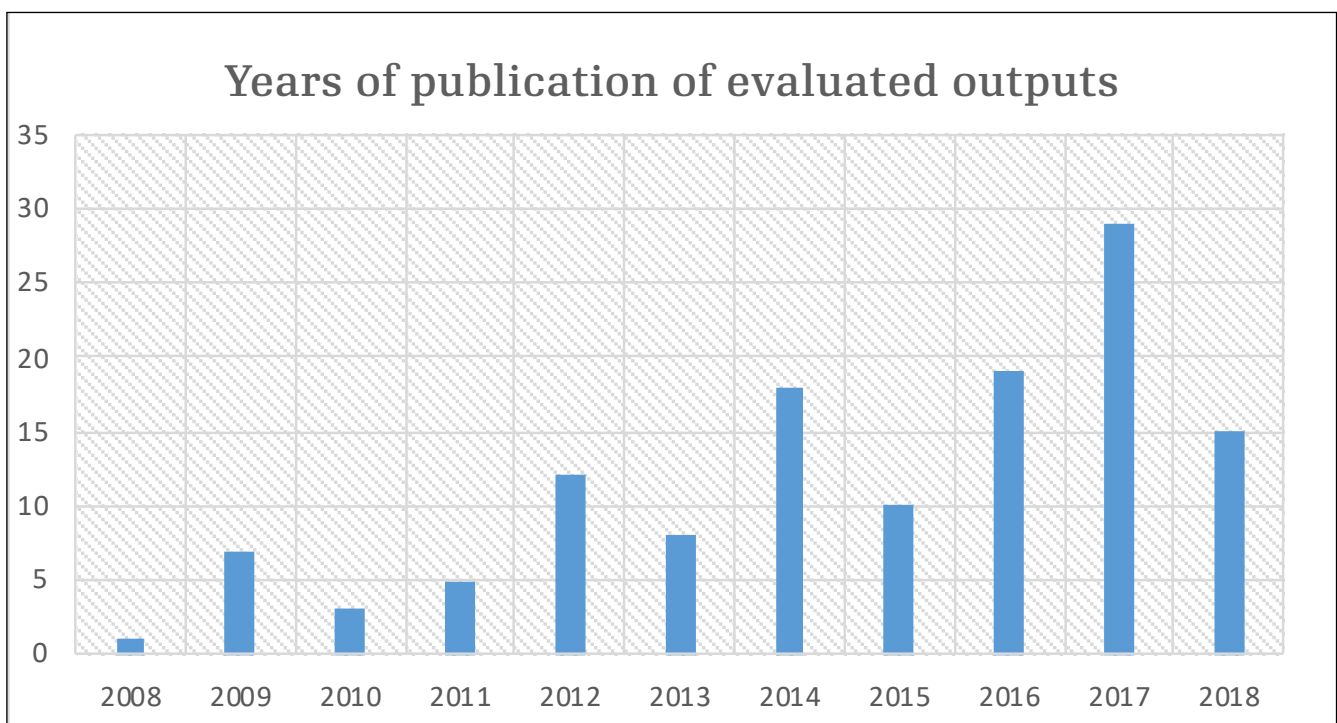
ORGANIZATION OF THE EVALUATION

The Institute's Office was delegated to manage the preparatory work for the Evaluation and the coordination of the process. Supervisory tasks were carried out by the Coordination Board headed by the chairman, Mgr. Ondrej Matejka. Remaining two members were representatives of the Institute's Scientific Board, namely Prof. Dr. Libora Oates-Indruchova and Prof. Dr. Pavel Kolar. The Evaluation proceeded in two phases. Phase I comprised the Evaluation of scholarly outputs of individual researchers or teams. Phase II consisted of evaluating the Institute as a whole. The underlying documents for the Evaluation were filled in an online system programmed by an Institute's IT specialist. The period for submitting Phase I results was from February to July 2018. It was followed by a check of the results and all the relevant data. The data for Phase II Evaluation were gathered from February to April 2019.

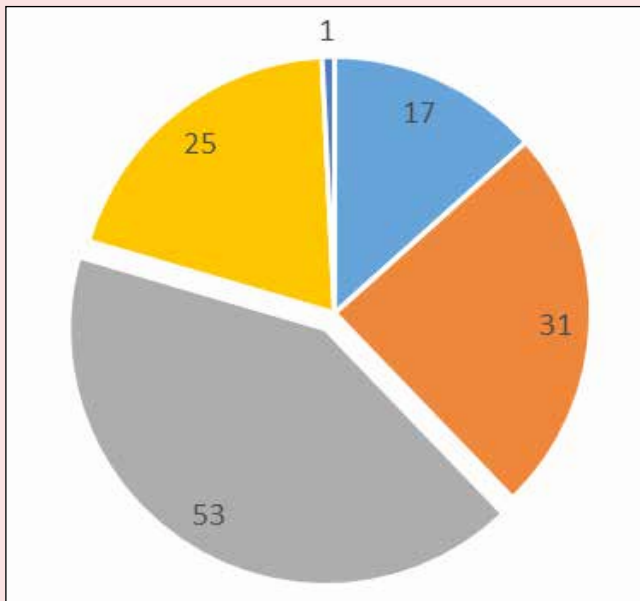
For the Phase I Evaluation, the Scientific Board appointed a panel comprising five renowned foreign academicians, most of whom can communicate in Czech. This panel, consisted of Dr. Sirkka Ahonen, Dr. Christiane

Brenner, Dr. Benjamin Frommer (Chairman), Dr. Jens Gieseke, and Dr. Piotr Majewski, coordinated an international peer-review evaluation of a total of 127 results from the first ten years of the Institute. Phase I was completely carried out in a closed online system from November 2018 and was completed in April 2019 with the final report. Each of the reviews written by 93 reviewers from 14 countries were assigned a rating on a scale of 1-5 and a verbal assessment. A total of 69 articles and chapters in scholarly books, 47 specialized monographs, and 11 learning applications were reviewed. That is approximately one-quarter of the Institute's professional production for the evaluated period.

Of the results evaluated, 17 (13%) were assigned rating 1, 31 (24%) were rating 2, 53 (42%) rating 3, 25 (20%) rating 4 and 1 (1%) rating 5. Individual reviews, together with the final report from Phase I, one of the inputs for the Phase II Evaluation.



PHASE I EVALUATION CRITERIA



- (1): Quality that is world-leading in terms of originality, significance and rigour.
- (2): Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
- (3): Quality that is recognized internationally in terms of originality, significance and rigour.
- (4): Quality that is recognized nationally in terms of originality, significance and rigour.
- (5): Quality that falls below the standard of nationally recognized work. Or work which does not meet the published definition of research for the purposes of this assessment.

The Phase II Evaluation started in April 2019. The international Evaluation Committee had the task of preparing an overall evaluation of the Institute's research and scholarly activities. The Committee, consisting of prof. Martin Schulze Wessel (Chairman), prof. Jaroslav Miller (Deputy Chairman), doc. Viliam Kratochvíl, Dr. Piotr Majewski, Dr. Adéla Gjuričová, Dr. Aviezer Tucker and Dr. Jörg Skriebeleit, held two sessions, i.e., on 24 April 2019 and 29 May 2019. However, between these two sessions, A. Tucker sent his draft of the final report not only to his colleagues from the Committee but also to the Institute's management and one member of the Institute's Council. This im-

paired the credibility of the evaluation process, as those who were supposed to be evaluated gained access to internal information about the Evaluation, which may have affected the evaluation process in an undesirable manner. During the second session of the Committee, this led to a conflict between A. Tucker and the other Committee members. Following the principles of Evaluation, the chairman of the Committee subsequently addressed the Coordination Board with the question of how to resolve the conflicting situation. Having considered the situation and with the intention to maintain the credibility of the Phase II Evaluation, the Coordination Board proposed dissolving the entire Committee and appoint a new Committee. On 27 June 2019, the Scientific Board voted unanimously to dissolve the Committee. The internal conflict within the Committee became public after A. Tucker had published his own version of the report and added other comments, which made the other Committee members object and publish their own statement. After the Committee's dissolution, the Coordination Board addressed new members who were appointed by the Scientific Board following a vote on 6 September 2019. The new Committee comprised prof. Padraic Kenney (Chairman), Dr. Adam Hudek (Deputy Chairman), prof. Thomas Lindenberger, Dr. hab. Anna Ziębińska-Witek, Dr. Machteld Venken, Dr. Michal Kopeček, and Dr. Sirkka Ahonen, and held a session on 20 November 2019.

Prior to the Phase II Evaluation, the members received detailed instructions and the evaluation rules. The task of the Committee in Phase II was to evaluate four research sections at the Research and Education Department and provide an overall evaluation of the Institute's scholarly activities. The Committee members obtained detailed documentation before visiting the Institute and subsequently had the opportunity to request additional materials. The Committee took this opportunity and sent complementary inquiries through its chairman. The Evaluation Committee submitted its final report containing the Evaluation results on 13 January 2020. The report was subsequently presented to the director of the

Institute, the head of the Research and Education Department, and heads of the relevant sections. All of them had the opportunity to file objections, if any, before 14 February 2020. Their complaints were assessed by the Coordination Board, which found most of them to be justified and requested the Evaluation Committee to re-evaluate, if possible, the final report. The Committee modified its report in some respects and, through its chairman, submitted the final report of 24 February 2020. This report is available on the Institute's website in its original form. The statements from the heads of the relevant sections on Phase I and Phase II final reports are also available on the Institute's website.

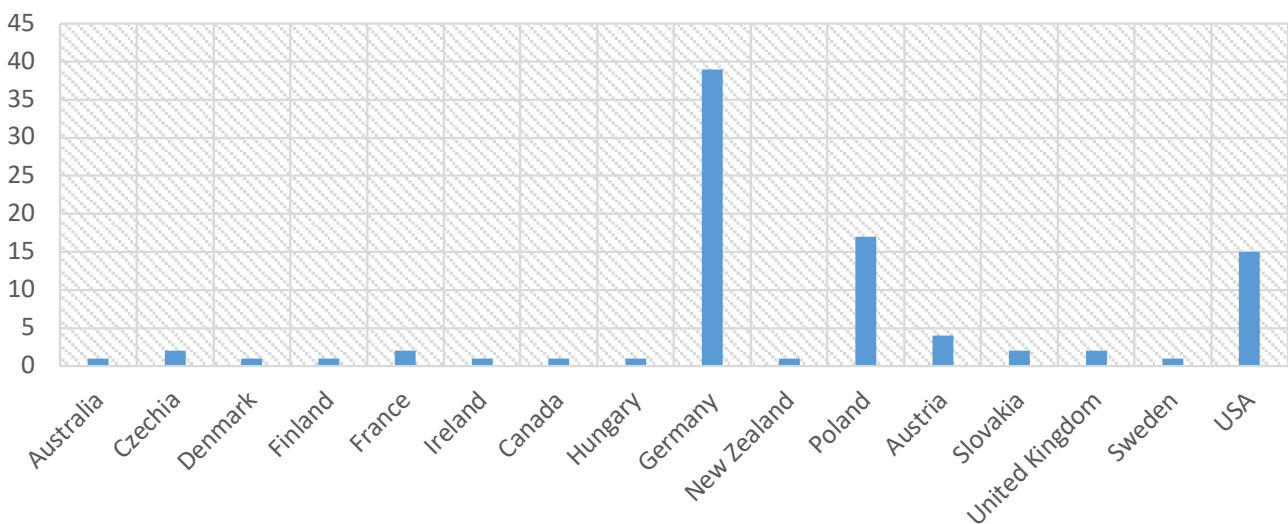
Following the rules of Evaluation and maintaining transparency and fairness, the work of the Evaluation Panel and Evaluation Committee was attended by the observers representing the evaluated entity. The director of the Institute appointed two observers. They attended all the sessions held by the Committees and the visits to the relevant sites, but in no way influenced the formulation of conclusions in the Phase II Evaluation. They were only allowed to make statements on organizational matters and adherence to the rules. The observers also attended all sessions of the Committee on site, except for the final sessions. Ob-

servers responded to the Committee members' inquiries, and were entitled to submit objections concerning the course of the Evaluation to the Committee chairman and the Coordination Board.

PHASE II EVALUATION CRITERIA

- Quality of the results.
- Societal (economic, social and cultural) impact of the research taking into account Educational activities Collaboration with business sector Outreach and editorial activities Research services (libraries, databases, collections, infrastructures).
- Involvement of students in research.
- Position in international as well as national contexts reflecting the Scientific reputation and visibility in international comparison Ability to attract foreign researchers Comparison with other similarly oriented institutions in the Czech Republic.
- Vitality and sustainability determined by- Funding (structure of resources, effectiveness of research) Management (organizational structure, methods of hiring, career system) Employees (age and qualification structure, mobility) Success in grant and project applications.
- Strategy for the future.

Nationality of reviewers





The Phase I and Phase II Evaluation final reports were presented at the Institute's Board meeting on 14 May and at the Scientific Board meeting on 19 May.

CONCLUSION

Despite the considerable complexity and demands on organization and time of the independent international Research Assessment, the Assessment was except for minor complications successfully accomplished following the rules and almost in accordance with the

planned schedule. The total costs were 1.89 mil. CZK for a process that took less than two years. The results obtained in the first Phase were provided to the individual researchers. They were given encouraging feedback for their further scholarly work. Phase II results are being used by the Institute's management in collaboration with its Scientific Board and the Institute's Council to undertake the desired organizational changes and managerial decisions that will lead to further improvement of the Institute's scholarly work.