

# Self-assessment report 2012-2017

**NIOD Institute for War, Holocaust and Genocide Studies**

1 March 2018



## Appendices

1. Case Studies
  - a. Transitional Justice
  - c. NOB (Network of Dutch War Collections)
2. Results of quantitative indicators (Research Output SEP)
3. Monographies and Edited Volumes by NIOD Staff 2012-2017
4. Key financial and staff data
5. Review EHRI 2017
6. Reading Room and Correspondence
7. Website and social media: key data 2016
8. NIOD organogram 2017
9. Management and Academic Advisory Board 2012-2017

NIOD's Strategic Agenda for 2017-2021 (*Strategische Agenda 2017-2021*) can also be provided on request, but it is only available in Dutch.

NIOD Institute for War, Holocaust and Genocide Studies undertakes comparative and multidisciplinary research into the causes, course, nature and consequences of mass violence, in particular conflicts in which the Netherlands or, more broadly, Europe has been involved, including the Second World War, the Holocaust and the decolonisation of Indonesia.

## 1. Introduction

### 1.1. Introduction

NIOD Institute for War, Holocaust and Genocide Studies is a Dutch and international expertise centre focusing on the history of war, mass violence, and genocide. The institute also manages important national collections, especially those pertaining to the Second World War.

NIOD was established as a separate institute within the Ministry of Education on 8 May 1945, when it was known as the State Institute for War Documentation (RvO, later RIOD). In 1999, it became part of the Royal Netherlands Academy of Arts and Sciences (KNAW), acquiring a new name in the process: Netherlands Institute for War Documentation (NIOD). In 2010, it merged with the independent institute that it had helped to found in 2002, the Centre for Holocaust and Genocide Studies. NIOD's staff carry out their work at Herengracht 380 in Amsterdam; some also teach at the universities of Amsterdam, Rotterdam, Leiden and Utrecht.

NIOD's research ranges from basic to advanced, and from societal to scholarly research. Its research is divided into two programmes: *War & Society/Oorlog en Samenleving* and *Genocide Studies*. Its societal research, which is externally funded, is closely aligned with these programmes. The research programmes are embedded in Dutch and international research, for example because NIOD researchers have secondary appointments at three Dutch universities and because the institute is a lead partner in various research and research infrastructure programmes.

NIOD also undertakes other activities arising from its role as an expertise centre for researchers, professionals, and the general public. This role is closely associated with its position as a collection management institution, in which it is responsible for archives, digital services and a specialist library. NIOD also performs this exceptional role as an expert member of *Platform Herinnering Tweede Wereldoorlog*, a platform of various organisations dedicated to recording memories of the Second World War in the Netherlands.

NIOD receives more than half of its budget as a lump sum from the Academy; the rest it generates externally, from the second and, in particular, the third funding stream (contract research). Between 2012 and 2017, externally funded activities accounted for about 45% of the institute's budget.

In the period under review, NIOD has faced serious organisational problems, both internal and external. These have not only had a negative impact on its finances and operational processes, but also on its efforts to innovate its collection management and digital infrastructure. The quality of research does not appear to have suffered, although the financial circumstances made heavy demands on the staff, and it is impossible to say what would have happened without these difficulties. In the end, the institute has shown itself to be exceptionally resilient and capable of maintaining its dual role as a centre of scholarly and societal research and education on the one hand and as a collections management institution

and service provider on the other; it is precisely this foundation that allows NIOD to serve a prominent academic *and* public role.

## 1.2. Profile

NIOD Institute for War, Holocaust and Genocide Studies is active in the world – the world in which we live, and the world of scholarship. By studying the recent history of war, mass political violence and genocide – including their long-term effects on society – from a variety of different perspectives, the institute helps foster an understanding of that world, both now and in the recent past. NIOD also makes it possible for its own and external researchers to study relevant sources and other materials in its own and other collections, increasingly and as much as possible by digital means.

NIOD's activities are clustered into three interlinked domains: (a) Basic and societal research; (b) Collections and the related information services; (c) Theme-based digital infrastructures.

'Basic research' refers to research that is innovative both in its methods and substance, whereby the research questions and outcomes arise primarily from and are meant primarily for the relevant scholarly communities; 'societal research' refers to research whereby the research questions and outcomes arise from and are meant for society in the first instance. Note that it is often impossible to separate basic research from societal research, however, let alone consider them as opposing types by definition. As in many domains within the humanities, much of NIOD's output is *hybrid in nature* – hybrid as defined by the Quality & Relevance in the Humanities (QRiH) Authorisation Panel: output fashioned by researchers to be the subject of communication in the subject area that also have a demonstrable societal reach. Hybrid output may consist of books and articles, but it can also take the form of exhibitions, digital infrastructure projects, or activities related to the collections.

The *War & Society* and *Genocide Studies* research programmes, particularly those associated with the Holocaust, share a number of *topoi*, including perpetration, regime change, behaviour, encounters, experiences and exchanges, transitional justice and memory. This reflects NIOD's efforts to undertake comparative and multidisciplinary research into the causes, course, nature and consequences of mass violence, in particular conflicts in which the Netherlands or, more broadly, Europe has been involved, including the Second World War, the Holocaust and the decolonisation of Indonesia.

## 1.3. Ambition

NIOD has multiple ambitions. On the one hand, it wishes to take the lead in the scholarly study of diverse forms of war and mass violence in the recent past; on the other hand, it wishes to function as an expertise centre for a broad spectrum of target groups: students, journalists, exhibition makers, teachers, communications specialists, amateur historians and people who are actively researching the history of their families or communities.

These aims have been laid out in a succession of annual plans and – most recently – in our *Strategische Agenda 2017-2020*. The plans have also identified specific ways in which these aims were to be achieved:

- Improving the research programmes and their internal coherence, for example by reassessing and innovating the Genocide Studies, War & Society and Societal Research programmes, but also by broadening the research to include both an international focus and cooperation with international partners;
- Acquiring funding through the second and third funding streams for new research programmes, for example by guiding and facilitating researchers during funding application procedures and by setting up a separate Societal Research programme;
- Developing a digital agenda, both in research (digital humanities) and within the context of theme-based infrastructures, with NIOD functioning as a driver by investing in the Network of Dutch War Collections (*Netwerk Oorlogsbronnen*, NOB) and the European Holocaust Research Infrastructure (EHRI);
- Improving societal research by developing and maintaining open and active relationships with civil society;
- Improving the services for researchers, professionals and civil society groups, both by establishing theme-based infrastructures and by setting up a Search & Research Environment that integrates information, tools and access portals for the various groups.

These ambitions are also reflected in the types of research outputs and publications that NIOD chooses to generate. NIOD deliberately strives to vary its channels of communication, from publications in international scholarly journals to hybrid publications for peers and interested members of the public; it also publishes books and articles, organises lectures for the general public, and offers expert advice to museums and further education for teachers.

## 2. Relevant indicators

The following section explains the reasoning behind the NIOD's choice of indicators, as appropriate to its nature and ambitions, in accordance with the SEP format. The specific outcomes – the 'robust data' that are meant to substantiate the conclusions of this self-assessment – can be found in the appendices, starting with the *Case Studies* and the table in Appendix 2. Other research outcomes, which are often categorised under the reasoned indicators, will be addressed in the body of this report.

### 2.1 Research products for peers

1. Books, source publications, exhibition catalogues (*authorised*)
2. Journal articles and reviews (*authorised*)
3. Book chapters (*authorised*)
4. Editorship of edited volumes, theme issues (*authorised*)

Driven by its ambition to take the lead in Dutch and international research *and* to deliver basic research with a societal impact on that same basis, NIOD seeks to publish monographs, edited volumes (and articles in such volumes), journal articles and special issues that have a satisfactory international and/or national reach through publishers that work with a peer-review system or that are themselves authorised. NIOD has adhered strictly to the QRiH lists; as a result, a number of the peer-reviewed publications listed in the table in *Appendix 2* have been classified in the 'Other' category. Many of the publications in the categories 1-4 are hybrid in nature, as defined by the QRiH manual: they are meant for peers but are also interesting to professionals and/or a more general audience of interested persons.

5. Digital infrastructures and databases (*reasoned*)
6. Commissioned reports (*reasoned*)
7. Organising conferences (*reasoned*)

The choice of these indicators covers the key positions the NIOD occupies in scholarship and society in different ways: (5) covers its work as a lead partner in large national and international digital infrastructures and their implementation; (6) commissioned reports, many of which are based on original research, are usually in response to specific societal issues; (7) international conferences reflect the institute's role as a research hub.

### 2.2 Use by peers

1. Use of datasets, databases, software tools or facilities (*reasoned*)
2. Citations of articles, books and other publications (*reasoned*)

These indicators shed light on the scholarly and societal impact of NIOD's research, including the way in which the two are interrelated. The indicator covering the use and reach of large infrastructure programmes illustrates NIOD's ambition to be a national and international hub for researchers *and* professional interested in the study of war and genocide. References to research outcomes go beyond the impact in the scholarly domain to include societal impact. Many NIOD products are hybrid in nature, as we will illustrate (e.g. the *Case Studies*).

### **2.3 Marks of recognition from peers**

1. Invited lectures (*reasoned*)
2. Secondary appointments at other academic or research institutions (*reasoned*)

The first indicator can be used to express the extent to which NIOD's research is recognised by peers. The number and stature of secondary appointments reflects the role the institute plays in the world of scholarship.

#### **2.4.1 Professional products**

1. Digital infrastructures and databases for professional users (*reasoned*)
2. Websites for professional visitors (*reasoned*)
3. Lectures and master classes for a professional audience (*reasoned*)

Re 1 and 2: based on its role as an expertise centre and manager of specialist collections, NIOD regards it as its task to share knowledge, sources and research data with both researchers and professional users (media, museums, sister institutions) at home and abroad, such as the Network of Dutch War Collections (see *Case Study 1b*) and the European Holocaust Research Infrastructure (see *Appendix 5*). It does this by developing thematically organised websites.

Indicator (3) allows NIOD to show how it transfers knowledge to all sectors of society, in particular to such professional target groups as teachers, information specialists, museum staff and others who work in the broad area of education, commemoration and memory.

#### **2.4.2 Popular products**

1. Books, source publications and exhibition catalogues for a general readership (*reasoned*)
2. Articles in general magazines and journals (*reasoned*)
3. Lectures and master classes for a general audience (*reasoned*)

These indicators lend themselves well to showcasing the special societal relevance of NIOD as an expertise centre. They cover a wide spectrum of activities, ranging from advising on exhibitions and co-producing a digital database of Dutch wartime newspapers (*Oorlogskranten*) as well as a publication series meant for a general readership to hybrid publications already listed under 2.1 (Research products for peers). Articles in general magazines and journals and lectures for a general audience are important indicators of NIOD's ambitions within the scope of knowledge dissemination *and* interaction with society.

### **2.5 Use by societal stakeholders**

1. Projects in cooperation with societal parties (*reasoned*)
2. Citations of articles, books, reports, websites and other products in the professional and public domain (*reasoned*)
3. Contract research (*reasoned*)
4. Other descriptions of use by societal groups (*reasoned*)

The first two indicators are relevant because they demonstrate the NIOD's position as an 'interpreter' of scholarly knowledge for broader society. They help show that broader society does make use of the knowledge that the institute disseminates, and that this knowledge in fact has an impact. The contract research indicator explains the role NIOD plays in society by combining research, advisory work, training and academic teaching. That is also true of the indicator 'Other descriptions of use by societal groups', which covers the close personal guidance that NIOD offers as a service to individuals.

## **2.6 Marks of recognition from societal groups**

### 1. Financial and material support for research by civil society (*reasoned*)

This indicator is very appropriate for illustrating the position that NIOD occupies as an expertise centre at the service of civil society. It reflects society's willingness to support its research and other activities in both the financial and material senses: gifts also fall under this header.

### 3. Results achieved in research and society in the past period

#### General review

In the reporting period (2012-2017), NIOD had multiple ambitions: to take the lead in the scholarly study of diverse forms of war and mass violence in the recent past and to function as an expertise centre for a broad spectrum of societal target groups, institutions and organisations. The results show how NIOD pursued these ambitions. The list of publications – monographs, edited volumes and papers – shows that NIOD staff published authoritative scholarly works on a variety of different topics. The institute's scholarly publications – 42 books, 83 book chapters and more than 100 articles [see *Appendices 2 and 3*] – have also had a demonstrable impact on society, both in the Netherlands and abroad, as revealed by several preliminary analyses performed by Dr Ad Prins at NIOD's request (see p. 14). The societal impact is implied by the hybrid nature of many of these scholarly publications.

Every year, NIOD researchers organise numerous workshops and seminars, as well as large, high-profile conferences in conjunction with Dutch and foreign partners and participants. The institute's prominence in Dutch and international networks and advisory committees bears witness to its consistent recognition by the scholarly community and society. The large percentage of externally funded research that the institute performs (45% on average in the reporting period [see *Appendix 4*]) can be regarded as an unambiguous yardstick for the quality and reputation of NIOD's research.

The institute's international impact was also enhanced by its English-language publication series (with AUP/Chicago UP) and the open access journal that it founded and still manages, entitled *Fascism*. Additionally worth noting is the considerable contribution that seven NIOD professors make in teaching university students and in supervising PhDs, both within the institute and externally. The institute has also played a leading role in setting up and implementing two major theme-driven infrastructures in Europe and the Netherlands, the European Holocaust Research Infrastructure (EHRI) and the Network of Dutch War Collections (see *Review EHRI* and *Case Study 1b* in the *Appendices*). Finally, the institute's many dedicated activities have allowed it to continue functioning in its key role of expertise centre for researchers and the general public.

The expertise centre role is highlighted by NIOD's having published 23 books for a general readership, more than 120 articles for popular magazines, and as many lectures for a general audience [see table in *Appendix 2*]. As experts and commentators, NIOD staff are a constant presence in the media, with an average of two citations in Dutch newspapers every day (Source: *LexisNexis*). NIOD also makes its presence felt with lectures and other events for general audiences, film screenings and debate evenings, often featuring key figures in Dutch and international scholarship. Its website consistently attracts a large number of visitors and it is also very active in providing digital and physical services (see *Appendices 6 and 7*). No less than twenty NIOD staff have written blog posts in recent years, an average of three per month in all. The combination of scholarly research and societal commitment is an enduring source of inspiration for NIOD staff.

## Strategic choices

The fact that the 2012 evaluation refers to NIOD's research as 'very good' and – in terms of relevance – 'excellent' has not prevented the institute from reflecting continuously on its strategies going forward. There is an all-pervasive sense that it needs a new élan to remain ambitious and to avoid stagnation. In that regard, the 2012-2017 reporting period has not been easy in numerous respects. As Section 5 of this report will reveal, there have been organisational conflicts both within and outside the Academy; in addition, NIOD has witnessed the reins being handed over to a new generation of researchers and has had to weather changes in research funding and in its organisational and financial context. NIOD sought to respond to these trends and problems by:

- appointing new researchers and (since 2017) drafting a multi-year personnel plan
- seeking to diversify its funding sources to compensate for the fall in revenue from the second funding stream
- restructuring its research organisation.

In terms of staff changes, four postdocs were appointed as senior researchers and charged with the task of becoming driving forces.

Considerable energy was invested in applying for grants from Dutch and international science funding bodies. As a result, NIOD was awarded funding for an EHRI follow-up project (Horizon 2020), four NWO programmes in which it participated, a Marie-Curie fellowship, and two programmes under the Academy innovation fund (*Transitional Justice* and the collaborative NOB-project 'Tribunal Archives as a Digital Research Facility' [TRIADO]). Because the likelihood of a funding award in the second funding stream has declined (owing to stiff competition and shrinking resources), it was decided to devote more effort to the third funding stream, in the belief that cross-fertilisation would be possible between basic and societal research questions. One of the most important results of this effort was the research programme, awarded in conjunction with the Royal Netherlands Institute of Southeast Asian and Caribbean Studies (KITLV) and the Netherlands Institute for Military History (NIMH), on the Indonesian Revolution. NIOD is the lead partner for this programme.

## Research programmes

NIOD's research organisation is divided into three core teams clustered around three programmes: War & Society, Genocide Studies and Societal Research. The appointment of core team leaders has improved the departmental management structure in terms of the subject matter. It makes it possible to work more specifically on a shared agenda that overarches the separate themes by selecting research subjects (mass violence, transitional justice and new approaches to resistance) and working on methodological innovation (computational processing and analysis of very large alphanumerical datasets) and new forms of cooperation at the interface between research and collection management (NOB, EHRI). The boundaries between the research domains in which the NIOD programmes operate are fluid when it comes to themes, focus and publication culture, although the domains are certainly distinct. At the same time, there is ample synergy: for example, the decolonisation programme is relevant in all three research programmes: it concerns a society

living under the stress of war, the issue is mass and potentially genocidal violence, and the programme has a public component that is explicitly tied to collective memory.

The *War and Society Programme* builds on the work that the institute commenced in May 1945. What was then an exclusive focus on the Netherlands and its former colonies during the Second World War has given way to a transitional perspective, with the Dutch experience continuing to play a role in many cases. The familiar temporal frameworks are also fading, as is clear from the project 'The Long War - The Netherlands at War in Europe and Asia, 1940-1950, and the shared interest researchers are taking in the impact of wartime experiences and the culture of remembrance. The programme *New Views on People in the Resistance during the German Occupation of the Netherlands 1940-1945* straddles basic and societal research. The new chair in History of Resistance in Times of War and Persecution at Utrecht University is part of this programme. It also encompasses a PhD project using new digital methods to explore the role of emotions in political debates related to the Second World War. The societal component consists of three ongoing commissioned studies on the student resistance during the Second World War, the Nazi prison known as the 'Orange Hotel', and the resistance in the Dutch police force during the Second World War. The programme is also making an important contribution to the events and activities of the first theme year ('Year of Resistance' 2018) organised by *Platform Herinnering Tweede Wereldoorlog*.

The *Societal Research Programme* manages the NIOD portfolio for research commissioned by public, semi-public and private institutions and organisations that would like NIOD to study a specific question, within the framework of and in accordance with the Academy guidelines concerning scientific independence. The reports and studies that it has produced demonstrate the enduring interest in the history of Dutch society and touches on an 'unresolved past'. Examples include a study conducted for the City of Amsterdam after a political uproar about the treatment of Jewish survivors of the Shoah (2015), a follow-up study commissioned by the Dutch House of Representatives concerning possible new evidence of prior knowledge and air support during the fall of Srebrenica (2016), and an investigation commissioned by the Netherlands Red Cross into its much-criticised role during and in the aftermath of the Second World War (2017). Commissioned projects such as these are rooted in the institute's expertise and methods, help improve its academic network and scholarly output, and usually have a major societal impact. More recent initiatives include a study of Jewish Rotterdam during the Second World War and an interdisciplinary programme entitled 'Life Stories of War Refugees', in cooperation with the Genocide Studies Programme.

Since the integration of the Centre for Holocaust and Genocide Studies (2010), the *Genocide Studies Programme* has broadened NIOD's research in geographical, temporal and disciplinary terms. One good example is the programme *Understanding the Age of Transitional Justice*, a case study which can be found in the appendices. Besides research, this programme also has other specific tasks, i.e. the MA programme (now highly selective) at the University of Amsterdam, public activities and teacher training. The MA programme has turned out to be an academic incubator: many of its graduates are working on their PhDs elsewhere or have found jobs at NGOs and memorial centres.

In line with efforts to undertake innovative, internationally oriented research into the causes, course and consequences of genocide, NIOD staff have done fieldwork in Turkey, Russia, Ukraine, Serbia, Cambodia and various African states. These projects resulted in key publications issued by prestigious university publishing houses (Harvard, Cambridge, Oxford, Indiana, Rutgers). Recent initiatives – once again in cooperation with the other research programmes – involve a study on the violence of decolonisation (1945-49) and massacres in Indonesia (1965) and their aftermath, as well as an interview project with present-day Syrian refugees that looks at intergenerational trauma.

### **Expertise centre and collections**

NIOD is not just a research institute; it is also a cultural heritage institution and an expertise centre, both structured around its collections and library. The associated activities, which consume a sizeable share of its human and financial resources [approx. 22 FTEs and 1.4 M€ = 25% of the 2017 budget], range from specific research commissioned by private parties, the authorities and the media (see *Appendix 6*) to being lead partner in the Network of Dutch War Collections (NOB), whose purpose is to make the collections of hundreds of Dutch institutions searchable through a single portal (see *Case Study 1b*). The reading room allows external researchers to use the institute's collections for their research.

It will be obvious that the work that NIOD undertakes as an expertise centre and collections manager is closely related to its scholarly research and its accumulated knowledge. Pertinent examples of productive exchanges are the theme-based (digital) infrastructures of the NOB and EHRI, the TRIADO project, and the photography exhibition *Stad in Oorlog, Amsterdam 1940-1945 in foto's*.

## 4. Conclusions of the self-assessment

Although NIOD faced a number of serious organisational and financial problems after the previous highly favourable evaluation, it has shown itself to be extremely resilient. It has maintained its focus on scholarly and societal research and services, and its productivity is undiminished, although it has often had to show flexibility in its operations. The foregoing problems have, however, had a negative impact on its operational management and on the excellent plans to update its digital infrastructure.

Whether NIOD has managed to achieve its research ambitions since 2012 is a question that we believe can be answered in the affirmative, generally speaking. One significant piece of evidence is the *response analysis* carried out by Dr Ad Prins at NIOD's request to show the societal impact of ten high-profile studies carried out between 2012 and 2017.<sup>1</sup> The analysis reveals that the ten publications were cited on 601 separate websites, altogether representing a very broad spectrum of society, from print media and the commercial broadcaster RTV to academic and 'ordinary' bloggers to associations and NGOs in the Netherlands and abroad, but also historical societies and memorial centres.<sup>2</sup> Many publications can therefore justifiably be categorised as hybrid: they are equally popular with peers, professionals and interested members of the general public. The impact analysis concerning the Transitional Justice programme produced comparable results (see *Case Study 1a*). In a certain sense, these outcomes represent what NIOD aims to be: an institute that is active not only in the world of scholarship, but also in the world in which we live.

At the same time, this self-evaluation suggests that the institute will need to work hard to ensure that its 'formula' does its work going forward as well. The power of that formula lies in the combination of excellent and socially relevant research with a visible role as a national expertise centre and archive for the Second World War. Incidentally, this does not mean that the institute restricts itself to its own collections or to the Second World War. On the contrary, this self-evaluation shows that it spends ample time studying other scholarly *and* socially relevant themes. To retain its unique position in Dutch and international scholarship, NIOD will continue to pursue scholarly innovation and to focus even more on international debate and cooperation; it will also continue to improve its position as a societal network and expand its digital infrastructure. The latter is necessary not only to ensure that NIOD remains a national expertise centre but also to furnish the EHRI and NOB with an enduring environment in which to operate.

---

<sup>1</sup> The ten publications were: (1) Regina Grüter, *Kwesties van leven en dood : het Nederlandse Rode Kruis in de Tweede Wereldoorlog* (2017); (2) Ewoud Kieft, *Het verboden boek : Mein Kampf en de aantrekkingskracht van het nazisme* (2017); (3) Remco Ensel and Evelien Gans (Eds.), *The Holocaust, Israel and 'the Jew'. histories of antisemitism in postwar Dutch society* (2016); (4) Jolande Withuis, *Juliana: vorstin in een mannenwereld* (2016); (5) Jaap Cohen, *De onontkoombare afkomst van Eli d'Oliveira: een Portugees-joodse familiegeschiedenis* (2015); (6) Hinke Piersma and Jeroen Kemperman, *Openstaande rekeningen: de gemeente Amsterdam en de gevolgen van roof en rechtsherstel, 1940-1950* (2015); (7) Bas von Benda Beckmann, *De Velsler Affaire: een omstreden oorlogsgeschiedenis* (2014); (8) Ismee Tames, *Doorn in het vlees: foute Nederlanders in de jaren vijftig en zestig* (2013); (9) Nanci Adler, *Keeping faith with the party: communist believers return from the Gulag* (2012, with the Russian edition *Sokhraniaia vernost' partii* (2013)); (10) Karel Berkhoff, *Motherland in danger: Soviet propaganda during World War II* (2012).

<sup>2</sup> Ad Prins, *Respons Analyse van 10 NIOD publicaties 2018*. Report dated 9 February 2018. The analysis excludes libraries, booksellers, IT websites and other non-relevant material.

## 5. Organisational context

NIOD Institute for War, Holocaust and Genocide Studies has been part of the Royal Netherlands Academy of Arts and Sciences (KNAW) since 1999. It thus reports to the Academy Board and the Academy Board of Management. The institute has always had a large measure of freedom to shape its own policy with regard to research, collections and services (albeit within the Academy's general financial and organisational frameworks), with the directors bearing all-round responsibility.

In 2012, however, a serious conflict flared between the Academy's management and NIOD, the source being a disagreement about the course of NIOD's future development and the context in which that was to take place. Among other issues, the disagreement concerned far-reaching cooperation between the Academy's humanities institutes and digital humanities as their sole programmatic orientation point, and a physical separation between research and collections. In 2013 and 2014, the chasm grew so wide that the only solution was, seemingly, for NIOD to withdraw from the Academy, *à contre-cœur*. The conflict subsided when a new Academy Board entered office, and came to an end in 2015. On balance, however, much more was lost in the dispute than gained. The conflict cost NIOD a great deal of time and energy and led to a deterioration in internal relationships and operational management; the institute also missed out on innovation funding.

For much of the reporting period, the institute was managed by a director and three department heads, also known as directors; between 2014 and 2017, the research department was managed by two senior researchers. After the previous director retired from her position, a new director took office after a brief intermezzo. The new director is assisted by a management team consisting of the head of Research, the head of Collections & Services, and the head of Operational Management (see *Appendix 9* for the names of relevant job holders).

Since the reorganisation in 1997, both the staff and the work itself have been divided between two departments: Research and Collections & Services, both assisted by General Affairs (encompassing facilities services, the secretariat, the board, and so on). The departments are the actual work units and report to a head who is responsible for delegating the work and for staff performance. In 2017, core teams were added to the organisation to guide and to improve coherence and energy within the various work domains, whether in research, collections, services or digital infrastructure. The three core teams in the research domain are responsible for the War & Society, Genocide Studies and Societal Research programmes. The three teams function as a 'home base' for the researchers; they are responsible for developing new plans and lines of research going forward (see *the organisation chart in Appendix 8*).

NIOD makes use of the Academy's centralised facilities in various domains, including legal affairs, IT and personnel. In the summer of 2017, responsibility for NIOD's finances was outsourced to the back office of the Humanities Cluster (HuC).

NIOD's operations and general policymaking are subject to supervision by the Academy, for example in the form of financial reports and audits and regularly scheduled meetings with

the management. The Academy has also inaugurated a Scientific Advisory Committee, which offers the institute's management solicited and unsolicited advice (the committee members are listed in *Appendix 9*).

If we look at the institute's financial results for the years 2012 to 2017 (see *Appendix 4*), it becomes clear that NIOD acquires a considerable proportion of its revenue from external funds – an exceptionally large amount for a humanities institute. This is no luxury, however; the ratio between tenured appointments and regular revenues (85:55 in 2016) forces the institute to deliver a solid financial performance – with varying success, as its profit on ordinary activities reveals. This is a situation that requires constant attention.

That is also the case for the size and distribution of tangible fixed assets between the departments, which is based purely on historical grounds. The 2012 evaluation committee noted this as a serious point of concern; so far, nothing has been done to address it. Since 2012, however, pressure on the collections aspect of NIOD's work has only increased, in connection with legal and regulatory matters, storage conditions, accessibility and digitalisation.

## 6. Previous evaluation, future plans and SWOT analysis

As mentioned above, in its 2012 report, the previous evaluation committee had a favourable opinion of the institute, writing: ‘The quality is very good to excellent, the productivity and feasibility are very good, the relevance of the Institute is excellent; all aspects of research are “very good”.’ The committee did have a few reservations, however, for example the ‘imbalance’ and tension between the financial requirements of the two main departments (Research and Collections & Services), the small number of senior research staff, and the need to have closer relationships with universities. While the institute has tackled the latter two points with great verve, that is not the case for the committee’s first reservation: the relatively large and growing claim that Collections & Services is making on the lump sum. In other words, there is growing tension between the costs associated with modern-day collections management in a digital world and the amount appropriated for that purpose from the lump sum, which is based on historical grounds and not on *actual needs*. That is an issue that will need to be addressed in the coming years.

In paragraph 4 of the Conclusions section, we indicated that the institute’s policy is aimed at maintaining the functionality and robustness of NIOD’s special ‘formula’. The underlying principles of this policy are explained in the *Strategische Agenda 2017-2021*. To begin with, this means that the bar will be set high for the quality of research in the domains War & Society and Genocide Studies. Second, the institute will continue investing in research that is both socially relevant and academically interesting and innovative. One of the challenges arising from that intention is the need to position the results of innovative research – which can be published in Dutch thanks to Dutch society’s lively interest in those results – in the international discourse. Third, NIOD will push forward with its efforts to revitalise its role as an expertise centre (this being linked to its work as a collections manager); that is vitally important in today’s rapidly changing landscape, in which form, access and context have acquired new meaning thanks to the ongoing process of digitalisation. Fourth, NIOD must continue to professionalise its operational management, including developing multi-year staffing and financial plans.

This report has repeatedly discussed NIOD’s ‘unique’ position, with the word sometimes referring to its exceptional position as a scholarly institute with an important societal role, and other times referring to its triple role as a research institute, collections manager and expertise centre. In any benchmark, that position – viewed in the Dutch context – is indeed exceptional; the International Institute of Social History (IISH) comes closest. There are institutions with a somewhat similar profile abroad, specifically in Germany, such as the *Institut für Zeitgeschichte* in Munich, which NIOD regarded as a role model in the 1990s as it underwent a reorientation and expansion of its scope of activity.

SWOT ANALYSIS

<b>Internal organisation</b>	<b>Strengths</b>	<b>Weaknesses</b>
	<ul style="list-style-type: none"> <li>- Staff <i>prepared and fully competent</i> to develop research along innovative lines</li> <li>- Strong reputation and position in national, European, and global scholarly and societal networks</li> <li>- Strong impact capacities as a stimulus for external funding, based on a rich repertoire of knowledge transfer, from scholarly books to exhibitions</li> <li>- Strong capacity to attract fellows with their own funding and external scholars and partners, nationally and internationally</li> <li>- Well-embedded in national and international networks and connected to universities</li> <li>- Being part of the Academy offers more opportunities and advantages than actually exploited so far</li> <li>- Highly engaged staff</li> </ul>	<ul style="list-style-type: none"> <li>- Imbalance between lump sum (fixed)/temporary funds and tenured /temporary staff puts a heavy pressure upon institute to acquire new grants and funds</li> <li>- Strong dependence on external third-party funding may have too great an impact upon the research agenda</li> <li>- Financial pressure restricts the size of the senior tenured staff and the extent to which new PhDs, postdocs and fellows can be attracted</li> <li>- NIOD's strategic agenda is far-reaching but may be overstretched from the perspective of ways and means.</li> <li>- Necessary maintenance and innovation of archival collections, including digitalization and infrastructure, claims a relative large part of the historically grounded budget while demanding much new expertise and funds</li> </ul>
<b>External context</b>	<b>Opportunities</b>	<b>Threats</b>
	<ul style="list-style-type: none"> <li>- The Dutch National Research Agenda (<i>Nationale Wetenschapsagenda</i>) may offer opportunities for NIOD research in the fields 'Between Conflict &amp; Cooperation', 'Resilient Society' and 'Living Past'</li> <li>- Key areas of NIOD scholarship are and will remain politically and socially relevant (e.g. characteristics of societies at war, causes and long-lasting impact of extreme violence; transitional justice practices in historical context)</li> <li>- Lasting interest in the Netherlands for history of the Second World War and other contemporary wars</li> <li>- Developments in digital humanities offer research opportunities, with national and international partners, among them KNAW-HuC.</li> </ul>	<ul style="list-style-type: none"> <li>- Relatively weak position of humanities in public politics of science, including in Europe</li> <li>- Growing competition in the face of diminishing funding</li> <li>- Legislation with regard to privacy and archiving could have serious implications for both research and collections</li> <li>- Government policy regarding independent Academy/NWO institutes</li> </ul>

## 7. PhD Programmes

NIOD aims to function as an incubator for young researchers. It pursues that ambition in a variety of different ways, ranging from giving students ample internship opportunities to providing post-graduate training and supervision of PhD candidates at various universities. The latter is possible because a number of staff members have professorships.

There are two categories of PhD candidates associated with NIOD:

- 1) NIOD PhD candidates, appointed to a specific NIOD research project;
- 2) external PhD candidates, further divided into:
  - a) external PhD candidates employed by a university or other research institute who are being supervised or co-supervised by a NIOD staff member; they can be given a zero-hours employment contract at the institute;
  - b) external unsalaried PhD candidates who are not employed as researchers and are being supervised or co-supervised by a NIOD staff member; they can be given a fellowship.

Agreements concerning supervision and quality control are made with the university at which the PhD candidate will defend his/her dissertation, in accordance with that university's current rules. This means that the PhD candidates receive 'local' doctoral training on the one hand, and participate in the programmes of one of the accredited national research schools on the other. NIOD assists in organising the educational programme for the Research School in Political History; in pertinent cases, PhD candidates are also enrolled at other research schools, i.e. the N.W. Posthumus Institute and the Huizinga Research Institute and Graduate School of Cultural History. These research schools familiarise PhDs with the Dutch and international research world, the debates that are taking place in their subject areas, academic standards, best practices, and science communication.

Regular progress reviews are linked to the procedures of the relevant faculties. One important milestone comes nine months to a year after the candidate starts his or her research, when a go/no-go decision is taken as to whether the candidate may proceed. Appointments at NIOD are aligned with that decision. Depending on the faculties involved, the rules are often more lenient for unsalaried external PhD candidates, many of whom carry out their research while in employment, although progress meetings do take place.

Selection and admission depend on the type of appointment: there are no restrictions on the recruitment of NIOD PhD candidates, external PhD candidates whose research is linked to a NIOD project are given a zero-hours employment contract based on a management resolution, and unsalaried external PhD candidates may be nominated by their supervisor for a fellowship. Supervision is arranged on a case-by-case basis by the head of Research in consultation with the supervisor or supervisors.

NIOD's status as a research institute means that considerable effort is devoted to learning to work in teams and sharing knowledge and expertise with other PhDs, postdocs and senior research staff. PhDs are further encouraged to attend international workshops and

conferences, participate in joint programmes and the like, or initiate (or help initiate) them. Individual coaching is the main method used to prepare candidates for the job market and help them build their career prospects.

One enduring problem concerns the financial relationship between universities and NIOD when it comes to the distribution of the 'PhD allowance'. The Academy and NWO would do well to finally put an end to the present arbitrariness and friction by making binding agreements with the Association of Universities in the Netherlands (VSNU) about this matter.

## 8. Diversity

NIOD's recruitment culture is transparent and should be conducive to promoting diversity within the organisation. Nevertheless, in terms of cultural background and country of origin (ancestry), NIOD's staff is not as diverse as might be expected based on the composition of the Netherlands' current population. That is partly owing to the themes that the institute studies, which are deeply culturally and historically determined, and partly due to the limited number of staff transfers and promotions. The current push to broaden the scope of research, for example in Genocide Studies, is expected to change that. NIOD currently gets good marks for gender diversity, with an even number of men and women at all salary scales. Since 2012, the age range has improved somewhat as younger staff have moved into several positions vacated by retirees. The institute is attempting to recruit more young researchers by focusing on new domains, including digital humanities, and by creating places for PhD candidates.

## 9. Research integrity, ethics and research data management

NIOD adheres to the VSNU's Netherlands Code of Conduct for Academic Practice, which offers guidelines for scholarly research and teaching, as well as the Academy's protocols concerning research integrity. There were no research integrity issues in the 2012-2017 period. NIOD researchers tend to work with a lot of personal data. Privacy is therefore a critical question. NIOD's data policy plan offers guidance in that regard. Although there was no standing ethics committee at NIOD in the 2012-2017 period, ethics committees were appointed in relevant cases. A plan is currently being considered to establish a joint ethics committee for all the Academy Humanities institutes.

NIOD has an open research culture based on equality. Researchers often work in teams or programme groups. They consult one another a great deal and have frequent discussions, both formal and informal. Seniority is no obstacle; the input of interns is just as welcome as the input of senior researchers. Young researchers attend team gatherings and other meetings and activities. NIOD strives to offer its researchers a safe environment where they can express their opinions without reservation.

NIOD's data policy plan became effective in 2012. The plan describes how NIOD interprets the Academy's open access and digital preservation policy for research data. It directs NIOD researchers to store their research data permanently in digital form and, with due observance of the Dutch Personal Data Protection Act [*Wet Bescherming Persoonsgegevens*, WBP], for example, to make that data accessible to others (open access). Researchers are to include a data section in any new research plans in which they must indicate what research data they will be producing and how they intend to deal with it, referencing the NIOD data policy plan. The NIOD data steward and Research Data and Archives working group are putting the policy into practice. In the 2012-2017 period, six datasets were stored permanently in DANS-EASY.

Compliance with the data policy plan was not always self-evident in 2012-2017 period. It takes time to transition to a new method and find a workflow that offers maximum support. There are also research datasets predating 2012 held by the researchers and in the archives that have not yet been preserved digitally and that are largely inaccessible. Thanks to the Academy Fund for Open Access and Digital Preservation for Data Advisers, both issues were tackled in a project that ran from August 2015 to August 2016. Since then, the institute has made efforts to adhere more strictly to the established rules and agreements, initially in its large-scale projects. One of the results is that an archivist has been assigned to the 'Decolonisation, Violence and War. Indonesia 1945-1950' programme, ensuring that the project's data management and research archive would be properly managed right from the start. The data policy plan will be revised in 2018. New developments, such as the FAIR Data Principles and the Open Science movement, will be incorporated into the NIOD Research Data Management Plan. It should be noted that, along with other cultural heritage institutions, NIOD is greatly concerned about the implications of recent legislation in this area, specifically the EU's *General Data Protection Regulation*, for their tasks, including the pursuit of scientific and scholarly research.

## 10. Appendices

1. *Case Studies*
  - a. Transitional Justice
  - c. NOB (Network of Dutch War Collections)
2. Results of quantitative indicators (Research Output SEP)
3. Monographies and Edited Volumes by NIOD Staff 2012-2017
4. Key financial and staff data
5. Review EHRI 2017
6. Reading Room and Correspondence
7. Website and social media: key data 2016
8. NIOD organogram 2017
9. Management and Academic Advisory Board 2012-2017

NIOD's Strategic Agenda for 2017-2021 (*Strategische Agenda 2017-2021*) can also be provided on request, but it is only available in Dutch.