

Regulations for Reporting Legal Violations and Follow-Up Actions at the Nicolaus Copernicus Astronomical Center of the Polish Academy of Sciences

The purpose of these regulations is to establish minimum standards to ensure a high level of protection for persons reporting legal violations and to ensure proper handling of such reports.

§ 1.

1. The Regulations for accepting and investigating reports of legal violations (hereinafter referred to as the “Regulations”) set forth the internal procedure for reporting legal violations and conducting follow-up actions at CAMK, as well as the rights and obligations of persons making reports and those involved in reviewing them. The Regulations have been developed in accordance with the Act of June 14, 2024, on Whistleblower Protection (hereinafter referred to as the “Act”), pursuant to Article 24(1) of the Act.
2. Terms used in these Regulations have the following meanings:
 - 1) **Director** – the Director of the Nicolaus Copernicus Astronomical Center of the Polish Academy of Sciences;
 - 2) **CAMK** – Nicolaus Copernicus Astronomical Center of the Polish Academy of Sciences;
 - 3) **information on a legal violation** – information, including justified suspicion, regarding an actual or potential legal violation that has occurred or is likely to occur within CAMK, or information regarding an attempt to conceal such a violation;
 - 4) **whistleblower** – a natural person who reports or publicly discloses information about a legal violation obtained in a work-related context, in particular:
 - a) an employee of CAMK,
 - b) a person whose employment has been terminated or who participated in a recruitment process,
 - c) a person performing work on a non-employment basis, including under a civil law contract, for CAMK,
 - d) a doctoral candidate at the GeoPlanet doctoral school or a student of the doctoral program,
 - e) an intern,
 - f) a member of the CAMK Scientific Council,

- g) a contractor or associate of CAMK, or another entity connected with CAMK under an agreement, whether personally or through capital, and
 - h) any other person possessing information on legal violations at CAMK;
- 5) **internal report** – oral or written submission of information about a legal violation to CAMK;
 - 6) **public disclosure** – dissemination of information on a legal violation to the public;
 - 7) **person concerned** – a natural person, legal entity, or organizational unit without legal personality that is identified in the report or public disclosure as the person who committed the violation or as a person associated with the violator;
 - 8) **assisting person** – a natural person who assists the whistleblower in making a report;
 - 9) **Committee** – a permanent, independent team authorized to review reports, appointed by the CAMK Scientific Council;
 - 10) **follow-up action** – action taken by CAMK to assess the veracity of the information in the report and to counteract the reported legal violation, in particular through an investigation, initiation of control or administrative proceedings, filing charges, taking action to recover financial resources, or closing the procedure conducted as part of the internal reporting procedure or external reporting and follow-up procedure;
 - 11) **Compliance Officer** – an employee appointed by the Director or another natural or legal person providing services to CAMK for handling the internal reporting channel;
 - 12) **Registry** – a log maintained by the Compliance Officer to record reports and correspondence conducted via the dedicated reporting channel designated at CAMK, as outlined in Annex No. 1;
 - 13) **retaliatory action** - any negative action taken against the whistleblower, even if legally compliant, that results in a refusal of employment, termination of a contract, deterioration of employment or cooperation conditions, except for actions justified by objective reasons unrelated to the reporting of a legal violation;
 - 14) **feedback** - information provided at each stage of the case, describing its status and actions taken.

§ 2.

1. These Regulations apply solely to legal violations as defined in Article 3(1) of the Act.
2. The Regulations do not apply to:
 - 1) information subject to classified information protection regulations and other information that is non-disclosable under general legal provisions due to public safety considerations;
 - 2) confidentiality associated with the exercise of a profession;
 - 3) criminal proceedings;
 - 4) reports made through channels other than those specified in § 4(1), or reports that, by their content, fall under other specific procedures governed by separate regulations, in particular:
 - a) complaints and motions referred to in Section VIII of the Act of June 14, 1960, Administrative Procedure Code,
 - b) notices of possible criminal offenses;
 - c) reports of mobbing or discriminatory behavior.

§ 3.

1. Access to the information contained in an internal report is restricted exclusively to the Committee and the Compliance Officer.
2. CAMK is the data controller for the personal data of the whistleblower, assisting person, person concerned, and other data included in the report.
3. The whistleblower and assisting person are provided with:
 - 1) Confidentiality, understood as non-disclosure of their identity, directly or indirectly, to unauthorized persons, including during audits, inspections, reviews, or public information access, unless expressly authorized by the whistleblower. The confidentiality requirement does not apply if disclosure is a necessary and proportionate legal obligation in relation to investigative procedures conducted by public authorities, preliminary proceedings, or judicial proceedings conducted by courts, including to guarantee the right to defense of the person concerned;
 - 2) Feedback – provided the whistleblower has indicated contact information – on:
 - a) the acceptance of the report, within 7 days of its submission;
 - b) the manner of handling the report, within 3 months of the notification of its acceptance;

- c) circumstances in which their identity disclosure will be required due to notification to law enforcement authorities, should the incident appear to constitute an offense or misdemeanor;
- 3) Protection against retaliatory actions, including discriminatory, repressive, mobbing, or other unjust treatment by CAMK, regardless of whether the report is confirmed.
4. The person concerned is provided with:
 - 1) Confidentiality, understood as non-disclosure of their identity, directly or indirectly, to unauthorized persons, including during audits, inspections, reviews, or public information access, for the duration of the report's review;
 - 2) Presumption of innocence, with due regard for follow-up actions of a protective nature, which the Committee may decide are necessary;
 - 3) Right to be heard by the Committee;
 - 4) Right of access to the content of the report and correspondence regarding the report, subject to § 3(1) confidentiality restrictions.
5. Protection under these Regulations applies only to the scope of the report.
6. Protection as described herein applies to the whistleblower and assisting person who had reasonable grounds to believe that the reported information about a legal violation was true at the time of reporting and that such information fell within the scope of these Regulations as defined in § 2.
7. Protection is granted from the moment of report submission, irrespective of whether the report's content is subsequently confirmed. Conditions for protection, as described in § 3(6), are assessed based on the circumstances existing on the day of the report submission.

§ 4.

1. The whistleblower may submit an internal report:
 - 1) Via email, to the address: whistleblower@camk.edu.pl
 - 2) By mail, addressed to: Nicolaus Copernicus Astronomical Center of the Polish Academy of Sciences, ul. Bartycka 18, 00-716 Warsaw, with the note "**Sygnalista**" on the outer envelope, without the need to indicate the sender.
2. The internal report should include, if possible, in particular:
 - 1) the details of persons involved in the legal violation, i.e., name, surname, position, place of work;
 - 2) a description and date of the violation;
 - 3) evidence supporting the accuracy of the information contained in the report;
 - 4) a contact address for correspondence with the whistleblower.

3. The internal report, as well as correspondence between the whistleblower and CAMK, is recorded exclusively in the Registry.
4. The internal report referred to in § 4(1)(1) is received directly by the Compliance Officer.
5. Properly marked correspondence referred to in § 4(1)(2) is not opened by CAMK employees. The correspondence is forwarded to the Compliance Officer within 5 days of receipt, ensuring confidentiality through technical and organizational measures. The Compliance Officer is responsible for the timely collection of such correspondence and may arrange for its transport via courier service.
6. If correspondence is misclassified as an internal report without the appropriate designation, it should be re-enveloped, and the procedures outlined in § 4(5) should be followed. Any accidental opening of properly marked correspondence should be reported as a personal data protection violation in accordance with *Polityką Bezpieczeństwa Danych Osobowych* (the Personal Data Security Policy).
7. The Compliance Officer informs the whistleblower of the report's acceptance no later than 7 days after receipt. This notification is sent to the contact address provided by the whistleblower. If no contact address is provided, this does not affect the processing of the report.
8. The Compliance Officer conducts a substantive and formal analysis of the internal report and subsequently:
 - 1) prepares an initial assessment and categorization of the internal report, ensuring it does not contain excessive personal data;
 - 2) records the internal report in the Registry (Section A, subject to § 4(6) and § 4(7));
 - 3) provides the feedback mentioned in § 3(3)(2)(a);
 - 4) ensures confidentiality when forwarding the internal report and its assessment to the Committee within 7 days of receipt;
 - 5) assists the Committee in processing the internal report;
 - 6) if the message received at the email address mentioned in § 4(1)(1) is spam, potentially dangerous, or irrelevant, it will be logged in Registry Section B by date, sender, and category without further processing;
 - 7) if the message is an offer, invitation, gratitude, application, request, or other correspondence that does not qualify as an internal report, it is forwarded to the email address sekretariat@camk.edu.pl, with the date, sender, and category recorded in Registry Section B.

§ 5.

1. Reports of legal violations are handled by the Committee, whose independence, continuity, and confidentiality are guaranteed.
2. The Committee, composed of at least 5 members, including the Chair of the Committee, is appointed by the CAMK Scientific Council through a resolution.
3. The Committee meets in sessions with at least 3 members present. Meetings are convened by the Chairperson, and decisions are made by majority vote, with the option to record a dissenting opinion in the case documentation or Registry.
4. The Compliance Officer and Committee members submit a declaration of impartiality and confidentiality concerning the contents of internal reports and the outcomes and proceedings of the Committee's work. The declaration template is provided in Annex No. 2.
5. Should the Compliance Officer or any Committee member identify a conflict of interest (i.e., the internal report concerns the Compliance Officer, a Committee member, a related person, or someone with a personal connection), they are required to inform the Compliance Officer, the Committee, and the Director, declaring exclusion from the case. Such a conflict is recorded in the Registry.
6. In the event of a conflict of interest, the Director appoints a temporary Committee member solely for the review of the specific internal report. The provisions of § 5(3-5) apply accordingly.

§ 6.

1. The Committee is authorized to:
 - 1) approve or modify the description and classification of the internal report as per § 4(9)(1);
 - 2) receive oral and written explanations from employees, doctoral candidates, and other persons cooperating with CAMK;
 - 3) gather evidence, including photos, measurements, and inspections;
 - 4) access rooms, equipment, IT systems, and personal data as needed to review the report;
 - 5) submit recommendations to the Director for subsequent action, propose a resolution on the validity of the report, or deem it unconfirmed or outside the Regulations' scope, such as when criteria outlined in § 3(6) are not met;
 - 6) analyze the results of follow-up actions.
2. The Committee is required to:
 - 1) continuously verify the absence of conflicts of interest, as specified in § 5(5);

- 2) remove personal data from the internal report that is evidently irrelevant to the specific case;
 - 3) provide regular updates to the Compliance Officer on the report's review progress;
 - 4) participate in meetings convened by the Chairperson or a substitute.
3. The Director, based on the Committee's recommendations, decides on further follow-up actions, resolves the validity of the report, or deems it unconfirmed or outside the Regulations' scope.
4. The results of follow-up actions ordered by the Director are communicated directly to the Committee.
5. The Compliance Officer records actions taken within the internal report in the Registry. After receiving information on the resolution of the report, they prepare a draft notification for the whistleblower, which is signed by the Director and sent to the contact address provided by the whistleblower.
6. Follow-up actions may include:
 - 1) audits or inspections;
 - 2) disciplinary proceedings;
 - 3) development or modification of internal regulations;
 - 4) measures to recover any lost financial resources;
 - 5) training initiatives.
7. If an internal report suggests a probable offense or misdemeanor, the Director submits a report to law enforcement authorities, ensuring confidentiality. The Compliance Officer is notified prior to the report to update the Registry and inform the whistleblower if necessary.
8. Should the internal report concern the Director, the Committee's recommendations are forwarded, maintaining confidentiality, to the Chancellor of the Polish Academy of Sciences.

§ 7.

1. Processing of an internal report, including correspondence with the whistleblower, is documented in the Registry.
2. In Registry Section A, the following details are recorded:
 - 1) report number,
 - 2) date of report submission,
 - 3) whistleblower's details,
 - 4) whistleblower's contact information – if provided in the internal report,

- 5) subject matter of the report,
 - 6) report review progress, including correspondence and potential conflict of interest information,
 - 7) follow-up actions taken,
 - 8) date of report conclusion and resolution.
3. Only the Compliance Officer and individuals with written authorization from the Director of CAMK are permitted to process whistleblower data. After authorization is withdrawn, these individuals are still bound by confidentiality obligations regarding whistleblower data they accessed.
 4. Paper documentation related to an internal report is stored by the Chair of the Committee in a sealed metal cabinet or safe.
 5. Documents related to internal reports, in digital form, may be stored on official accounts of Committee members and the Compliance Officer, in a manner that ensures confidentiality and prevents access by third parties. Digital data carriers containing internal reports or other information on whistleblowers are secured as per CAMK's classified data standards.
 6. Data in the Registry and documentation mentioned in § 7(3) and (4) are retained for 3 years following the end of the calendar year in which follow-up actions were completed or proceedings initiated by these actions were concluded.
 7. Documentation related to an internal report is destroyed after the retention period specified in § 7(6).

§ 8.

1. Information on the internal procedure for reporting violations at CAMK, as regulated by these Regulations, is published and regularly updated in the following locations:
 - 1) on the notice board at CAMK headquarters;
 - 2) on the website <https://www.camk.edu.pl> ;
 - 3) in documentation pertaining to recruitment and public procurement.
2. The Compliance Officer is responsible for preparing and updating the information mentioned in § 8(1).

§ 9.

1. The whistleblower may, without first submitting an internal report, file an external report with the Ombudsman or a public authority (including institutions, bodies, or entities of the European Union) authorized to take follow-up actions within the matter or, in specific cases, may make a public disclosure.

2. Information about other reporting options is provided in the notification mentioned in § 8(1).

§ 10.

The following annexes are an integral part of the Regulations:

1. Annex No. 1 – Template for the Registry of Legal Violation Reports (Section A).
2. Annex No. 2 – Template for the Declaration of Committee Member/ Compliance Officer.

AUXILIARY TRANSLATION

Rejestr zgłoszeń naruszeń prawa (część A)

Pozycja	Nr zgłoszenia	Data wpływu	Dane sygnalisty	Dane kontaktowe sygnalisty	Przedmiot zgłoszenia	Przebieg rozpatrywania	Działania następcze	Konflikt interesów	Data zakończenia rozpatrywania	Rozstrzygnięcie

Rejestr zgłoszeń naruszeń prawa (część B)

Pozycja	Data wpływu	Nadawca	Kategoria (spam, oferta/ podziękowanie/ zaproszenie, podanie/ wniosek/ inna korespondencja)

Declaration of a Committee Member /Compliance Officer ^{1,2}

I, the undersigned³
(name, surname, position)

hereby declare that I have read and understood the Regulations for Accepting and Investigating Reports of Legal Violations in the European Union Law and commit to adhering to them.

Additionally, I commit to:

- maintaining impartiality during the work of the Committee / handling reports, including maintaining the Registry of Legal Violation Reports¹;
- promptly informing the Compliance Officer, Committee, and Director of the Nicolaus Copernicus Astronomical Center of the Polish Academy of Sciences of any suspected conflict of interest related to my duties as a Committee Member / Compliance Officer¹;
- keeping all information confidential, except where disclosure is required by law, that I may come into possession of during the Committee's work / while performing the duties of a Compliance Officer¹.

This commitment is indefinite. Non-compliance may result in disciplinary action, as well as civil or criminal liability.

¹ strike out where not applicable,

² The terms "Committee" and "Compliance Officer" used in this declaration refer to concepts defined in *Regulations for Reporting Legal Violations and Follow-Up Actions at the Nicolaus Copernicus Astronomical Center of the Polish Academy of Sciences*,

³ complete in BLOCK LETTERS.

.....
(Date and Signature)