

Sir Roger Penrose Institute  
for Interdisciplinary Sciences

# **Regulations of the Fund for Research and Systemic Analysis Support**

document defining the rules for establishing, financing,  
accounting for and allocating the resources of the Fund

The Fund for Research and Systemic Analysis Support  
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## 1. General Provisions

1. These Regulations define the rules for establishing, financing, accounting for and allocating the resources of the Fund for Research and Systemic Analysis Support, operated by the Sir Roger Penrose Institute for Interdisciplinary Sciences.
2. The Fund is an internal mechanism for financing support programmes implemented as part of the statutory activity of the Institute.
3. The Fund serves to support access to knowledge, research, systemic analyses, scientific and expert publications, educational materials and other forms of activity consistent with the statutory objectives of the Institute.
4. The Fund may finance one or more support programmes launched by separate resolutions of the Management Board of the Institute.
5. The Fund is not a separate legal entity, investment fund, foundation or financial entity within the meaning of separate regulations.
6. The establishment of the Fund does not create, on the part of any person, institution or organisation, any claim to receive support.
7. The granting of support under programmes financed from the Fund depends on the rules set out in the regulations of the respective programmes, the availability of resources and the decision of the Institute.

## 2. Definitions

For the purposes of these Regulations, the following terms shall have the meanings set out below:

1. **Institute** – the Sir Roger Penrose Institute for Interdisciplinary Sciences.
2. **Fund** – the Fund for Research and Systemic Analysis Support.
3. **Management Board** – the Management Board of the Institute or another competent body authorised to make financial and organisational decisions on behalf of the Institute.
4. **Support programme** – a programme implemented by the Institute as part of its statutory activity, financed in whole or in part from the resources of the Fund.
5. **Programme regulations** – separate regulations defining the rules of participation in a specific support programme.
6. **Fund resources** – the Institute’s own resources, resources derived from net profit, donations, targeted fundraising campaigns, subsidies, grants, contributions from sponsors and partners, and other sources consistent with the law and the statute of the Institute, allocated to the purposes of the Fund.
7. **Net profit of the Institute** – the positive financial result of the Institute determined after deducting operating costs, taxes and other due charges, in accordance with the accounting principles applied by the Institute.

8. **Programme pool** – a part of the Fund resources allocated to the implementation of a specific support programme.
9. **Monthly pool** – a part of the resources allocated to a call conducted in a given month.
10. **Quarterly pool** – a part of the Fund resources allocated to the implementation of support programmes in a given quarter.
11. **Guarantee Reserve for Support Programmes** – a separated part of the Fund intended to ensure minimum continuity of financing for support programmes.

### **3. Objectives of the Fund**

1. The Fund serves the implementation of the statutory objectives of the Institute by supporting access to knowledge, systemic analyses, research, publications, educational and expert materials.
2. The resources of the Fund may be allocated in particular to:
  - a) partial financing of access to publications of the Institute,
  - b) partial financing of access to volumes of the Report K\* series,
  - c) partial financing of annual access packages to the Report K\* series,
  - d) support for academic, library or institutional access,
  - e) support for independent researchers, authors, analysts, doctoral candidates and persons conducting educational or civic activity,
  - f) support for scientific, educational, analytical or social projects consistent with the objectives of the Institute,
  - g) financing of other support programmes launched by resolution of the Management Board of the Institute.
3. The resources of the Fund are not intended to finance the commercial activity of external entities, resale of publications, further distribution of the Institute's materials or activities contrary to the law, the statute of the Institute or the principles of scientific and analytical independence.
4. As a rule, the resources of the Fund are not used to finance the purchase of publications, reports, books, studies, expert materials or other external publications that are not publications of the Institute.
5. In particularly justified cases, the Management Board of the Institute may make an individual decision to co-finance the purchase of expert materials other than the publications of the Institute, if it considers that such purchase is directly related to the scientific, research, educational or analytical objectives of the Institute.

### **4. Sources of Financing of the Fund**

1. The Fund may be financed in particular from:

- a) a part of the net profit of the Institute,
  - b) donations,
  - c) targeted fundraising campaigns,
  - d) subsidies,
  - e) grants,
  - f) contributions from sponsors,
  - g) contributions from partners,
  - h) funds transferred by natural or legal persons,
  - i) resources transferred from unused programme pools,
  - j) other resources consistent with the law, the statute of the Institute and the purpose of the Fund.
2. The standard assumption of the Institute's policy for financing support programmes is the possibility of allocating up to 70% of the Institute's net profit, settled quarterly, to the Fund.
  3. The amount of the allocation from net profit to the Fund is determined by the Management Board of the Institute, taking into account the financial situation of the Institute, the needs of support programmes, the development needs of the Institute and other obligations related to the implementation of statutory activity.
  4. The Management Board may change the amount of the allocation, temporarily suspend the allocation or divide resources between various funds, reserves and support programmes, if required by the financial, organisational, statutory or substantive situation of the Institute.
  5. A change in the amount of the allocation may take place in particular in the event of the launch of new support programmes, new forms of scientific, educational, social or analytical activity, an increase in operating costs, the need to secure resources for the development of the Institute's infrastructure or the need to establish organisational reserves.
  6. Resources derived from donations, fundraising campaigns, subsidies or grants may be used in accordance with the purpose indicated by the donor, grantor or financing institution, provided that such purpose is consistent with the law, the statute of the Institute and the independence of the Institute.
  7. The acceptance of external resources for the Fund may not lead to any limitation of the scientific, analytical, publishing or methodological independence of the Institute.
  8. The Institute may refuse to accept external resources if their acceptance could compromise the independence of the Institute, its credibility, statutory objectives or ethical principles of scientific and analytical activity.

## **5. Relationship of the Fund to Other Funds of the Institute**

1. The Fund for Research and Systemic Analysis Support may function alongside other funds, reserves or financing mechanisms established by the Institute.
2. The Institute may establish, in particular, the Fund for the Development of Statutory Activity and Organisational Reserve, intended to finance the development of the Institute's research, publishing, educational, digital and organisational infrastructure.
3. The Fund for the Development of Statutory Activity and Organisational Reserve may be used in particular to finance:
  - a) IT systems,
  - b) the Institute's digital reading room,
  - c) licensing tools and publication security measures,
  - d) the website and digital infrastructure,
  - e) typesetting, proofreading, printing and translations,
  - f) archiving, repositories and knowledge bases,
  - g) copyright protection and legal services,
  - h) project accounting,
  - i) other activities serving the implementation of the statutory objectives of the Institute.
4. The standard assumption of the Institute's financial policy may be to allocate up to 30% of the Institute's net profit to the Fund for the Development of Statutory Activity and Organisational Reserve.
5. The division of net profit between the Fund, the Fund for the Development of Statutory Activity and Organisational Reserve and other funds or reserves is determined each time by the Management Board of the Institute.
6. None of the internal funds of the Institute may be used in a manner contrary to the law, the statute of the Institute or the principle of allocating resources to statutory purposes.

## **6. Support Programmes Implemented under the Fund**

1. The Fund may finance one or more support programmes implemented as part of the statutory activity of the Institute.
2. Individual support programmes are launched by resolution of the Management Board of the Institute.
3. The resolution launching a support programme shall specify in particular:
  - a) the name of the programme,
  - b) the purpose of the programme,
  - c) the group of eligible applicants,

- d) the type of support,
  - e) the source or pool of financing,
  - f) the opening date of the call,
  - g) the manner of announcing the programme,
  - h) the programme regulations or rules of participation in the programme.
4. The regulations of individual support programmes are published on the Institute's website.
  5. Information on the launch of a support programme, call dates, available pools of resources and call results may be published on the Institute's website and in the official communication channels of the Institute, including social media.
  6. The launch of one support programme does not entail an obligation to launch other programmes or to maintain all programmes at the same time.
  7. The Management Board of the Institute may suspend, terminate or change the rules of a given support programme if required by the financial, organisational, statutory or substantive situation of the Institute.

## **7. Guarantee Reserve for Support Programmes**

1. A Guarantee Reserve for Support Programmes may be established within the Fund.
2. The Guarantee Reserve for Support Programmes is intended to ensure minimum continuity of financing for support programmes in periods when the current inflows of the Fund, allocations from net profit or external resources are insufficient to launch a call or grant support.
3. The Guarantee Reserve for Support Programmes may be financed in particular from:
  - a) the Institute's own resources allocated for this purpose by resolution of the Management Board,
  - b) a part of the net profit of the Institute,
  - c) donations,
  - d) targeted fundraising campaigns,
  - e) subsidies,
  - f) grants,
  - g) resources transferred from unused programme pools,
  - h) other resources consistent with the law, the statute of the Institute and the purpose of the Fund.
4. The Management Board of the Institute may allocate up to 10% of the Institute's net profit to the Guarantee Reserve for Support Programmes, unless a resolution of the Management Board specifies a different amount of allocation or another method of financing the Reserve.

5. The Management Board of the Institute may establish a quarterly guarantee pool intended for the implementation of support programmes.
6. In the initial period of operation of the Fund, the Management Board of the Institute may establish a quarterly guarantee pool in the amount of PLN 10 000, intended to launch the first calls under support programmes.
7. The establishment of the Guarantee Reserve for Support Programmes does not create, on the part of applicants, any claim to receive support.
8. The resources of the Guarantee Reserve for Support Programmes may be allocated exclusively to purposes consistent with these Regulations and with the regulations of the respective support programmes.

## **8. Pools of Resources and Allocation Procedure of the Fund**

1. The resources of the Fund may be settled quarterly and allocated within monthly calls conducted under the Institute's support programmes.
2. The Institute may determine a quarterly pool of resources allocated to a given support programme.
3. From the quarterly pool of resources, the Institute may separate monthly pools allocated to individual calls.
4. Information on the available monthly pool may be published on the Institute's website before the start of the call.
5. If the resources available in a given month are insufficient to grant meaningful support, the Institute may refrain from announcing a call in that month or transfer the consideration of applications submitted on time to the last month of the quarter.
6. The transfer of the consideration of applications does not mean an extension of the application submission deadline.
7. Resources unused in a given month may be transferred to the following month or to the following quarter, in accordance with the decision of the Institute.
8. Resources unused due to the expiry of granted support return to the Fund and may be allocated to the next call or to support another application.
9. Support may be granted only within the limits of the resources allocated to a given programme, pool or call.

## **9. Targeted Fundraising Campaigns, Donations, Subsidies and External Resources**

1. The Institute may conduct targeted fundraising campaigns for the purpose of financing the Fund or selected support programmes.

2. The Institute may accept donations, subsidies, grants and other resources allocated to the purposes of the Fund.
3. Resources derived from targeted fundraising campaigns, donations, subsidies or grants may be used in accordance with the purpose indicated when they are transferred, provided that such purpose is consistent with the law, the statute of the Institute and these Regulations.
4. Resources allocated by a donor, grantor or financing institution to a specific type of support may be recorded separately.
5. Resources allocated for one-off support for private individuals are used in the first instance for support programmes addressed to individuals.
6. The acceptance of external resources may not result in an obligation on the part of the Institute to prepare, amend, publish or refrain from publishing any specific scientific, analytical, publishing or expert content.
7. A donor, sponsor, grantor or other entity transferring resources to the Fund does not acquire, on this basis, any right to influence the content of publications, reports, analyses, research programmes or substantive decisions of the Institute.

## **10. Accounting Records of the Fund Resources**

1. For the purposes of implementing the Fund, a special account or another separated accounting record may be established in the accounting books of the Institute to record inflows, allocations, reserves, programme pools and the allocation of the Fund resources.
2. The accounting records of the Fund resources should make it possible to determine:
  - a) the source of the resources,
  - b) the amount of resources allocated to the Fund,
  - c) the amount of resources allocated to individual support programmes,
  - d) the amount of resources used,
  - e) the amount of unused resources,
  - f) the amount of resources transferred to subsequent periods,
  - g) the amount of resources allocated to the Guarantee Reserve for Support Programmes.
3. The method of accounting for the Fund resources should be consistent with the accounting principles applied by the Institute and with applicable law.
4. Detailed rules for accounting treatment of the Fund resources may be specified in the Institute's internal documents or in accordance with the recommendations of the person responsible for the Institute's accounting.

## **11. Transparency of the Fund's Operation**

1. The Institute may publish on its website information on the operation of the Fund, support programmes, call dates, available pools of resources and call results.
2. Information on granted support is published in accordance with the regulations of the respective support programmes.
3. Publication of results may include in particular:
  - a) the name of the support programme,
  - b) the name of the institution or the first name and surname of the person to whom support has been granted, if the programme regulations and the consent of the natural person allow this,
  - c) the project title, purpose of support or title of the publication to which the support relates,
  - d) the percentage or amount of support granted.
4. The Institute does not publish contact, address, identification or financial data, nor the content of applications, unless separate provisions, the programme regulations or the applicant's consent expressly provide otherwise.
5. Transparency of the Fund's operation is intended to ensure transparency in the allocation of resources and to build trust in the Institute's support programmes.

## **12. Restrictions on the Use of the Fund Resources**

1. The resources of the Fund may be used only for purposes consistent with these Regulations, the regulations of the respective support programmes and the statutory objectives of the Institute.
2. The resources of the Fund may not be paid to applicants in cash, transferred by bank transfer as freely disposable funds or converted into purposes other than those indicated in the decision granting support.
3. Granted support may not be converted into other services, publications, materials, consultations, activities or benefits of the Institute, even if they fall within the scope of the Institute's paid activity, unless the regulations of a specific programme expressly provide otherwise.
4. Support not used within the time limit indicated in the programme regulations or in the decision of the Institute expires, and the resources corresponding to the unused support return to the Fund.
5. The resources of the Fund may not be used in a manner contrary to the principles of copyright protection, the scientific and analytical independence of the Institute or the provisions of licences relating to the Institute's publications.

## **13. Decisions of the Management Board**

1. The Management Board of the Institute makes decisions concerning:
  - a) the establishment of the Fund,
  - b) the amounts of allocations from net profit to the Fund,
  - c) the establishment of the Guarantee Reserve for Support Programmes,
  - d) the amount of the guarantee pool,
  - e) the launch of individual support programmes,
  - f) the amounts of quarterly and monthly pools,
  - g) the acceptance or refusal to accept external resources,
  - h) the suspension, limitation or termination of the operation of the Fund or a specific support programme.
2. Decisions of the Management Board may be made in the form of resolutions, orders, internal decisions or other forms appropriate to the organisation of the Institute's work.
3. The Management Board may authorise a designated person or team to conduct the day-to-day operation of the Fund, prepare calls, conduct formal assessment of applications, communicate with applicants or publish results.
4. No provision of these Regulations limits the right of the Management Board to make decisions necessary to protect the financial liquidity, independence, continuity of operation and statutory objectives of the Institute.

## **14. Suspension or Termination of the Fund**

1. The Institute may suspend, limit or terminate the operation of the Fund at any time if required by the financial, organisational, statutory, legal or substantive situation of the Institute.
2. Suspension of the Fund may apply to the entire Fund or to selected support programmes.
3. Suspension or termination of the Fund does not affect support already properly granted, unless the support was granted on the basis of false data, a breach of the regulations or other circumstances justifying the withdrawal of support.
4. In the event of termination of the Fund, unused resources may be allocated to other statutory purposes of the Institute, in accordance with the decision of the Management Board and applicable law.

## **15. Amendments to the Regulations**

1. The Institute may amend these Regulations at any time, in particular in the event of a change in the rules for financing the Fund, the launch of new support programmes, a

change in the structure of the Institute's funds, a change in applicable law or the need to clarify procedures.

2. The amended Regulations shall apply from the date of their publication on the Institute's website, unless the Institute specifies another effective date.
3. An amendment to the Regulations does not affect support already granted, unless the amendment results from applicable law, a breach of the programme rules by the applicant or the need to protect copyrights, legal interests or the independence of the Institute.

## **16. Final Provisions**

1. In matters not regulated by these Regulations, decisions are made by the Management Board of the Institute.
2. The regulations of individual support programmes may define additional rules for submitting applications, assessing applications, publishing results, using support and using publications or materials covered by support.
3. In the event of discrepancies between these Regulations and the regulations of a specific support programme, the provisions of the programme regulations shall prevail with respect to the detailed rules of participation in that programme, provided that they do not violate the rules for establishing and operating the Fund.
4. These Regulations enter into force on the date of publication on the Institute's website or on the date indicated in the resolution of the Management Board.