**REGULATIONS**

**on Project Competition “Establishing International Laboratories at the National Research University Higher School of Economics**

**for the period from 01.12.2016 to 31.12.2019”**

1. **GENERAL PROVISIONS**
   1. These Regulations govern requirements, procedures for organizing and holding the project Competition “Establishing International Laboratories at the National Research University Higher School of Economics for the period from 01.12.2016 to 31.12.2019” (hereafter, the Competition), arranged and held by the National Research University Higher School of Economics (hereafter the University, HSE) to provide support to research teams, jointly supervised by leading international researchers and leading Russian scholars, including support required for building such research teams with the aim of achieving main goals of the Competition.
   2. The goals of the Competition include:

1.2.1. creating, supporting and developing research fields and internationally recognised schools at HSE;

1.2.2. supporting the existing research teams and building new ones at HSE through engagement of leading international researchers;

1.2.3. encouraging participation of young HSE researchers in the operations of HSE International Laboratories (hereafter, IL), thereby giving them an opportunity to get experience in international research projects and developing relevant academic culture at the very beginning of their research career.

**2. COMPETITION PARTICIPANTS**

2.1. HSE (Moscow) research teams which are (or shall be) jointly supervised by leading international researchers, who occupy top positions in relevant fields of science (hereafter, Leading Researchers), and leading Russian scholars (hereafter, IL Heads) are eligible to take part in the Competition.

2.2. The Leading Researcher and the IL Head may take part in one research project. Members of existing ILs and Advanced Research Centres of HSE are not eligible to take part in the Competition.

**3. PROJECT FUNDING**

3.1. Based on the Competition results, funds are annually allocated to winners for conducting research in 2017 – 2019. The funding annually allocated for each project supported as a result of the Competition shall not exceed 13 million roubles, including:

- up to 10 million roubles, including personal income tax payments and contributions to extra-budgetary funds, shall be allocated for conducting research (remuneration payable to the research team);

- up to 3 million roubles shall be allocated for supporting the IL staff mobility, organising visits of international scholars and specialists, other than the IL staff members, for collaboration in the framework of the research project, holding conferences, summer schools, regular seminars, events for staff continuing professional development, etc, and purchasing necessary equipment and software.

3.2. The amount of required funding shall be independently determined by the Competition participants but cannot exceed the limits specified in p. 3.1 hereof. Estimations shall be provided in an Application form as specified in Form No. 1 attached hereto.

**4. RESEARCH PROJECT REQUIREMENTS AND CONDITIONS**

4.1. The proposed research project may not repeat current research projects or any previously completed research projects which are a part of other projects, conducted inside and outside the University at the expense of funds allocated from budgets of different tiers, as well as from other sources, but may serve as their continuation.

4.2. The following requirements to the research project and research conditions are established for the leading researcher:

4.2.1. pursuant to terms and conditions of the research project, the Leading Researcher is required to supervise the IL and the research project personally (being personally present at the University) for at least 45 working days during the year (at least 2 visits per year, the interval between the visits shall not exceed 6 consecutive months);

4.2.2. the Leading Researcher shall sign an employment agreement for 3 years, whereby HSE shall become their primary place of employment in the Russian Federation; the Leading Researcher shall be employed at HSE on a full-time basis;

4.2.3. originator of the Competition Application may suggest other conditions for engaging several leading researchers in the project in the framework of this Competition, and specify annual obligations for each leading researcher;

4.2.4. the Leading Researcher undertakes to perform the following functions throughout the entire period of the project:

4.2.4.1. jointly with the IL Head acting on behalf of the Russian party, participate in creating the research team for conducting research, approving research plans, establishing a research school;

4.2.4.2. provide assistance to the IL Head in evaluating prospects of the research project, in selecting methods and techniques for research and development, and ways of achieving the IL research objectives;

4.2.4.3. supervise the development of methodological and operational materials, forecasts and proposals, other required documents and methodological materials for the research project, practical recommendation regarding the use of their outcomes;

4.2.4.4. as part of academic workload, deliver lectures related to the field of research for at least 36 hours per annum, pursuant to the approved individual plan of teaching and planning workload;

4.2.4.5. pursuant to terms and conditions of the Competition Application, publish the required number of research articles on research-related topics in peer-reviewed journals indexed in the Web of Science database, acknowledging HSE and the source of funding of the research project. Some articles on research-related topics shall be published in peer-reviewed journals indexed in Q1/Q2[[1]](#footnote-1) in the Web of Science:

4.2.4.5.1. The following wording shall be used for acknowledgement of affiliation and source of funding, in Russian:

*Национальный исследовательский университет «Высшая школа экономики».*

*Исследование финансировалось в рамках государственной поддержки ведущих университетов Российской Федерации «5-100»;*

4.2.4.5.2. The following wording shall be used for acknowledgement of affiliation and source of funding, in English:

*National Research University Higher School of Economics, Russian Federation*

*The study has been funded by the Russian Academic Excellence Project 5-100.*

4.3. The following requirements to the research project and conditions for conducting research are established for the IL Head:

4.3.1. IL Head undertakes to personally supervise the IL, organise the research team work, including elaboration of research plans and cost estimations, and presentation of reports, pursuant to HSE bylaws;

4.3.2. should their Competition Application be successful, HSE becomes the primary place of employment for the IL Head, and the IL Head shall be employed at the HSE IL on a full-time basis.

4.4. The following requirements to the research project and conditions for conducting research are established for the research team:

4.4.1. the research team, created by the Leading Researcher for conducting research, shall be composed of at least two Doctors of Sciences/ Candidates of Sciences/ PhD holders, who are employed full-time and have HSE as their primary place of employment, and at least three HSE (doctoral) students. Replacement of the research team members may be allowed in exceptional cases upon approval of HSE Vice Rector in charge of basic research and research performed in accordance with the state assignment;

4.4.2. only researchers may be allowed to join the IL, except the IL coordinator whose responsibilities under an employment agreement include administrative support of research projects conducted by the IL.

4.4.3. should the Competition Application be successful, the IL staff composition shall include at least two members of research team, who have the IL as their primary place of employment and occupy a position of researcher or a higher position;

4.4.4. all IL researchers, who entered into employment agreements with HSE, shall be subject to publication output review (except for researchers exempt from publication output review, who had declared this right before the deadline defined in the Procedures for the Publication Output Review) and other procedures, provided by HSE bylaws for researchers;

4.4.5. leading researchers, who are employed in the IL on the basis of an employment agreement that stipulates specific publication output obligations, shall be exempt from the publication output review. These researchers are expected to provide annual reports regarding fulfillment of obligations defined in their employment agreements at the meeting of the Committee for Organising the Implementation of International Research Projects Jointly Supervised by the Leading International and HSE Researchers;

4.4.6. HSE researchers, who passed the publication output review and were evaluated as “Meeting eligibility criteria” / “Provisionally meeting eligibility criteria”, may be invited to work on the IL research projects under a fixed-term employment agreement. Terms of their employment agreements are defined by the IL Head in accordance with deadlines of the research project;

4.4.7. an employee who had never taken a publication output review may work under an employment agreement which covers a certain stage of the research project and is concluded until December 31 of the current calendar year;

4.4.8. in case the employee passes the publication output review while their employment agreement which covers a certain stage of the research project is effective and is evaluated as “Meeting eligibility criteria” / “Provisionally meeting eligibility criteria”, a new employment agreement may be concluded with such employee for the period of implementation of the research project;

4.4.9. HSE staff, who failed to get the status of “Meeting eligibility criteria” / “Provisionally meeting eligibility criteria” as a result of the publication output review, may not become members of the IL research team or join the IL working group until they receive the status of “Meeting eligibility criteria” / “Provisionally meeting eligibility criteria”;

4.4.10. HSE staff may be employed only in one HSE research subdivision implementing a research project (basic research and applied research) in the framework of the state assignment, or a research project jointly supervised by leading international and Russian researchers employed at HSE. Staff members of a subdivision which is part to an institute or a research centre are the only exception. These employees may participate in two projects, i.e. in a research project (basic research and applied research) in the framework of the state government assignment, and in a research project jointly supervised by leading international and Russian researchers employed at HSE, provided that their publications submitted for annual expert review as projects’ deliverables and as a reporting material for the current projects, are unique for each project;

4.4.11. in case an employee, recruited to HSE from the international labour market under the international recruitment procedure, is invited to participate in the work of the IL on a part-time basis, such employee’s monthly remuneration under the primary employment agreement with HSE shall be reduced by the amount of their monthly remuneration earned in the IL, except for those staff members who are employed at a minimal FTE and are assigned a monthly remuneration in the IL which does not exceed 5,000 roubles;

4.4.12. in case an employee, recruited to HSE from the international labour market under the international recruitment procedure, is invited to participate in the work of the IL, such employee’s personal publication output shall not be taken into account in KPI reports of the IL. Such employee’s publication output produced in co-authorship with other IL staff shall be taken into account in KPI reports of the IL;

4.4.13. the leading researcher, who is recruited to HSE from the international labour market under the international recruitment procedure, and is invited to participate in the work of the IL, may use funds allocated to the IL for international and domestic mobility only after exhausting the funds provided to the leading researcher for their mobility in the framework of their employment agreement.

4.5. The IL Head and the Leading Researcher assume a joint responsibility for achieving the outcomes of the research project.

4.6. Each IL undertakes to maintain its own web-page on the HSE corporate website (portal), IL pages shall be published in Russian and in English and contain information on the IL team members, current events, ongoing research, and publications. Personal profiles of team the IL members shall be maintained in accordance with HSE bylaws. The IL Head and coordinator are responsible for publishing up-to-date information regarding the IL activities on the IL web-page.

4.7. The coordinator, appointed to each IL, shall have organisational functions and shall represent the research project in communication with HSE subdivisions, as well as liaison with international researchers engaged in the project work, and handle the IL paperwork, pursuant to HSE bylaws. The IL coordinator should be fluent in English and should be employed in the IL on a full-time basis.

4.8. The IL shall present an annual report, covering its research outcomes based on the annual KPIs, at the meeting of the Committee for Organising the Implementation of International Research Projects Jointly Supervised by the HSE Leading International and HSE Researchers.

4.9. The following requirements are established for the IL KPIs:

4.9.1. publications, provided as project deliverables for the IL research projects, shall be a unique research paper on the research-related topic which had never been published or provided as a project deliverable before;

4.9.2. publications, jointly prepared by a group of authors, who represent different research projects, shall be qualified as project deliverables of one research project only. A publication, presented as the project deliverable in the framework of the IL research projects, may not serve as a project deliverable for any other research project;

4.9.2.3. if an academic event is listed among the IL KPIs, an event can be counted as a key performance indicator for one of research projects only;

4.9.2.4. if the IL KPIs include recruitment of research assistants from among (doctoral) students, only HSE (doctoral) students shall be counted towards this KPI;

4.9.2.5. if the IL KPIs include the number of dissertations defended by candidates seeking Candidate of Sciences and Doctor of Sciences degrees, only defenses and dissertations with HSE affiliation are deemed as project deliverables

4.10. The outcomes of the IL operations during 2017-2019 shall undergo an expert review to evaluate the achievement of annual target indicators and the fulfillment of the research plan. Report on the IL operations covering three years and the expert review results shall be presented at the meeting of the Committee for Organising the Implementation of International Research Projects Jointly Supervised by the HSE Leading International and HSE Researchers and at the meeting of HSE Expert Committee for Research. If the results of the expert review are favourable, the project timeframe can be extended for the next three years.

**5. COMPETITION-RELATED EXPENSES**

5.1. All Competition-related expenses, including expenses incurred in the course of preparation and submission of Competition Applications, shall be covered by the Competition participants.

**6. COMPETITION APPLICATION CONTENTS**

6.1. The Competition Application (Annex 1) shall include:

- completed Form 1. Registration Form (this form is submitted electronically as an Excel file to [concurs\_labs@hse.ru](mailto:concurs_labs@hse.ru));

- completed Form 2. List of Documents, which specifies the documents that make up the Competition Application;

- completed Form 3. Competition Application Fact Sheet;

- completed Form 4. Conceptual Framework of the International Laboratory;

- completed Form 5. Leading Researcher’s Profile;

- Written consent provided by the leading researcher’s employer for their participation in the research project, pursuant to the declared conditions, including their physical presence at the University for at least 45 working days annually during 2017 – 2019, as required for personal supervision of the IL and the research project (in English). In case a group of leading researchers are invited to participate in the project, a written consent of the employer shall be provided for each leading researcher, including the terms and conditions of their participation in the research project;

- completed Form 6. Profile of the International Laboratory Head;

- completed Form 7. Research Project Summary;

- completed Form 8. Research Project KPIs;

- completed Form 9. Research Plan;

- completed Form 10. Research Project Cost Estimation.

**7. PREPARATION OF A COMPETITION APPLICATION**

7.1. Applications submitted for the Competition should meet eligibility criteria stated in Section 11 hereof. Competition participants prepare their Applications in hard copy and electronically.

7.2. The Competition Application shall be prepared and submitted in Russian and in English. Competition Applications in any other language shall be considered ineligible.

7.3. If specific documents supporting the Competition Application are prepared in other languages, they may accompany the Competition Application, provided that a notarised Russian and English translation is attached thereto.

7.4. The amount of funding required for conducting research shall be specified in the Competition Application in Russian roubles and shall not exceed the limit, specified in 3.1 hereof.

7.5. In case of discrepancies in the documents included in the Competition Application, such Application shall be considered ineligible.

7.6. If any documents, specified in the list of Competition documentation, are missing, have not been prepared in the approved format or do not contain certain mandatory information, such Competition Application shall be considered ineligible.

7.7. All documents included in the Competition Application shall be presented in the sequential order, specified in the List of Documents (Form 2).

7.8. All pages of the Competition Application shall be numbered and bound securely with a ribbon or thread, with their ends tied on the last sheet, where the total number of pages bound should also be specified.

7.9. Documents presented with the Competition Application shall be certified by signatures of the Leading Researcher and the IL Head, if the respective form contains such a requirement.

7.10. Hard copy of the Application shall be personally signed by the IL Head.

7.11. Electronic version shall be stored on an electronic media (CD, flash card) and shall contain the following information:

- Application in Russian in Word format;

- Application in English in Word format;

- Application in Russian in pdf, containing scanned signatures of the Leading Researcher and the IL Head;

- Application in English in pdf, containing scanned signatures of the Leading Researcher and the IL Head;

- Annexes (passport copy, copy of residence permit (if available), copy of the diploma/degree certificate, copy of PhD certificate, CV, copies of other diplomas, certificates, etc.).

**8. SUBMISSION OF A COMPETITION APPLICATION**

8.1. The Competition participant (hereafter – Participant) submits a Competition Application in writing in a sealed envelope containing a CD with the Application files. The Participant is responsible for making sure that Competition Applications submitted in hard copy and in electronic format are identical.

8.2. The Participant labels the envelope with the Competition Application as follows: Application for Competition “Establishing International Laboratories in 2017-2019”.

8.3. The envelope with the Competition Application shall be duly sealed to make sure that the envelope cannot be opened without damaging it.

8.4. Envelopes with Competition Applications shall be accepted at: 20 Myasnitskaya ulitsa, Moscow, 101000, HSE, office 417 **from August 15, 2016 to August 29, 2016 (12.00 pm Moscow time).**

8.5. Each incoming envelope with the Competition Application shall be registered in the register of Competition Applications.

8.6. At the request of the Participant who submitted an envelope with the Competition Application, the registration clerk may issue a statement to confirm the receipt of the envelope with the Application, stating the time and date of receipt, and Competition Application registration number.

8.7. All Applications, received by the Competition administration after the established deadline, shall not be admitted to the Competition.

**9. OPENING ENVELOPES WITH COMPETITION APPLICATIONS**

9.1. Envelopes with Competition Applications shall be opened in public on August 30, 2016.

9.2. The opening of envelopes with Competition Applications shall be recorded in the minutes.

**10. EXAMINATION OF COMPETITION APPLICATIONS**

10.1. Within 3 working days following the opening of envelopes with Competition Applications, members of the Commission responsible for opening envelopes shall check the Application for their compliance with formal requirements for preparation of Applications, established herein. Incomplete Applications or Applications presented in unsatisfactory format shall not be admitted to the Competition.

10.2 Applications that have been selected on the first stage shall be brought to consideration of the Committee for Organising the Implementation of International Research Projects Jointly Supervised by the HSE Leading International and Russian Researchers, and shall be checked for compliance with the eligibility criteria, established for the Leading Researcher and the IL research team members.

10.3. Upon completion of the technical check for compliance / non-compliance of the Application with the Competition eligibility criteria and upon obtaining recommendations from the Committee for Organising the Implementation of International Research Projects Jointly Supervised by the HSE Leading International and Russian Researchers, complete document packages shall be delivered to the Office for Research Evaluation for expert review of Applications pursuant to the established criteria.

**11. CRITERIA FOR APPLICATION EVALUATION**

|  |  |  |
| --- | --- | --- |
| No | Criteria | Criteria description (requirements) |
| 1. Academic achievements and professional experience of the leading researcher/ research team | | |
|  | Quality of academic publications | Evaluated in scores: print media (leading, professional) where the leading researchers publish their academic papers, how many academic papers have been published; whether or not such publication output is typical for leaders in respective field; how high is the citation index of articles produced by the leading researcher |
|  | Leading researcher’s experience in supervising a research team | Evaluated in scores: the leading researcher’s administrative experience of research team building and efficient teamwork management; whether or not the leading researcher’s experience is sufficient for academic staff training |
| 1. Prospects of the IL research projects | | |
|  | Relevance and significance of the IL proposed research projects | Evaluated in scores: significance of the proposed research projects and their relevance to the state of affairs in contemporary science; possibilities of achieving breakthrough research outcomes at a global level |
|  | Feasibility of anticipated outcomes within the proposed timeframe using the proposed methods | Evaluated in scores: level of the research outcomes detalisation, their conformity to international standards; |
|  | Correlation between the required funding and research project goals, quality of cost estimates | Evaluated in scores: adequacy of the project funding |
| 1. Future Outlook of the IL | | |
|  | Publication output of research team members | Evaluated in scores: number of articles, monographs, published keynote reports, produced by team members over the last 5 years, the quality of print media, publishers, conferences; number and quality of articles published in journals indexed in Scopus, Web of Science; projected number of publications in journals indexed in Scopus, Web of Science for 3 years |
|  | Research team composition | Evaluated in scores: research team composition, including the proportion of young researchers, (doctoral) students; the team’s ability to solve complex research and organisational tasks, conduct research and achieve research outcomes in line with international standards; research articles prepared by proposed team members in collaboration with international researchers (conducting joint research projects, producing articles and joint presentations at international academic conferences). |
|  | New IL’s Contribution to the University strategic development in line with the Programme for Raising the Competitiveness of National Research University Higher School of Economics | Evaluated in scores: whether or not the new IL will be able to significantly improve efficiency of research at the University; the IL contribution to the Programme for Raising the Competitiveness of National Research University Higher School of Economics |

**12.** **SUMMARISING THE COMPETITION RESULTS. SELECTING THE WINNER**

12.1. The Competition results shall be summarised by November 18, 2016, inclusive, at the meeting of the Committee for Organising the Implementation of International Research Projects Jointly Supervised by the HSE Leading International and Russian Researchers, where the decision on the allocation of funding to research projects on the basis of submitted Applications and expert review results shall be made.

12.2. Members of the Committee for Organising the Implementation of International Research Projects Jointly Supervised by the HSE Leading International and Russian Researchers, who submitted Competition Applications as members of the research team, etc., shall not take part in the voting regarding the allocation of funds for the projects in the framework of the Competition “Establishing International Laboratories in 2017 – 2019”.

12.3. The Committee’s decision shall be based on the coherence between the projects’ research topics and areas of research within Strategic Academic Units <https://strategyunits.hse.ru/en/> among other factors.

12.4. Within 14 days following the announcement of the Competition results, the winners shall prepare draft IL regulations and shall have those drafts approved by Administration and General Services Office, Legal Support Office and Financial Office.

**13. RETURN OF COMPETITION APPLICATIONS**

13.1. The Competition administration shall not provide written reviews for Competition Applications (including individual documents, presented together with Applications) submitted by the Competition participants, and Applications shall not be returned to the Competition participants.

Annex No. 1

to Regulations

on Project Competition

“Establishing International Laboratories

at the National Research University

Higher School of Economics

for the period from 01.12.2016 to 31.12.2019”

**COMPETITION APPLICATION**

**Form 1. Registration Form**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Full name of the Leading Researcher | Place of residence (country) of the Leading Researcher | Place of employment of the Leading Researcher (University, department, etc.) | Job title of the Leading Researcher | Hirsch-index of the Leading Researcher in the Web of Science | Number of the Leading Researcher’s academic papers published in peer-reviewed journals indexed in the Web of Science | Citation index in the Web of Science | Full name of the Laboratory Head on behalf of HSE | Place of employment, job title, and FTE at HSE of the International Laboratory Head | Hirsch-index of the International Laboratory Head in the Web of Science | Total number of the academic papers published by the International Laboratory Head in journals indexed in the Web of Science | Citation index in the Web of Science | Academic field | Research area | Provisional title of the research project | Required financing | HSE authorised representative, contact details (name, telephone, e-mail) |

**Form 2. List of Documents**

|  |  |  |  |
| --- | --- | --- | --- |
| No. | List of Documents | Page numbers (from…to…) | Number of pages |
| 1 | Form 2. List of Documents |  |  |
| 2 | Form 3. Competition Application Fact Sheet |  |  |
| 3 | Form 4. Conceptual Framework of the International Laboratory |  |  |
| 4 | Form 5. Leading Researcher’s Profile |  |  |
| 5 | Written consent provided by the Leading Researcher’s employer for their participation in the research project, pursuant to the declared conditions |  |  |
| 6 | Form 6. Profile of the International Laboratory (IL) Head |  |  |
| 7 | Form 7. Research Project Summary |  |  |
| 8 | Form 8. Research Project KPIs |  |  |
| 9 | Form 9. Research Plan |  |  |
| 10 | Form 10. Research Project Cost Estimation |  |  |

Leading Researcher \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

IL Head on behalf of the Russian party \_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form 3. Competition Application Fact Sheet**

1. Name of International Laboratory

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Leading international researcher (hereafter – Leading Researcher) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Head of the International Laboratory (hereafter – IL Head)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Research area\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
   1. Research qualification by the field of research
      1. Topic of the research project \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
      2. SCSTI (State Classification of Scientific and Technical Information) code (digits and in words)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
      3. UDC (Universal Decimal Classification) code (digits and in words)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
      4. Key words\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
4. Required financing:

* in 2017 million roubles,
* in 2018 million roubles,
* in 2019 million roubles.
* Total: million roubles.

1. The Leading Researcher hereby certifies that

* the Leading Researcher has not applied for other research projects in the framework of this Competition;
* the proposed research project does not repeat any of the Leading Researcher’s ongoing or previous projects completed at the expense of the funding provided from the budget or from any other sources.

1. The IL Head hereby certifies that

* the IL Head has not applied for other research projects in the framework of this Competition;
* the proposed research project does not repeat any of the Leading Researcher’s ongoing or previous projects completed at the expense of the funding provided from the budget or from any other sources.

1. Should this Competition Application be successful, the Leading Researcher shall assume the following obligations:

* conclude an employment agreement with HSE by \_\_ \_\_\_\_\_\_\_\_\_ 2017;
* jointly with the IL Head, create the research team for conducting the research project by \_\_ \_\_\_\_\_\_\_\_\_ 2017;
* personally supervise the research project in 2017-2019, while being physically present at HSE:
  + in 2017 \_\_\_\_\_ days
  + in 2018 \_\_\_\_\_\_ days
  + in 2019 \_\_\_\_\_\_ days
* publish at least \_\_\_ project-related articles with acknowledgement of HSE affiliation in peer-reviewed journals indexed in Scopus, Web of Science within 18 months after the research project commencement date, and at least \_\_\_ project-related articles in peer-reviewed journals indexed in Scopus, Web of Science within 30 months after the research project commencement date;
* submit an annual research project report in approved format and pursuant to HSE bylaws.

The Leading Researcher shall assume responsibility for achievement of research outcomes specified in the Application.

Leading Researcher \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

IL Head \_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form 4. Conceptual Framework of the International Laboratory**

Conceptual Framework of the International Laboratory (3-4 pages)

(Contribution of the new IL into the University’s strategic development in line with the Programme for Raising the Competitiveness of National Research University Higher School of Economics published on HSE official website (portal) https://strategy.hse.ru/en/). The conceptual framework shall also include the proposed HR policy of the IL and its provisional composition (proportion of researchers, doctoral students and students). It is assumed that the IL team should include at least two full-time Doctors of Sciences / Candidates of Sciences, at least three HSE doctoral students / HSE students).

Leading Researcher \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

IL Head \_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form 5. Leading Researcher’s Profile**

1. Personal data

|  |  |
| --- | --- |
| Last name |  |
| First name |  |
| Patronym (if any) |  |
| Date of birth |  |
| Citizenship |  |
| Citizenship (if any) (for individuals with dual citizenship) |  |

1. Education

|  |  |
| --- | --- |
| Education, name of the higher education institution and year of graduation |  |
| Academic degree |  |
| Academic title |  |

1. Place of residence

|  |  |
| --- | --- |
| Country |  |
| Postal address |  |

1. Employer

|  |  |
| --- | --- |
| Full name of the employing organisation |  |
| Job title |  |
| Country |  |
| Region (in the RF) |  |
| Postal address |  |
| Telephone |  |
| E-mail |  |
| Fax |  |

1. Previous employers

|  |  |
| --- | --- |
| Full name of employing organisation, country, period of employment: from….to…. (dates) |  |
| Full name of employing organisation, country, period of employment: from….to…. (dates) |  |

1. Scientometric indicators (for the last 5 years)

|  |  |
| --- | --- |
| Researcher lD (if any) |  |
| Field of research interests |  |
| Hirsch index |  |
| Publications in journals indexed in Scopus, Web of Science |  |
| Average impact-factor of peer-reviewed journals where the articles were published |  |
| Number of citations indexed in Scopus, Web of Science |  |
| Average number of citations per publication |  |

7. Academic achievements and professional experience of the Leading Researcher

7.1. Prizes and awards of the leading international researcher, honorary titles

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Prize/award | Awarded by | Year | Achievement rewarded |
| 1. |  |  |  |  |
| 2. |  |  |  |  |

7.2. Publications of the Leading Researcher published in 2011-2016 in journals indexed in Scopus, Web of Science

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Journal title | Authors (in the order, specified in the publication) | Title of the publication | Year, volume, release | Journal impact-factor |
| 1. |  |  |  |  |  |
| 2. |  |  |  |  |  |

7.3. List of the Leading Researcher’s monographs and monograph chapters published in 2011-2016

|  |  |  |
| --- | --- | --- |
| No. | Monograph (monograph authors, title, date of publication, number of pages, ISBN, publisher) | Brief abstract of the monograph |
| 1. |  |  |
| 2. |  |  |

7.4. List of the Leading Researcher’s patents, know-how, invention certificates issued in 2011-2016

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| No. | Intellectual property item | Type | Priority date | Territory (country) and expiry date | Title  (patent, registration certificate) | |
|  |  |  |  |  | No. | Date of issue |
| 1. |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |

7.5. Conferences where the Leading Researcher delivered reports in 2011-2016 (up to 5-7 keynote reports)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Conference | Venue and date, language of the report | Authors and title of the report | Type of the report  (guest/presentation/oral/poster) |
| 1. |  |  |  |  |
| 2. |  |  |  |  |

7.6. Leading Researcher’s previous experience of supervising similar projects

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Project | Amount of funding  (million roubles) | Source of funding | Timeline of the project (start and end dates) | Main deliverables |
| 1. |  |  |  |  |  |
| 2. |  |  |  |  |  |
| 3. |  |  |  |  |  |

8. The leading researcher’s public academic activities

|  |  |
| --- | --- |
| Membership in editorial and advisory boards of peer-reviewed journals (please specify the membership period) |  |
| Membership in the programme and steering committees of international conferences |  |
| Membership in management and advisory bodies of international academic societies and associations |  |

1. Current external grants / grants currently at the stage of signing the grant agreement (please specify)

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *(full name and ID number, date of issue and issuing authority)* hereby grant the National Research University Higher School of Economics (address: 20 Myasnitskaya ulitsa, Moscow) my consent for collection, recording, systematization, accumulation, storage, specification (updating, changing), retrieval, use, transfer (distribution, provision, access), depersonalization, blocking, deletion, destruction of personal data (hereinafter referred to as the data processing), including with regard to automated processing of the following personal data: last name, first name, patronym; registration address and place of residence; serial number of passport or other ID; phone number; email address; diploma/degree certificate, academic degree, academic title; information on professional occupation (specialisation); personal photograph; other details, provided in regard to participation in the Competition and/or related to participation in the Competition. Personal data and this consent for personal data processing are provided for my participation in the Competition, including the initial technical review of Applications, for reviewing Applications for their compliance with official eligibility criteria, for examining Applications at the meeting of the Committee for Organising the Implementation of International Research Projects Jointly Supervised by the HSE Leading International and Russian Researchers; for advising me on the Competition progress, including via publication of information on HSE official website (portal); for ensuring due security level established at HSE, for HSE to perform its activities pursuant to HSE Charter, and for accumulating information on persons interacting with HSE, with subsequent archive storage of such details in HSE information systems.

This consent shall be valid for 5 (five) years upon submission of this file to HSE, but in any case at least throughout the period of the project/research activity support and implementation (throughout the existence of the international laboratory), upon extension of the timeframe of the project/research activity.

This Consent can be withdrawn in case of non-compliance with established rules for personal data processing and in other cases stipulated by the Federal Law No.152-FZ “On Personal Data” dated July 27, 2006, by written request submitted to HSE by the Personal Data Subject with substantiated reasons for withdrawal.

Leading Researcher \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form 6. Profile of the International Laboratory (IL) Head**

1. Personal data

|  |  |
| --- | --- |
| Last name |  |
| First name |  |
| Patronym (if any) |  |
| Date of birth |  |
| Citizenship |  |
| Citizenship (if any) (for individuals with dual citizenship) |  |

1. Education

|  |  |
| --- | --- |
| Education, name of higher education institution and year of graduation |  |
| Academic degree |  |
| Academic title |  |

1. Place of residence

|  |  |
| --- | --- |
| Country |  |
| Mail address |  |

1. Employer

|  |  |
| --- | --- |
| Full name of the employing organisation |  |
| Job title |  |
| Country |  |
| Region (in the RF) |  |
| Postal address |  |
| Telephone |  |
| E-mail |  |
| Fax |  |

1. Previous employers

|  |  |
| --- | --- |
| Full name of the employing organisation, country, period of employment: from….to…. (dates) |  |
| Full name of the employing organisation, country, period of employment: from….to…. (dates) |  |

1. Scientometric indicators (for the last 5 years)

|  |  |
| --- | --- |
| Researcher lD (if any) |  |
| Field of research interests |  |
| Hirsch index |  |
| Publications in journals indexed in Scopus, Web of Science |  |
| Average impact-factor of journals where the articles were published |  |
| Number of citations of articles indexed in Scopus, Web of Science |  |
| Average number of citations per publication |  |

7. Academic achievements and professional experience

7.1. Prizes and awards, honorary titles

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Prize/award | Awarded by | Year | Achievement rewarded |
| 1. |  |  |  |  |
| 2. |  |  |  |  |

7.2. Academic papers published in 2011-2016 in journals indexed in Scopus, Web of Science

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Journal title | Authors (in the order, specified in the publication) | Title of the publication | Year, volume, release | Journal impact-factor |
| 1. |  |  |  |  |  |
| 2. |  |  |  |  |  |

7.3. List of monographs and monograph chapters published in 2011-2016

|  |  |  |
| --- | --- | --- |
| No. | Monograph (monograph authors, title, date of publication, number of pages, ISBN, publisher) | Brief abstract of the monograph |
| 1. |  |  |
| 2. |  |  |

7.4. List of patents, know-how, invention certificates issued in 2011-2016

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| No. | Intellectual property item | Type | Priority date | Territory (country) and expiry date | Title  (patent, registration certificate) | |
|  |  |  |  |  | No. | Date of issue |
| 1. |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |

7.5. Conferences where reports were delivered in 2011-2016 (up to 5-7 keynote reports)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Conference | Venue and date, language of the report | Authors and title of the report | Type of the report  (guest/presentation/oral/poster) |
| 1. |  |  |  |  |
| 2. |  |  |  |  |

7.6. Previous experience of supervising similar projects

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Project | Amount of funding  (million roubles) | Source of funding | Timeline of the project (dates) | Main deliverables |
| 1. |  |  |  |  |  |
| 2. |  |  |  |  |  |
| 3. |  |  |  |  |  |

8. Public academic activities

|  |  |
| --- | --- |
| Membership in editorial and advisory boards of peer-reviewed journals (please specify the membership period) |  |
| Membership in the programme and steering committees of international conferences |  |
| Membership in management and advisory bodies of international research societies and associations |  |

1. Current external grants / grants currently at the stage of signing the grant agreement (please specify)

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *(full name and ID number, date of issue and issuing authority)* hereby grant the National Research University Higher School of Economics (address: 20 Myasnitskaya ulitsa, Moscow) my consent for collection, recording, systematization, accumulation, storage, specification (updating, changing), retrieval, use, transfer (distribution, provision, access), depersonalization, blocking, deletion, destruction of personal data (hereinafter referred to as the data processing), including with regard to automated processing of the following personal data: last name, first name, patronym; registration address and place of residence; serial number of passport or other ID; phone number; email address; diploma/degree certificate, academic degree, academic title; information on professional occupation (specialisation); personal photograph; other details, provided in regard to participation in the Competition and/or related to participation in the Competition. Personal data and this consent for personal data processing are provided for my participation in the Competition, including the initial technical review of Applications, for reviewing Applications for their compliance with official eligibility criteria, for examining Applications at the meeting of the Committee for Organising the Implementation of International Research Projects Jointly Supervised by the HSE Leading International and Russian Researchers; for advising me on the Competition progress, including via publication of information on HSE official website (portal); for ensuring due security level established at HSE, for HSE to perform its activities pursuant to HSE Charter, and for accumulating information on persons interacting with HSE, with subsequent archive storage of such details in HSE information systems.

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IL Head \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form 7. Research Project Summary**

1. General details
   1. International Laboratory name
   2. Topic of the research project
   3. Research qualification by the field of research
      1. Topic of the research project\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
      2. SCSTI (State Classification of Scientific and Technical Information) code (digits and in words)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
      3. UDC (Universal Decimal Classification) code (digits and in words)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
      4. Key words\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Leading international researcher

|  |  |
| --- | --- |
| Full name |  |

1. IL Head on behalf of the Russian party

|  |  |
| --- | --- |
| Full name |  |

1. Provisional list of the IL staff members

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| No. | Full name | Primary  employer | Job title | Academic degree | Most important publications in 2011 – 16  (maximum 5 publications)[[2]](#footnote-2) | Number of publications in peer-reviewed journals, indexed in Scopus, Web of Science |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

1. Proposed IL coordinator – full name (please attach the CV in free format)
2. Research project summary
   1. Short summary (200-350 words)
      1. Relevance of the research project
      2. Goal of the research project
      3. Objectives of the research project
   2. Relation to outcomes of previous research projects (if applicable) (maximum 2 printed pages)

Brief summary of research outcomes achieved by the project originators over the last year in this area of research or in a similar field, including the outcomes achieved as a result of joint efforts with invited international researchers in other similar projects.

* 1. Research methodology (maximum 1 printed page)
  2. Anticipated research outcomes (at least 2 printed pages)

Leading International Researcher \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

IL Head \_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form 8. KPIs of the International Laboratory as a structural unit**

**(at least 5 indicators)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | KPI | Units | 2017 | 2018 | 2019 |
| **MANDATORY KPIs FOR ALL IL** | | | | | |
| 1 | Number of publications[[3]](#footnote-3) in the given research field in journals indexed in Scopus, Web of Science | Units |  |  |  |
|  | including in journals in Q1/Q2 of Scopus, Web of Science |  |  |  |  |
| 2 | Number of dissertations defended by HSE doctoral students, who joined International Laboratories as staff-members, in the given field of research | Units |  |  |  |
| 3 | Funding secured from external sources | Million roubles |  |  |  |
| PROPOSED KPIs FOR IL[[4]](#footnote-4) | | | | | |
| 4 | Organising and holding an international conference on research topic | Measurement unit |  |  |  |
| 5 | Organising and holding a school on research topic | Measurement unit |  |  |  |
| 6 | HSE doctoral students, working in the IL on a permanent basis | Number of students |  |  |  |
| 7 | HSE Master’s students, working in the IL on a permanent basis | Number of students |  |  |  |
| 8 | Doctoral dissertations defended by the IL team members in the given field of research | Number of team members |  |  |  |
| 9 | PhD dissertations defended by the IL team members in the given field of research | Number of team members |  |  |  |
| 10 | IL academic staff members, who participated in international and domestic mobility programmes (including internships, continuing professional development and other forms of mobility) | Number of team members |  |  |  |
| 11 | IL international and Russian staff members, holders of PhD degrees of international universities, who took part in R&D during the reporting period | Number of team members |  |  |  |
| 12 | Double degree programmes, implemented in collaboration with foreign universities/ TOP100 universities | Measurement unit |  |  |  |

Leading International Researcher \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

IL Head \_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form 9. Research Plan**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | List of works and activities | Projected outcomes of works and activities | Proposed publications,  reports delivered at international conferences | Timeline (start date  – end date) | Research funding for a given stage |
| 1 | List of works and activities:  1.1.  1.2. |  |  | 01.01.17 – 31.12.17 |  |
| 2 | List of works and activities:  2.1.  2.2. |  |  | 01.01.18 – 31.12.18 |  |
| 3 | List of works and activities:  3.1.  3.2. |  |  | 01.01.19 – 31.12.19 |  |

Leading Researcher \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

IL Head \_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form 10. Cost Estimation**

Cost estimation (million roubles)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Cost items | 2017 | 2018 | 2019 | Total |
| Remuneration payable to the Leading Researcher and the IL staff, including taxes and  payments to social funds, accrued on remuneration of the Leading Researcher and the IL staff |  |  |  |  |
| Unique equipment and software acquisition costs, as required for the research project |  |  |  |  |
| Travel expenses of the IL researchers |  |  |  |  |
| Visits of international scholars and experts from external research centres and universities |  |  |  |  |
| Holding academic events |  |  |  |  |
| Total |  |  |  |  |

Leading International Researcher \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

IL Head \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. The number of articles published in peer-reviewed journals indexed in Q1/Q2 in the Web of Science in the field of research shall be determined on a case by case basis upon approval of the leading researcher. [↑](#footnote-ref-1)
2. Please specify the title of publication, its details and give a hyperlink [↑](#footnote-ref-2)
3. Publications shall satisfy the following criteria: а) be an article or a review; b) some articles should be indexed in Q1 by impact-factor in the research field; c) the number of mandatory project-related publications should meet the all-university indicators established by Programme for Raising the Competitiveness of the National Research University Higher School of Economics published on HSE official website (portal) (https://strategy.hse.ru/en/) [↑](#footnote-ref-3)
4. These KPIs are given as an example. Competition participants may use the proposed KPIs or suggest at least two other performance indicators. [↑](#footnote-ref-4)