

Annex
to HSE Directive
No. 6.18.1-01/2904-08,
dated April 29, 2016

APPROVED by
by HSE Academic Council
Minutes No. 04,
dated March 25, 2016

**REGULATIONS for
Assessment of HSE Researchers' Publication Activities at
National Research University
Higher School of Economics in 2016-2017**

1. General Provisions

1.1. These Regulations represent a bylaw adopted by National Research University Higher School of Economics (hereafter, the “University”, or “HSE”), hereby setting forth the procedure for assessing the publication activities of HSE researchers¹ (hereafter, “assessments of publication activities”).

1.2. Assessments of publication activities shall be conducted with the aim of making sure that a researcher's publications meet the criteria established hereby for evaluating publication activities (Annex 1).

1.3. Publications recently prepared by a researcher over the previous three (3) years (while assessments of publication activities are conducted in the third year), in line with the requirements established in Annex 1, serve as the subject for assessing publication activities.

1.4. These Regulations are applicable with respect to:

1.4.1. HSE researchers, as well as researchers at the University's affiliated regional campuses;

1.4.2. heads and deputy heads of HSE's research subdivisions, as well as relevant departments, if the operations of such subdivisions are financed with funds generated from basic projects that are included in the thematic plan for R&D works (basic and applied research), as stipulated by the HSE State Assignment for 2015 – 2016 (if the assessments of publication activities are conducted in 2016) or 2016 – 2017 (if the assessments of publication activities are conducted in 2017), with the exception of heads and deputy heads of subdivisions, which operate within the framework of HSE's research subdivisions and have no official researcher positions;

1.4.3. the heads and deputy heads of HSE's international laboratories, financed with funds generated from basic projects included in the thematic plan for R&D works (basic and applied research), as stipulated by the HSE State Assignment and/or the HSE Global Competitiveness Programme (Russian Academic Excellence Project 5-100).

1.5. The following categories of researchers are exempt from assessments of their publication activities:

¹ The following HSE staff members are considered researchers: research assistants, junior research fellows, researchers, and senior/leading/chief researchers.

1.5.1. researchers hired through the University's international recruitment procedure who are obligated to engage in publication activities, as stipulated in their respective employment agreements;

1.5.2. HSE staff awarded the honorary title (status) of "HSE Tenured Professor";

1.5.3. research assistants, if they are students taking part in a degree programme (at the Bachelor's or Master's level) or graduates of a degree programme (at the Bachelor's or Master's level) during the year when their publication activities are assessed, or in the preceding year²;

1.5.4. pregnant women; women on maternity leave; researchers on leave to attend to a child up to the age of three (3) years, as well as upon return from a maternity leave or a leave of absence to attend to a child up to the age of three (3) years less than two (2) years previous (upon application, provided that relevant documentary evidence is readily available);

1.5.5. researchers absent for a long period (over six (6) months) over the previous three (3) years due to a sick leave (upon application, provided that relevant documentary evidence is available).

1.6. Assessments of researchers' publication activities shall be performed by HR committees and heads responsible for HSE's operations with respect to completing basic and applied research projects, in accordance with the official dissemination of duties at the University (hereafter, "subdivision heads responsible for research coordination"), as well as the University-wide Committee for Assessment of Publication Activities (hereafter, the "University-wide Committee").

1.7. Final decisions as to whether or not researchers meet the requirements to assessments of publication activities shall be made by the University-wide committee.

1.8. Assessment policies and the decision-making procedures to be followed by HR and the University-wide committees, as well as the procedure for appointing the members of the University-wide committee, are hereby established by the Regulations on Committees for the Assessment of Researchers' Publication Activities at the National Research University Higher School of Economics (see Annex 2).

1.9. These Regulations and any amendments hereto must be approved by the HSE Academic Council and shall be enacted as per a directive from the HSE Rector.

2. Procedure for Assessments of Publication Activities

2.1. The HSE Vice Rector responsible for the implementation of basic research projects, in accordance with the official dissemination of duties, shall appoint³ a coordinator of assessments of publication activities (hereafter, the "Coordinator") from among HSE's staff members by September 1.

2.2. If necessary, the HSE Vice Rector responsible for the implementation of basic research projects may appoint an assistant to the Coordinator from among HSE's staff or students.

2.3. Technical conditions for assessments of publication activities shall be communicated to the heads of research subdivisions via corporate email by the Coordinator or his/her assistant no later than by September 21.

2.4. Assessments of publication activities start on October 1.

² Students receiving a second (or subsequent) degree at the Bachelor's or Master's level shall not be released from assessments of publication activities

³ Hereafter, all dates are presented with respect to relevant year for assessments of given publication activities

2.5. Pursuant to Annex 3 hereto, the HR Office shall prepare lists of researchers, including researchers working at HSE's affiliated regional campuses, as of October 1, and thusly submit these lists to the Coordinator by October 5.

2.6. By October 8, the lists of researchers whose publication activities are subject to assessment in the ongoing year shall be sent by the Coordinator or his/her assistant via corporate email to the heads of respective research subdivisions, the head of the R&D Office, and the head of the Centre for Basic Research.

2.7. By October 14, the heads of research subdivisions must send verified lists of researchers whose publication activities are subject to assessment in the ongoing year to the Coordinator.

2.8. No later than by October 23, researchers must provide information on all publications subject to assessment in the database of research publications on HSE's corporate website (portal) and fill in an online form on the website (portal), containing additional details for subsequent assessment of publication activities or any basis/reason for exemption.

2.9. A researcher's failure to fill in an online form by the deadlines stipulated by these Regulations shall serve as the grounds for assigning the following status: "Does not meet the criteria established for assessment of publication activities".

2.10. HSE staff members, who do not fall into the staff categories specified in p. 1.4. hereof, may take part in assessments of publication activities at their own request. To this end, an application must be submitted to the Coordinator by October 23. Staff members taking part in an assessment at their own request must pass it in line with the same criteria as researchers.

2.11. If a full-text version of a research paper is requested by the chairperson or manager of an HR committee, the researcher will be expected to provide the requested materials within three (3) working days upon the receipt of a relevant request via his/her corporate email or in hard copy. If an original research paper has not been submitted, the relevant HR committee thereby retains the right to refuse it.

2.12. No later than on November 11, HR committees meet and prepare recommendations as to whether or not publications submitted by researchers satisfy criteria for assessing publication activities, described in Annex 1 hereto. The chairperson or manager of the HR committee shall provide a hard copy and electronic version of the committee's meeting minutes to the Coordinator by November 14.

2.13. The HR committee shall draw up a list of accepted research papers in the field for comments in the electronic personal forms of researchers whose publication activities have been considered as having not met the established criteria. Researchers and subdivision heads must be informed of this list by December 5.

2.14. No later than on November 30, supervisors responsible for coordination of research work provide recommendations as to whether or not each researcher satisfies the criteria for assessments of publication activities, as described in Annex 1 hereto. Recommendations provided by supervisors responsible for coordination of research work shall be presented in an electronic format and made available to researchers, the Coordinator, and his/her assistant.

2.15. No later than December 5, the Coordinator, or his/her assistant acting on the Coordinator's instructions, shall forward recommendations with respect to each researcher's compliance with the criteria established for assessing publication activities via corporate email to the heads of respective subdivisions.

2.16. After the HR committee and supervisors responsible for coordinating research activities are familiarized with recommendations, the researchers shall thereby be entitled to submit an online application by December 11 with a request to consider all publications issued after the commencement of assessments of publication activities, or verify the assessment procedure for any technical or procedural errors.

2.17. No later than on December 19, the University-wide committee shall meet in order to decide on whether or not publications submitted by researchers satisfy the criteria established in Annex 1 hereto. This decision shall be made on the basis of information on the researcher's publications, as well as recommendations provided by the HR committee and supervisors responsible for coordination of research activities, which are available online on HSE corporate website (portal).

2.18. No later than on December 31, the Coordinator shall ensure the filing of the decision made by the University-wide committee with the online system on HSE's corporate website (portal). This decision will be then communicated to the researcher online via the website (portal).

2.19. No later than on December 31, the Coordinator shall inform the respective subdivision heads, as well as HSE's administration, represented by the Rector, First Vice Rectors, and Vice Rectors, whether or not researchers who have taken part in assessments of publication activities meet the established criteria.

2.20. The results of personal assessments shall not be disclosed. Furthermore, only generalized statistical data may be published.

2.21. Supervisors responsible for coordination of research work, the Coordinator, members of HR and University-wide committees, as well as research subdivision heads, shall refrain from disclosing the results of assessments of publication activities of each researcher to any third parties. This information may be made available only to the relevant researcher and HSE staff specified in these Regulations. Members of the University-wide committee shall sign an obligation to refrain from disclosing information coming to their knowledge at meetings of the University-wide committee. Supervisors responsible for coordinating research work and the Coordinator shall be authorized to provide comments in regards to the results of assessments of publication activities to the researcher and heads of research subdivisions.

2.22. Heads of HSE subdivisions where researchers are employed as staff members shall be responsible for organizing assessments of publication activities for researchers at relevant subdivisions, as well as ensuring that publications by individual researchers satisfy their job requirements.

Annex 1
 Procedure for Assessment of
 HSE Researchers' Publication Activities at
 National Research University
 Higher School of Economics in 2016-2017

**Criteria for Assessments of HSE Researchers' Publication Activities and
 Requirements for Publications**

1. Publications recently prepared by a researcher over the previous three (3) years (while assessments of publication activities shall be conducted in the third year) are the subject of assessments of publication activities.
2. Researchers taking part in assessments of publication activities in 2016 must satisfy at least one (1) of the following three (3) conditions:

	As a senior/leading/chief researcher	as a researcher, junior research fellow, research assistant, head and/or deputy head of a research subdivision
Track 1	at least one (1) publication in an international academic journal indexed in Q1-Q2 of the Scopus and/or Web of Science ⁴ databases by subject; or at least one (1) monograph, released by a publisher on the following list https://scientometrics.hse.ru/publishers ; or, at least one (1) paper in the collection of conference reports from the list of conferences in Computer Science of Level A* according to CORE rating	
Track 2	at least three (3) publications, including at least one (1) publication indexed in the Scopus/WoS databases	at least two (2) publications, including at least one publication indexed in the Scopus/WoS databases
Track 4 ⁵	at least four (4) publications + one (1) preprint in a foreign language in the series of the Basic Research Programme's working papers or within a series of working papers published by global universities and research centres	at least two (2) publications + one (1) preprint in a foreign language as part of the series of the Basic Research Programme's working papers or within a series of working papers published by global universities and research centres

3. Researchers engaged in assessments of publication activities in 2017 must satisfy at least one (1) of the following four (4) conditions:

⁴ Hereafter, the "Web of Science (WoS) Core Collection"

⁵ In 2016, former Tracks 2 and 3 were merged into a single track, after the requirement for a publication in a foreign language was cancelled in Track 2. In 2017, the tracks shall again be separated, while the sequential number for Track 4 remains unchanged.

	Work as a senior/leading/chief researcher	as a researcher, junior research fellow, research assistant, head and deputy head of a research subdivision
Track 1	at least one (1) publication in an international academic journal indexed in Q1 of the Scopus and/or Web of Science databases by subject; or at least one (1) monograph, released by a publisher from the following list https://scientometrics.hse.ru/publishers ; or at least one (1) paper in a collection of conference reports from the list of conferences in Computer Science of Level A* according to CORE rating	
Track 2	at least four (4) publications, including at least two (2) publications indexed in the Scopus/WoS databases	at least two (2) publications indexed in the Scopus/WoS databases
Track 3	at least five (5) publications, including at least one (1) publication indexed in the Scopus/WoS databases	at least three (3) publications, including at least one (1) publication indexed in the Scopus/WoS databases
Track 4	at least four (4) publications + one (1) preprint in a foreign language in the series of the Basic Research Programme's working papers or as part of a series of working papers published by global universities and research centres	at least two (2) publications + one (1) preprint in a foreign language in the series of the Basic Research Programme's working papers or as part of a series of working papers published by global universities and research centres

4. These criteria apply to all researchers who are subject to assessments of their publication activities, whether or not they are full-time or part-time researchers.

5. Requirements for publications:

5.1. A publication hereby refers to a published paper, which is prepared in line with the academic standards for text formatting, and published by a publisher in a printed version or in electronic form. Publications should feature such requisite details as an ISBN or ISSN, editor and the number of copies printed.

5.2. Publications include:

- a) research monographs published in Russian and foreign languages;
- b) articles in peer-reviewed Russian research journals, not included in the following list of publications <https://scientometrics.hse.ru/blacklist>.
(as of 2017, on condition of inclusion in the RSCI (Russian Science Citation Index));
- c) articles in peer-reviewed international research journals, not included in the list of publications at: <https://scientometrics.hse.ru/blacklist>.

5.3. The relevant HR committee and the University-wide committee may consider the following papers as publications:

- a) chapters in research monographs published in Russian and foreign languages;
- b) course books;
- c) chapters in collections of articles;

- d) articles in collections of international conference materials (provided that such collections are indexed in the Scopus and/or Web of Science databases);
- d) articles in peer-reviewed collections of international conference papers (provided that relevant reviews are available);
- e) articles in a respective collection following the HSE April Conference;
- f) scientific reports and research papers published by international organizations;
- g) publications of primary sources used by historians for the first time;
- h) publication of archives materials with translation and/or detailed scientific commentary provided;
- i) publication of translations of texts representing a scientific, philosophical or religious heritage, as well as translations of business, administrative and literary texts of historic and cultural importance from ancient, oriental and rare languages, and the archaic literary norm of European languages, into Russian and other contemporary languages, with a detailed expert commentary provided;
- j) publications of prefaces, afterwords, comments, introductions, conclusions, and encyclopaedic articles, etc., in line with formal requirements for the relevant type of publication.

5.4. The following materials shall not be considered as publications for the purposes of the publication activities assessment:

- a) articles in journals included on this list: <https://scientometrics.hse.ru/blacklist>;
- b) preprints (working papers);
- c) articles in collections of international conference materials that are not indexed by the Web of Science/Scopus (with the exception of the HSE April Conference);
- d) translations of scientific texts from a foreign language;
- e) electronic course books/study guides;
- f) learning and teaching materials;
- g) reference books (dictionaries, articles in encyclopaedias and reference books, etc.);
- h) editing course books, study guides, collections and journals;
- i) unpublished materials (including materials submitted for publication).

5.5. Publications in a foreign language may include publications in English, French, German or Spanish. The list of relevant foreign languages may be expanded as per a decision of the HR committee.

5.6. Other requirements.

5.6.1. Paper publications issued as individual editions shall not be taken into consideration.

5.6.2. If revised articles, monographs, and/or textbooks, etc. are published, only works where at least 30% of the text is new shall be recognized as independent publications. If this requirement is not met, a publication may be withdrawn from consideration.

6. The relevant HR committee and University-wide committee shall make a decision in regards to considering publications specified in p. 4.3 of these criteria, as well as in regard to other publications.

7. In regards to researchers in fields such as humanities and law, if a researcher's chapter is included in a monograph published by a publishing house from the following list <https://scientometrics.hse.ru/publishers>, the requirement that the author should have at least one (1) publication in the Scopus and/or Web of Science database in Tracks 2 or 3 may be lifted.

8. The HR committee and the University-wide committee may turn down publications that have appeared in a journal suspected of bad practices (e.g., fees charged for simplifying the publication process, lack of peer reviews or inadequately short deadlines, conveyor

reviews, etc.). Furthermore, the HR committee retains the right to initiate an expert review of any journal suspected of bad practices. In this case, the HSE Office for Research Evaluation shall conduct an expert review of such a journal within 10 working days upon the request of the HR committee.

9. On an exceptional basis, the HR committee retains the right to issue a favourable recommendation and confirm that a researcher has duly satisfied the criteria established for assessment of publication activities on the basis of a researcher's outstanding publication. A publication may be recognized as outstanding on the basis of the criteria established by the HR committee, which may include its citation rate, the quality of the journal where the publication has appeared, as well as awards granted to the author for the publication. The publication date shall not be limited to three (3) years. However, an HSE affiliation shall serve as a mandatory pre-condition for the issuance of a favourable recommendation.

10. As an exception, the HR committee and the University-wide committee may consider the following types of papers:

- a) an article in international peer-reviewed journals indexed in Q1 of the Scopus or Web of Science databases, which has been reviewed on at least the "Revise" and "Resubmit" level;
- b) an article accepted for publication by an international peer-reviewed journal and published on the journal's website (with/without pagination), which was not subsequently published in the journal itself.

In the following years, such an article may be considered no more than three (3) times in a row. If the researcher can meet the criteria for assessment of his/her publication activities, only provided that such a publication is given due consideration, the University-wide committee may assign him/her the following status: "Conditionally meets the criteria for assessments of publication activities".

11. Assessments of publication activities within Track 4, as specified in p. 2 and 3 of these Criteria, may be conducted for no more than two (2) years in a row.

Annex 2
 Procedure for Assessing the Publication Activities of
 Researchers at
 National Research University
 Higher School of Economics in 2016-2017

**Regulations on Committees for Assessment of Researchers' Publication Activities
 at National Research University Higher School of Economics**

1. General Provisions

1.1. The respective HR committees of HSE's educational subdivisions involved in competitions for faculty positions (hereafter, "HR committees") shall be engaged for assessments of publication activities of HSE researchers, as well as the University-wide committee, which has been established to this end (hereafter, "University-wide committee").

1.2. In the framework of assessments of publication activities, the role of the HR committees shall be focused on carrying out diligent and competent evaluations of the number of research publications produced by HSE researchers, as well as the compliance of such publications with the criteria established by the University for the purpose of assessing the publication activities of researchers.

1.3. The University-wide committee decides whether or not HSE researchers meet the criteria established for assessments of publication activities.

2. Procedure for Establishing University-wide Committees

2.1. University-wide committees shall be comprised of members of the HR Committee of the HSE Academic Council and the Committee for the Organization of Scientific Research of the HSE Academic Council, as well as respective HSE supervisors responsible for coordinating the University's activities with respect to basic and applied research, in line with the dissemination of duties at the University.

**3. Operational Procedure for HR Committees with Respect to Assessments of
 Publication Activities of Researchers**

3.1. Meetings of HR committees shall be held within the timeframe established by the Regulations for Assessment of HSE Researchers' Publication Activities in 2016-2017.

3.2. The timeframe for meetings of HR committees shall be scheduled by respective chairpersons within the period for assessing publication activities at HSE.

3.3. Members of HR committees are obliged to observe the confidentiality of all personal information relating to assessments of the publication activities of HSE researchers.

3.4. Based on the results of reviews of documents, HR committees shall issue the following recommendations on:

3.4.1. a research paper's compliance with requirements to publications established in the Regulations for Assessment of HSE Researchers' Publication Activities in 2016-2017;

3.4.2. full compliance, conditional compliance, or non-compliance of the researcher's publication with the criteria for assessing publication activities, as established at the University.

3.5. HR committees shall approve recommendations by a simple majority vote from the total number of votes cast at a given meeting. Should there be a tie, the HR committee's chairperson shall thereby hold the deciding vote.

3.6. The quorum required for reaching a decision must come to at least fifty (50) percent of all committee members (however, this should come to no less than three (3) persons).

3.7. When issuing recommendations with respect to the compliance of a researcher's publications with the criteria for assessing his/her publication activities, the vote cast by the head of the researcher's subdivision shall not be taken into account, as well as the vote of any other member of the committee, in order to avoid any conflict of interest.

3.8. HR committees retain the right to request that a researcher submit a full-text version of his/her publication.

3.9. Decisions issued by an HR committee shall be entered in meeting minutes, signed by its chairperson and posted on HSE's corporate website (portal). A copy shall be also submitted to the Coordinator responsible for conducting the assessment of the researcher's publication activities via corporate email, as well as in hard copy.

4. Operational Procedure of the University-wide Committee

4.1. The University-wide committee is headed by co-chairpersons represented by the chairpersons of the HR Committee of the HSE Academic Council, as well as the Committee for Organization of Scientific Research under the HSE Academic Council.

4.2. Meetings of the University-wide committee shall be held within the timeframe established by the Regulations for Assessment of HSE Researchers' Publication Activities in 2016-2017.

4.3. The timeframe of meetings held by the University-wide committee shall be scheduled by co-chairpersons within the period for assessing publication activities at HSE.

4.4. Members of the University-wide committee are obliged to observe confidentiality of personal information relating to assessments of the publication activities of HSE researchers.

4.5. The University-wide committee makes decisions with respect to full compliance, conditional compliance or non-compliance of the researcher's publications with criteria for assessments of his/her publication activities, as established at HSE.

4.6. The University-wide committee makes decisions by a simple majority vote from the total number of participants at the meeting. Should there be a tie, the co-chairperson acting as the chairperson of the committee for the organization of scientific research of the HSE Academic Council shall hold the deciding vote. In his/her absence, the co-chairperson acting as the chairperson of the HR Committee of the HSE Academic Council shall cast the deciding vote.

4.7. The quorum required for reaching a decision should come to at least fifty (50) percent of all members of the University-wide committee.

Annex 3
Procedure for Assessment of
HSE Researchers' Publication Activities at the
National Research University
Higher School of Economics in 2016-2017

Template List of HSE Researchers Subject to Assessment of Publication Activities

No.	Registration number	Full name	Subdivision code	Subdivision	Persons on the List	Title	Maternity leave over the last three (3) years
1							