Annex

to HSE Directive

No. 6.18.1-01/1603-11,

dated March 16, 2021

APPROVED by

HSE University Academic Council

Minutes No. 18,

dated December 18, 2020

**REGULATIONS for**

**Staff Research Productivity Assessments at**

**National Research University Higher School of Economics in 2021**

1. **General Provisions**
   1. These Regulations for Staff Research Productivity Assessments at National Research University Higher School of Economics in 2021 (hereinafter the “Regulations and “HSE University”, respectively) are a bylaw of HSE University that establishes procedures for assessing the research productivity of HSE University’s staff (hereinafter “Research Productivity Assessments” or “RPA”).
   2. Research Productivity Assessments are conducted to obtain information about the research productivity of HSE University’s staff, including for using it to hold university-wide competitions and carry out other procedures that rely on the research productivity index for decision-making processes.
   3. Research Productivity Assessments may be of one of two types - competitive or routine:
      1. Competitive Research Productivity Assessments are conducted as a part of any university-wide competitions and other procedures in which research productivity is a criterion for making a decision. The specific aspects of such competitive research productivity assessments are set out in the relevant HSE University’s bylaws;
      2. Routine Research Productivity Assessments, in turn, are conducted at the end of every year. The specific aspects of such routine research productivity assessments are set out in Section 2 hereof.
   4. Publications prepared by staff members in line with the requirements listed in Annex 1 hereto and within a set period of time shall be the subject of the Research Productivity Assessment. The timeframe shall be determined individually for each mechanism relying on the Research Productivity Assessment and shall be selected from the following options:
      1. two (2) full years prior to the current assessment period;
      2. two (2) full years prior to the current assessment period and a part of the current year before the date of the competitive assessment, as stated in the relevant regulations governing the ongoing competitive procedure (hereinafter the “cut-off date”);
      3. other periods of time if this is stipulated by the relevant regulations for the competitive procedure.
   5. These Regulations apply to:
      1. faculty members at HSE University and regional campuses (including internationally recruited staff);
      2. researchers at HSE University and regional campuses (including internationally recruited staff);
      3. heads and deputy heads of HSE University’s research subdivisions, as well as all units incorporated therein, if their operations are financed from funds generated through the implementation of basic projects included in the thematic plan for R&D works (both basic and applied research), as stipulated by the State Assignment to HSE University for 2020-2021, with the exception of heads and deputy heads of subdivisions and units incorporated into the University's research subdivisions that do not have researcher positions;
      4. heads and deputy heads of HSE University’s International Laboratories.
   6. Research Productivity Assessments are conducted using the automated electronic system “Isaac the Robot” (<https://www.hse.ru/staff/robot>) (hereinafter Isaac the Robot) and are based on information about publications inputted by HSE University’s staff members to the database of publications on the HSE University’s corporate website (portal) and reviewed by the Publication Verification Unit, Office of Public Relations and Online Media.
   7. The Regulations and any amendments hereto must be approved by the HSE University's Academic Council and enacted as per a directive issued by the University's Rector.
2. **Procedure** **for Annual Routine Research Productivity Assessments** 
   1. The HSE University Vice Rector, responsible for the coordination of basic research in accordance with the established allocation of duties at the University (hereinafter the “Coordinating Vice Rector”) shall appoint from among HSE University’s staff a coordinator to oversee the RPA (hereinafter the “Coordinator”) prior to September 1.
   2. Annual Routine Research Productivity Assessments of HSE University’s researchers and faculty members shall be conducted by the University-wide Committee for Research Productivity Assessments (hereinafter the “University-wide Committee”). The procedures for the University-wide Committee’s activities are set forth in Annex 3 hereto. This Committee is comprised of members of the Human Resources Committee, the Research Committee (both committees operate under the HSE University Academic Council), as well as HSE University’s administrators coordinating and organizing basic and applied research at HSE University, as per the allocation of duties established at HSE University. The Coordinator and Director of the HSE University’s Scientometrics Centre also sit on the University-wide Committee.
   3. If necessary, the Coordinating Vice Rector may appoint an Assistant Coordinator from among HSE University’s staff or learners.
   4. The cut-off date for drawing up the list of staff members subject to Research Productivity Assessment shall be November 1.
   5. The following categories of staff are exempt from Research Productivity Assessments:
      1. holders of the honorary title (status) of HSE University’s Tenured (Honorary) Professor;
      2. holders of the status of Outstanding Practitioners.
      3. research interns and assistants, if they are degree students (at the Bachelor’s or Master’s level) or if they have graduated from a Bachelor’s or Master’s programme in the year of the given Research Productivity Assessment or the year before[[1]](#footnote-1);
      4. pregnant women; staff on a maternity leave, as well as those who returned from a maternity leave less than 5 (five) years ago; staff on a childcare leave until a child reaches 3 (three) years of age, as well as those who have returned from a childcare leave less than 2 (two) years ago (upon request, provided that supporting documents are available);
      5. staff who have been on sick leave for a long period (over six months) over the course of the past three years (upon their request, provided that supporting documents are available).
   6. Staff members, who are entitled to exemption from the RPA as per p. 1.5 hereof, may use this right until November 20 by way of submitting a relevant request to the HSE University’s process automation system “Vyshka.BPM” (or an analogous system in effect at the time of the RPA) with the indication of the grounds for exemption.
   7. The Coordinator shall receive the lists of staff at HSE University and its regional campuses who will undergo the Research Productivity Assessment by downloading data from Isaac the Robot’s database. If necessary, in November, the Coordinator may check these lists together with the heads of HSE University's subdivisions and HR Office.
   8. Staff members undergoing Research Productivity Assessments must input information on all their publications subject to the said assessment to the database of academic publications on the HSE University’s corporate website (portal) no later than November 1.
   9. Failure to submit relevant information about publications by the deadline stipulated in these Regulations may result in the exclusion of such publications from the Research Productivity Assessment.
   10. Any HSE University’s staff member who does not belong to one of the categories specified in p. 1.5 hereof, has the right to undergo a Research Productivity Assessment at their own request. To this end, a relevant request must be submitted and addressed to the Coordinator between November 1 and 15. Staff undergoing the RPA at their own request shall be assessed pursuant to criteria equivalent to those in place for researchers.
   11. The lists of publications subject to the RPA process shall be finalized by the cut-off date of December 1. A preliminary decision on whether a staff member meets the criteria for the RPA shall be posted on the HSE University’s process automation system “Vyshka.BPM” (or an analogous system in effect at the time of the RPA) no later than December 5.
   12. No later than December 5, the Coordinator shall send out notifications about the readiness of preliminary results using mailing lists to all researchers and faculty members.
   13. After reviewing the results, staff members may, until December 11, file an appeal. The procedure for filing and reviewing appeals is provided in Annex 4 hereto.
   14. The University-wide Committee for Research Productivity Assessment (hereafter, the University-wide Committee) decides whether or not staff members meet the established performance criteria in terms of the research productivity assessment as set for each position covered by these Regulations no later than December 25. Decisions of the University-wide Committee are final.
   15. No later than December 31, the Coordinator shall input the decisions of the University-wide Committee into the HSE University’s process automation system “Vyshka.BPM” (or an analogous system in effect at the time of the RPA), where the results can be viewed by staff members. The Coordinator shall ensure that the RPA results of the staff members are sent out to the heads of their subdivisions no later than December 31.
   16. Results of individual Research Productivity Assessments shall not be disclosed. However, they may be published as part of generalized statistical data.
   17. The Coordinator, members of the University-wide Committee, and heads of research subdivisions must refrain from disclosing the results of individual Research Productivity Assessments to any third parties, with the exception of the researcher him/herself and the HSE University’s staff specified herein. Therefore, members of the University-wide Committee must sign an obligation to refrain from divulging information that may have come to their knowledge while attending meetings of the University-wide Committee. Only supervisors responsible for research coordination and the Coordinator shall be authorized to provide their comments regarding the RPA results to staff members and heads of their respective research subdivisions.
   18. The responsibility for organizing the participation in the RPA and ensuring that individual results meet the criteria for the respective position filled by a researcher subject to the RPA lies with the heads of their respective subdivisions.

Annex 1

to the Regulations for Staff Research Productivity Assessments at National Research University

Higher School of Economics in 2021

**Criteria for Annual Routine Staff Research Productivity Assessments**

1. Publications prepared by staff members over the last 2 (two) full years preceding the year of assessment and a part of the assessment year up to the cut-off date, as established in p. 2.11 of these Regulations, shall be the subject of the RPA process.
2. A publication refers to a work that has been published and prepared in accordance with academic standards for writing and formatting texts and put out by a publishing house either in print form or electronic media. Publications must feature an ISBN or ISSN identifier, the editor’s name, and an established circulation.
3. Types of publications considered under the RPA process and the points awarded for each publication are specified in Annex 2 to these Regulations.
4. Revised articles, monographs, textbooks, etc. may be recognized as separate publications if at least 30% of the text is new. If this requirement is not met, the publication shall be classified as a “Republication” and subsequently verified by the Publications Verification Unit. However, this shall not be assessed by Isaac the Robot.
5. A publication without an accurate affiliation with HSE University can be considered only if it was put out in the year when a respective researcher started his/her employment at HSE University or earlier.
6. In order to meet the criteria of the Research Productivity Assessment in 2021, publications must satisfy at least 1 (one) of the 2 (two) following conditions:

|  |  |  |  |
| --- | --- | --- | --- |
|  | Chief / Leading Research Fellow | Senior Research Fellow, Researcher, Junior Research Fellow, Heads and Deputy Heads of research subdivisions | Research Assistant |
|  | Professor, Research Professor | Associate Professor / Assistant Professor | Senior Lecturer, Lecturer, Teaching Assistant |
| Track 1 | Tier 2 or 3 academic bonuses, academic bonuses for regular publications in international peer-reviewed academic journals (“a long bonus”) or a bonus for publications making a significant input in HSE University’s global academic reputation (“a mega-bonus”) | | |
| Track 2 | 18 points | 14 points | 12 points |

1. The specified criteria shall apply to all staff members subject to Research Productivity Assessments, irrespective of their FTE rate.
2. The University-wide Committee for Research Productivity Assessments reserves the right to refuse to consider publications in journals that, during the annual routine research productivity assessment, are found to be engaged in predatory publishing practices (e.g., charging fees to expedite the publication process, simulated peer-reviewing, publications with absent, short, or invalid bibliographies, or those that do not follow the academic writing standards, etc.) The University-wide Committee has the right to contact the Executive Director of the HSE University’s Academic Fund to request that an expert review of a given journal be conducted pursuant to the Regulations on the Journals and Publishers Blacklisted for the Purposes of Awarding Academic Bonuses or Assessing Research Productivity of HSE University’s Staff.
3. The list of eligible journals, list of leading publishers, list of journals indexed in WoS/Scopus and a selection of relevant quartiles, the additional list of eligible journals https://scientometrics.hse.ru/goodjournals, the list of journals and publishers blacklisted for the purposes of appointing academic bonuses or the RPA, and the list of conferences in Computer Science level A\* according to CORE rating, shall be updated every year by the HSE University’s Scientometrics Centre and set as at 23:59 of August 31. These lists shall be published on the Scientometrics Centre website in October, along with the transfer of Isaac the Robot to the new quartiles. The assessment of publications shall be based on the Scientometrics Centre list in force at the time of the current assessment.
4. WoS-indexed journals in these Regulations refer to the journals from the following indexes: the Science Citation Index Expanded, Social Sciences Citation Index, Arts & Humanities Citation Index. Journals indexed in Scopus refer to the journals from the Scopus Sources List (with source type being “journal”, marked as active).

Annex 2

to the Regulations for Staff Research Productivity Assessments at National Research University Higher School of Economics in 2021

1. Types of Eligible Publications, Eligibility Criteria and Points Awarded (see Table 1)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Table 1. Types of Eligible Publications, Eligibility Criteria and Points** | | | | | |
|  | **Types of Publication** | **Points Awarded** | **Minimum[[2]](#footnote-2) number of pages (pages)** | **If there are over 4 co-authors**  **minimum2 number of pages per co-author, at least (pages)** | |
|  | ***Monographs*** | | | | |
| 1 | A monograph put out by a publisher included in the List of Publishers<https://scientometrics.hse.ru/publishers/> | 18 | 100 | 50 | |
| 2 | A chapter (chapters) of a monograph put out by a publisher included in the List of Publishers <https://scientometrics.hse.ru/publishers/> | 5 (7) | 10 total (10 per chapter on average) | 10 total (10 per chapter on average) | |
| 3 | A monograph put out by a publisher not included in the List of Publishers <https://scientometrics.hse.ru/publishers/> | 8 | 100 | 50 | |
| 4 | A chapter (chapters) of a monograph put out by a publisher not included in the List of Publishers <https://scientometrics.hse.ru/publishers/> | 3 (4) | 10 total (10 per chapter on average) | 10 total (10 per chapter on average) | |
| 5 | Editing a monograph put out by a publisher included in the List of Publishers[[3]](#footnote-3)  <https://scientometrics.hse.ru/publishers/> | 10 | 100 | - | |
|  | ***Textbooks and Study Guides*** | | | | |
| 6 | A textbook | 7 | 100 | 50 | |
| 7 | A textbook chapter (chapters) | 3 (5) | 15 total (15 per chapter on average) | 15 total (15 per chapter on average) | |
| 8 | A study guide | 4 | 100 | 50 | |
| 9 | A chapter (chapters) in a study guide | 1 (2) | 15 total (15 per chapter on average) | 15 total (15 per chapter on average) | |
|  | ***Articles / Reviews in Academic Journals***[[4]](#footnote-4) | | | | |
| 10 | A review (article) in an academic journal included in the List of Journals considered for the purposes of awarding Tier 3 academic bonuses (“List of eligible journals”); <https://scientometrics.hse.ru/3rdleveljournals>) | 18 | – | – | |
| 11 | A (review) article in an academic journal, indexed in at least one of WoS or Scopus databases in Q1-Q2 quartiles under at least one thematic heading, and which does not appear on the list of predatory publishers and journals not considered for the purposes of awarding academic bonuses and conducting research productivity assessments (<https://scientometrics.hse.ru/blacklist>) and not mentioned in line 10 above | 18 | – | – | |
| 12 | A (review) article in an academic journal, indexed in WoS or Scopus and not included in the list predatory publishers and journals not considered for the purposes of awarding academic bonuses and conducting research productivity assessments (<https://scientometrics.hse.ru/blacklist>) and not mentioned in lines 10 and 11 above | 6 | 5 | – | |
| 13 | A (review) article in an academic journal included in the list of eligible journals at <https://scientometrics.hse.ru/goodjournals> | 5 | 5 | – | |
| 14 | A scholarly review in a journal indexed in WoS and/or Scopus and/or included in the list of eligible journals at <https://scientometrics.hse.ru/goodjournals> (no more than two articles may be considered) | 2 | 5 | – | |
|  | ***Articles in Academic Editions / Collections of Papers4*** | | | | |
| 15 | An article in an academic edition (collection) from the List of Publishers <https://scientometrics.hse.ru/publishers/> | 3 | 5 | – | |
| 16 | An article in an academic edition (collection) indexed in WoS or Scopus and not mentioned in Line 15 above | 3 | 5 | – | |
| 17 | An article in an academic edition (collection) (up to 2 articles) and not mentioned in Lines 15-16 above | 1 | 5 | – | |
|  | ***Conference Proceedings*** | | | | |
| 18 | A report or a poster report (article) in conference proceedings (journal) from the List of Eligible Conferences  <https://scientometrics.hse.ru/conferences/> | 18 | – | – | |
| 19 | An article in a WoS/Scopus-indexed conference proceedings (journal), except conferences from the List of Eligible Conferences  <https://scientometrics.hse.ru/conferences/> | 3 | – | – | |
| 20 | An article in the collection of conference proceedings (journal) not indexed in WoS/Scopus (up to two articles) | 1 | 5 | – | |
|  | ***Dictionaries*** | | | | |
| 21 | Etymological dictionaries; dictionaries of nonliterate, rare, and insufficiently studied languages; corpus dictionaries of ancient written languages by publishers included in the List of Publishers  <https://scientometrics.hse.ru/publishers/> | 18 | 100 | | – |
| 22 | Etymological dictionaries; dictionaries of nonliterate, rare, and insufficiently studied languages; corpus dictionaries of ancient written languages by publishers not included in the List of Publishers  <https://scientometrics.hse.ru/publishers/> | 8 | 100 | | – |
|  | ***Other Publications*** | | | | |
| 23 | 1) publications of historical sources newly introduced for the scholarly discussion;  2) publications of archive materials with an accompanying translation and/or detailed scientific commentary;  3) publications of translations of texts of scientific, philosophical or religious heritage, translations of economic, administrative and literary texts of historic and cultural importance from ancient, oriental and rare languages, as well as archaic variations of European languages, into Russian and other contemporary languages, accompanied by a detailed scientific commentary;  4) publications of prefaces, epilogues, comments, introductions, conclusions and articles in encyclopaedias, etc. | the most comparable type of publication shall be identified from those specified above for the purpose of determining the score to assign to the publication from this list of “Other Publications” | Provided that the publication meets all formal requirements for the corresponding type of publication: monograph, chapter in a monograph, an article in a peer-reviewed journal, or an article in conference proceedings | | |

2. The following results of academic work are not subject to assessment:

2.1. pre-prints;

2.2. articles and review articles in scientific journals published online first (with the exception of online journals, which have no printed versions), i.e., in journals in which the first online publication is considered final and bibliographic data (the year, issue/edition, etc.) are not subject to subsequent changes);

2.3. published dissertations and author’s abstracts;

2.4. unpublished materials (including reports on research work; materials submitted for publication);

2.5. papers which have been published in the author's version without any prior editing and reviewing procedures;

2.6. theses of reports and presentations;

2.7. articles in conference proceedings published on the basis of materials of virtual conferences;

2.8. booklets / pamphlets;

2.9. scientific reports, including ones published by HSE Publishing House individually or in collections of papers, with the exception of materials from the April International Academic Conference on Economic and Social Development;

2.10. transcripts and reviews of presentations at conferences and roundtables;

2.11. materials published in newspapers, analytical, popular science and as part of other non-academic publications;

2.12. teaching and learning materials;

2.13. translations of academic/scientific texts from a foreign language;

2.14. reference works (dictionaries and reference books, except for dictionaries mentioned in Table 1, reference books, etc.);

2.15. certificates of invention, copyright certificates and patents issued and awarded for inventions, utility models, industrial designs, certificates for software programs, databases, as well as topologies of integrated circuits.

Annex 3

to the Regulations for Staff Research Productivity Assessments at National Research University

Higher School of Economics in 2021

**Procedures for the University-wide Committee for Research Productivity Assessments**

1. The University-wide Committee is headed by the two co-chairpersons represented by the Chairperson of the HR Committee under the HSE University Academic Council and the Chairperson of the Research Committee under the HSE University Academic Council, respectively.
2. Meetings of the University-wide Committee are held within the timeframe established by the Regulations for HSE University’s Staff Research Productivity Assessments in 2021.
3. The schedule for meetings of the University-wide Committee is determined by the Coordinator and shall fall within the set timeframe for the Research Productivity Assessment at HSE University.
4. Members of the University-wide Committee must respect the confidentiality of any personalized information regarding the RPA processes involving HSE University’s staff.
5. The University-wide Committee decides whether or not publications meet the criteria of Staff Research Productivity Assessment established at HSE University. One of the following three resolutions shall be recorded in the minutes with respect to each staff member and each position, subject to these Regulations: Meets the Criteria of the Research Productivity Assessment, Fails to Meet the Criteria of the Research Productivity Assessment, or Exempt from the Research Productively Assessment.
6. The University-wide Committee makes decisions by a simple majority vote of all members in attendance at the meeting. Should there be a tie, the Committee's Co-chairperson, also acting as the Chairperson of the Research Committee under the HSE University Academic Council, shall have the deciding vote. In his/her absence, the deciding vote should be cast by the Committee's Co-chairperson, also acting as the Chairperson of the HR Committee under the HSE University Academic Council.

Annex 4

to the Regulations for Staff Research Productivity Assessments at National Research University

Higher School of Economics in 2021

**Appeals Procedure**

1. A staff member can file an appeal against a preliminary decision on whether he/she meets the performance criteria for the Research Productivity Assessment within the timeframe specified in p. 2.10 hereof.
2. An appeal shall be lodged through HSE University’s processes automation system “Vyshka.BPM” (or an analogous system in effect at the time of the RPA).
3. A staff member can appeal a preliminary decision, other than “Meets the Criteria of the Research Productivity Assessment”, on the following grounds:
   1. if there are publications that were prepared by the staff member and not verified as of December 1. The following publications can be accepted as part of the appeals process:
      1. articles with the Online first status, published on a website of a journal or a publisher;
      2. articles accepted for publication, for which the author can provide proofs with headers and footers, as well as other characteristics of the final version of the publication;
   2. if there is an article under peer review at a leading international journal, as submitted by a staff member, with respect to which the board of editors made a decision no less than Revise & Resubmit;
   3. any technical errors occurred at any previous stage of the assessment, including at the stage of reviewing applications for exemption from assessment or during the calculation of points;
   4. a staff member has grounds to disagree with the Publications Verification Unit’s decision about assigning his/her publication to a certain category;
   5. a staff member may be excused from the Research Productivity Assessment.
4. The following circumstances may not serve as the ground for appeal:
   1. there are articles accepted for publication, which are not covered by subparagraphs 3.1.1. or 3.1.2 hereof, including in case the author can provide a confirmation from the board of editors that articles were accepted for printing;
   2. any objections from the authors whose publications received preliminary decision as “Meeting the criteria of the Research Productivity Assessment”. Queries submitted by such authors shall be considered in due course by respective subdivisions throughout the entire year beyond the scope of the appeals procedure, with feedbacks provided by corporate e-mail.
5. In cases where a substantive expert review is required, the Coordinator shall forward an appeal for review to a scientific committee in the respective academic field within the period allowing the committee to consider an appeal for at least seven (7) days. The scientific committee shall draw up a recommendation and provide it to the Coordinator prior to the meeting of the University-wide Committee.
6. In cases where a substantive expert review is not required, the Coordinator shall draft a decision on the appeal jointly with the Publications Verification Unit, the Scientometrics Centre, and other subdivisions.
7. The University-wide Committee takes into account recommendations of the scientific committee and/or a draft of the Coordinator’s decision; however, it can decide otherwise.
8. The Coordinator and his/her assistants shall inform the author about the appeals procedure result, with a short explanation of the committee provided, before December 31.

1. Students receiving their second (or subsequent) Bachelor's or Master's degree shall not be exempt from the RPA process. [↑](#footnote-ref-1)
2. For electronic publications without page numbers, the number of pages gets calculated at: 5 pages = 10,000 characters. [↑](#footnote-ref-2)
3. In debatable cases, when the “Executive Editing” is not mentioned in the publishing details, the Office for Research Evaluation shall make a decision whether applicable points shall be awarded or not.

   If a staff member acts as both the author and the editor of a monograph / chapters of a monograph, the points for authoring and editing the work shall not be summed up. The maximum score shall be selected out of the two scores. [↑](#footnote-ref-3)
4. No restrictions on the word count shall be in place for publications in mathematics, applied mathematics, informatics, physics, and technical sciences. [↑](#footnote-ref-4)