

**PRINCIPLES OF PERIODIC ASSESSMENT
OF RESEARCHERS IN IPPT PAN**
Adopted by the Scientific Council of IPPT PAN on 12 October 2023

§1
General provisions

1. This document describes the principles of assessing the activity of researchers employed in scientific positions, including awarding distinctions and negative assessments.
2. These principles are also used to evaluate employees employed in research-technical, engineering and technical positions conducting or participating in scientific research or development work, while the actual scope of their responsibilities and the degree of involvement in scientific research are taken into account when assessing their achievements. Whenever "**researchers**" are mentioned in this document, the staff mentioned in the first sentence is also meant.
3. 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**".
4. The periodic assessment of researchers is carried out once a year, after the end of the calendar year.
5. The subject of the assessment are the achievements of each researcher, listed in the individual survey of research achievements, hereinafter referred to as the "**Survey**", submitted by the researcher at the end of each calendar year.
6. The survey consists of two parts: the **annual** part, containing a descriptive summary of achievements from the last year, and the **three-year** part, containing a tabular summary of point ratings assigned to individual achievements for the last three calendar years.
7. 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.
8. The following terms, as used hereinafter in this document, mean:
 - 1) "**List of Journals**" - the currently valid list of scientific journals and reviewed materials from international conferences ("*Wykaz czasopism naukowych i recenzowanych materiałów z konferencji międzynarodowych*"), published by the minister responsible for higher education and science.
 - 2) "**List of Publishers**" - the currently valid list of publishers publishing peer-reviewed scientific monographs ("*Wykaz wydawnictw publikujących recenzowane monografie naukowe*"), published by the minister responsible for higher education and science.
 - 3) "**Ordinance**" - *Ordinance of the Ministry of Science and Higher Education of February 22, 2019 on the evaluation of the quality of scientific activities* (J. of Laws of 2019, item 392, as amended).

- 4) "**slot**" - the individual co-author's share in a scientific publication, defined in § 16 of the Ordinance, while in this document this share is calculated regardless of the assignment of co-authors to scientific disciplines (i.e. as if all co-authors represented the same discipline). Moreover, in this document this concept is extended to co-authorship of obtained patents, and the slot value in this case is equal to a fraction whose denominator equals the number of co-authors from IPPT PAN.
- 5) "**age group**" - age group 1 includes researchers below 35 years of age (as at the end of the calendar year in which their achievements are evaluated); age group 2 includes all remaining researchers.
- 6) "**Head of the department**" - the head of the basic organizational unit (department or independent laboratory) to which the researcher is assigned.

§2

Annual Assessment Criteria

1. The general criteria of assessment are specified in Clause 3 of the Regulations.
2. The criteria taken into consideration by the Commission in the assessment include:
 - 1) publications in reviewed scientific journals;
 - 2) scientific monographs;
 - 3) number of citations and H-index according to WoS or Scopus data base;
 - 4) obtained patents and patent claims filed with the Patent Office;
 - 5) participation in acquiring grants and third-party research orders;
 - 6) participation in implementation and commercialization of research results;
 - 7) teaching activity within the IPPT PAN activities;
 - 8) involvement in cooperation with domestic and foreign research centers and measurable effects of this cooperation;
 - 9) reviews of professor applications and in habilitation and doctoral proceedings.
3. When making the assessment, the Commission takes into account the employee's age group.
4. In addition to the achievements listed in the Survey, the Commission takes into account the employee's assessment formulated by the Head of the department and the assessment of the Commission for the Statutory Work Acceptance.
5. The rules for awarding point ratings for individual achievements are presented in Appendix 1.
6. In the case of employees whose period of employment at the Institute is shorter than 3 years, the points from the three-year Survey are converted for evaluation purposes into their three-year equivalent.

§3

Distinctions and negative assessments

1. The Commission may award a distinction to a researcher whose achievements stand out from other employees.
2. The distinction can be granted in five categories:
 - 1) scientific level (publications and patents);
 - 2) financial effects related to projects;
 - 3) financial effects related to third-party research orders and commercialisation;
 - 4) teaching activity within IPPT PAN, including but not limited to Doctoral Schools;
 - 5) promotion of the young scientific staff.
3. The criteria for awarding distinctions in particular categories are described in Appendix 2.
4. The Commission may grant a negative assessment to a researcher whose achievements are insufficient.
5. The criteria for granting a negative assessment are described in Appendix 2.
6. A negative evaluation, after approval by the Scientific Council in accordance with the provisions of § 4, constitutes the basis for admonishing the employee by the Management. The admonition may take the form of an oral or written warning, the type of warning being proposed by the Commission.
7. A negative evaluation, especially a repeated one, may constitute the basis for an application to terminate or amend the existing employment contract with the employee.

§4

Appeals and resolution of the Scientific Council

1. The Commission submits the evaluation results to the Institute's Management, the Presidium of the Scientific Council and Heads of departments.
2. An employee who has been evaluated negatively by the Commission is immediately informed about it by the Head of the department. The employee may submit an appeal to the Presidium of the Scientific Council within 10 days of submitting the assessment to the Head of the department.
3. The appeal will be considered at a meeting of the Presidium of the Scientific Council with the participation of the Head of the Department. The Presidium may maintain or change the negative assessment made by the Committee, and may also propose changing the form of the warning from written to oral.
4. After completing the appeal procedure, the evaluation results are presented to the Scientific Council, which adopts a resolution on the evaluation of the scientific activity of researchers.

5. Pursuant to section 12 of the Regulations, a researcher employed in a scientific position has the right to appeal against the annual evaluation made by the Scientific Council to the Vice-President of the Polish Academy of Sciences supervising the work of the relevant Division.

§5

Final Provisions

1. These "*Principles of periodic evaluation of Researchers in IPPT PAN*" replace the current "*Principles of evaluation*" adopted by the Scientific Council of IPPT PAN on July 1, 2021.
2. Any amendments to the "*Principles of annual evaluation of researchers of IPPT PAN*" require approval of the Scientific Council of the Institute.

Appendix 1

List of achievements and their scoring rules assessed in the survey of individual research achievements of researchers in IPPT PAN

1. The research achievements listed in the Survey are grouped in thematic sections. The scoring rules for achievements in individual sections are presented below.
2. **Section 2. Publications**
 - a. The point rating for co-authorship of an article published in a journal included in the List of Journals corresponds to the point rating awarded to IPPT PAN for this achievement in the evaluation procedure, according to the Ordinance.
 - b. The point rating for co-authorship of a monograph or a chapter in a monograph or for edition of a monograph published by a publisher included in the List of Publishers corresponds to the point rating awarded to IPPT PAN for this achievement in the evaluation procedure, according to the Ordinance.
 - c. When calculating the point rating for the achievements listed in pt. a. and b., the scientific disciplines represented by the co-authors are not taken into account, i.e. point rating is calculated as if all co-authors represented the same discipline subject to evaluation at IPPT PAN.
 - d. For co-authorship of an article published in an other journal, 5 points are awarded.
 - e. For co-authorship of a monograph published by an other publisher, 20 points are awarded, for co-authorship of a chapter in such a monograph – 5 points (the sum of points awarded for several chapters in the same monographs cannot exceed 20 points), and for edition of such a monograph – 5 points.
 - f. For publication of an abstract of a conference presentation, 1 point is awarded.
 - g. Internal reports and articles accepted for publication are reported in the Survey with no point rating.
3. **Section 3. Patents and Implementations**
 - a. For obtaining a foreign patent, 200 points are awarded.
 - b. For obtaining a Polish patent, 150 points is awarded if IPPT PAN is the owner of the patent rights and 100 points otherwise
 - c. For filing a patent application 5 points are awarded.
 - d. Registered utility model and industrial implementations are reported in the Survey with no point rating.
 - e. For design and construction of a unique research stand or demonstrator of new technologies, 20 points are awarded, however, for no more than 3 co-authors and no more than once every 3 years.

4. Section 4. **Degrees and the Title**

- a. For obtaining the PhD degree 20 points are awarded, and in the age below 35 – 40 points.
- b. For obtaining the DSc (habilitation) degree 80 points are awarded, and in the age below 40 – 160 points.
- c. For obtaining the title of professor 80 points are awarded, and in the age below 45 – 160 points

5. Section 5. **Projects and third-party research orders**

- a. Point rating for the implementation of projects and third-party research orders is awarded in proportion to the amount of funds allocated by the external institution for their implementation.
- b. For each 1000 zł of funds allocated in projects funded by domestic institutions, 0.5 points is awarded.
- c. For each 1000 zł of funds allocated in projects funded by foreign institutions, 2.5 points are awarded if the project is funded by *European Research Council*, 1.5 points if it is funded within the EU framework programs, or 0.75 points otherwise.
- d. If the leader of the consortium implementing the project listed in pt. b. or c. is not an entity belonging to the system of higher education and science, the number of points awarded is doubled.
- e. The project manager is awarded in his/her survey the point rating that corresponds to the total funds allocated for the project at one time in the first year of project implementation. Project contractors, in each year of project implementation, are awarded point rating that corresponds to the total funds allocated for the project in that year, and their percentage shares in this amount of points are determined by the project manager at the end of the year.
- f. For each 1000 zł of funds allocated for implementation of third-party research orders, 2.5 points are awarded. The project manager is awarded in his/her survey the point rating that corresponds to the total funds allocated for the implementation in this year. Project contractors are awarded together the same point rating while their percentage shares in this amount of points are determined by the project manager at the end of the year.
- g. For each 1000 zł of funds obtained from commercialization of research results, 2.5 points are awarded. The authors are awarded in their survey point ratings corresponding to their percentage shares in the commercialized IP authorship.

6. Section 6. **Participation in Conferences**

Participation in local and international scientific conferences is reported in the Survey with no point rating.

7. Section 7. Teaching Activities and Promoting Young Staff

- a. For teaching regular classes for doctoral students at doctoral schools run by IPPT PAN, 6 points are awarded for each lesson hour.
- b. For teaching regular classes for students or doctoral students in other entities under an agreement with IPPT PAN, as well as for giving other invited lectures in Poland or abroad, 3 points are awarded for each lesson hour.
- c. For supervision/co-supervision of a defended doctoral dissertation, 120 points are awarded, and if the dissertation was distinguished – 180 points.
- d. For auxiliary supervision of a defended doctoral dissertation, 60 points are awarded, and if the dissertation was distinguished – 90 points.
- e. For supervision of a defended master's, engineer's or bachelor's thesis, 45 points are awarded.
- f. Supervision of PhD and MSc students as well as trainees is reported in the Survey with no point rating.

8. Section 8. Review Activities

- a. For reviewing the application for the award of the title of professor, 30 points are awarded.
- b. For reviewing the application for the award of the DSc (habilitation) degree, 30 points are awarded.
- c. For reviewing the application for the award of the PhD degree, 15 points are awarded.
- d. Reviewing the application for the position of professor, as well as participation in the habilitation committee in a capacity other than that of a reviewer, are reported in the Survey with no point rating.
- e. Reviewing scientific books, articles in journals listed in the List of Journals, and reviews of grant applications are reported in the Survey with no point rating.

9. Section 9. Other Activities Contributing to the Institute's Development

- a. For organizing a scientific conference, depending on the function, 30 points are awarded for the conference chairman and the chairman of the scientific committee, 15 points for the chairman of the organizing committee, 10 points for the member of the scientific or the organizing committee.
- b. Cooperation with industry and foreign research centers, as well as visits to IPPT PAN of scientists invited by the researcher, are reported in the Survey with no point rating.
- c. Participation in activities popularizing science are reported in the Survey with no point rating.

10. Section 10. **Membership and Functions Performed**

(points in this section are awarded for each year of membership or activity)

- a. For membership in Polish and foreign academies of science and in ERC, 30 points are awarded.
- b. For membership in RDN, KEJN, councils of NCN, NCBR, NAWA, 30 points are awarded.
- c. For membership in scientific committees of PAS and expert teams of NCBR, NCN, FNP, 15 points are awarded, and for acting as their chairperson - 30 points.
- d. For holding a position in the Institute's management or chairing its Scientific Council, 30 points are awarded. Membership in the Scientific Council is reported in the Survey with no point rating.
- e. For chairing in international and national scientific organizations and societies, 30 points are awarded. Membership in such organizations is reported in the Survey with no point rating.
- f. For membership in editorial boards of scientific journals, 15 points are awarded, and for acting as editor-in-chief - 30 points.

11. Section 11. **Awards and Distinctions Obtained Outside the Institute**

Awards and distinctions obtained outside the institute are awarded 30 points.

Appendix 2

The criteria for awarding distinctions and granting negative assessments to researchers in IPPT PAN

§ 1 Distinctions

Criteria of distinctions in the category of scientific level (publications and patents)

1. It is determined that the distinction can be granted to a researcher meeting the following conditions collectively:
 - 1) having at least one of the following accomplishments in the assessed year:
 - a. publications awarded a total of at least 200 points in the Table of Journals, 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 in the Table of Publishers where the author specified affiliation with IPPT PAN,
 - c. a patent the owner or co-owner (at least 50%) of which is IPPT PAN;
 - 2) in the three-year Survey, in categories "scientific publications" and "patents" (Sections 2 and 3), showing at least 400 points and having completed 2.5 slots (in age group 2) or, respectively, 280 points and 1.5 slots (in age group 1).
2. In each of the age groups, the Commission can distinguish not more than 3 persons not meeting the point and slot limits specified in pt. 1. Each such distinction requires a written substantive justification prepared by the Commission.
3. Each year, 9 distinctions shall be granted in age group 1 and 11 distinctions in age group 2. In substantively justified cases, the number of distinctions can be higher or lower.
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 (each scored at least 100 points) in the assessed year;
 - 2) sum of points in the three-year Survey in the category of scientific publications (Section 2);
 - 3) in age group 1 - points in the three-year Survey for obtaining a scientific degree;
 - 4) number of citations from the Survey in the assessed year;
 - 5) sum of points in the three-year Survey for patents, implementations, grants;
 - 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 in the category of financial effects related to projects

6. When awarding the distinction, the Commission shall consider the acquired grants.
7. It is determined that the distinction can be awarded to researchers who, in the given year, obtained in the category of scientific projects as project leaders at least 500 points (in age group 2) or 100 points (in age group 1).
8. Maximum 3 distinctions can be granted in this category in each age group.

Criteria of distinctions in the category of financial effects related to third-party research orders and commercialisation

9. When awarding the distinction, the Commission shall consider orders for research and implementations acquired from external partners as well as funds obtained from commercialization of results of research and development work conducted in IPPT PAN.
10. It is determined that the distinction can be granted to persons who earn the revenue of at least 120 000 zł. (300 points) in the given year
11. Maximum 1 distinction can be granted in this category in each age group.

Criteria of distinctions in the category of teaching activity within IPPT PAN

12. 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 teaching activity conducted at IPPT PAN.
13. 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.
14. Maximum 1 distinction can be granted in this category.

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

15. When awarding the distinction, the Commission shall consider the number of PhD candidates promoted over the last six years (as a thesis supervisor or co-supervisor).
16. It is determined that the distinction can be granted to persons who promoted at least two PhD candidates over the last six years. Distinctions in this category cannot be received twice within six years.
17. Maximum 1 distinction can be granted in this category.

§ 2

Negative assessment

1. The negative assessment can be granted to researchers who obtained less than 100 points or completed less than 1 slot in the category of scientific publications in the three-year Survey.
2. When granting negative assessments, the Commission shall consider the individual cases separately, taking into consideration, in particular, not only the total point rating from the three-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.
3. Notwithstanding § 2(1,2), 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 by the Commission for the Statutory Work Acceptance.