

**PRINCIPLES OF ANNUAL ASSESSMENT
OF RESEARCHERS OF IPPT PAN**
Adopted by the Scientific Council of IPPT PAN on 1 July 2021

§1

General provisions

1. The annual assessment of researchers' activity is carried out on the basis of the *"Regulations of periodical assessments of activity of researchers of the Institute of Fundamental Technological Research of the Polish Academy of Sciences (IPPT PAN)"* adopted by the Scientific Council of IPPT on 27 May 2011, approved by the proper Vice-President of PAN on 18 July 2011, hereinafter referred to as the "**Regulations**".
2. This document describes the principles of assessment of researchers, including principles of award of distinctions and negative assessments.
3. Based on the individual annual surveys and 3-year surveys, the assessment covers employees hired on scientific positions.
4. These principles apply also to assessment of research and technical employees, engineering and technical employees, conducting or participating in scientific research or development works, it being understood that assessment of these employees requires consideration of the actual scope of their duties and level of involvement in scientific research.
5. For the purpose of the assessment, in the case of employees employed by the Institute for a period shorter than 3 years, the points from the 3-year survey are converted to a 3-year equivalent.
6. The assessment is carried out by the Commission for Assessment of Researchers' Activity, hereinafter referred to as the "**Commission**", as referred to in Clause 8 of the Regulations.

§2

Annual Assessment Criteria

The general criteria of assessment are specified in Clause 3 of the Regulations, and special criteria, in compliance with Clause 6 of the Regulations, are determined in the annual survey and 3-year survey. The criteria taken into consideration by the Commission in the assessment include:

- 1) publications from the group of at least 20 ministry points, including mainly highest scored publications (i.e. awarded at least 100 points in the list of the Ministry of Science and Higher Education);
- 2) monographs;
- 3) points for the scientific and research activity from the 3-year survey;
- 4) number of citations, h-index according to the WoS database;
- 5) assessments: (i) assessment of the Board for Acceptance of Statutory Works (including a distinction/reprimand), (ii) assessment of the head of the Laboratory, Department (distinction/reprimand);
- 6) acquired patents and patent claims filed with the Patent Office;
- 7) points for acquired grants and third-party job orders as a function of the value of granted funds;
- 8) implementations as a function of the value of granted funds;

- 9) participation in didactic activities as part of the Institute's activity;
- 10) prepared reviews of professor applications, habilitation and PhD dissertations;
- 11) age (less than 35 and over 35).

§3 Distinction

The distinction can be granted in six categories:

- category regarding assessment of the scientific level (publications and patents);
- category regarding assessment of financial effects connected with projects;
- category regarding assessment of financial effects of third-party job orders and commercialisation;
- category of didactic activity conducted as part of IPPT, including but not limited to Doctoral Schools;
- category of promotion of the young scientific staff (promotion of doctors as a thesis supervisor or co-supervisor);
- review category.

Criteria of distinctions regarding assessment of the scientific level (publications and patents)

1. It is determined that the distinction can be granted to persons meeting the following conditions collectively:
 - 1) having at least one of the following accomplishments in the assessed year:
 - a. publications worth at least 200 points in the Table of the Ministry of Science and Higher Education, including at least one publication awarded at least 100 points where the author specified affiliation with IPPT PAN,
 - b. a monograph or book awarded 200 points by the Ministry of Science and Higher Education where the author specified affiliation with IPPT PAN,
 - c. patent the owner or co-owner (at least 50%) of which is IPPT PAN;
 - 2) in the 3-year survey, categories "scientific publications" and "patents" (points 1, 3.2 and 3.3 of the survey) showing at least **400 points** and completed **2.5 IPPT PAN slots¹** for employees over the age of 35 or **280 points** and completed **1.5 slots** for employees below the age of 35.
2. In each of the age groups, the Commission can distinguish not more than 2 persons not meeting the point and slot limits specified in point 1. Each such distinction requires a written substantive justification prepared by the Commission.
3. Each year 9 distinctions shall be granted in the group of employees below the age of 35 (in the assessed year) and 11 distinctions in the group of employees over the age of 35 (in the assessed year). In substantively justified cases, the number of distinctions can be higher or lower.

¹ "IPPT PAN Slot" corresponds to the definition of the so-called "unit contribution" (referred to colloquially as a "slot") determined in the Regulation of the Ministry of Science and Higher Education of 22 February 2019 (§ 13), with the following important difference: when calculating the "IPPT PAN slot" for the given article and the given author from IPPT PAN, the breakdown into disciplines is not taken into consideration. In this case, k determined in the Regulation is understood as the number of all co-authors from IPPT PAN, irrespective of the discipline to which they classify their contribution to the given publication.

4. The preliminary selection of distinguished persons shall be made on the basis of the table sorted by columns in the following order:
 - 1) sum of points for highly scored publications in the assessed year (i.e. each publication with at least 100 points);
 - 2) sum of points from the 3-year survey in the category of scientific publications (point 1. of the survey);
 - 3) in the case of persons below the age of 35, points from the 3-year survey for the scientific degree;
 - 4) number of citations from the survey in the assessed year;
 - 5) sum of points from the 3-year survey for patents, implementations, grants (transcripts);
 - 6) distinction of the Head of the Department for design and construction of a unique research station - reported once every 3 years for max. 3 co-authors.
5. The Commission shall treat the sorted table as the basis for assessment and award of the distinction. Concurrently, the Commission shall consider the individual cases separately, taking into consideration, in particular, not only the total number of publications but also the number of authors (number of completed slots) and estimated contribution of individual authors, as determined based on their position in the list of authors and function of the corresponding author. When awarding the distinction, the Commission shall also take into consideration the acquired patent and other activity considered valuable in terms of scientific activity.

Criteria of distinctions regarding financial effects (Projects)

When awarding the distinction, the Commission shall consider the acquired grants, including prestigious European grants, implementations and **commercialisations of effects of scientific research or development works** conducted in IPPT PAN within the given scientific discipline or **know-how related to those effects**.

6. It is determined that the distinction can be awarded to persons who, in the given year, **in the category of scientific projects** obtained **at least 500 points for employees over the age of 35 and at least 100 points for employees below the age of 35**.
7. **Maximum 3 distinctions** can be granted in the project category **in each age group**.
8. The points shall be granted to the persons implementing the project **depending on the sum of funds granted** in the period covered by the assessment for project implementation.
 - a) The project **leader** shall be assigned **100% of points** in the year of project award.
 - b) **The project leader shall assign the points** to other persons implementing the project. The sum of points assigned to other persons implementing the project must be equal to **100% of points** granted in the given year.
9. The value of points assigned to specific projects is determined in Appendix 1.

Criteria of distinctions in the category regarding assessment of financial effects of third-party job orders and commercialisation

When awarding the distinction, the Commission shall consider the orders and commercialisation meeting the requirements specified in point A, item c and d, respectively, of appendix 1.

- 10.** it is determined that the distinction can be granted to persons who **earn the revenue of at least PLN 120 thousand (300 points)** in the given year.
- 11.** In the category of Third-party orders and commercialisation, **maximum 1 distinction can be granted in each age group** (i.e. in the group of employees over the age of 35 and in the group of employees below the age of 35).

Criteria of distinctions in the category of didactic activity conducted at the Doctoral Schools run by IPPT or any other didactic activity conducted at IPPT.

When awarding the distinction, the Commission shall consider the number of hours of classes conducted at the Doctoral School of IPPT PAN or the Doctoral School of TIB PAN, or any other didactic activity conducted at IPPT. The points shall be awarded in compliance with Appendix 4.

- 11.** It is determined that the distinction can be granted to persons who received at least 360 points in the given year. In the case of an equal number of points, the opinion of the PhD Student Council shall be crucial.
- 12.** **Maximum 1 distinction** can be granted in the category of *Didactic activity*.

Criteria of distinctions in the category of promotion of the young scientific staff

When awarding the distinction, the Commission shall consider the number of PhD candidates supervised **over the last six years** (as a thesis supervisor or co-supervisor) as well as the points granted in compliance with Appendix 4.

- 13.** It is determined that the distinction can be granted to persons who supervised **at least two PhD candidates** over the last six years. Distinctions in this category can be received twice within six years.
- 14.** **Maximum 1 distinction** can be granted in the category of *Promotion of the young scientific staff*.

Criteria of distinctions in the review category

When awarding the distinction, the Commission shall consider **the rank and number of prepared reviews**, according to the types specified in Appendix 4.

- 15.** The assessment shall be of **expert nature**.
- 16.** **The candidates for distinction shall be proposed by the Heads of units** (Departments and SPPiB) based on the information presented in the researcher assessment Surveys.

17. The review must be properly documented.
18. In the *Review* category, **maximum 1 distinction can be granted in each age group** (i.e. in the group of employees over the age of 35 and in the group of employees below the age of 35).

§4

Negative assessment

1. Researchers who document insufficient scientific accomplishments in the assessed period shall be granted negative assessments by the Commission. The negative assessment, upon approval by the Scientific Council under §5, is a basis for the Director to issue a reprimand for the researcher. The reprimand may be oral or written, and the decision on the type of the reprimand shall be proposed by the Commission.
2. The negative assessment can be given to researchers who obtained less than **100 points** or completed **less than 1 slot** in the category of scientific publications in the 3-year survey.
3. When giving negative assessments, the Commission shall consider the individual cases separately, taking into consideration, in particular, not only the total number points from the 3-year survey and number of publications but also the number of authors and estimated contribution of individual authors, as determined based on their position in the list of authors and function of the corresponding author.
4. Notwithstanding § 4(2), the basis for a negative assessment given by the Commission may be a negative assessment, accompanied by a justification, given by the Head of the Department or Laboratory or by the Commission for Acceptance of Statutory Works.
5. The negative assessment, especially if repeated, may for a basis for the request for termination or amendment of the existing contract of employment with the researcher.

§5

Appeals and resolution of the Scientific Council

1. The results of the assessment shall be submitted by the Commission to the Institute Directorate, Presidium of the Scientific Council and heads of departments.
2. The researcher assessed negatively by the Commission shall be notified of this fact immediately by the Head of the Department. The researcher can appeal to the Presidium of the Scientific Council within 10 days from submittal of the assessment to the Head of the Department.
3. The appeal shall be reviewed at the meeting of the Presidium of the Scientific Council with participation of the Head of the Department. The Presidium can uphold or change the negative assessment given by the Commission, and can propose the change of the form of reprimand from written to oral.
4. Upon completion of the appeal procedure, the assessments are presented to the Scientific Council which adopts the resolution on assessment of scientific activity of researchers.
5. Under Clause 12 of the Regulations, the researcher employed on a scientific position can

appeal against the annual assessment carried out by the Scientific Council to the Vice-President of the Polish Academy of Sciences supervising the work of the relevant division.

§6

Final provisions

1. These *"Principles of annual assessment of researchers of IPPT PAN"* supersede the effective *"Principles of Assessment"* adopted at the meeting of the Scientific Council of IPPT PAN on 27 October 2016.
2. Any amendments to the *"Principles of annual assessment of researchers of IPPT PAN"* require approval of the Scientific Council of the Institute.

Appendix 1

Principles of annual assessment of IPPT PAN researchers

The basis for preparation of Appendix 1 was the REGULATION OF THE MINISTER OF SCIENCE AND HIGHER EDUCATION of 22 February 2019 on evaluation of quality of scientific activity

Determination of points assigned to projects

A. The following are assigned:

- a) **1 point per each PLN 2000** of the sum of funds granted in the assessed year for implementation of projects in the case of projects financed in a contest mode, implemented independently by IPPT PAN or projects implemented by a group of entities **whose leader is or was IPPT PAN or another entity belonging to the system of higher education and science**;
- b) **1 point per each PLN 1000** of the sum of funds granted in the assessed year for implementation of projects in the case of projects financed in a contest mode, implemented by a group of entities that IPPT PAN is a member of, **whose leader is or was an entity not belonging to the system of higher education and science**;
- c) **1 point per each PLN 400** of the sum of gross revenue earned in the assessed year as a result of execution of third-party job orders
- d) **1 point per each PLN 400** of the sum of gross revenue earned in the assessed year by IPPT PAN or another entity established by it for the purpose of **commercialisation of effects scientific research or development works** conducted by IPPT PAN within the given scientific discipline or **know-how related to those effects**, but not more than 10 times number N.

B. In the case of projects:

- a) financed by the **European Research Council**, the project point score **is increased by 400%**;
- b) financed under the framework programmes in the scope of **support of research and innovation by the European Union** or under programmes connected with implementation of such programmes, the project point score **is increased by 200%**;
- c) other than specified in points a. or b., financed by foreign institutions or international organisations, or with participation of the funds referred to in Article 365(9*) of the Act 2.0, the project point score **is increased by 50%**.

Appendix 2

Principles of assignment of points to publications

For the given publication, each author from IPPT Pan shall receive the same number of points equal to:

$$P [1 + c (k-1)]/k,$$

where:

- k is the number of authors from IPPT PAN,
- P is the "computational point value" calculated according to the REGULATION OF THE MINISTER OF SCIENCE AND HIGHER EDUCATION of 22 February 2019 on evaluation of quality of scientific activity using the k value adopted as above.
- c = 1.0 is adopted.

Appendix 3

Principles of assignment of points to patents

The following are assigned:

- a) 200 points for an acquired **European** Patent reported to the Patent Office of the Republic of Poland,
- b) 150 points for an acquired **National** Patent reported to the Patent Office of the Republic of Poland, where IPPT PAN is the owner,
- c) 100 points for an acquired **National** Patent reported to the Patent Office of the Republic of Poland, where IPPT PAN is not the owner.

Appendix 4

Principles of assignment of points in the area *other components of scientific and research activity*

Didactic activity

(1 employee distinguished for classes conducted at the Doctoral School of IPPT or TIB or any other didactic activity in IPPT)

- Classes with PhD candidates (Doctoral School or Doctoral College, number of hours) 6 pts - 1h
- Classes with students (university, type of classes, number of hours) 3 points - 1h
- Engineer or master thesis supervisor 45 points - 1 thesis

Promotion of the young scientific staff (1 distinguished researcher)

- Supervisor/co-supervisor of a PhD thesis 120 points per 1 thesis
- Secondary PhD thesis supervisor 60 points per 1 thesis
- The number of points for the distinguished thesis is increased by 50%

Reviews Expert opinion (1 distinguished research in each age group)

- Reviews of PhD theses
- Membership in the habilitation Commission
- Membership in the habilitation Commission + reviews of habilitation applications
- Reviews of scientific accomplishments presented for the purpose of award of the professor's degree
- Reviews for the position of a professor
- Reviews of scientific articles
- Reviews of scientific books
- Reviews of national grants
- Reviews of foreign grants

Conference Organisation

- Chairperson of the organisational committee of the conference 15 pts
- Chairperson of the scientific committee of the conference 30 pts
- Chairperson of the conference 30 pts
- Membership in organisational or scientific committees of conferences (without an executive function) 10 pts

Membership in scientific organisations and teams of editors of scientific journals

- Charring of Scientific Committees of PAN and their Sections, expert teams of NCBR, NCN, FNP, acting as the director or deputy director, charring of a scientific council, 30 points
- Membership in Scientific Committees of PAN, expert teams of NCBR, NCN, FNP, in the scientific council of the institute (without an executive function) 15 points
- Membership in PAN, foreign academies of sciences, RDN, councils of NCN NCBR, KEJN, NAWA, ERC 30 points
- Charring/co-charring of editorial boards of scientific journals 30 points
- Membership in editorial boards of scientific journals 15 points
- Functions in international and national scientific organisations and societies 30 points